



Crown  
Commercial  
Service

**APPENDIX C  
CALL OFF TERMS AND CONDITIONS**

**FOR THE PROVISION OF OCCUPATIONAL HEALTH SERVICES  
AND EMPLOYEE ASSISTANCE PROGRAMME**

**CONTRACT REFERENCE: CCHR17B12**

**CONTRACT FOR  
DEPARTMENT FOR WORK AND PENSIONS**

**Crown Commercial Service**

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**Call Off Order Form and Call Off Terms for Goods and/or Services (non ICT)**

**FRAMEWORK SCHEDULE 4**

**CALL OFF ORDER FORM AND CALL OFF TERMS**

**PART 1 –CALL OFF ORDER FORM**

**SECTION A**

This Call Off Order Form is issued in accordance with the provisions of the Framework Agreement **RM3795** for the provision of Occupational Health Services and Employee Assistance Programme dated **31<sup>st</sup> May 2017**.

The Supplier agrees to supply the Goods and/or Services specified below on and subject to the terms of this Call Off Contract.

For the avoidance of doubt this Call Off Contract consists of the terms set out in this Call Off Order Form and the Call Off Terms.

Order Number	<b>CCHR17B12</b>
From	<b>Department for Work and Pensions (DWP) ("CUSTOMER")</b>
To	<b>People Asset Management Limited ("SUPPLIER")</b>

**SECTION B**

**1. CALL OFF CONTRACT PERIOD**

<b>1.1.</b>	<b>Implementation Commencement Date:</b> <b>8<sup>th</sup> January 2018</b>  <b>Service Delivery Commencement Date by:</b> <b>1<sup>st</sup> March 2018</b>
<b>1.2.</b>	<b>Expiry Date:</b> <b>28 February 2021</b>  End date of Initial Period : <b>28 February 2021</b>  End date of Extension Period: <b>28 February 2022 (if option is taken)</b>  Minimum written notice to Supplier in respect of extension: <b>3 months</b>

## 2. GOODS AND/OR SERVICES

2.1.	<b>Goods and/or Services required:</b> In Call Off Schedule 2 (Goods and/or Services)
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## 3. IMPLEMENTATION PLAN

3.1.	<b>Implementation Plan:</b>  The Supplier shall provide the Customer with an Implementation Plan for Approval within 5 Working Days of the Authority start up meeting with the supplier.  Also see Key Milestones in Call Off Schedule 4.
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## 4. CONTRACT PERFORMANCE

4.1.	<b>Standards:</b> See Clause 11 (Standards and the definition of Standards in Call Off Schedule 1. DWP requires the core standards outlined as follows: Security Standards and Policies in Call Off Schedule 6 Staff and Customer Service in Call Off Schedule 2, Annex 1, Section 15 Continuous Improvement in Call Off Schedule 2, Annex 1, Section 11 Quality Standards in Call Off Schedule 2, Annex 1, Section 13
4.2	<b>Service Levels/Service Credits:</b> In Annex 1 of Part A of Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring).  Service Levels/Service Credits as defined in: Call Off Schedule 2, Annex 1 Section 16 and Annex 1 and 2 Call Off Schedule 6 and Annex 1 and Parts A, B and C
4.3	<b>Critical Service Level Failure:</b> <b>As defined in:</b> Call Off Schedule 2, Annex 1, Section 16 Annexes 1 and 2 Call Off Schedule 6 Parts A, B and C <b>Non-critical service level failures will not incur a service credit.</b> Service Credits will only apply to service failure where the service has been defined as Critical Service Level. The service credit is capped at <b>10%</b> per reporting period.
4.4	<b>Performance Monitoring:</b> Service Levels/Service Credits as defined in Call Off Schedule 6, Annex 1 Part C.
4.5	<b>Period for providing Rectification Plan:</b>

	In Clause 38.2.1(a) of the Call Off Terms.
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## 5. PERSONNEL

<b>5.1</b>	<p><b>Key Personnel:</b></p> <p><b><u>Supplier</u></b></p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p><b><u>Customer</u></b></p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>
<b>5.2</b>	<p><b>Relevant Convictions</b> (Clause 27.2 of the Call Off Terms):</p> <p>See Clause 27.2 (Relevant Convictions) of the Call Off Terms.</p>

## 6. PAYMENT

<b>6.1</b>	<p><b>Call Off Contract Charges</b> (including any applicable discount(s), but excluding VAT):</p> <p>In Annex 1 of Call Off Schedule 3 (Call Off Contract Charges, Payment and Invoicing). See Call of Schedule Page 199 for contract charges.</p>
<b>6.2</b>	<p><b>Payment terms/profile</b> (including method of payment e.g. Government Procurement Card (GPC) or BACS):</p> <p>In Annex 2 of Call Off Schedule 3 (Call Off Contract Charges, Payment and Invoicing) see Page 216.</p>
<b>6.3</b>	<p><b>Reimbursable Expenses:</b></p> <p>Permitted – Please see Framework agreement regarding reimbursable expenses. Details of the rates used are located in Schedule 2 – Services, Annex 1 – The Services, Annex 4.</p>
<b>6.4</b>	<p><b>Customer billing address</b> (paragraph 7.6 of Call Off Schedule 3 (Call Off Contract Charges, Payment and Invoicing)):</p> <p>Newport SSCL – Department for Work &amp; Pensions, PO Box 406, Newport, NP10 8FZ.</p>
<b>6.5</b>	<p><b>Call Off Contract Charges fixed for</b> (paragraph 8.2 of Schedule 3 (Call Off Contract Charges, Payment and Invoicing)):</p> <p>The Call Off Contract Charges will remain fixed (as per the price table submitted in Schedule 15) for the initial 3 year term of this Contract. See 6.6 below for the periodic contract charge assessments.</p> <p><b>(Reference RM3795 Framework Agreement Schedule 8).</b></p>

6.6	<p><b>Supplier periodic assessment of Call Off Contract Charges</b> (paragraph 9.2 of Call Off Schedule 3 (Call Off Contract Charges, Payment and Invoicing)) will be carried out on:</p> <p><b>See RM3795 Framework Agreement Schedule 9</b> - Every 6 months during the Call Off Contract, the supplier will assess the level of the Charges and consider whether they are able to reduce them.</p>
6.7	<p><b>Supplier request for increase in the Call Off Contract Charges</b> (paragraph 10 of Call Off Schedule 3 (Call Off Contract Charges, Payment and Invoicing)):</p> <p>The Supplier may request for an increase for the option year to all or part of the Call Off Charges. These must be submitted in writing at least three (3) Months before the effective date of the proposed increase.</p> <p>The Authority will review the prices and grant of the increase will be at their sole discretion (<b>Reference RM3795 Framework Agreement Schedule 10</b>).</p>

## 7. LIABILITY AND INSURANCE

7.1	<p><b>Estimated Year 1 Call Off Contract Charges:</b></p> <p>The sum of [REDACTED] ex VAT.</p>
7.2	<p><b>Supplier's limitation of Liability</b> (Clause 36.2.1 of the Call Off Terms); see Page 65</p> <p>The sum equal to one hundred and fifty per cent (150%)” in Clause 36.2.1(b)(i) shall be amended to [REDACTED] ex VAT.</p> <p>The sum equal to one hundred and fifty percent (150%)” in Clause 36.2.1(b)(ii) shall be amended to [REDACTED] ex VAT.</p> <p>[The sum equal to one hundred and fifty percent (150%)” in Clause 36.2.1(b)(iii) shall be amended to [REDACTED] ex VAT.</p>
7.3	<p><b>Insurance</b> (Clause 37.3 of the Call Off Terms):</p> <p>In Clause 37 of the Call Off Terms.</p>

## 8. TERMINATION AND EXIT

8.1	<p><b>Termination on material Default</b> (Clause 41.2.1(c) of the Call Off Terms):</p> <p>In Clause 41.2.1(c) of the Call Off Terms.</p>
8.2	<p><b>Termination without cause notice period</b> (Clause 41.7.1 of the Call Off Terms):</p> <p>In Clause 41.7.1 of the Call Off Terms.</p>
8.3	<p><b>Undisputed Sums Limit:</b></p> <p>In Clause 42.1.1 of the Call Off Terms.</p>
8.4	<p><b>Exit Management:</b></p> <p>In Call Off Schedule 9 (Exit Management). Once a termination date has been agreed,</p>

	the Supplier must supply an Exit Plan within 5 working days.
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## 9. SUPPLIER INFORMATION

<b>9.1</b>	<b>Supplier's inspection of Sites, Customer Property and Customer Assets:</b> Not required.
<b>9.2</b>	<b>Commercially Sensitive Information:</b> See Clause 34.4.8 (Transparency and Freedom of Information) and the definition of Commercially Sensitive Information in Call Off Schedule 1 (Definitions).

## 10. OTHER CALL OFF REQUIREMENTS

<b>10.1</b>	<b>Recitals</b> (in preamble to the Call Off Terms): Recitals B to E Recital C - date of issue of the Statement of Requirements: <b>13<sup>th</sup> November 2017</b> Recital D - date of receipt of Call Off Tender: <b>27<sup>th</sup> November 2017</b>
<b>10.2</b>	<b>Call Off Guarantee (Clause 4 of the Call Off Terms):</b> Not required
<b>10.3</b>	<b>Security:</b> The Security requirement as stated in Schedule 2 – Services, Annex 1 – The Services, Section 17.  The Security Policy applicable is also held within Annex 1 of schedule 7 of this document.
<b>10.4</b>	<b>ICT Policy:</b> The ICT requirement is stated in Schedule 2 – Services, Annex 1 – The Services, Section 17.  The Security Policy applicable is also held within Annex 1 of this document.
<b>10.5</b>	<b>Testing:</b> Not applied.
<b>10.6</b>	<b>Business Continuity &amp; Disaster Recovery:</b> In Call Off Schedule 8 (Business Continuity and Disaster Recovery).  <b>Disaster Period:</b> For the purpose of the definition of “Disaster” in Call Off Schedule 1 (Definitions) the “Disaster Period” shall be agreed at the first implementation meeting with the Authority and Supplier.
<b>10.7</b>	<b>Failure of Supplier Equipment (Clause 32.8 of the call off Terms):</b> Not applied
<b>10.8</b>	<b>Protection of Customer Data</b> (Clause 34.2.3 of the Call Off Terms):
<b>10.9</b>	<b>Notices</b> (Clause 55.6 of the Call Off Terms):

	<p>Customer's postal address and email address:  Health &amp; Wellbeing, Department for Work and Pensions, HR Services, Room 1WF,  Quarry House, Leeds</p> <p>E-mail: <b>[REDACTED]</b></p> <p>Supplier's postal address and email address:  People Asset Management Limited, Holly House, 73 Sankey Street, Warrington, WA1  1SL</p> <p>E-mail:  <b>[REDACTED]</b></p>
<b>10.10</b>	<p><b>Transparency Reports</b></p> <p>In Call Off Schedule 13 (Transparency Reports)</p> <p>The transparency documentation will be agreed by Contracting Authority and Supplier before the contract is published. The contract will be posted within 90 days of contract award.</p>
<b>10.11</b>	<p><b>Alternative and/or additional provisions (including any Alternative and/or Additional Clauses under Call Off Schedule 14):</b></p> <p>Not Applicable.</p>
<b>10.12</b>	<p><b>Call Off Tender:</b></p> <p>In Schedule 15 (Call Off Tender)</p>

**FORMATION OF CALL OFF CONTRACT**

**BY SIGNING AND RETURNING THIS CALL OFF ORDER FORM (which may be done by electronic means) the Supplier agrees to enter a Call Off Contract with the Customer to provide the Goods and/or Services in accordance with the terms Call Off Order Form and the Call Off Terms.**

**The Parties hereby acknowledge and agree that they have read the Call Off Order Form and the Call Off Terms and by signing below agree to be bound by this Call Off Contract.**

**In accordance with paragraph 7 of Framework Schedule 5 (Call Off Procedure), the Parties hereby acknowledge and agree that this Call Off Contract shall be formed when the Customer acknowledges (which may be done by electronic means) the receipt of the signed copy of the Call Off Order Form from the Supplier within two (2) Working Days from such receipt.**

**For and on behalf of the Supplier:**

Name and Title	
Signature	
Date	

**For and on behalf of the Customer:**

Name and Title	<b>[REDACTED], DWP, Head of Corporate Services</b>
Signature	
Date	

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## **PART 2 – CALL OFF TERMS**

### **TERMS AND CONDITIONS**

#### **RECITALS**

- A. Where recital A has been selected in the Call Off Order Form, the Customer has followed the call off procedure set out in paragraph 1.2 of Framework Schedule 5 (Call Off Procedure) and has awarded this Call Off Contract to the Supplier by way of direct award.
- B. Where recitals B to E have been selected in the Call Off Order Form, the Customer has followed the call off procedure set out in paragraph 1.3 of Framework Schedule 5 (Call Off Procedure) and has awarded this Call Off Contract to the Supplier by way of further competition.
- C. The Customer issued its Statement of Requirements for the provision of the Goods and/or Services on the date specified at paragraph 10.1 of the Call Off Order Form.
- D. In response to the Statement of Requirements the Supplier submitted a Call Off Tender to the Customer on the date specified at paragraph 10.1 of the Call Off Order form through which it provided to the Customer its solution for providing the Goods and/or Services.
- E. On the basis of the Call Off Tender, the Customer selected the Supplier to provide the Goods and/or Services to the Customer in accordance with the terms of this Call Off Contract.

#### **A. PRELIMINARIES**

##### **1. DEFINITIONS AND INTERPRETATION**

- 1.1 In this Call Off Contract, unless the context otherwise requires, capitalised expressions shall have the meanings set out in Call Off Schedule 1 (Definitions) or the relevant Call Off Schedule in which that capitalised expression appears.
- 1.2 If a capitalised expression does not have an interpretation in Call Off Schedule 1 (Definitions) or relevant Call Off Schedule, it shall have the meaning given to it in the Framework Agreement. If no meaning is given to it in the Framework Agreement, it shall, in the first instance, be interpreted in accordance with the common interpretation within the relevant market sector/industry where appropriate. Otherwise, it shall be interpreted in accordance with the dictionary meaning.
- 1.3 In this Call Off Contract, unless the context otherwise requires:
  - 1.3.1 the singular includes the plural and vice versa;
  - 1.3.2 reference to a gender includes the other gender and the neuter;
  - 1.3.3 references to a person include an individual, company, body corporate, corporation, unincorporated association, firm, partnership or other legal entity or Crown Body;
  - 1.3.4 a reference to any Law includes a reference to that Law as amended, extended, consolidated or re-enacted from time to time;

- 1.3.5 the words "**including**", "**other**", "**in particular**", "**for example**" and similar words shall not limit the generality of the preceding words and shall be construed as if they were immediately followed by the words "**without limitation**";
- 1.3.6 references to "**writing**" include typing, printing, lithography, photography, display on a screen, electronic and facsimile transmission and other modes of representing or reproducing words in a visible form, and expressions referring to writing shall be construed accordingly;
- 1.3.7 references to "**representations**" shall be construed as references to present facts, to "**warranties**" as references to present and future facts and to "**undertakings**" as references to obligations under this Call Off Contract;
- 1.3.8 references to "**Clauses**" and "**Call Off Schedules**" are, unless otherwise provided, references to the clauses and schedules of this Call Off Contract and references in any Call Off Schedule to parts, paragraphs, annexes and tables are, unless otherwise provided, references to the parts, paragraphs, annexes and tables of the Call Off Schedule in which these references appear; and
- 1.3.9 the headings in this Call Off Contract are for ease of reference only and shall not affect the interpretation or construction of this Call Off Contract.
- 1.4 Subject to Clauses 1.5 and 1.6 (Definitions and Interpretation), in the event of and only to the extent of any conflict between the Call Off Order Form, the Call Off Terms and the provisions of the Framework Agreement, the conflict shall be resolved in accordance with the following order of precedence:
- 1.4.1 the Framework Agreement, except Framework Schedule 21 (Tender);
- 1.4.2 the Call Off Order Form;
- 1.4.3 the Call Off Terms, except Call Off Schedule 15 (Call Off Tender);
- 1.4.4 Call Off Schedule 15 (Call Off Tender); and
- 1.4.5 Framework Schedule 21 (Tender).
- 1.5 Any permitted changes by the Customer to the Template Call Off Terms and the Template Call Off Order Form under Clause 5 (Call Off Procedure) of the Framework Agreement and Framework Schedule 5 (Call Off Procedure) prior to them becoming the Call Off Terms and the Call Off Order Form which comprise this Call Off Contract shall prevail over the Framework Agreement.
- 1.6 Where Call Off Schedule 15 (Call Off Tender) or Framework Schedule 21 (Tender) contain provisions which are more favourable to the Customer in relation to (the rest of) this Call Off Contract, such provisions of the Call Off Tender or the Tender shall prevail. The Customer shall in its absolute and sole discretion determine whether any provision in the Call Off Tender or Tender is more favourable to it in this context.

## **2. DUE DILIGENCE**

- 2.1 The Supplier acknowledges that:
- 2.1.1 the Customer has delivered or made available to the Supplier all of the information and documents that the Supplier considers necessary or relevant for the performance of its obligations under this Call Off Contract;
- 2.1.2 it has made its own enquiries to satisfy itself as to the accuracy and adequacy of the Due Diligence Information;

- 2.1.3 it has raised all relevant due diligence questions with the Customer before the Call Off Commencement Date;
- 2.1.4 it has undertaken all necessary due diligence and has entered into this Call Off Contract in reliance on its own due diligence alone; and
- 2.1.5 it shall not be excused from the performance of any of its obligations under this Call Off Contract on the grounds of, nor shall the Supplier be entitled to recover any additional costs or charges, arising as a result of any:
  - (a) misinterpretation of the requirements of the Customer in the Call Off Order Form or elsewhere in this Call Off Contract;
  - (b) failure by the Supplier to satisfy itself as to the accuracy and/or adequacy of the Due Diligence Information; and/or
  - (c) failure by the Supplier to undertake its own due diligence.

### **3. REPRESENTATIONS AND WARRANTIES**

3.1 Each Party represents and warrants that:

- 3.1.1 it has full capacity and authority to enter into and to perform this Call Off Contract;
- 3.1.2 this Call Off Contract is executed by its duly authorised representative;
- 3.1.3 there are no actions, suits or proceedings or regulatory investigations before any court or administrative body or arbitration tribunal pending or, to its knowledge, threatened against it (or, in the case of the Supplier, any of its Affiliates) that might affect its ability to perform its obligations under this Call Off Contract; and
- 3.1.4 its obligations under this Call Off Contract constitute its legal, valid and binding obligations, enforceable in accordance with their respective terms subject to applicable (as the case may be for each Party) bankruptcy, reorganisation, insolvency, moratorium or similar Laws affecting creditors' rights generally and subject, as to enforceability, to equitable principles of general application (regardless of whether enforcement is sought in a proceeding in equity or Law).

3.2 The Supplier represents and warrants that:

- 3.2.1 it is validly incorporated, organised and subsisting in accordance with the Laws of its place of incorporation;
- 3.2.2 it has all necessary consents (including, where its procedures so require, the consent of its Parent Company) and regulatory approvals to enter into this Call Off Contract;
- 3.2.3 its execution, delivery and performance of its obligations under this Call Off Contract does not and will not constitute a breach of any Law or obligation applicable to it and does not and will not cause or result in a Default under any agreement by which it is bound;
- 3.2.4 as at the Call Off Commencement Date, all written statements and representations in any written submissions made by the Supplier as part of the procurement process, its Tender, Call Off Tender and any other documents submitted remain true and accurate except to the extent that such statements and representations have been superseded or varied by this Call Off Contract;
- 3.2.5 if the Call Off Contract Charges payable under this Call Off Contract exceed or are likely to exceed five (5) million pounds, as at the Call Off Commencement Date it

has notified the Customer in writing of any Occasions of Tax Non-Compliance or any litigation that it is involved in connection with any Occasions of Tax Non Compliance;

3.2.6 it has and shall continue to have all necessary rights in and to the Third Party IPR, the Supplier Background IPRs and any other materials made available by the Supplier (and/or any Sub-Contractor) to the Customer which are necessary for the performance of the Supplier's obligations under this Call Off Contract including the receipt of the Goods and/or Services by the Customer;

3.2.7 it shall take all steps, in accordance with Good Industry Practice, to prevent the introduction, creation or propagation of any disruptive elements (including any virus, worms and/or Trojans, spyware or other malware) into systems, data, software or the Customer's Confidential Information (held in electronic form) owned by or under the control of, or used by, the Customer;

3.2.8 it is not subject to any contractual obligation, compliance with which is likely to have a material adverse effect on its ability to perform its obligations under this Call Off Contract;

3.2.9 it is not affected by an Insolvency Event and no proceedings or other steps have been taken and not discharged (nor, to the best of its knowledge, are threatened) for the winding up of the Supplier or for its dissolution or for the appointment of a receiver, administrative receiver, liquidator, manager, administrator or similar officer in relation to any of the Supplier's assets or revenue; and

3.2.10 for the Call Off Contract Period and for a period of twelve (12) months after the termination or expiry of this Call Off Contract, the Supplier shall not employ or offer employment to any staff of the Customer which have been associated with the provision of the Goods and/or Services without Approval or the prior written consent of the Customer which shall not be unreasonably withheld.

3.3 Each of the representations and warranties set out in Clauses 3.1 and 3.2 shall be construed as a separate representation and warranty and shall not be limited or restricted by reference to, or inference from, the terms of any other representation, warranty or any undertaking in this Call Off Contract.

3.4 If at any time a Party becomes aware that a representation or warranty given by it under Clauses 3.1 and 3.2 has been breached, is untrue or is misleading, it shall immediately notify the other Party of the relevant occurrence in sufficient detail to enable the other Party to make an accurate assessment of the situation.

3.5 For the avoidance of doubt, the fact that any provision within this Call Off Contract is expressed as a warranty shall not preclude any right of termination the Customer may have in respect of breach of that provision by the Supplier which constitutes a material Default.

#### **4. CALL OFF GUARANTEE**

4.1 Where the Customer has stipulated in the Call Off Order Form that this Call Off Contract shall be conditional upon receipt of a Call Off Guarantee, then, on or prior to the Call Off Commencement Date or on any other date specified by the Customer, the Supplier shall deliver to the Customer:

4.1.1 an executed Call Off Guarantee from a Call Off Guarantor; and

4.1.2 a certified copy extract of the board minutes and/or resolution of the Call Off Guarantor approving the execution of the Call Off Guarantee.

4.2 The Customer may in its sole discretion at any time agree to waive compliance with the requirement in Clause 4.1 by giving the Supplier notice in writing.

## **B. DURATION OF CALL OFF CONTRACT**

### **5. CALL OFF CONTRACT PERIOD**

5.1 This Call Off Contract shall take effect on the Call Off Commencement Date and the term of this Call Off Contract shall be the Call Off Contract Period.

5.2 Where the Customer has specified a Call Off Extension Period in the Call Off Order Form, the Customer may extend this Call Off Contract for the Call Off Extension Period by providing written notice to the Supplier before the end of the Initial Call Off Period. The minimum period for the written notice shall be as specified in the Call Off Order Form.

## **C. CALL OFF CONTRACT PERFORMANCE**

### **6. IMPLEMENTATION PLAN**

#### **6.1 Formation of Implementation Plan**

6.1.1 Where an Implementation Plan has not been agreed and included in Call Off Schedule 4 (Implementation Plan) on the Call Off Commencement Date, but the Customer has specified in the Call Off Order Form that the Supplier shall provide a draft Implementation Plan prior to the commencement of the provision of the Goods and/or Services, the Supplier's draft must contain information at the level of detail necessary to manage the implementation stage effectively and as the Customer may require. The draft Implementation Plan shall take account of all dependencies known to, or which should reasonably be known to, the Supplier.

6.1.2 The Supplier shall submit the draft Implementation Plan to the Customer for Approval (such decision of the Customer to Approve or not shall not be unreasonably delayed or withheld) within such period as specified by the Customer in the Call Off Order Form.

6.1.3 The Supplier shall perform each of the Deliverables identified in the Implementation Plan by the applicable date assigned to that Deliverable in the Implementation Plan so as to ensure that each Milestone identified in the Implementation Plan is Achieved on or before its Milestone Date.

6.1.4 The Supplier shall monitor its performance against the Implementation Plan and Milestones (if any) and any other requirements of the Customer as set out in this Call Off Contract and report to the Customer on such performance.

#### **6.2 Control of Implementation Plan**

6.2.1 Subject to Clause 6.2.2, the Supplier shall keep the Implementation Plan under review in accordance with the Customer's instructions and ensure that it is maintained and updated on a regular basis as may be necessary to reflect the then current state of the provision of the Goods and/or Services. The Customer shall have the right to require the Supplier to include any reasonable changes or provisions in each version of the Implementation Plan.

6.2.2 Changes to the Milestones (if any), Milestone Payments (if any) and Delay Payments (if any) shall only be made in accordance with the Variation Procedure and provided that the Supplier shall not attempt to postpone any of the Milestones using the Variation Procedure or otherwise (except in the event of a Customer Cause which affects the Supplier's ability to achieve a Milestone by the relevant Milestone Date).

6.2.3 Where so specified by the Customer in the Implementation Plan or elsewhere in this Call Off Contract, time in relation to compliance with a date, Milestone Date or

period shall be of the essence and failure of the Supplier to comply with such date, Milestone Date or period shall be a material Default unless the Parties expressly agree otherwise.

### 6.3 Rectification of Delay in Implementation

6.3.1 If the Supplier becomes aware that there is, or there is reasonably likely to be, a Delay under this Call Off Contract:

- (a) it shall:
  - (i) notify the Customer as soon as practically possible and no later than within two (2) Working Days from becoming aware of the Delay or anticipated Delay;
  - (ii) include in its notification an explanation of the actual or anticipated impact of the Delay;
  - (iii) comply with the Customer's instructions in order to address the impact of the Delay or anticipated Delay; and
  - (iv) use all reasonable endeavours to eliminate or mitigate the consequences of any Delay or anticipated Delay; and
- (b) if the Delay or anticipated Delay relates to a Milestone in respect which a Delay Payment has been specified in the Implementation Plan, Clause 6.4 (Delay Payments) shall apply.

### 6.4 Delay Payments

6.4.1 If Delay Payments have been included in the Implementation Plan and a Milestone has not been achieved by the relevant Milestone Date, the Supplier shall pay to the Customer such Delay Payments (calculated as set out by the Customer in the Implementation Plan) and the following provisions shall apply:

- (a) the Supplier acknowledges and agrees that any Delay Payment is a price adjustment and not an estimate of the Loss that may be suffered by the Customer as a result of the Supplier's failure to Achieve the corresponding Milestone;
- (b) Delay Payments shall be the Customer's exclusive financial remedy for the Supplier's failure to Achieve a corresponding Milestone by its Milestone Date except where:
  - (i) the Customer is otherwise entitled to or does terminate this Call Off Contract pursuant to Clause 41 (Customer Termination Rights) except Clause 41.7 (Termination Without Cause); or
  - (ii) the delay exceeds the number of days (the "**Delay Period Limit**") specified in Call Off Schedule 4 (Implementation Plan) for the purposes of this sub-Clause, commencing on the relevant Milestone Date;
- (c) the Delay Payments will accrue on a daily basis from the relevant Milestone Date and shall continue to accrue until the date when the Milestone is Achieved (unless otherwise specified by the Customer in the Implementation Plan);
- (d) no payment or concession to the Supplier by the Customer or other act or omission of the Customer shall in any way affect the rights of the Customer to recover the Delay Payments or be deemed to be a waiver of the right of the Customer to recover

any such damages unless such waiver complies with Clause 48 (Waiver and Cumulative Remedies) and refers specifically to a waiver of the Customer's rights to claim Delay Payments; and

- (e) the Supplier waives absolutely any entitlement to challenge the enforceability in whole or in part of this Clause 6.4.1 and Delay Payments shall not be subject to or count towards any limitation on liability set out in Clause 36 (Liability).

## **7. GOODS AND/ OR SERVICES**

### **7.1 Provision of the Goods and/or Services**

7.1.1 The Supplier acknowledges and agrees that the Customer relies on the skill and judgment of the Supplier in the provision of the Goods and/or Services and the performance of its obligations under this Call Off Contract.

7.1.2 The Supplier shall ensure that the Goods and/or Services:

- (a) comply in all respects with the description of the Goods and/or Services in Call Off Schedule 2 (Goods and/or Services) or elsewhere in this Call Off Contract; and
- (b) are supplied in accordance with the provisions of this Call Off Contract (including the Call Off Tender) and the Tender.

7.1.3 The Supplier shall perform its obligations under this Call Off Contract in accordance with:

- (a) all applicable Law;
- (b) Good Industry Practice;
- (c) the Standards;
- (d) the Security Policy;
- (e) the ICT Policy (if so required by the Customer); and
- (f) the Supplier's own established procedures and practices to the extent the same do not conflict with the requirements of Clauses 7.1.3(a) to 7.1.3(e).

7.1.4 The Supplier shall:

- (a) at all times allocate sufficient resources with the appropriate technical expertise to supply the Deliverables and to provide the Goods and/or Services in accordance with this Call Off Contract;
- (b) subject to Clause 22.1 (Variation Procedure), obtain, and maintain throughout the duration of this Call Off Contract, all the consents, approvals, licences and permissions (statutory, regulatory contractual or otherwise) it may require and which are necessary for the provision of the Goods and/or Services;
- (c) ensure that any goods and/or services recommended or otherwise specified by the Supplier for use by the Customer in conjunction with the Deliverables and/or the Goods and/or Services shall enable the Deliverables and/or the Goods and/or the Services to meet the requirements of the Customer;

- (d) ensure that the Supplier Assets will be free of all encumbrances (except as agreed in writing with the Customer);
- (e) ensure that the Goods and/or Services are fully compatible with any Customer Property or Customer Assets described in Call Off Schedule 4 (Implementation Plan) (or elsewhere in this Call Off Contract) or otherwise used by the Supplier in connection with this Call Off Contract;
- (f) minimise any disruption to the Sites and/or the Customer's operations when providing the Goods and/or Services;
- (g) ensure that any Documentation and training provided by the Supplier to the Customer are comprehensive, accurate and prepared in accordance with Good Industry Practice;
- (h) co-operate with the Other Suppliers and provide reasonable information (including any Documentation), advice and assistance in connection with the Goods and/or Services to any Other Supplier and, on the Call Off Expiry Date for any reason, to enable the timely transition of the supply of the Goods and/or Services (or any of them) to the Customer and/or to any Replacement Supplier;
- (i) assign to the Customer, or if it is unable to do so, shall (to the extent it is legally able to do so) hold on trust for the sole benefit of the Customer, all warranties and indemnities provided by third parties or any Sub-Contractor in respect of any Deliverables and/or the Goods and/or Services. Where any such warranties are held on trust, the Supplier shall enforce such warranties in accordance with any reasonable directions that the Customer may notify from time to time to the Supplier;
- (j) provide the Customer with such assistance as the Customer may reasonably require during the Call Off Contract Period in respect of the supply of the Goods and/or Services;
- (k) deliver the Goods and/or Services in a proportionate and efficient manner;
- (l) ensure that neither it, nor any of its Affiliates, embarrasses the Customer or otherwise brings the Customer into disrepute by engaging in any act or omission which is reasonably likely to diminish the trust that the public places in the Customer, regardless of whether or not such act or omission is related to the Supplier's obligations under this Call Off Contract; and
- (m) gather, collate and provide such information and co-operation as the Customer may reasonably request for the purposes of ascertaining the Supplier's compliance with its obligations under this Call Off Contract.

7.1.5 An obligation on the Supplier to do, or to refrain from doing, any act or thing shall include an obligation upon the Supplier to procure that all Sub-Contractors and Supplier Personnel also do, or refrain from doing, such act or thing.

## **8. SERVICES**

### **8.1 General application**

8.1.1 This Clause 8 shall apply if any Services have been included in Annex 1 of Call Off Schedule 2 (Goods and/or Services).

## **8.2 Time of Delivery of the Services**

8.2.1 The Supplier shall provide the Services on the date(s) specified in the Call Off Order Form (or elsewhere in this Call Off Contract) and the Milestone Dates (if any).

## **8.3 Location and Manner of Delivery of the Services**

8.3.1 Except where otherwise provided in this Call Off Contract, the Supplier shall provide the Services to the Customer through the Supplier Personnel at the Sites.

8.3.2 The Customer may inspect and examine the manner in which the Supplier provides the Services at the Sites and, if the Sites are not the Customer Premises, the Customer may carry out such inspection and examination during normal business hours and on reasonable notice.

## **8.4 Undelivered Services**

8.4.1 In the event that any of the Services are not Delivered in accordance with Clauses 7.1 (Provision of the Goods and/or Services), 8.2 (Time of Delivery of the Services) and 8.3 (Location and Manner of Delivery of the Services) ("**Undelivered Services**"), the Customer, without prejudice to any other rights and remedies of the Customer howsoever arising, shall be entitled to withhold payment of the applicable Call Off Contract Charges for the Services that were not so Delivered until such time as the Undelivered Services are Delivered.

8.4.2 The Customer may, at its discretion and without prejudice to any other rights and remedies of the Customer howsoever arising, deem the failure to comply with Clauses 7.1, (Provision of the Goods and/or Services), 8.2 (Time of Delivery of the Services) and 8.3 (Location and Manner of Delivery of the Services) and meet the relevant Milestone Date (if any) to be a material Default.

## **8.5 Obligation to Remedy of Default in the Supply of the Services**

8.5.1 Subject to Clauses 33.9.2 and 33.9.3 (IPR Indemnity) and without prejudice to any other rights and remedies of the Customer howsoever arising (including under Clauses 8.4.2 (Undelivered Services) and 38 (Customer Remedies for Default)), the Supplier shall, where practicable:

- (a) remedy any breach of its obligations in Clauses 7 and 8 within three (3) Working Days of becoming aware of the relevant Default or being notified of the Default by the Customer or within such other time period as may be agreed with the Customer (taking into account the nature of the breach that has occurred); and
- (b) meet all the costs of, and incidental to, the performance of such remedial work.

## **8.6 Continuing Obligation to Provide the Services**

8.6.1 The Supplier shall continue to perform all of its obligations under this Call Off Contract and shall not suspend the provision of the Services, notwithstanding:

- (a) any withholding or deduction by the Customer of any sum due to the Supplier pursuant to the exercise of a right of the Customer to such withholding or deduction under this Call Off Contract;
- (b) the existence of an unresolved Dispute; and/or

- (c) any failure by the Customer to pay any Call Off Contract Charges,

unless the Supplier is entitled to terminate this Call Off Contract under Clause 42.1 (Termination on Customer Cause for Failure to Pay) for failure by the Customer to pay undisputed Call Off Contract Charges.

## 9. GOODS

### 9.1 General application

- 9.1.1 This Clause 9 shall apply if any Goods have been included in Annex 2 of Call Off Schedule 2 (Goods and/or Services).

### 9.2 Time of Delivery of the Goods

- 9.2.1 The Supplier shall provide the Goods on the date(s) specified in the Call Off Order Form (or elsewhere in this Call Off Contract) and the Milestone Dates (if any).
- 9.2.2 Subject to Clause 9.2.3 (Time of Delivery of the Goods), where the Goods are delivered by the Supplier, the point of delivery shall be when the Goods are removed from the transporting vehicle and transferred at the Sites. Where the Goods are collected by the Customer, the point of delivery shall be when the Goods are loaded on the Customer's vehicle.
- 9.2.3 Where the Customer has specified any Installation Works in the Call Off Order Form, Delivery shall include installation of the Goods by the Supplier Personnel at the Sites (or at such place as the Customer may reasonably direct) in accordance with Clause 10 (Installation Works) and the Call Off Order Form.

### 9.3 Location and Manner of Delivery of the Goods

- 9.3.1 Except where otherwise provided in this Call Off Contract, the Supplier shall deliver the Goods to the Customer through the Supplier Personnel at the Sites.
- 9.3.2 If requested by the Customer prior to Delivery, the Supplier shall provide the Customer with a sample or samples of Goods for evaluation and Approval, at the Supplier's cost and expense.
- 9.3.3 The Goods shall be marked, stored, handled and delivered in a proper manner and in accordance the Customer's instructions as set out in the Call Off Order Form (or elsewhere in this Call Off Contract), Good Industry Practice, any applicable Standards and any Law. In particular, the Goods shall be marked with the Order number and the net, gross and tare weights, the name of the contents shall be clearly marked on each container and all containers of hazardous Goods (and all documents relating thereto) shall bear prominent and adequate warnings.
- 9.3.4 On dispatch of any consignment of the Goods the Supplier shall send the Customer an advice note specifying the means of transport, the place and date of dispatch, the number of packages, their weight and volume together with the all other relevant documentation and information required to be provided under any Laws.
- 9.3.5 The Customer may inspect and examine the manner in which the Supplier supplies the Goods at the Sites and, if the Sites are not the Customer Premises, the Customer may carry out such inspection and examination during normal business hours and on reasonable notice.

### 9.4 Undelivered Goods

- 9.4.1 In the event that not all of the Goods are Delivered in accordance with Clauses 7.1 (Provision of the Goods and/or Services), 9.2 (Time of Delivery of the Goods) and 9.3 (Location and Manner of Delivery of the Goods) ("**Undelivered Goods**"), the

Customer, without prejudice to any other rights and remedies of the Customer howsoever arising, shall be entitled to withhold payment of the applicable Call Off Contract Charges for the Goods that were not so Delivered until such time as the Undelivered Goods are Delivered.

- 9.4.2 The Customer, at its discretion and without prejudice to any other rights and remedies of the Customer howsoever arising deem the failure to comply with Clauses 7.1 (Provision of the Goods and/or Services), 9.2 (Time of Delivery of the Goods) and 9.3 (Location and Manner of Delivery of the Goods) and meet the relevant Milestone Date (if any) to be a material Default.

#### 9.5 Over-Delivered Goods

- 9.5.1 The Customer shall be under no obligation to accept or pay for any Goods delivered in excess of the quantity specified in the Call Off Order Form (or elsewhere in this Call Off Contract) ("**Over-Delivered Goods**").

- 9.5.2 If the Customer elects not to accept such Over-Delivered Goods it may, without prejudice to any other rights and remedies of the Customer howsoever arising, give notice in writing to the Supplier to remove them within five (5) Working Days and to refund to the Customer any expenses incurred by the Customer as a result of such Over-Delivered Goods (including but not limited to the costs of moving and storing the Over-Delivered Goods).

- 9.5.3 If the Supplier fails to comply with the Customer's notice under Clause 9.5.2, the Customer may dispose of such Over-Delivered Goods and charge the Supplier for the costs of such disposal. The risk in any Over-Delivered Goods shall remain with the Supplier.

#### 9.6 Delivery of the Goods by Instalments

- 9.6.1 Unless expressly agreed to the contrary, the Customer shall not be obliged to accept delivery of the Goods by instalments. If, however, the Customer does specify or agree to delivery by instalments, delivery of any instalment later than the date specified or agreed for its Delivery shall, without prejudice to any other rights or remedies of the Customer howsoever arising, entitle the Customer to terminate the whole or any unfulfilled part of this Call Off Contract for material Default without further liability to the Customer.

#### 9.7 Risk and Ownership in Relation to the Goods

- 9.7.1 Without prejudice to any other rights or remedies of the Customer howsoever arising:

- (a) risk in the Goods shall pass to the Customer at the time of Delivery; and
- (b) ownership of to the Goods shall pass to the Customer on the earlier of Delivery of the Goods or payment by the Customer of the Call Off Contract Charges;

#### 9.8 Responsibility for Damage to or Loss of the Goods

- 9.8.1 Without prejudice to the Supplier's other obligations to provide the Goods in accordance with this Call Off Contract, the Supplier accepts responsibility for all damage to or loss of the Goods if the:

- (a) same is notified in writing to the Supplier within three (3) Working Days of receipt and inspection of the Goods by the Customer; and

- (b) Goods have been handled by the Customer in accordance with the Supplier's instructions.

9.8.2 Where the Supplier accepts responsibility under Clause 9.8.1, it shall, at its sole option, replace or repair the Goods (or part thereof) within such time as is reasonable having regard to the circumstances and as agreed with the Customer.

#### 9.9 Warranty of the Goods

9.9.1 The Supplier hereby guarantees the Goods for the Warranty Period against faulty materials and workmanship.

9.9.2 If the Customer shall within such Warranty Period or within twenty five (25) Working Days thereafter give notice in writing to the Supplier of any defect in any of the Goods as may have arisen during such Warranty Period under proper and normal use, the Supplier shall (without prejudice to any other rights and remedies of the Customer howsoever arising) promptly remedy such faults or defects (whether by repair or replacement as the Customer shall elect) free of charge.

#### 9.10 Obligation to Remedy Default in the Supply of the Goods

9.10.1 Subject to Clauses 33.9.2 and 33.9.3 (IPR Indemnity) and without prejudice to any other rights and remedies of the Customer howsoever arising (including under Clauses 9.4.2 (Undelivered Goods) and 38 (Customer Remedies for Default)), the Supplier shall, where practicable:

- (a) remedy any breach of its obligations in this Clause 9 within three (3) Working Days of becoming aware of the relevant Default or being notified of the Default by the Customer or within such other time period as may be agreed with the Customer (taking into account the nature of the breach that has occurred); and
- (b) meet all the costs of, and incidental to, the performance of such remedial work.

#### 9.11 Continuing Obligation to Provide the Goods

9.11.1 The Supplier shall continue to perform all of its obligations under this Call Off Contract and shall not suspend the provision of the Goods, notwithstanding:

- (a) any withholding or deduction by the Customer of any sum due to the Supplier pursuant to the exercise of a right of the Customer to such withholding or deduction under this Call Off Contract;
- (b) the existence of an unresolved Dispute; and/or
- (c) any failure by the Customer to pay any Call Off Contract Charges,

unless the Supplier is entitled to terminate this Call Off Contract under Clause 42.1 (Termination on Customer Cause for Failure to Pay) for failure to pay undisputed Call Off Contract Charges.

## 10. INSTALLATION WORKS

10.1 This Clause 10 shall apply if any Goods have been included in Annex 2 of Call Off Schedule 2 (Goods and/or Services) and the Customer has specified Installation Works in the Call Off Order Form.

10.2 Where the Supplier reasonably believes it has completed the Installation Works it shall notify the Customer in writing. Following receipt of such notice, the Customer shall inspect the Installation Works and shall, by giving written notice to the Supplier:

10.2.1 accept the Installation Works, or

10.2.2 reject the Installation Works and provide reasons to the Supplier if, in the Customer's reasonable opinion, the Installation Works do not meet the requirements set out in the Call Off Order Form (or elsewhere in this Call Off Contract).

10.3 If the Customer rejects the Installation Works in accordance with Clause 10.2, the Supplier shall immediately rectify or remedy any defects and if, in the Customer's reasonable opinion, the Installation Works do not, within five (5) Working Days of such rectification or remedy, meet the requirements set out in the Call Off Order Form (or elsewhere in this Call Off Contract), the Customer may terminate this Call Off Contract for material Default.

10.4 The Installation Works shall be deemed to be completed when the Supplier receives a notice issued by the Customer in accordance with Clause 10.2. Notwithstanding the acceptance of any Installation Works in accordance with Clause 10.2 (Installation Works), the Supplier shall remain solely responsible for ensuring that the Goods and the Installation Works conform to the specification in the Call Off Order Form (or elsewhere in this Call Off Contract). No rights of estoppel or waiver shall arise as a result of the acceptance by the Customer of the Installation Works.

10.5 Throughout the Call Off Contract Period, the Supplier shall have at all times all licences, approvals and consents necessary to enable the Supplier and the Supplier Personnel to carry out the Installation Works.

## **11. STANDARDS AND QUALITY**

11.1 The Supplier shall at all times during the Call Off Contract Period comply with the Standards and maintain, where applicable, accreditation with the relevant Standards' authorisation body.

11.2 Throughout the Call Off Contract Period, the Parties shall notify each other of any new or emergent standards which could affect the Supplier's provision, or the receipt by the Customer, of the Goods and/or Services. The adoption of any such new or emergent standard, or changes to existing Standards (including any specified in the Call Off Order Form), shall be agreed in accordance with the Variation Procedure.

11.3 Where a new or emergent standard is to be developed or introduced by the Customer, the Supplier shall be responsible for ensuring that the potential impact on the Supplier's provision, or the Customer's receipt of the Goods and/or Services is explained to the Customer (within a reasonable timeframe), prior to the implementation of the new or emergent Standard.

11.4 Where Standards referenced conflict with each other or with best professional or industry practice adopted after the Call Off Commencement Date, then the later Standard or best practice shall be adopted by the Supplier. Any such alteration to any Standard or Standards shall require Approval (and the written consent of the Customer where the relevant Standard or Standards is/are included in Framework Schedule 2 (Goods and/or Services and Key Performance Indicators) and shall be implemented within an agreed timescale.

11.5 Where a standard, policy or document is referred to by reference to a hyperlink, then if the hyperlink is changed or no longer provides access to the relevant standard, policy or document, the Supplier shall notify the Customer and the Parties shall agree the impact of such change.

## **12. TESTING**

12.1 This Clause 12 shall apply if so specified by the Customer in the Call Off Order Form.

12.2 The Parties shall comply with any provisions set out in Call Off Schedule 5 (Testing).

## **13. SERVICE LEVELS AND SERVICE CREDITS**

13.1 This Clause 13 shall apply where the Customer has specified Service Levels and Service Credits in the Call Off Order Form. Where the Customer has specified Service Levels but not Service Credits, only sub-clauses 13.2, 13.3 and 13.7 shall apply.

13.2 When this Clause 13.2 applies, the Parties shall also comply with the provisions of Part A (Service Levels and Service Credits) of Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring).

13.3 The Supplier shall at all times during the Call Off Contract Period provide the Goods and/or Services to meet or exceed the Service Level Performance Measure for each Service Level Performance Criterion.

13.4 The Supplier acknowledges that any Service Level Failure may have a material adverse impact on the business and operations of the Customer and that it shall entitle the Customer to the rights set out in Part A of Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring) including the right to any Service Credits.

13.5 The Supplier acknowledges and agrees that any Service Credit is a price adjustment and not an estimate of the Loss that may be suffered by the Customer as a result of the Supplier's failure to meet any Service Level Performance Measure.

13.6 A Service Credit shall be the Customer's exclusive financial remedy for a Service Level Failure except where:

13.6.1 the Supplier has over the previous (twelve) 12 Month period accrued Service Credits in excess of the Service Credit Cap;

13.6.2 the Service Level Failure:

- (a) exceeds the relevant Service Level Threshold;
- (b) has arisen due to a Prohibited Act or wilful Default by the Supplier or any Supplier Personnel; and
- (c) results in:
  - (i) the corruption or loss of any Customer Data (in which case the remedies under Clause 34.2.8 (Protection of Customer Data) shall also be available); and/or
  - (ii) the Customer being required to make a compensation payment to one or more third parties; and/or

13.6.3 the Customer is otherwise entitled to or does terminate this Call Off Contract pursuant to Clause 41 (Customer Termination Rights) except Clause 41.7 (Termination Without Cause).

13.7 Not more than once in each Call Off Contract Year, the Customer may, on giving the Supplier at least three (3) Months' notice, change the weighting of Service Level Performance Measure in respect of one or more Service Level Performance Criteria and the Supplier shall not be entitled to object to, or increase the Call Off Contract Charges as a result of such changes, provided that:

13.7.1 the total number of Service Level Performance Criteria for which the weighting is to be changed does not exceed the number set out, for the purposes of this clause, in the Call Off Order Form;

13.7.2 the principal purpose of the change is to reflect changes in the Customer's business requirements and/or priorities or to reflect changing industry standards; and

13.7.3 there is no change to the Service Credit Cap.

#### **14. CRITICAL SERVICE LEVEL FAILURE**

14.1 This Clause 14 shall apply if the Customer has specified both Service Credits and Critical Service Level Failure in the Call Off Order Form.

14.2 On the occurrence of a Critical Service Level Failure:

14.2.1 any Service Credits that would otherwise have accrued during the relevant Service Period shall not accrue; and

14.2.2 the Customer shall (subject to the Service Credit Cap set out in Clause 36.2.1(a) (Financial Limits)) be entitled to withhold and retain as compensation for the Critical Service Level Failure a sum equal to any Call Off Contract Charges which would otherwise have been due to the Supplier in respect of that Service Period ("**Compensation for Critical Service Level Failure**"),

provided that the operation of this Clause 14.2 shall be without prejudice to the right of the Customer to terminate this Call Off Contract and/or to claim damages from the Supplier for material Default as a result of such Critical Service Level Failure.

14.3 The Supplier:

14.3.1 agrees that the application of Clause 14.2 is commercially justifiable where a Critical Service Level Failure occurs; and

14.3.2 acknowledges that it has taken legal advice on the application of Clause 14.2 and has had the opportunity to price for that risk when calculating the Call Off Contract Charges.

#### **15. BUSINESS CONTINUITY AND DISASTER RECOVERY**

15.1 This Clause 15 shall apply if the Customer has so specified in the Call Off Order Form.

15.2 The Parties shall comply with the provisions of Call Off Schedule 8 (Business Continuity and Disaster Recovery).

#### **16. DISRUPTION**

16.1 The Supplier shall take reasonable care to ensure that in the performance of its obligations under this Call Off Contract it does not disrupt the operations of the Customer, its employees or any other contractor employed by the Customer.

16.2 The Supplier shall immediately inform the Customer of any actual or potential industrial action, whether such action be by the Supplier Personnel or others, which affects or might affect the Supplier's ability at any time to perform its obligations under this Call Off Contract.

16.3 In the event of industrial action by the Supplier Personnel, the Supplier shall seek Approval to its proposals for the continuance of the supply of the Goods and/or Services in accordance with its obligations under this Call Off Contract.

16.4 If the Supplier's proposals referred to in Clause 16.3 are considered insufficient or unacceptable by the Customer acting reasonably then the Customer may terminate this Call Off Contract for material Default.

16.5 If the Supplier is temporarily unable to fulfil the requirements of this Call Off Contract owing to disruption of normal business solely due to a Customer Cause, then subject to Clause 17 (Supplier Notification of Customer Cause), an appropriate allowance by way of an extension of time will be Approved by the Customer. In addition, the Customer will reimburse any additional expense reasonably incurred by the Supplier as a direct result of such disruption.

## **17. SUPPLIER NOTIFICATION OF CUSTOMER CAUSE**

17.1 Without prejudice to any other obligations of the Supplier in this Call Off Contract to notify the Customer in respect of a specific Customer Cause (including the notice requirements under Clause 42.1.1 (Termination on Customer Cause for Failure to Pay)), the Supplier shall:

17.1.1 notify the Customer as soon as reasonably practicable ((and in any event within two (2) Working Days of the Supplier becoming aware)) that a Customer Cause has occurred or is reasonably likely to occur, giving details of:

- (a) the Customer Cause and its effect, or likely effect, on the Supplier's ability to meet its obligations under this Call Off Contract; and
- (b) any steps which the Customer can take to eliminate or mitigate the consequences and impact of such Customer Cause; and
- (c) use all reasonable endeavours to eliminate or mitigate the consequences and impact of a Customer Cause, including any Losses that the Supplier may incur and the duration and consequences of any Delay or anticipated Delay.

## **18. CONTINUOUS IMPROVEMENT**

18.1 The Supplier shall have an ongoing obligation throughout the Call Off Contract Period to identify new or potential improvements to the provision of the Goods and/or Services in accordance with this Clause 18 with a view to reducing the Customer's costs (including the Call Off Contract Charges) and/or improving the quality and efficiency of the Goods and/or Services and their supply to the Customer. As part of this obligation the Supplier shall identify and report to the Customer once every twelve (12) months:

18.1.1 the emergence of new and evolving relevant technologies which could improve the Sites and/or the provision of the Goods and/or Services, and those technological advances potentially available to the Supplier and the Customer which the Parties may wish to adopt;

- 18.1.2 new or potential improvements to the provision of the Goods and/or Services including the quality, responsiveness, procedures, benchmarking methods, likely performance mechanisms and customer support goods and/or services in relation to the Goods and/or Services;
  - 18.1.3 changes in business processes and ways of working that would enable the Goods and/or Services to be provided at lower costs and/or at greater benefits to the Customer; and/or
  - 18.1.4 changes to the Sites business processes and ways of working that would enable reductions in the total energy consumed annually in the provision of the Goods and/or Services.
- 18.2 The Supplier shall ensure that the information that it provides to the Customer shall be sufficient for the Customer to decide whether any improvement should be implemented. The Supplier shall provide any further information that the Customer requests.
- 18.3 If the Customer wishes to incorporate any improvement identified by the Supplier, the Customer shall request a Variation in accordance with the Variation Procedure and the Supplier shall implement such Variation at no additional cost to the Customer.

#### **D. CALL OFF CONTRACT GOVERNANCE**

#### **19. PERFORMANCE MONITORING**

- 19.1 The Supplier shall comply with the monitoring requirements set out in Part B (Performance Monitoring) of Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring).

#### **20. REPRESENTATIVES**

- 20.1 Each Party shall have a representative for the duration of this Call Off Contract who shall have the authority to act on behalf of their respective Party on the matters set out in, or in connection with, this Call Off Contract.
- 20.2 The initial Supplier Representative shall be the person named as such in the Call Off Order Form. Any change to the Supplier Representative shall be agreed in accordance with Clause 27 (Supplier Personnel).
- 20.3 If the initial Customer Representative is not specified in the Call Off Order Form, the Customer shall notify the Supplier of the identity of the initial Customer Representative within five (5) Working Days of the Call Off Commencement Date. The Customer may, by written notice to the Supplier, revoke or amend the authority of the Customer Representative or appoint a new Customer Representative.

#### **21. RECORDS, AUDIT ACCESS AND OPEN BOOK DATA**

- 21.1 The Supplier shall keep and maintain for seven (7) years after the Call Off Expiry Date (or as long a period as may be agreed between the Parties), full and accurate records and accounts of the operation of this Call Off Contract including the Goods and/or Services provided under it, any Sub-Contracts and the amounts paid by the Customer.
- 21.2 The Supplier shall:
- 21.2.1 keep the records and accounts referred to in Clause 21.1 in accordance with Good Industry Practice and Law; and

21.2.2 afford any Auditor access to the records and accounts referred to in Clause 21.1 at the Supplier's premises and/or provide records and accounts (including copies of the Supplier's published accounts) or copies of the same, as may be required by any of the Auditors from time to time during the Call Off Contract Period and the period specified in Clause 21.1, in order that the Auditor(s) may carry out an inspection to assess compliance by the Supplier and/or its Sub-Contractors of any of the Supplier's obligations under this Call Off Contract including in order to:

- (a) verify the accuracy of the Call Off Contract Charges and any other amounts payable by the Customer under this Call Off Contract (and proposed or actual variations to them in accordance with this Call Off Contract);
- (b) verify the costs of the Supplier (including the costs of all Sub-Contractors and any third party suppliers) in connection with the provision of the Goods and/or Services;
- (c) verify the Open Book Data;
- (d) verify the Supplier's and each Sub-Contractor's compliance with the applicable Law;
- (e) identify or investigate an actual or suspected Prohibited Act, impropriety or accounting mistakes or any breach or threatened breach of security and in these circumstances the Customer shall have no obligation to inform the Supplier of the purpose or objective of its investigations;
- (f) identify or investigate any circumstances which may impact upon the financial stability of the Supplier, the Framework Guarantor and/or the Call Off Guarantor and/or any Sub-Contractors or their ability to perform the Goods and/or Services;
- (g) obtain such information as is necessary to fulfil the Customer's obligations to supply information for parliamentary, ministerial, judicial or administrative purposes including the supply of information to the Comptroller and Auditor General;
- (h) review any books of account and the internal contract management accounts kept by the Supplier in connection with this Call Off Contract;
- (i) carry out the Customer's internal and statutory audits and to prepare, examine and/or certify the Customer's annual and interim reports and accounts;
- (j) enable the National Audit Office to carry out an examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Customer has used its resources;
- (k) review any Performance Monitoring Reports provided under Part B of Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring) and/or other records relating to the Supplier's performance of the provision of the Goods and/or Services and to verify that these reflect the Supplier's own internal reports and records;

- (l) verify the accuracy and completeness of any information delivered or required by this Call Off Contract;
- (m) review the Supplier's quality management systems (including any quality manuals and procedures);
- (n) review the Supplier's compliance with the Standards;
- (o) inspect the Customer Assets, including the Customer's IPRs, equipment and facilities, for the purposes of ensuring that the Customer Assets are secure and that any register of assets is up to date; and/or
- (p) review the integrity, confidentiality and security of the Customer Data.

21.3 The Customer shall use reasonable endeavours to ensure that the conduct of each audit does not unreasonably disrupt the Supplier or delay the provision of the Goods and/or Services save insofar as the Supplier accepts and acknowledges that control over the conduct of audits carried out by the Auditor(s) is outside of the control of the Customer.

21.4 Subject to the Supplier's rights in respect of Confidential Information, the Supplier shall on demand provide the Auditor(s) with all reasonable co-operation and assistance in:

- 21.4.1 all reasonable information requested by the Customer within the scope of the audit;
- 21.4.2 reasonable access to sites controlled by the Supplier and to any Supplier Equipment used in the provision of the Goods and/or Services; and
- 21.4.3 access to the Supplier Personnel.

21.5 The Parties agree that they shall bear their own respective costs and expenses incurred in respect of compliance with their obligations under this Clause 21, unless the audit reveals a Default by the Supplier in which case the Supplier shall reimburse the Customer for the Customer's reasonable costs incurred in relation to the audit.

## 22. CHANGE

### 22.1 Variation Procedure

- 22.1.1 Subject to the provisions of this Clause 22 and Call Off Schedule 3 (Call Off Contract Charges, Payment and Invoicing), either Party may request a variation to this Call Off Contract provided that such variation does not amount to a material change of this Call Off Contract within the meaning of the Regulations and the Law. Such a change once implemented is hereinafter called a "**Variation**".
- 22.1.2 A Party may request a Variation by completing, signing and sending the Variation Form to the other Party giving sufficient information for the receiving Party to assess the extent of the proposed Variation and any additional cost that may be incurred.
- 22.1.3 Where the Customer has so specified on receipt of a Variation Form from the Supplier, the Supplier shall carry out an impact assessment of the Variation on the Goods and/or Services (the "**Impact Assessment**"). The Impact Assessment shall be completed in good faith and shall include:
  - (a) details of the impact of the proposed Variation on the Goods and/or Services and the Supplier's ability to meet its other obligations under this Call Off Contract;

- (b) details of the cost of implementing the proposed Variation;
- (c) details of the ongoing costs required by the proposed Variation when implemented, including any increase or decrease in the Call Off Contract Charges, any alteration in the resources and/or expenditure required by either Party and any alteration to the working practices of either Party;
- (d) a timetable for the implementation, together with any proposals for the testing of the Variation; and
- (e) such other information as the Customer may reasonably request in (or in response to) the Variation request.

22.1.4 The Parties may agree to adjust the time limits specified in the Variation Form to allow for the preparation of the Impact Assessment.

22.1.5 Subject to 22.1.4, the receiving Party shall respond to the request within the time limits specified in the Variation Form. Such time limits shall be reasonable and ultimately at the discretion of the Customer having regard to the nature of the Goods and/or Services and the proposed Variation.

22.1.6 In the event that:

- (a) the Supplier is unable to agree to or provide the Variation; and/or
- (b) the Parties are unable to agree a change to the Call Off Contract Charges that may be included in a request of a Variation or response to it as a consequence thereof,

the Customer may:

- (i) agree to continue to perform its obligations under this Call Off Contract without the Variation; or
- (ii) terminate this Call Off Contract with immediate effect, except where the Supplier has already fulfilled part or all of the provision of the Goods and/or Services in accordance with this Call Off Contract or where the Supplier can show evidence of substantial work being carried out to provide the Goods and/or Services under this Call Off Contract, and in such a case the Parties shall attempt to agree upon a resolution to the matter. Where a resolution cannot be reached, the matter shall be dealt with under the Dispute Resolution Procedure.

22.1.7 If the Parties agree the Variation, the Supplier shall implement such Variation and be bound by the same provisions so far as is applicable, as though such Variation was stated in this Call Off Contract.

## **22.2 Legislative Change**

22.2.1 The Supplier shall neither be relieved of its obligations under this Call Off Contract nor be entitled to an increase in the Call Off Contract Charges as the result of a:

- (a) General Change in Law;
- (b) Specific Change in Law where the effect of that Specific Change in Law on the Goods and/or Services is reasonably foreseeable at the Call Off Commencement Date.

22.2.2 If a Specific Change in Law occurs or will occur during the Call Off Contract Period (other than as referred to in Clause 22.2.1(b)), the Supplier shall:

- (a) notify the Customer as soon as reasonably practicable of the likely effects of that change including:
  - (i) whether any Variation is required to the provision of the Goods and/or Services, the Call Off Contract Charges or this Call Off Contract; and
  - (ii) whether any relief from compliance with the Supplier's obligations is required, including any obligation to Achieve a Milestone and/or to meet the Service Level Performance Measures; and
- (b) provide to the Customer with evidence:
  - (i) that the Supplier has minimised any increase in costs or maximised any reduction in costs, including in respect of the costs of its Sub-Contractors;
  - (ii) as to how the Specific Change in Law has affected the cost of providing the Goods and/or Services; and
  - (iii) demonstrating that any expenditure that has been avoided, for example which would have been required under the provisions of Clause 18 (Continuous Improvement), has been taken into account in amending the Call Off Contract Charges.

22.2.3 Any change in the Call Off Contract Charges or relief from the Supplier's obligations resulting from a Specific Change in Law (other than as referred to in Clause 22.2.1(b)) shall be implemented in accordance with the Variation Procedure.

## **E. PAYMENT, TAXATION AND VALUE FOR MONEY PROVISIONS**

### **23. CALL OFF CONTRACT CHARGES AND PAYMENT**

#### **23.1 Call Off Contract Charges**

23.1.1 In consideration of the Supplier carrying out its obligations under this Call Off Contract, including the provision of the Goods and/or Services, the Customer shall pay the undisputed Call Off Contract Charges in accordance with the pricing and payment profile and the invoicing procedure in Call Off Schedule 3 (Call Off Contract Charges, Payment and Invoicing).

23.1.2 Except as otherwise provided, each Party shall bear its own costs and expenses incurred in respect of compliance with its obligations under Clauses 12 (Testing), 21 (Records, Audit Access and Open Book Data), 34.4 (Transparency and Freedom of Information) and 34.5 (Protection of Personal Data).

23.1.3 If the Customer fails to pay any undisputed Call Off Contract Charges properly invoiced under this Call Off Contract, the Supplier shall have the right to charge interest on the overdue amount at the applicable rate under 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.

23.1.4 If at any time during this Call Off Contract Period the Supplier reduces its Framework Prices for any Goods and/or Services which are provided under the Framework Agreement (whether or not such Goods and/or Services are offered in a catalogue, if any, which is provided under the Framework Agreement) in accordance

with the terms of the Framework Agreement, the Supplier shall immediately reduce the Call Off Contract Charges for such Goods and/or Services under this Call Off Contract by the same amount.

### **23.2 VAT**

23.2.1 The Call Off Contract Charges are stated exclusive of VAT, which shall be added at the prevailing rate as applicable and paid by the Customer following delivery of a Valid Invoice.

23.2.2 The Supplier shall indemnify the Customer on a continuing basis against any liability, including any interest, penalties or costs incurred, which is levied, demanded or assessed on the Customer at any time (whether before or after the making of a demand pursuant to the indemnity hereunder) in respect of the Supplier's failure to account for or to pay any VAT relating to payments made to the Supplier under this Call Off Contract. Any amounts due under Clause 23.2 (VAT) shall be paid in cleared funds by the Supplier to the Customer not less than five (5) Working Days before the date upon which the tax or other liability is payable by the Customer.

### **23.3 Retention and Set Off**

23.3.1 The Customer may retain or set off any amount owed to it by the Supplier against any amount due to the Supplier under this Call Off Contract or under any other agreement between the Supplier and the Customer.

23.3.2 If the Customer wishes to exercise its right pursuant to Clause 23.3.1 it shall give notice to the Supplier within thirty (30) days of receipt of the relevant invoice, setting out the Customer's reasons for retaining or setting off the relevant Call Off Contract Charges.

23.3.3 The Supplier shall make any payments due to the Customer without any deduction whether by way of set-off, counterclaim, discount, abatement or otherwise unless the Supplier has obtained a sealed court order requiring an amount equal to such deduction to be paid by the Customer to the Supplier.

### **23.4 Foreign Currency**

23.4.1 Any requirement of Law to account for the Goods and/or Services in any currency other than Sterling, (or to prepare for such accounting) instead of and/or in addition to Sterling, shall be implemented by the Supplier free of charge to the Customer.

23.4.2 The Customer shall provide all reasonable assistance to facilitate compliance with Clause 23.4.1 by the Supplier.

### **23.5 Income Tax and National Insurance Contributions**

23.5.1 Where the Supplier or any Supplier Personnel are liable to be taxed in the UK or to pay national insurance contributions in respect of consideration received under this Call Off Contract, the Supplier shall:

- (a) at all times comply with the Income Tax (Earnings and Pensions) Act 2003 and all other statutes and regulations relating to income tax, and the Social Security Contributions and Benefits Act 1992 and all other statutes and regulations relating to national insurance contributions, in respect of that consideration; and
- (b) indemnify the Customer against any income tax, national insurance and social security contributions and any other liability, deduction, contribution, assessment or claim arising from or made (whether before or after the making of a demand

pursuant to the indemnity hereunder) in connection with the provision of the Goods and/or Services by the Supplier or any Supplier Personnel.

23.5.2 In the event that any one of the Supplier Personnel is a Worker as defined in Call Off Schedule 1 (Definitions) who receives consideration relating to the Goods and/or Services, then, in addition to its obligations under Clause 23.5.1, the Supplier shall ensure that its contract with the Worker contains the following requirements:

- (a) that the Customer may, at any time during the Call Off Contract Period, request that the Worker provides information which demonstrates how the Worker complies with the requirements of Clause 23.5.1, or why those requirements do not apply to it. In such case, the Customer may specify the information which the Worker must provide and the period within which that information must be provided;
- (b) that the Worker's contract may be terminated at the Customer's request if:
  - (i) the Worker fails to provide the information requested by the Customer within the time specified by the Customer under Clause 23.5.2(a); and/or
  - (ii) the Worker provides information which the Customer considers is inadequate to demonstrate how the Worker complies with Clause 23.5.1 or confirms that the Worker is not complying with those requirements; and
- (c) that the Customer may supply any information it receives from the Worker to HMRC for the purpose of the collection and management of revenue for which they are responsible.

## **24. PROMOTING TAX COMPLIANCE**

24.1 This Clause 24 shall apply if the Call Off Contract Charges payable under this Call Off Contract exceed or are likely to exceed five (5) million pounds during the Call Off Contract Period.

24.2 If, at any point during the Call Off Contract Period, an Occasion of Tax Non-Compliance occurs, the Supplier shall:

24.2.1 notify the Customer in writing of such fact within five (5) Working Days of its occurrence; and

24.2.2 promptly provide to the Customer:

- (a) details of the steps that the Supplier is taking to address the Occasion of Tax Non-Compliance and to prevent the same from recurring, together with any mitigating factors that it considers relevant; and
- (b) such other information in relation to the Occasion of Tax Non-Compliance as the Customer may reasonably require.

24.3 In the event that the Supplier fails to comply with this Clause 24 and/or does not provide details of proposed mitigating factors which in the reasonable opinion of the Customer are acceptable, then the Customer reserves the right to terminate this Call Off Contract for material Default.

## **25. BENCHMARKING**

- 25.1 Notwithstanding the Supplier's obligations under Clause 18 (Continuous Improvement), the Customer shall be entitled to regularly benchmark the Call Off Contract Charges and level of performance by the Supplier of the supply of the Goods and/or Services, against other suppliers providing goods and/or services substantially the same as the Goods and/or Services during the Call Off Contract Period.
- 25.2 The Customer, acting reasonably, shall be entitled to use any model to determine the achievement of value for money and to carry out the benchmarking evaluation referred to in Clause 25.1 above.
- 25.3 The Customer shall be entitled to disclose the results of any benchmarking of the Call Off Contract Charges and provision of the Goods and/or Services to the Authority and any Contracting Authority (subject to the Contracting Authority entering into reasonable confidentiality undertakings).
- 25.4 The Supplier shall use all reasonable endeavours and act in good faith to supply information required by the Customer in order to undertake the benchmarking and such information requirements shall be at the discretion of the Customer.
- 25.5 Where, as a consequence of any benchmarking carried out by the Customer, the Customer decides improvements to the Goods and/or Services should be implemented such improvements shall be implemented by way of the Variation Procedure at no additional cost to the Customer.
- 25.6 The benefit of any work carried out by the Supplier at any time during the Call Off Contract Period to update, improve or provide the Goods and/or Services, facilitate their delivery to any other Contracting Authority and/or any alterations or variations to the Charges or the provision of the Goods and/or Services, which are identified in the Continuous Improvement Plan produced by the Supplier and/or as a consequence of any benchmarking carried out by the Authority pursuant to Framework Schedule 12 (Continuous Improvement and Benchmarking), shall be implemented by the Supplier in accordance with the Variation Procedure and at no additional cost to the Customer.

## **F. SUPPLIER PERSONNEL AND SUPPLY CHAIN MATTERS**

### **26. KEY PERSONNEL**

- 26.1 This Clause 26 shall apply where the Customer has specified Key Personnel in the Call Off Order Form.
- 26.2 The Call Off Order Form lists the key roles ("**Key Roles**") and names of the persons who the Supplier shall appoint to fill those Key Roles at the Call Off Commencement Date.
- 26.3 The Supplier shall ensure that the Key Personnel fulfil the Key Roles at all times during the Call Off Contract Period.
- 26.4 The Customer may identify any further roles as being Key Roles and, following agreement to the same by the Supplier, the relevant person selected to fill those Key Roles shall be included on the list of Key Personnel.
- 26.5 The Supplier shall not remove or replace any Key Personnel (including when carrying out its obligations under Call Off Schedule 9 (Exit Management) unless:
- 26.5.1 requested to do so by the Customer;
- 26.5.2 the person concerned resigns, retires or dies or is on maternity or long-term sick leave;

26.5.3 the person's employment or contractual arrangement with the Supplier or a Sub-Contractor is terminated for material breach of contract by the employee; or

26.5.4 the Supplier obtains the Customer's prior written consent (such consent not to be unreasonably withheld or delayed).

26.6 The Supplier shall:

26.6.1 notify the Customer promptly of the absence of any Key Personnel (other than for short-term sickness or holidays of two (2) weeks or less, in which case the Supplier shall ensure appropriate temporary cover for that Key Role);

26.6.2 ensure that any Key Role is not vacant for any longer than ten (10) Working Days;

26.6.3 give as much notice as is reasonably practicable of its intention to remove or replace any member of Key Personnel and, except in the cases of death, unexpected ill health or a material breach of the Key Personnel's employment contract, this will mean at least three (3) Months' notice;

26.6.4 ensure that all arrangements for planned changes in Key Personnel provide adequate periods during which incoming and outgoing personnel work together to transfer responsibilities and ensure that such change does not have an adverse impact on the provision of the Goods and/or Services; and

26.6.5 ensure that any replacement for a Key Role:

(a) has a level of qualifications and experience appropriate to the relevant Key Role; and

(b) is fully competent to carry out the tasks assigned to the Key Personnel whom he or she has replaced.

26.6.6 shall and shall procure that any Sub-Contractor shall not remove or replace any Key Personnel during the Call Off Contract Period without Approval.

26.7 The Customer may require the Supplier to remove any Key Personnel that the Customer considers in any respect unsatisfactory. The Customer shall not be liable for the cost of replacing any Key Personnel.

## **27. SUPPLIER PERSONNEL**

### **27.1 Supplier Personnel**

27.1.1 The Supplier shall:

(a) provide a list of the names of all Supplier Personnel requiring admission to Customer Premises, specifying the capacity in which they require admission and giving such other particulars as the Customer may reasonably require;

(b) ensure that all Supplier Personnel:

(i) are appropriately qualified, trained and experienced to provide the Goods and/or Services with all reasonable skill, care and diligence;

(ii) are vetted in accordance with Good Industry Practice and, where applicable, the Security Policy and the Standards;

(iii) obey all lawful instructions and reasonable directions of the Customer (including, if so required by the Customer,

the ICT Policy) and provide the Goods and/or Services to the reasonable satisfaction of the Customer; and

- (iv) comply with all reasonable requirements of the Customer concerning conduct at the Customer Premises, including the security requirements set out in Call Off Schedule 7 (Security);
- (c) subject to Call Off Schedule 10 (Staff Transfer), retain overall control of the Supplier Personnel at all times so that the Supplier Personnel shall not be deemed to be employees, agents or contractors of the Customer;
- (d) be liable at all times for all acts or omissions of Supplier Personnel, so that any act or omission of a member of any Supplier Personnel which results in a Default under this Call Off Contract shall be a Default by the Supplier;
- (e) use all reasonable endeavours to minimise the number of changes in Supplier Personnel;
- (f) replace (temporarily or permanently, as appropriate) any Supplier Personnel as soon as practicable if any Supplier Personnel have been removed or are unavailable for any reason whatsoever;
- (g) bear the programme familiarisation and other costs associated with any replacement of any Supplier Personnel; and
- (h) procure that the Supplier Personnel shall vacate the Customer Premises immediately upon the Call Off Expiry Date.

27.1.2 If the Customer reasonably believes that any of the Supplier Personnel are unsuitable to undertake work in respect of this Call Off Contract, it may:

- (a) refuse admission to the relevant person(s) to the Customer Premises; and/or
- (b) direct the Supplier to end the involvement in the provision of the Goods and/or Services of the relevant person(s).

27.1.3 The decision of the Customer as to whether any person is to be refused access to the Customer Premises shall be final and conclusive.

## **27.2 Relevant Convictions**

27.2.1 This sub-clause 27.2 shall apply if the Customer has specified Relevant Convictions in the Call Off Order Form.

27.2.2 The Supplier shall ensure that no person who discloses that he has a Relevant Conviction, or who is found to have any Relevant Convictions (whether as a result of a police check or through the procedure of the Disclosure and Barring Service (DBS) or otherwise), is employed or engaged in any part of the provision of the Goods and/or Services without Approval.

27.2.3 Notwithstanding Clause 27.2.2, for each member of Supplier Personnel who, in providing the Goods and/or Services, has, will have or is likely to have access to children, vulnerable persons or other members of the public to whom the Customer owes a special duty of care, the Supplier shall (and shall procure that the relevant Sub-Contractor shall):

- (a) carry out a check with the records held by the Department for Education (DfE);

- (b) conduct thorough questioning regarding any Relevant Convictions; and
- (c) ensure a police check is completed and such other checks as may be carried out through the Disclosure and Barring Service (DBS),

and the Supplier shall not (and shall ensure that any Sub-Contractor shall not) engage or continue to employ in the provision of the Goods and/or Services any person who has a Relevant Conviction or an inappropriate record.

## **28. STAFF TRANSFER**

28.1 This Clause 28 shall not apply if there are Goods but no Services under this Call Off Contract.

28.2 The Parties agree that :

28.2.1 where the commencement of the provision of the Services or any part of the Services results in one or more Relevant Transfers, Call Off Schedule 10 (Staff Transfer) shall apply as follows:

- (a) where the Relevant Transfer involves the transfer of Transferring Customer Employees, Part A of Call Off Schedule 10 (Staff Transfer) shall apply;
- (b) where the Relevant Transfer involves the transfer of Transferring Former Supplier Employees, Part B of Call Off Schedule 10 (Staff Transfer) shall apply;
- (c) where the Relevant Transfer involves the transfer of Transferring Customer Employees and Transferring Former Supplier Employees, Parts A and B of Call Off Schedule 10 (Staff Transfer) shall apply; and
- (d) Part C of Call Off Schedule 10 (Staff Transfer) shall not apply;

28.2.2 where commencement of the provision of the Services or a part of the Services does not result in a Relevant Transfer, Part C of Call Off Schedule 10 (Staff Transfer) shall apply and Parts A and B of Call Off Schedule 10 (Staff Transfer) shall not apply; and

28.2.3 Part D of Call Off Schedule 10 (Staff Transfer) shall apply on the expiry or termination of the Services or any part of the Services;

28.3 The Supplier shall both during and after the Call Off Contract Period indemnify the Customer against all Employee Liabilities that may arise as a result of any claims brought against the Customer by any person where such claim arises from any act or omission of the Supplier or any Supplier Personnel.

## **29. SUPPLY CHAIN RIGHTS AND PROTECTION**

### **29.1 Appointment of Sub-Contractors**

29.1.1 The Supplier shall exercise due skill and care in the selection of any Sub-Contractors to ensure that the Supplier is able to:

- (a) manage any Sub-Contractors in accordance with Good Industry Practice;

- (b) comply with its obligations under this Call Off Contract in the Delivery of the Goods and/or Services; and
- (c) assign, novate or otherwise transfer to the Customer or any Replacement Supplier any of its rights and/or obligations under each Sub-Contract that relates exclusively to this Call Off Contract.

29.1.2 Prior to sub-contacting any of its obligations under this Call Off Contract, the Supplier shall notify the Customer and provide the Customer with:

- (a) the proposed Sub-Contractor's name, registered office and company registration number;
- (b) the scope of any Goods and/or Services to be provided by the proposed Sub-Contractor; and
- (c) where the proposed Sub-Contractor is an Affiliate of the Supplier, evidence that demonstrates to the reasonable satisfaction of the Customer that the proposed Sub-Contract has been agreed on "arm's-length" terms.

29.1.3 If requested by the Customer within ten (10) Working Days of receipt of the Supplier's notice issued pursuant to Clause 29.1.2, the Supplier shall also provide:

- (a) a copy of the proposed Sub-Contract; and
- (b) any further information reasonably requested by the Customer.

29.1.4 The Customer may, within ten (10) Working Days of receipt of the Supplier's notice issued pursuant to Clause 29.1.2 (or, if later, receipt of any further information requested pursuant to Clause 29.1.3), object to the appointment of the relevant Sub-Contractor if they consider that:

- (a) the appointment of a proposed Sub-Contractor may prejudice the provision of the Goods and/or Services or may be contrary to the interests respectively of the Customer under this Call Off Contract;
  - (b) the proposed Sub-Contractor is unreliable and/or has not provided reliable goods and or reasonable services to its other customers; and/or
  - (c) the proposed Sub-Contractor employs unfit persons,
- in which case, the Supplier shall not proceed with the proposed appointment.

29.1.5 If:

- (a) the Customer has not notified the Supplier that it objects to the proposed Sub-Contractor's appointment by the later of ten (10) Working Days of receipt of:
  - (i) the Supplier's notice issued pursuant to Clause 29.1.2; and
  - (ii) any further information requested by the Customer pursuant to Clause 29.1.3; and
- (b) the proposed Sub-Contract is not a Key Sub-Contract which shall require the written consent of the Authority and the Customer in accordance with Clause 29.2 (Appointment of Key Sub-Contractors).

the Supplier may proceed with the proposed appointment.

## **29.2 Appointment of Key Sub-Contractors**

29.2.1 The Authority and the Customer have consented to the engagement of the Key Sub-Contractors listed in Framework Schedule 7 (Key Sub-Contractors).

29.2.2 Where the Supplier wishes to enter into a new Key Sub-Contract or replace a Key Sub-Contractor, it must obtain the prior written consent of the Authority and the Customer (the decision to consent or otherwise not to be unreasonably withheld or delayed). The Authority and/or the Customer may reasonably withhold its consent to the appointment of a Key Sub-Contractor if any of them considers that:

- (a) the appointment of a proposed Key Sub-Contractor may prejudice the provision of the Goods and/or Services or may be contrary to its interests;
- (b) the proposed Key Sub-Contractor is unreliable and/or has not provided reliable goods and/or reasonable services to its other customers; and/or
- (c) the proposed Key Sub-Contractor employs unfit persons.

29.2.3 Except where the Authority and the Customer have given their prior written consent under Clause 29.2.1, the Supplier shall ensure that each Key Sub-Contract shall include:

- (a) provisions which will enable the Supplier to discharge its obligations under this Call Off Contract;
- (b) a right under CRTPA for the Customer to enforce any provisions under the Key Sub-Contract which confer a benefit upon the Customer;
- (c) a provision enabling the Customer to enforce the Key Sub-Contract as if it were the Supplier;
- (d) a provision enabling the Supplier to assign, novate or otherwise transfer any of its rights and/or obligations under the Key Sub-Contract to the Customer or any Replacement Supplier;
- (e) obligations no less onerous on the Key Sub-Contractor than those imposed on the Supplier under this Call Off Contract in respect of:
  - (i) data protection requirements set out in Clauses 34.1 (Security Requirements), 34.2 (Protection of Customer Data) and 34.5 (Protection of Personal Data);
  - (ii) FOIA requirements set out in Clause 34.4 (Transparency and Freedom of Information);
  - (iii) the obligation not to embarrass the Customer or otherwise bring the Customer into disrepute set out in Clause 7.1.4(l) (Provision of Goods and/or Services);
  - (iv) the keeping of records in respect of the Goods and/or Services being provided under the Key Sub-Contract, including the maintenance of Open Book Data;
  - (v) the conduct of audits set out in Clause 21 (Records, Audit Access & Open Book Data);

- (f) provisions enabling the Supplier to terminate the Key Sub-Contract on notice on terms no more onerous on the Supplier than those imposed on the Customer under Clauses 41 (Customer Termination Rights), 43 (Termination by Either Party) and 45 (Consequences of Expiry or Termination) of this Call Off Contract;
- (g) a provision restricting the ability of the Key Sub-Contractor to Sub-Contract all or any part of the provision of the Goods and/or Services provided to the Supplier under the Sub-Contract without first seeking the written consent of the Customer;
- (h) a provision, where a provision in Call Off Schedule 10 (Staff Transfer) imposes an obligation on the Supplier to provide an indemnity, undertaking or warranty, requiring the Key Sub-Contractor to provide such indemnity, undertaking or warranty to the Customer, Former Supplier or the Replacement Supplier as the case may be.

### **29.3 Supply Chain Protection**

29.3.1 The Supplier shall ensure that all Sub-Contracts contain a provision:

- (a) requiring the Supplier to pay any undisputed sums which are due from it to the Sub-Contractor within a specified period not exceeding thirty (30) days from the receipt of a Valid Invoice;
- (b) requiring that any invoices submitted by a Sub-Contractor shall be considered and verified by the Supplier in a timely fashion and that undue delay in doing so shall not be sufficient justification for failing to regard an invoice as valid and undisputed;
- (c) conferring a right to the Customer to publish the Supplier's compliance with its obligation to pay undisputed invoices to the Sub-Contractor within the specified payment period;
- (d) giving the Supplier a right to terminate the Sub-Contract if the Sub-Contractor fails to comply in the performance of the Sub-Contract with legal obligations in the fields of environmental, social or labour law; and
- (e) requiring the Sub-Contractor to include in any Sub-Contract which it in turn awards suitable provisions to impose, as between the parties to that Sub-Contract, requirements to the same effect as those required by sub clauses (a) and (b) directly above.

29.3.2 The Supplier shall:

- (a) pay any undisputed sums which are due from it to a Sub-Contractor within thirty (30) days from the receipt of a Valid Invoice;
- (b) include within the Performance Monitoring Reports required under Part B of Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring) a summary of its compliance with this Clause 29.3.2 (a), such data to be certified

each quarter by a director of the Supplier as being accurate and not misleading.

29.3.3 Any invoices submitted by a Sub-Contractor to the Supplier shall be considered and verified by the Supplier in a timely fashion. Undue delay in doing so shall not be sufficient justification for the Supplier failing to regard an invoice as valid and undisputed.

29.3.4 Notwithstanding any provision of Clauses 34.3 (Confidentiality) and 35 (Publicity and Branding) if the Supplier notifies the Customer that the Supplier has failed to pay an undisputed Sub-Contractor's invoice within thirty (30) days of receipt, or the Customer otherwise discovers the same, the Customer shall be entitled to publish the details of the late or non-payment (including on government websites and in the press).

#### **29.4 Termination of Sub-Contracts**

29.4.1 The Customer may require the Supplier to terminate:

- (a) a Sub-Contract where:
  - (i) the acts or omissions of the relevant Sub-Contractor have caused or materially contributed to the Customer's right of termination pursuant to any of the termination events in Clause 41 (Customer Termination Rights) except Clause 41.7 (Termination Without Cause); and/or
  - (ii) the relevant Sub-Contractor or its Affiliates embarrassed the Customer or otherwise brought the Customer into disrepute by engaging in any act or omission which is reasonably likely to diminish the trust that the public places in the Customer, regardless of whether or not such act or omission is related to the Sub-Contractor's obligations in relation to the Goods and/or Services or otherwise; and/or
- (b) a Key Sub-Contract where there is a Change of Control of the relevant Key Sub-Contractor, unless:
  - (i) the Customer has given its prior written consent to the particular Change of Control, which subsequently takes place as proposed; or
  - (ii) the Customer has not served its notice of objection within six (6) months of the later of the date the Change of Control took place or the date on which the Customer was given notice of the Change of Control.

#### **29.5 Competitive Terms**

29.5.1 If the Customer is able to obtain from any Sub-Contractor or any other third party more favourable commercial terms with respect to the supply of any materials, equipment, software, goods or services used by the Supplier or the Supplier Personnel in the supply of the Goods and/or Services, then the Customer may:

- (a) require the Supplier to replace its existing commercial terms with its Sub-Contractor with the more favourable commercial terms obtained by the Customer in respect of the relevant item; or

- (b) subject to Clause 29.4 (Termination of Sub-Contracts), enter into a direct agreement with that Sub-Contractor or third party in respect of the relevant item.

29.5.2 If the Customer exercises the option pursuant to Clause 29.5.1, then the Call Off Contract Charges shall be reduced by an amount that is agreed in accordance with the Variation Procedure.

29.5.3 The Customer's right to enter into a direct agreement for the supply of the relevant items is subject to:

- (a) the Customer making the relevant item available to the Supplier where this is necessary for the Supplier to provide the Goods and/or Services; and
- (b) any reduction in the Call Off Contract Charges taking into account any unavoidable costs payable by the Supplier in respect of the substituted item, including in respect of any licence fees or early termination charges.

## **29.6 Retention of Legal Obligations**

29.6.1 Notwithstanding the Supplier's right to Sub-Contract pursuant to Clause 29 (Supply Chain Rights and Protection), the Supplier shall remain responsible for all acts and omissions of its Sub-Contractors and the acts and omissions of those employed or engaged by the Sub-Contractors as if they were its own.

## **G. PROPERTY MATTERS**

### **30. CUSTOMER PREMISES**

#### **30.1 Licence to occupy Customer Premises**

30.1.1 Any Customer Premises shall be made available to the Supplier on a non-exclusive licence basis free of charge and shall be used by the Supplier solely for the purpose of performing its obligations under this Call Off Contract. The Supplier shall have the use of such Customer Premises as licensee and shall vacate the same immediately upon completion, termination, expiry or abandonment of this Call Off Contract and in accordance with Call Off Schedule 9 (Exit Management).

30.1.2 The Supplier shall limit access to the Customer Premises to such Supplier Personnel as is necessary to enable it to perform its obligations under this Call Off Contract and the Supplier shall co-operate (and ensure that the Supplier Personnel co-operate) with such other persons working concurrently on such Customer Premises as the Customer may reasonably request.

30.1.3 Save in relation to such actions identified by the Supplier in accordance with Clause 2 (Due Diligence) and set out in the Call Off Order Form (or elsewhere in this Call Off Contract), should the Supplier require modifications to the Customer Premises, such modifications shall be subject to Approval and shall be carried out by the Customer at the Supplier's expense. The Customer shall undertake any modification work which it approves pursuant to this Clause 30.1.3 without undue delay. Ownership of such modifications shall rest with the Customer.

30.1.4 The Supplier shall observe and comply with such rules and regulations as may be in force at any time for the use of such Customer Premises and conduct of personnel at the Customer Premises as determined by the Customer, and the Supplier shall pay for the full cost of making good any damage caused by the Supplier Personnel other than fair wear and tear. For the avoidance of doubt,

damage includes without limitation damage to the fabric of the buildings, plant, fixed equipment or fittings therein.

30.1.5 The Parties agree that there is no intention on the part of the Customer to create a tenancy of any nature whatsoever in favour of the Supplier or the Supplier Personnel and that no such tenancy has or shall come into being and, notwithstanding any rights granted pursuant to this Call Off Contract, the Customer retains the right at any time to use any Customer Premises in any manner it sees fit.

#### 30.2 Security of Customer Premises

30.2.1 The Customer shall be responsible for maintaining the security of the Customer Premises in accordance with the Security Policy. The Supplier shall comply with the Security Policy and any other reasonable security requirements of the Customer while on the Customer Premises.

30.2.2 The Customer shall afford the Supplier upon Approval (the decision to Approve or not will not be unreasonably withheld or delayed) an opportunity to inspect its physical security arrangements.

### 31. CUSTOMER PROPERTY

31.1 Where the Customer issues Customer Property free of charge to the Supplier such Customer Property shall be and remain the property of the Customer and the Supplier irrevocably licences the Customer and its agents to enter upon any premises of the Supplier during normal business hours on reasonable notice to recover any such Customer Property.

31.2 The Supplier shall not in any circumstances have a lien or any other interest on the Customer Property and at all times the Supplier shall possess the Customer Property as fiduciary agent and bailee of the Customer.

31.3 The Supplier shall take all reasonable steps to ensure that the title of the Customer to the Customer Property and the exclusion of any such lien or other interest are brought to the notice of all Sub-Contractors and other appropriate persons and shall, at the Customer's request, store the Customer Property separately and securely and ensure that it is clearly identifiable as belonging to the Customer.

31.4 The Customer Property shall be deemed to be in good condition when received by or on behalf of the Supplier unless the Supplier notifies the Customer otherwise within five (5) Working Days of receipt.

31.5 The Supplier shall maintain the Customer Property in good order and condition (excluding fair wear and tear) and shall use the Customer Property solely in connection with this Call Off Contract and for no other purpose without Approval.

31.6 The Supplier shall ensure the security of all the Customer Property whilst in its possession, either on the Sites or elsewhere during the supply of the Goods and/or Services, in accordance with the Customer's Security Policy and the Customer's reasonable security requirements from time to time.

31.7 The Supplier shall be liable for all loss of, or damage to the Customer Property, (excluding fair wear and tear), unless such loss or damage was solely caused by a Customer Cause. The Supplier shall inform the Customer immediately of becoming aware of any defects appearing in or losses or damage occurring to the Customer Property.

### 32. SUPPLIER EQUIPMENT

- 32.1 Unless otherwise stated in the Call Off Order Form (or elsewhere in this Call Off Contract), the Supplier shall provide all the Supplier Equipment necessary for the provision of the Goods and/or Services.
- 32.2 The Supplier shall not deliver any Supplier Equipment nor begin any work on the Customer Premises without obtaining Approval.
- 32.3 The Supplier shall be solely responsible for the cost of carriage of the Supplier Equipment to the Sites and/or any Customer Premises, including its off-loading, removal of all packaging and all other associated costs. Likewise on the Call Off Expiry Date the Supplier shall be responsible for the removal of all relevant Supplier Equipment from the Sites and/or any Customer Premises, including the cost of packing, carriage and making good the Sites and/or the Customer Premises following removal.
- 32.4 All the Supplier's property, including Supplier Equipment, shall remain at the sole risk and responsibility of the Supplier, except that the Customer shall be liable for loss of or damage to any of the Supplier's property located on Customer Premises which is due to the negligent act or omission of the Customer.
- 32.5 Subject to any express provision of the BCDR Plan to the contrary, the loss or destruction for any reason of any Supplier Equipment shall not relieve the Supplier of its obligation to supply the Goods and/or Services in accordance with this Call Off Contract, including the Service Level Performance Measures.
- 32.6 The Supplier shall maintain all Supplier Equipment within the Sites and/or the Customer Premises in a safe, serviceable and clean condition.
- 32.7 The Supplier shall, at the Customer's written request, at its own expense and as soon as reasonably practicable:
- 32.7.1 remove from the Customer Premises any Supplier Equipment or any component part of Supplier Equipment which in the reasonable opinion of the Customer is either hazardous, noxious or not in accordance with this Call Off Contract; and
- 32.7.2 replace such Supplier Equipment or component part of Supplier Equipment with a suitable substitute item of Supplier Equipment.
- 32.8 For the purposes of this Clause 32.8, 'X' shall be the number of Service Failures, and 'Y' shall be the period in months, as respectively specified for 'X' and 'Y' in the Call Off Order Form. If this Clause 32.8 has been specified to apply in the Call Off Order Form, and there are no values specified for 'X' and/or 'Y', in default, 'X' shall be two (2) and 'Y' shall be twelve (12). Where a failure of Supplier Equipment or any component part of Supplier Equipment causes X or more Service Failures in any Y Month period, the Supplier shall notify the Customer in writing and shall, at the Customer's request (acting reasonably), replace such Supplier Equipment or component part thereof at its own cost with a new item of Supplier Equipment or component part thereof (of the same specification or having the same capability as the Supplier Equipment being replaced).

## **H. INTELLECTUAL PROPERTY AND INFORMATION**

### **33. INTELLECTUAL PROPERTY RIGHTS**

#### **33.1 Allocation of title to IPR**

- 33.1.1 Save as expressly granted elsewhere under this Call Off Contract:

- (a) the Customer shall not acquire any right, title or interest in or to the Intellectual Property Rights of the Supplier or its licensors, namely:
  - (i) the Supplier Background IPR; and
  - (ii) the Third Party IPR.
- (b) the Supplier shall not acquire any right, title or interest in or to the Intellectual Property Rights of the Customer or its licensors, including the:
  - (i) Customer Background IPR;
  - (ii) Customer Data; and
  - (iii) Project Specific IPRs.

33.1.2 Where either Party acquires, by operation of Law, title to Intellectual Property Rights that is inconsistent with the allocation of title set out in Clause 33.1, it shall assign in writing such Intellectual Property Rights as it has acquired to the other Party on the request of the other Party (whenever made).

33.1.3 Neither Party shall have any right to use any of the other Party's names, logos or trade marks on any of its products or services without the other Party's prior written consent.

33.1.4 Unless the Customer otherwise agrees in advance in writing (and subject to Clause 33.10.3):

- (a) Project Specific IPR Items shall be created in a format, or able to be converted into a format, which is:
  - (i) suitable for publication by the Customer as Open Source; and
  - (ii) based on Open Standards (where applicable);
- (b) where the Project Specific IPR Items are written in a format that requires conversion before publication as Open Source or before complying with Open Standards, the Supplier shall also provide the converted format to the Customer.

### **33.2 Assignments granted by the Supplier: Project Specific IPR**

33.2.1 The Supplier hereby assigns to the Customer with full guarantee, title to and all rights and interest in the Project Specific IPRs. The assignment under this Clause 33.2.1 shall take effect as a present assignment of future rights that will take effect immediately on the coming into existence of the relevant Project Specific IPRs.

33.2.2 The Supplier shall promptly execute all such assignments as are required to ensure that any rights in the Project Specific IPRs are properly transferred to the Customer.

33.2.3 To the extent that it is necessary to enable the Customer to obtain the full benefits of ownership of the Project Specific IPRs, the Supplier hereby grants to the Customer and shall procure that any relevant third party licensor shall grant to the Customer a perpetual, irrevocable, non-exclusive, assignable, royalty-free licence to use, sub-license and/or commercially exploit any Supplier Background IPRs or Third Party IPRs that are embedded in or which are an integral part of the Project Specific IPR Items.

### **33.3 Licences granted by the Supplier: Supplier Background IPR**

- 33.3.1 The Supplier hereby grants to the Customer a perpetual, royalty-free and non-exclusive licence to use the Supplier Background IPR for any purpose relating to the Goods and/or Services (or substantially equivalent goods and/or services) or for any purpose relating to the exercise of the Customer's (or, if the Customer is a Central Government Body, any other Central Government Body's) business or function.
- 33.3.2 At any time during the Call Off Contract Period or following the Call Off Expiry Date, the Supplier may terminate a licence granted in respect of the Supplier Background IPR under Clause 33.3.1 by giving thirty (30) days' notice in writing (or such other period as agreed by the Parties) if there is a Customer Cause which constitutes a material breach of the terms of 33.3.1 which, if the breach is capable of remedy, is not remedied within twenty (20) Working Days after the Supplier gives the Customer written notice specifying the breach and requiring its remedy.
- 33.3.3 In the event the licence of the Supplier Background IPR is terminated pursuant to Clause 33.3.2, the Customer shall:
- (a) immediately cease all use of the Supplier Background IPR;
  - (b) at the discretion of the Supplier, return or destroy documents and other tangible materials that contain any of the Supplier Background IPR, provided that if the Supplier has not made an election within six (6) months of the termination of the licence, the Customer may destroy the documents and other tangible materials that contain any of the Supplier Background IPR; and
  - (c) ensure, so far as reasonably practicable, that any Supplier Background IPR that is held in electronic, digital or other machine-readable form ceases to be readily accessible (other than by the information technology staff of the Customer) from any computer, word processor, voicemail system or any other device containing such Supplier Background IPR.

### **33.4 Customer's right to sub-license**

- 33.4.1 The Customer may sub-license:
- (a) the rights granted under Clause 33.3.1 (Licence granted by the Supplier: Supplier Background IPR) to a third party (including for the avoidance of doubt, any Replacement Supplier) provided that:
    - (i) the sub-license is on terms no broader than those granted to the Customer; and
    - (ii) the sub-license only authorises the third party to use the rights licensed in Clause 33.3.1 (Licence granted by the Supplier: Supplier Background IPR) for purposes relating to the Goods and/or Services (or substantially equivalent goods and/or services) or for any purpose relating to the exercise of the Customer's (or, if the Customer is a Central Government Body, any other Central Government Body's) business or function; and
  - (b) the rights granted under Clause 33.3.1 (Licence granted by the Supplier: Supplier Background IPR) to any Approved Sub-Licensee to the extent necessary to use and/or obtain the

benefit of the Project Specific IPR provided that the sub-licence is on terms no broader than those granted to the Customer.

### **33.5 Customer's right to assign/novate licences**

- 33.5.1 The Customer may assign, novate or otherwise transfer its rights and obligations under the licences granted pursuant to Clause 33.3 (Licence granted by the Supplier: Supplier Background IPR) to:
- (a) a Central Government Body; or
  - (b) to any body (including any private sector body) which performs or carries on any of the functions and/or activities that previously had been performed and/or carried on by the Customer.
- 33.5.2 Where the Customer is a Central Government Body, any change in the legal status of the Customer which means that it ceases to be a Central Government Body shall not affect the validity of any licence granted in Clause 33.3 (Licences granted by the Supplier: Supplier Background IPR). If the Customer ceases to be a Central Government Body, the successor body to the Customer shall still be entitled to the benefit of the licences granted in Clause 33.3 (Licence granted by the Supplier: Supplier Background IPR).
- 33.5.3 If a licence granted in Clause 33.3 (Licence granted by the Supplier: Supplier Background IPR) is novated under Clause 33.5.1 or there is a change of the Customer's status pursuant to Clause 33.5.2 (both such bodies being referred to as the "**Transferee**"), the rights acquired by the Transferee shall not extend beyond those previously enjoyed by the Customer.

### **33.6 Third Party IPR**

- 33.6.1 The Supplier shall procure that the owners or the authorised licensors of any Third Party IPR grant a direct licence to the Customer on terms at least equivalent to those set out in Clause 33.3 (Licence granted by the Supplier: Supplier Background IPR) and Clause 33.5.1 (Customer's right to assign/novate licences). If the Supplier cannot obtain for the Customer a licence materially in accordance with the licence terms set out in Clause 33.3 (Licences granted by the Supplier: Supplier Background IPR) and Clause 33.5.1 (Customer's right to assign/novate licences) in respect of any such Third Party IPR, the Supplier shall:
- (a) notify the Customer in writing giving details of what licence terms can be obtained from the relevant third party and whether there are alternative providers which the Supplier could seek to use; and
  - (b) only use such Third Party IPR if the Customer Approves the terms of the licence from the relevant third party.
- 33.6.2 Without prejudice to any other right or remedy of the Customer, if the Supplier becomes aware at any time, including after termination, that the Project Specific IPRs contain any Intellectual Property Rights for which the Customer does not have a licence in accordance with Clause 33.2.3, then the Supplier must notify the Customer within 10 days of what those rights are and which parts of the Project Specific IPR Items they are found in.

### **33.7 Licence granted by the Customer**

- 33.7.1 The Customer hereby grants to the Supplier a royalty-free, non-exclusive, non-transferable licence during the Call Off Contract Period to use the Customer Background IPR, the Project Specific IPRs and the Customer Data solely to the

extent necessary for providing the Goods and/or Services in accordance with this Call Off Contract, including (but not limited to) the right to grant sub-licences to Sub-Contractors provided that:

- (a) any relevant Sub-Contractor has entered into a confidentiality undertaking with the Supplier on the same terms as set out in Clause 34.3 (Confidentiality); and
- (b) the Supplier shall not without Approval use the licensed materials for any other purpose or for the benefit of any person other than the Customer.

### **33.8 Termination of licenses**

- 33.8.1 Subject to Clause 33.3 (Licence granted by the Supplier: Supplier Background IPR), all licences granted pursuant to Clause 33 (Intellectual Property Rights) (other than those granted pursuant to Clause 33.6 (Third Party IPR) and 33.7 (Licence granted by the Customer)) shall survive the Call Off Expiry Date.
- 33.8.2 The Supplier shall, if requested by the Customer in accordance with Call Off Schedule 9 (Exit Management), grant (or procure the grant) to the Replacement Supplier of a licence to use any Supplier Background IPR and/or Third Party IPR on terms equivalent to those set out in Clause 33.3 (Licence granted by the Supplier: Supplier Background IPR) subject to the Replacement Supplier entering into reasonable confidentiality undertakings with the Supplier.
- 33.8.3 The licence granted pursuant to Clause 33.7 (Licence granted by the Customer ) and any sub-licence granted by the Supplier in accordance with Clause 33.7.1 (Licence granted by the Customer) shall terminate automatically on the Call Off Expiry Date and the Supplier shall:
- (a) immediately cease all use of the Customer Background IPR and the Customer Data (as the case may be);
  - (b) at the discretion of the Customer, return or destroy documents and other tangible materials that contain any of the Customer Background IPR and the Customer Data, provided that if the Customer has not made an election within six months of the termination of the licence, the Supplier may destroy the documents and other tangible materials that contain any of the Customer Background IPR and the Customer Data (as the case may be); and
  - (c) ensure, so far as reasonably practicable, that any Customer Background IPR and Customer Data that are held in electronic, digital or other machine-readable form ceases to be readily accessible from any computer, word processor, voicemail system or any other device of the Supplier containing such Customer Background IPR and/or Customer Data.

### **33.9 IPR Indemnity**

- 33.9.1 The Supplier shall, during and after the Call Off Contract Period, on written demand, indemnify the Customer against all Losses incurred by, awarded against, or agreed to be paid by the Customer (whether before or after the making of the demand pursuant to the indemnity hereunder) arising from an IPR Claim.
- 33.9.2 If an IPR Claim is made, or the Supplier anticipates that an IPR Claim might be made, the Supplier may, at its own expense and sole option, either:

- (a) procure for the Customer the right to continue using the relevant item which is subject to the IPR Claim; or
- (b) replace or modify the relevant item with non-infringing substitutes provided that:
  - (i) the performance and functionality of the replaced or modified item is at least equivalent to the performance and functionality of the original item;
  - (ii) the replaced or modified item does not have an adverse effect on any other Goods and/or Services;
  - (iii) there is no additional cost to the Customer; and
  - (iv) the terms and conditions of this Call Off Contract shall apply to the replaced or modified Goods and/or Services.

33.9.3 If the Supplier elects to procure a licence in accordance with Clause 33.9.2(a) or to modify or replace an item pursuant to Clause 33.9.2(b), but this has not avoided or resolved the IPR Claim, then:

- (a) the Customer may terminate this Call Off Contract by written notice with immediate effect; and
- (b) without prejudice to the indemnity set out in Clause 33.9.1, the Supplier shall be liable for all reasonable and unavoidable costs of the substitute goods and/or services including the additional costs of procuring, implementing and maintaining the substitute items.

### **33.10 Open Source Publication**

33.10.1 Subject to Clause 33.10.3, the Supplier agrees that the Customer may at its sole discretion publish as Open Source all or part of the Project Specific IPR Items after the Operational Services Commencement Date (such date to be notified by the Customer to the Supplier).

33.10.2 Subject to Clause 33.10.3, the Supplier hereby warrants that the Project Specific IPR Items:

- (a) are suitable for release as Open Source and that the Supplier has used reasonable endeavours when developing the same to ensure that publication by the Customer will not enable a third party to use the published Project Specific IPRs or Project Specific IPR Items in any way, which could reasonably be foreseen to compromise the operation, running or security of the Project Specific IPRs or the Customer System;
- (b) have been developed by the Supplier using reasonable endeavours to ensure that publication by the Customer of the same shall not cause any harm or damage to any party using the published Project Specific IPRs;
- (c) do not contain any material which would bring the Customer into disrepute upon publication as Open Source;
- (d) do not contain any IPRs which have not been licensed to the Customer under licence terms which permit the publication of

the Project Specific IPR Items as Open Source by the Customer;

- (e) will be supplied in a format suitable for publication as Open Source (“the Open Source Publication Material”) no later than the date notified to the Supplier under Clause 33.10.1; and
- (f) do not contain any Malicious Software.

33.10.3 The Supplier hereby acknowledges and agrees that any Supplier Background IPRs which it includes in the Open Source Publication Material supplied to the Customer pursuant to Clause 33.10.2(e) and which have not been Approved for exclusion under Clause 33.10.4 will become Open Source and will hereby be licensed to the Customer under the Open Source licence terms adopted by the Customer and treated as such following publication by the Customer.

33.10.4 Where the Customer has Approved a request by the Supplier under Clause 33.1.4, for any part of the Project Specific IPRs to be excluded from the requirement to be in an Open Source format due to the intention to embed or integrate Supplier Background IPRs and/or Third Party IPRs (and where the Parties agree that such IPRs are not intended to be published as Open Source), the Supplier shall:

- (a) as soon as reasonably practicable, provide written details of the nature of the IPRs and items or Deliverables based on IPRs which are to be excluded from Open Source publication; and
- (b) include in the written details provided under Clause 33.10.4 (a) information about the impact that inclusion of such IPRs and items or Deliverables based on such IPRs will have on any other Project Specific IPRs Items and the Customer’s ability to publish such other items or Deliverables as Open Source.

## **34. SECURITY AND PROTECTION OF INFORMATION**

### **34.1 Security Requirements**

34.1.1 The Supplier shall comply with the Security Policy and the requirements of Call Off Schedule 7 (Security) including the Security Management Plan (if any) and shall ensure that the Security Management Plan produced by the Supplier fully complies with the Security Policy.

34.1.2 The Customer shall notify the Supplier of any changes or proposed changes to the Security Policy.

34.1.3 If the Supplier believes that a change or proposed change to the Security Policy will have a material and unavoidable cost implication to the provision of the Goods and/or Services it may propose a Variation to the Customer. In doing so, the Supplier must support its request by providing evidence of the cause of any increased costs and the steps that it has taken to mitigate those costs. Any change to the Call Off Contract Charges shall then be subject to the Variation Procedure.

34.1.4 Until and/or unless a change to the Call Off Contract Charges is agreed by the Customer pursuant to the Variation Procedure the Supplier shall continue to provide the Goods and/or Services in accordance with its existing obligations.

### **34.2 Protection of Customer Data**

- 34.2.1 The Supplier shall not delete or remove any proprietary notices contained within or relating to the Customer Data.
- 34.2.2 The Supplier shall not store, copy, disclose, or use the Customer Data except as necessary for the performance by the Supplier of its obligations under this Call Off Contract or as otherwise Approved by the Customer.
- 34.2.3 To the extent that the Customer Data is held and/or Processed by the Supplier, the Supplier shall supply that Customer Data to the Customer as requested by the Customer and in the format (if any) specified by the Customer in the Call Off Order Form and, in any event, as specified by the Customer from time to time in writing.
- 34.2.4 The Supplier shall take responsibility for preserving the integrity of Customer Data and preventing the corruption or loss of Customer Data.
- 34.2.5 The Supplier shall perform secure back-ups of all Customer Data and shall ensure that up-to-date back-ups are stored off-site at an Approved location in accordance with any BCDR Plan or otherwise. The Supplier shall ensure that such back-ups are available to the Customer (or to such other person as the Customer may direct) at all times upon request and are delivered to the Customer at no less than six (6) Monthly intervals (or such other intervals as may be agreed in writing between the Parties).
- 34.2.6 The Supplier shall ensure that any system on which the Supplier holds any Customer Data, including back-up data, is a secure system that complies with the Security Policy and the Security Management Plan (if any).
- 34.2.7 If at any time the Supplier suspects or has reason to believe that the Customer Data is corrupted, lost or sufficiently degraded in any way for any reason, then the Supplier shall notify the Customer immediately and inform the Customer of the remedial action the Supplier proposes to take.
- 34.2.8 If the Customer Data is corrupted, lost or sufficiently degraded as a result of a Default so as to be unusable, the Supplier may:
- (a) require the Supplier (at the Supplier's expense) to restore or procure the restoration of Customer Data to the extent and in accordance with the requirements specified in Call Off Schedule 8 (Business Continuity and Disaster Recovery) or as otherwise required by the Customer, and the Supplier shall do so as soon as practicable but not later than five (5) Working Days from the date of receipt of the Customer's notice; and/or
  - (b) itself restore or procure the restoration of Customer Data, and shall be repaid by the Supplier any reasonable expenses incurred in doing so to the extent and in accordance with the requirements specified in Call Off Schedule 8 (Business Continuity and Disaster Recovery) or as otherwise required by the Customer.

### **34.3 Confidentiality**

- 34.3.1 For the purposes of Clause 34.3, the term “**Disclosing Party**” shall mean a Party which discloses or makes available directly or indirectly its Confidential Information and “**Recipient**” shall mean the Party which receives or obtains directly or indirectly Confidential Information.
- 34.3.2 Except to the extent set out in Clause 34.3 or where disclosure is expressly permitted elsewhere in this Call Off Contract, the Recipient shall:

- (a) treat the Disclosing Party's Confidential Information as confidential and keep it in secure custody (which is appropriate depending upon the form in which such materials are stored and the nature of the Confidential Information contained in those materials); and
- (b) not disclose the Disclosing Party's Confidential Information to any other person except as expressly set out in this Call Off Contract or without obtaining the owner's prior written consent;
- (c) not use or exploit the Disclosing Party's Confidential Information in any way except for the purposes anticipated under this Call Off Contract; and
- (d) immediately notify the Disclosing Party if it suspects or becomes aware of any unauthorised access, copying, use or disclosure in any form of any of the Disclosing Party's Confidential Information.

34.3.3 The Recipient shall be entitled to disclose the Confidential Information of the Disclosing Party where:

- (a) the Recipient is required to disclose the Confidential Information by Law, provided that Clause 34.4 (Transparency and Freedom of Information) shall apply to disclosures required under the FOIA or the EIRs;
- (b) the need for such disclosure arises out of or in connection with:
  - (i) any legal challenge or potential legal challenge against the Customer arising out of or in connection with this Call Off Contract;
  - (ii) the examination and certification of the Customer's accounts (provided that the disclosure is made on a confidential basis) or for any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Customer is making use of any Goods and/or Services provided under this Call Off Contract; or
  - (iii) the conduct of a Central Government Body review in respect of this Call Off Contract; or
- (c) the Recipient has reasonable grounds to believe that the Disclosing Party is involved in activity that may constitute a criminal offence under the Bribery Act 2010 and the disclosure is being made to the Serious Fraud Office;
- (d) such information was in the possession of the Disclosing Party without obligation of confidentiality prior to its disclosure by the information owner;
- (e) such information was obtained from a third party without obligation of confidentiality;
- (f) such information was already in the public domain at the time of disclosure otherwise than by a breach of this Contract or breach of a duty of confidentiality; and

- (g) the information is independently developed without access to the Disclosing Party's Confidential Information.

34.3.4 If the Recipient is required by Law to make a disclosure of Confidential Information, the Recipient shall as soon as reasonably practicable and to the extent permitted by Law notify the Disclosing Party of the full circumstances of the required disclosure including the relevant Law and/or regulatory body requiring such disclosure and the Confidential Information to which such disclosure would apply.

34.3.5 Subject to Clause 34.3.2, the Supplier may only disclose the Confidential Information of the Customer on a confidential basis to:

- (a) Supplier Personnel who are directly involved in the provision of the Goods and/or Services and need to know the Confidential Information to enable performance of the Supplier's obligations under this Call Off Contract; and
- (b) its professional advisers for the purposes of obtaining advice in relation to this Call Off Contract.

34.3.6 Where the Supplier discloses Confidential Information of the Customer pursuant to Clause 34.3.5, it shall remain responsible at all times for compliance with the confidentiality obligations set out in this Call Off Contract by the persons to whom disclosure has been made.

34.3.7 The Customer may disclose the Confidential Information of the Supplier:

- (a) to any Central Government Body on the basis that the information may only be further disclosed to Central Government Bodies;
- (b) to the British Parliament and any committees of the British Parliament or if required by any British Parliamentary reporting requirement;
- (c) to the extent that the Customer (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions;
- (d) on a confidential basis to a professional adviser, consultant, supplier or other person engaged by any of the entities described in Clause 34.3.7(a) (including any benchmarking organisation) for any purpose relating to or connected with this Call Off Contract;
- (e) on a confidential basis for the purpose of the exercise of its rights under this Call Off Contract; or
- (f) to a proposed transferee, assignee or novatee of, or successor in title to the Customer,

and for the purposes of the foregoing, references to disclosure on a confidential basis shall mean disclosure subject to a confidentiality agreement or arrangement containing terms no less stringent than those placed on the Customer under Clause 34.3.

34.3.8 Nothing in Clause 34.3 shall prevent a Recipient from using any techniques, ideas or Know-How gained during the performance of this Call Off Contract in the course of its normal business to the extent that this use does not result in a disclosure of the Disclosing Party's Confidential Information or an infringement of Intellectual Property Rights.

34.3.9 In the event that the Supplier fails to comply with Clauses 34.3.2 to 34.3.5, the Customer reserves the right to terminate this Call Off Contract for material Default.

#### **34.4 Transparency and Freedom of Information**

34.4.1 The Parties acknowledge that

- (a) the Transparency Reports; and
  - (b) the content of this Call Off Contract, including any changes to this Call Off Contract agreed from time to time, except for –
    - (i) any information which is exempt from disclosure in accordance with the provisions of the FOIA, which shall be determined by the Customer; and
    - (ii) Commercially Sensitive Information;
- (together the “Transparency Information”) are not Confidential Information.

34.4.2 Notwithstanding any other provision of this Call Off Contract, the Supplier hereby gives its consent for the Customer to publish to the general public the Transparency Information in its entirety (but with any information which is exempt from disclosure in accordance with the provisions of the FOIA redacted). The Customer shall, prior to publication, consult with the Supplier on the manner and format of publication and to inform its decision regarding any redactions but shall have the final decision in its absolute discretion.

34.4.3 The Supplier shall assist and co-operate with the Customer to enable the Customer to publish the Transparency Information, including the preparation of the Transparency Reports in accordance with Call Off Schedule 13 (Transparency Reports).

34.4.4 If the Customer believes that publication of any element of the Transparency Information would be contrary to the public interest, the Customer shall be entitled to exclude such information from publication. The Customer acknowledges that it would expect the public interest by default to be best served by publication of the Transparency Information in its entirety. Accordingly, the Customer acknowledges that it will only exclude Transparency Information from publication in exceptional circumstances and agrees that where it decides to exclude information from publication it will provide a clear explanation to the Supplier.

34.4.5 The Customer shall publish the Transparency Information in a format that assists the general public in understanding the relevance and completeness of the information being published to ensure the public obtain a fair view on how the Call Off Contract is being performed, having regard to the context of the wider commercial relationship with the Supplier.

34.4.6 The Supplier agrees that any Information it holds that is not included in the Transparency Reports but is reasonably relevant to or that arises from the provision of the Services shall be provided to the Customer on request unless the cost of doing so would exceed the appropriate limit prescribed under section 12 of the FOIA. The Customer may disclose such information under the FOIA and the EIRs and may (except for Commercially Sensitive Information, Confidential Information (subject to Clause 34.3.7(c)) and Open Book Data) publish such Information. The Supplier shall provide to the Customer within 5 working days (or such other period as the Customer may reasonably specify) any such Information requested by the Customer.

34.4.7 The Supplier acknowledges that the Customer is subject to the requirements of the FOIA and the EIRs. The Supplier shall:

- (a) provide all necessary assistance and cooperation as reasonably requested by the Customer to enable the Customer to comply with its Information disclosure obligations under the FOIA and EIRs;
- (b) transfer to the Customer all Requests for Information relating to this Call Off Contract that it receives as soon as practicable and in any event within two (2) Working Days of receipt;
- (c) provide the Customer with a copy of all Information held on behalf of the Customer requested in the Request for Information which is in its possession or control in the form that the Customer requires within five (5) Working Days (or such other period as the Customer may reasonably specify) of the Customer's request for such Information; and
- (d) not respond directly to a Request for Information addressed to the Customer unless authorised in writing to do so by the Customer.

34.4.8 The Supplier acknowledges that the Customer may be required under the FOIA and EIRs to disclose Information (including Commercially Sensitive Information) without consulting or obtaining consent from the Supplier. The Customer shall take reasonable steps to notify the Supplier of a Request for Information (in accordance with the Secretary of State's Section 45 Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the FOIA) to the extent that it is permissible and reasonably practical for it to do so but (notwithstanding any other provision in this Call Off Contract) the Customer shall be responsible for determining in its absolute discretion whether any Commercially Sensitive Information and/or any other information is exempt from disclosure in accordance with the FOIA and EIRs.

### **34.5 Protection of Personal Data**

34.5.1 Where any Personal Data are Processed in connection with the exercise of the Parties' rights and obligations under this Call Off Contract, the Parties acknowledge that the Customer is the Data Controller and that the Supplier is the Data Processor.

34.5.2 Notwithstanding clause 34.5.1 the Supplier shall comply with its obligations under the DPA.

34.5.3 The Supplier shall:

- (a) Process the Personal Data only in accordance with instructions from the Customer to perform its obligations under this Call Off Contract;
- (b) ensure that at all times it has in place appropriate technical and organisational measures to guard against unauthorised or unlawful Processing of the Personal Data and/or accidental loss, destruction, or damage to the Personal Data, including the measures as are set out in Clauses 34.1 (Security Requirements) and 34.2 (Protection of Customer Data);
- (c) not disclose or transfer the Personal Data to any third party or Supplier Personnel unless necessary for the provision of the Goods and/or Services and, for any disclosure or transfer of Personal Data to any third party, obtain the prior written

- consent of the Customer (save where such disclosure or transfer is specifically authorised under this Call Off Contract)
- (d) take reasonable steps to ensure the reliability and integrity of any Supplier Personnel who have access to the Personal Data and ensure that the Supplier Personnel:
    - (i) are aware of and comply with the Supplier's duties under Clause 34.5.3 and Clauses 34.1 (Security Requirements), 34.2 (Protection of Customer Data) and 34.3 (Confidentiality);
    - (ii) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Customer or as otherwise permitted by this Call Off Contract; and
    - (iii) have undergone adequate training in the use, care, protection and handling of personal data (as defined in the DPA);
  - (e) notify the Customer within five (5) Working Days if it receives:
    - (i) from a Data Subject (or third party on their behalf) a Data Subject Access Request (or purported Data Subject Access Request) a request to rectify, block or erase any Personal Data or any other request, complaint or communication relating to the Customer's obligations under the DPA;
    - (ii) any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data; or
    - (iii) a request from any third party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law;
  - (f) provide the Customer with full cooperation and assistance (within the timescales reasonably required by the Customer) in relation to any complaint, communication or request made (as referred to at Clause 34.5.3(e)), including by promptly providing:
    - (i) the Customer with full details and copies of the complaint, communication or request;
    - (ii) where applicable, such assistance as is reasonably requested by the Customer to enable the Customer to comply with the Data Subject Access Request within the relevant timescales set out in the DPA; and
    - (iii) the Customer, on request by the Customer, with any Personal Data it holds in relation to a Data Subject; and
  - (g) if requested by the Customer, provide a written description of the measures that has taken and technical and organisational security measures in place, for the purpose of compliance with its obligations pursuant to Clause 34.5.3 and provide to the Customer copies of all documentation relevant to such

compliance including, protocols, procedures, guidance, training and manuals.

34.5.4 The Supplier shall not Process or otherwise transfer any Personal Data in or to a Restricted Country. If, after the Call Off Commencement Date, the Supplier or any Sub-Contractor wishes to Process and/or transfer any Personal Data in or to any outside the European Economic Area, the following provisions shall apply:

- (a) the Supplier shall propose a Variation to the Customer which, if it is agreed by the Customer, shall be dealt with in accordance with the Variation Procedure and Clauses 34.5.4(b) to 34.5.4(c);
- (b) the Supplier shall set out in its proposal to the Customer for a Variation details of the following:
  - (i) the Personal Data which will be transferred to and/or Processed in or to any Restricted Countries;
  - (ii) the Restricted Countries to which the Personal Data will be transferred and/or Processed; and
  - (iii) any Sub-Contractors or other third parties who will be Processing and/or receiving Personal Data in Restricted Countries;
  - (iv) how the Supplier will ensure an adequate level of protection and adequate safeguards in respect of the Personal Data that will be Processed in and/or transferred to Restricted Countries so as to ensure the Customer's compliance with the DPA;
- (c) in providing and evaluating the Variation, the Parties shall ensure that they have regard to and comply with then-current Customer, Central Government Bodies and Information Commissioner Office policies, procedures, guidance and codes of practice on, and any approvals processes in connection with, the Processing in and/or transfers of Personal Data to any Restricted Countries; and
- (d) the Supplier shall comply with such other instructions and shall carry out such other actions as the Customer may notify in writing, including:
  - (i) incorporating standard and/or model clauses (which are approved by the European Commission as offering adequate safeguards under the DPA) into this Call Off Contract or a separate data processing agreement between the Parties; and
  - (ii) procuring that any Sub-Contractor or other third party who will be Processing and/or receiving or accessing the Personal Data in any Restricted Countries either enters into:
    - (A) a direct data processing agreement with the Customer on such terms as may be required by the Customer; or
    - (B) a data processing agreement with the Supplier on terms which are equivalent to those agreed

between the Customer and the Sub-Contractor relating to the relevant Personal Data transfer, and

- (iii) in each case which the Supplier acknowledges may include the incorporation of model contract provisions (which are approved by the European Commission as offering adequate safeguards under the DPA) and technical and organisation measures which the Customer deems necessary for the purpose of protecting Personal Data.

34.5.5 The Supplier shall use its reasonable endeavours to assist the Customer to comply with any obligations under the DPA. The Supplier shall not perform its obligations under this Call Off Contract in such a way as to cause the Customer to breach any of the Customer's obligations under the DPA to the extent the Supplier is aware, or ought reasonably to have been aware, that the same would be a breach of such obligations.

## **35. PUBLICITY AND BRANDING**

35.1 The Supplier shall not:

- 35.1.1 make any press announcements or publicise this Call Off Contract in any way; or
- 35.1.2 use the Customer's name or brand in any promotion or marketing or announcement of orders,
- 35.1.3 without Approval (the decision of the Customer to Approve or not shall not be unreasonably withheld or delayed).

35.2 Each Party acknowledges to the other that nothing in this Call Off Contract either expressly or by implication constitutes an endorsement of any products or services of the other Party (including the Goods and/or Services and Supplier Equipment) and each Party agrees not to conduct itself in such a way as to imply or express any such approval or endorsement.

## **I. LIABILITY AND INSURANCE**

### **36. LIABILITY**

36.1 Unlimited Liability

36.1.1 Neither Party excludes or limits its liability for:

- (a) death or personal injury caused by its negligence, or that of its employees, agents or Sub-Contractors (as applicable);
- (b) bribery or Fraud by it or its employees;
- (c) breach of any obligation 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 liability to the extent it cannot be excluded or limited by Law.

36.1.2 The Supplier does not exclude or limit its liability in respect of the indemnity in Clauses 33.9 (IPR Indemnity) and in each case whether before or after the making of a demand pursuant to the indemnity therein.

## 36.2 Financial Limits

36.2.1 Subject to Clause 36.1 (Unlimited Liability), the Supplier's total aggregate liability:

- (a) in respect of all:
  - (i) Service Credits; and
  - (ii) Compensation for Critical Service Level Failure;incurred in any rolling period of 12 Months shall be subject in aggregate to the Service Credit Cap;
- (b) in respect of all other Losses incurred by the Customer under or in connection with this Call Off Contract as a result of Defaults by the Supplier shall in no event exceed:
  - (i) in relation to any Defaults occurring from the Call Off Commencement Date to the end of the first Call Off Contract Year, the higher of ten million pounds (£10,000,000) or a sum equal to one hundred and fifty per cent (150%) of the Estimated Year 1 Call Off Contract Charges;
  - (ii) in relation to any Defaults occurring in each subsequent Call Off Contract Year that commences during the remainder of the Call Off Contract Period, the higher of ten million pounds (£10,000,000) in each such Call Off Contract Year or a sum equal to one hundred and fifty per cent (150%) of the Call Off Contract Charges payable to the Supplier under this Call Off Contract in the previous Call Off Contract Year; and
  - (iii) in relation to any Defaults occurring in each Call Off Contract Year that commences after the end of the Call Off Contract Period, the higher of ten million pounds (£10,000,000) in each such Call Off Contract Year or a sum equal to one hundred and fifty per cent (150%) of the Call Off Contract Charges payable to the Supplier under this Call Off Contract in the last Call Off Contract Year commencing during the Call Off Contract Period;

unless the Customer has specified different financial limits in the Call Off Order Form.

36.2.2 Subject to Clauses 36.1 (Unlimited Liability) and 36.2 (Financial Limits) and without prejudice to its obligation to pay the undisputed Call Off Contract Charges as and when they fall due for payment, the Customer's total aggregate liability in respect of all Losses as a result of Customer Causes shall be limited to:

- (a) in relation to any Customer Causes occurring from the Call Off Commencement Date to the end of the first Call Off Contract Year, a sum equal to the Estimated Year 1 Call Off Contract Charges;
- (b) in relation to any Customer Causes occurring in each subsequent Call Off Contract Year that commences during the remainder of the Call Off Contract Period, a sum equal to the Call Off Contract Charges payable to the Supplier under this Call Off Contract in the previous Call Off Contract Year; and

- (c) in relation to any Customer Causes occurring in each Call Off Contract Year that commences after the end of the Call Off Contract Period, a sum equal to the Call Off Contract Charges payable to the Supplier under this Call Off Contract in the last Call Off Contract Year commencing during the Call Off Contract Period.

### 36.3 Non-recoverable Losses

36.3.1 Subject to Clause 36.1 (Unlimited Liability) neither Party shall be liable to the other Party for any:

- (a) indirect, special or consequential Loss;
- (b) loss of profits, turnover, savings, business opportunities or damage to goodwill (in each case whether direct or indirect).

### 36.4 Recoverable Losses

36.4.1 Subject to Clause 36.2 (Financial Limits), and notwithstanding Clause 36.3 (Non-recoverable Losses), the Supplier acknowledges that the Customer may, amongst other things, recover from the Supplier the following Losses incurred by the Customer to the extent that they arise as a result of a Default by the Supplier:

- (a) any additional operational and/or administrative costs and expenses incurred by the Customer, including costs relating to time spent by or on behalf of the Customer in dealing with the consequences of the Default;
- (b) any wasted expenditure or charges;
- (c) the additional cost of procuring Replacement Goods and/or Services for the remainder of the Call Off Contract Period and/or replacement Deliverables, which shall include any incremental costs associated with such Replacement Goods and/or Services and/or replacement Deliverables above those which would have been payable under this Call Off Contract;
- (d) any compensation or interest paid to a third party by the Customer; and
- (e) any fine, penalty or costs incurred by the Customer pursuant to Law.

### 36.5 Miscellaneous

36.5.1 Each Party shall use all reasonable endeavours to mitigate any loss or damage suffered arising out of or in connection with this Call Off Contract.

36.5.2 Any Deductions shall not be taken into consideration when calculating the Supplier's liability under Clause 36.2 (Financial Limits).

36.5.3 Subject to any rights of the Customer under this Call Off Contract (including in respect of an IPR Claim), any claims by a third party where an indemnity is sought by that third party from a Party to this Call Off Contract shall be dealt with in accordance with the provisions of Framework Schedule 20 (Conduct of Claims).

## 37. INSURANCE

37.1 This Clause 37 will only apply where specified in the Call Off Order Form or elsewhere in this Call Off Contract.

- 37.2 Notwithstanding any benefit to the Customer of the policy or policies of insurance referred to in Clause 31 (Insurance) of the Framework Agreement, the Supplier shall effect and maintain such further policy or policies of insurance or extensions to such existing policy or policies of insurance procured under the Framework Agreement in respect of all risks which may be incurred by the Supplier arising out of its performance of its obligations under this Call Off Contract.
- 37.3 Without limitation to the generality of Clause 37.2 the Supplier shall ensure that it maintains the policy or policies of insurance as stipulated in the Call Off Order Form.
- 37.4 The Supplier shall effect and maintain the policy or policies of insurance referred to in Clause 37 for six (6) years after the Call Off Expiry Date.
- 37.5 The Supplier shall give the Customer, on request, copies of all insurance policies referred to in Clause 37 or a broker's verification of insurance to demonstrate that the appropriate cover is in place, together with receipts or other evidence of payment of the latest premiums due under those policies.
- 37.6 If, for whatever reason, the Supplier fails to give effect to and maintain the insurance policies required under Clause 37 the Customer may make alternative arrangements to protect its interests and may recover the premium and other costs of such arrangements as a debt due from the Supplier.
- 37.7 The provisions of any insurance or the amount of cover shall not relieve the Supplier of any liability under this Call Off Contract. It shall be the responsibility of the Supplier to determine the amount of insurance cover that will be adequate to enable the Supplier to satisfy any liability in relation to the performance of its obligations under this Call Off Contract.
- 37.8 The Supplier shall ensure that nothing is done which would entitle the relevant insurer to cancel, rescind or suspend any insurance or cover, or to treat any insurance, cover or claim as voided in whole or part. The Supplier shall use all reasonable endeavours to notify the Customer (subject to third party confidentiality obligations) as soon as practicable when it becomes aware of any relevant fact, circumstance or matter which has caused, or is reasonably likely to provide grounds to, the relevant insurer to give notice to cancel, rescind, suspend or void any insurance, or any cover or claim under any insurance in whole or in part.

## **J. REMEDIES AND RELIEF**

### **38. CUSTOMER REMEDIES FOR DEFAULT**

#### **38.1 Remedies**

- 38.1.1 Without prejudice to any other right or remedy of the Customer howsoever arising (including under Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring)) and subject to the exclusive financial remedy provisions in Clauses 13.6 (Service Levels and Service Credits) and 6.4.1(b) (Delay Payments), if the Supplier commits any Default of this Call Off Contract then the Customer may (whether or not any part of the Goods and/or Services have been Delivered) do any of the following:
- (a) at the Customer's option, give the Supplier the opportunity (at the Supplier's expense) to remedy the Default together with any damage resulting from such Default (where such Default is capable of remedy) or to supply Replacement Goods and/or Services and carry out any other necessary work to ensure that

the terms of this Call Off Contract are fulfilled, in accordance with the Customer's instructions;

- (b) carry out, at the Supplier's expense, any work necessary to make the provision of the Goods and/or Services comply with this Call Off Contract;
- (c) if the Default is a material Default that is capable of remedy (and for these purposes a material Default may be a single material Default or a number of Defaults or repeated Defaults - whether of the same or different obligations and regardless of whether such Defaults are remedied - which taken together constitute a material Default):
  - (i) instruct the Supplier to comply with the Rectification Plan Process;
  - (ii) suspend this Call Off Contract (whereupon the relevant provisions of Clause 44 (Partial Termination, Suspension and Partial Suspension) shall apply) and step-in to itself supply or procure a third party to supply (in whole or in part) the Goods and/or Services;
  - (iii) without terminating or suspending the whole of this Call Off Contract, terminate or suspend this Call Off Contract in respect of part of the provision of the Goods and/or Services only (whereupon the relevant provisions of Clause 44 (Partial Termination, Suspension and Partial Suspension) shall apply) and step-in to itself supply or procure a third party to supply (in whole or in part) such part of the Good and/or Services;

38.1.2 Where the Customer exercises any of its step-in rights under Clauses 38.1.1(c)(ii) or 38.1.1(c)(iii), the Customer shall have the right to charge the Supplier for and the Supplier shall on demand pay any costs reasonably incurred by the Customer (including any reasonable administration costs) in respect of the supply of any part of the Goods and/or Services by the Customer or a third party and provided that the Customer uses its reasonable endeavours to mitigate any additional expenditure in obtaining Replacement Goods and/or Replacement Goods and/or Services.

## 38.2 Rectification Plan Process

38.2.1 Where the Customer has instructed the Supplier to comply with the Rectification Plan Process pursuant to Clause 38.1.1(c)(i):

- (a) the Supplier shall submit a draft Rectification Plan to the Customer for it to review as soon as possible and in any event within 10 (ten) Working Days (or such other period as may be agreed between the Parties) from the date of Customer's instructions. The Supplier shall submit a draft Rectification Plan even if the Supplier disputes that it is responsible for the Default giving rise to the Customer's request for a draft Rectification Plan.
- (b) the draft Rectification Plan shall set out:
  - (i) full details of the Default that has occurred, including a cause analysis;

- (ii) the actual or anticipated effect of the Default; and
- (iii) the steps which the Supplier proposes to take to rectify the Default (if applicable) and to prevent such Default from recurring, including timescales for such steps and for the rectification of the Default (where applicable).

38.2.2 The Supplier shall promptly provide to the Customer any further documentation that the Customer requires to assess the Supplier's root cause analysis. If the Parties do not agree on the root cause set out in the draft Rectification Plan, either Party may refer the matter to be determined by an expert in accordance with paragraph 5 of this Call Off Schedule 11 (Dispute Resolution Procedure).

38.2.3 The Customer may reject the draft Rectification Plan by notice to the Supplier if, acting reasonably, it considers that the draft Rectification Plan is inadequate, for example because the draft Rectification Plan:

- (a) is insufficiently detailed to be capable of proper evaluation;
- (b) will take too long to complete;
- (c) will not prevent reoccurrence of the Default; and/or
- (d) will rectify the Default but in a manner which is unacceptable to the Customer.

38.2.4 The Customer shall notify the Supplier whether it consents to the draft Rectification Plan as soon as reasonably practicable. If the Customer rejects the draft Rectification Plan, the Customer shall give reasons for its decision and the Supplier shall take the reasons into account in the preparation of a revised Rectification Plan. The Supplier shall submit the revised draft of the Rectification Plan to the Customer for review within five (5) Working Days (or such other period as agreed between the Parties) of the Customer's notice rejecting the first draft.

38.2.5 If the Customer consents to the Rectification Plan, the Supplier shall immediately start work on the actions set out in the Rectification Plan.

### **39. SUPPLIER RELIEF DUE TO CUSTOMER CAUSE**

39.1 If the Supplier has failed to:

- 39.1.1 Achieve a Milestone by its Milestone Date;
- 39.1.2 provide the Goods and/or Services in accordance with the Service Levels;
- 39.1.3 comply with its obligations under this Call Off Contract,

(each a "Supplier Non-Performance"),

and can demonstrate that the Supplier Non-Performance would not have occurred but for a Customer Cause, then (subject to the Supplier fulfilling its obligations in Clause 17 (Supplier Notification of Customer Cause)):

- (a) the Supplier shall not be treated as being in breach of this Call Off Contract to the extent the Supplier can demonstrate that the Supplier Non-Performance was caused by the Customer Cause;
- (b) the Customer shall not be entitled to exercise any rights that may arise as a result of that Supplier Non-Performance to terminate this Call Off Contract pursuant to Clause 41 (Customer Termination Rights) except Clause 41.7 (Termination Without Cause);

- (c) where the Supplier Non-Performance constitutes the failure to Achieve a Milestone by its Milestone Date:
  - (i) the Milestone Date shall be postponed by a period equal to the period of Delay that the Supplier can demonstrate was caused by the Customer Cause;
  - (ii) if the Customer, acting reasonably, considers it appropriate, the Implementation Plan shall be amended to reflect any consequential revisions required to subsequent Milestone Dates resulting from the Customer Cause;
  - (iii) if failure to Achieve a Milestone attracts a Delay Payment, the Supplier shall have no liability to pay any such Delay Payment associated with the Milestone to the extent that the Supplier can demonstrate that such failure was caused by the Customer Cause; and/or
- (d) where the Supplier Non-Performance constitutes a Service Level Failure:
  - (i) the Supplier shall not be liable to accrue Service Credits;
  - (ii) the Customer shall not be entitled to any Compensation for Critical Service Level Failure pursuant to Clause 14 (Critical Service Level Failure); and
  - (iii) the Supplier shall be entitled to invoice for the Call Off Contract Charges for the provision of the relevant Goods and/or Services affected by the Customer Cause,

in each case, to the extent that the Supplier can demonstrate that the Service Level Failure was caused by the Customer Cause.

39.2 In order to claim any of the rights and/or relief referred to in Clause 39.1, the Supplier shall:

39.2.1 comply with its obligations under Clause 17 (Notification of Customer Cause); and

39.2.2 within ten (10) Working Days of becoming aware that a Customer Cause has caused, or is likely to cause, a Supplier Non-Performance, give the Customer notice (a “**Relief Notice**”) setting out details of:

- (a) the Supplier Non-Performance;
- (b) the Customer Cause and its effect on the Supplier’s ability to meet its obligations under this Call Off Contract; and
- (c) the relief claimed by the Supplier.

39.3 Following the receipt of a Relief Notice, the Customer shall as soon as reasonably practicable consider the nature of the Supplier Non-Performance and the alleged Customer Cause and whether it agrees with the Supplier’s assessment set out in the Relief Notice as to the effect of the relevant Customer Cause and its entitlement to relief, consulting with the Supplier where necessary.

39.4 Without prejudice to Clauses 8.6 (Continuing obligation to provide the Services) and 9.11 (Continuing obligation to provide the Goods), if a Dispute arises as to:

- 39.4.1 whether a Supplier Non-Performance would not have occurred but for a Customer Cause; and/or
- 39.4.2 the nature and/or extent of the relief claimed by the Supplier,  
either Party may refer the Dispute to the Dispute Resolution Procedure. Pending the resolution of the Dispute, both Parties shall continue to resolve the causes of, and mitigate the effects of, the Supplier Non-Performance.
- 39.5 Any Variation that is required to the Implementation Plan or to the Call Off Contract Charges pursuant to Clause 39 shall be implemented in accordance with the Variation Procedure.

#### **40. FORCE MAJEURE**

- 40.1 Subject to the remainder of Clause 40 (and, in relation to the Supplier, subject to its compliance with any obligations in Clause 15 (Business Continuity and Disaster Recovery)), a Party may claim relief under Clause 40 from liability for failure to meet its obligations under this Call Off Contract for as long as and only to the extent that the performance of those obligations is directly affected by a Force Majeure Event. Any failure or delay by the Supplier in performing its obligations under this Call Off Contract which results from a failure or delay by an agent, Sub-Contractor or supplier shall be regarded as due to a Force Majeure Event only if that agent, Sub-Contractor or supplier is itself impeded by a Force Majeure Event from complying with an obligation to the Supplier.
- 40.2 The Affected Party shall as soon as reasonably practicable issue a Force Majeure Notice, which shall include details of the Force Majeure Event, its effect on the obligations of the Affected Party and any action the Affected Party proposes to take to mitigate its effect.
- 40.3 If the Supplier is the Affected Party, it shall not be entitled to claim relief under Clause 40 to the extent that consequences of the relevant Force Majeure Event:
- 40.3.1 are capable of being mitigated by any of the provision of any Goods and/or Services, including any BCDR Goods and/or Services, but the Supplier has failed to do so; and/or
- 40.3.2 should have been foreseen and prevented or avoided by a prudent provider of goods and/or services similar to the Goods and/or Services, operating to the standards required by this Call Off Contract.
- 40.4 Subject to Clause 40.5, as soon as practicable after the Affected Party issues the Force Majeure Notice, and at regular intervals thereafter, the Parties shall consult in good faith and use reasonable endeavours to agree any steps to be taken and an appropriate timetable in which those steps should be taken, to enable continued provision of the Goods and/or Services affected by the Force Majeure Event.
- 40.5 The Parties shall at all times following the occurrence of a Force Majeure Event and during its subsistence use their respective reasonable endeavours to prevent and mitigate the effects of the Force Majeure Event. Where the Supplier is the Affected Party, it shall take all steps in accordance with Good Industry Practice to overcome or minimise the consequences of the Force Majeure Event.
- 40.6 Where, as a result of a Force Majeure Event:
- 40.6.1 an Affected Party fails to perform its obligations in accordance with this Call Off Contract, then during the continuance of the Force Majeure Event:
- (a) the other Party shall not be entitled to exercise any rights to terminate this Call Off Contract in whole or in part as a result of

such failure unless the provision of the Goods and/or Services is materially impacted by a Force Majeure Event which endures for a continuous period of more than ninety (90) days; and

- (b) the Supplier shall not be liable for any Default and the Customer shall not be liable for any Customer Cause arising as a result of such failure;

40.6.2 the Supplier fails to perform its obligations in accordance with this Call Off Contract:

- (a) the Customer shall not be entitled:
  - (i) during the continuance of the Force Majeure Event to exercise its step-in rights under Clause 38.1.1(b) and 38.1.1(c) (Customer Remedies for Default) as a result of such failure;
  - (ii) to receive Delay Payments pursuant to Clause 6.4 (Delay Payments) to the extent that the Achievement of any Milestone is affected by the Force Majeure Event; and
  - (iii) to receive Service Credits or withhold and retain any of the Call Off Contract Charges as Compensation for Critical Service Level Failure pursuant to Clause 14 (Critical Service Level Failure) to the extent that a Service Level Failure or Critical Service Level Failure has been caused by the Force Majeure Event; and
- (b) the Supplier shall be entitled to receive payment of the Call Off Contract Charges (or a proportional payment of them) only to the extent that the Goods and/or Services (or part of the Goods and/or Services) continue to be provided in accordance with the terms of this Call Off Contract during the occurrence of the Force Majeure Event.

40.7 The Affected Party shall notify the other Party as soon as practicable after the Force Majeure Event ceases or no longer causes the Affected Party to be unable to comply with its obligations under this Call Off Contract.

40.8 Relief from liability for the Affected Party under Clause 40 shall end as soon as the Force Majeure Event no longer causes the Affected Party to be unable to comply with its obligations under this Call Off Contract and shall not be dependent on the serving of notice under Clause 40.7.

## **K. TERMINATION AND EXIT MANAGEMENT**

### **41. CUSTOMER TERMINATION RIGHTS**

#### 41.1 Termination in Relation to Call Off Guarantee

41.1.1 Where this Call Off Contract is conditional upon the Supplier procuring a Call Off Guarantee pursuant to Clause 4 (Call Off Guarantee), the Customer may terminate this Call Off Contract by issuing a Termination Notice to the Supplier where:

- (a) the Call Off Guarantor withdraws the Call Off Guarantee for any reason whatsoever;
- (b) the Call Off Guarantor is in breach or anticipatory breach of the Call Off Guarantee;

- (c) an Insolvency Event occurs in respect of the Call Off Guarantor; or
  - (d) the Call Off Guarantee becomes invalid or unenforceable for any reason whatsoever,
- and in each case the Call Off Guarantee (as applicable) is not replaced by an alternative guarantee agreement acceptable to the Customer; or
- (e) the Supplier fails to provide the documentation required by Clause 4.1 by the date so specified by the Customer.

#### 41.2 Termination on Material Default

41.2.1 The Customer may terminate this Call Off Contract for material Default by issuing a Termination Notice to the Supplier where:

- (a) the Supplier commits a Critical Service Level Failure;
- (b) the representation and warranty given by the Supplier pursuant to Clause 3.2.5 (Representations and Warranties) is materially untrue or misleading, and the Supplier fails to provide details of proposed mitigating factors which in the reasonable opinion of the Customer are acceptable;
- (c) as a result of any Defaults, the Customer incurs Losses in any Contract Year which exceed 80% (unless stated differently in the Call Off Order Form) of the value of the Supplier's aggregate annual liability limit for that Contract Year as set out in Clauses 36.2.1(a) and 36.2.1(b) (Liability);
- (d) the Customer expressly reserves the right to terminate this Call Off Contract for material Default, including pursuant to any of the following Clauses: 6.2.3 (Implementation Plan), 8.4.2 (Services), 9.4.2 and 9.6.1 (Goods), 10.3 (Installation Works), 14.1 (Critical Service Level Failure), 16.4 (Disruption), 21.5 (Records, Audit Access and Open Book Data), 24 (Promoting Tax Compliance), 34.3.9 (Confidentiality), 50.6.2 (Prevention of Fraud and Bribery), Paragraph 1.2.4 of the Annex to Part A and Paragraph 1.2.4 of the Annex to Part B of Call Off Schedule 10 (Staff Transfer);
- (e) the Supplier commits any material Default of this Call Off Contract which is not, in the reasonable opinion of the Customer, capable of remedy; and/or
- (f) the Supplier commits a Default, including a material Default, which in the opinion of the Customer is remediable but has not remedied such Default to the satisfaction of the Customer in accordance with the Rectification Plan Process.

41.2.2 For the purpose of Clause 41.2.1, a material Default may be a single material Default or a number of Defaults or repeated Defaults (whether of the same or different obligations and regardless of whether such Defaults are remedied) which taken together constitute a material Default.

#### 41.3 Termination in Relation to Financial Standing

41.3.1 The Customer may terminate this Call Off Contract by issuing a Termination Notice to the Supplier where in the reasonable opinion of the Customer there is a

material detrimental change in the financial standing and/or the credit rating of the Supplier which:

- (a) adversely impacts on the Supplier's ability to supply the Goods and/or Services under this Call Off Contract; or
- (b) could reasonably be expected to have an adverse impact on the Suppliers ability to supply the Goods and/or Services under this Call Off Contract.

#### 41.4 Termination on Insolvency

41.4.1 The Customer may terminate this Call Off Contract by issuing a Termination Notice to the Supplier where an Insolvency Event affecting the Supplier occurs.

#### 41.5 Termination on Change of Control

41.5.1 The Supplier shall notify the Customer immediately in writing and as soon as the Supplier is aware (or ought reasonably to be aware) that it is anticipating, undergoing, undergoes or has undergone a Change of Control and provided such notification does not contravene any Law.

41.5.2 The Supplier shall ensure that any notification made pursuant to Clause 41.5.1 shall set out full details of the Change of Control including the circumstances suggesting and/or explaining the Change of Control.

41.5.3 The Customer may terminate this Call Off Contract by issuing a Termination Notice under Clause 41.5 to the Supplier within six (6) Months of:

- (a) being notified in writing that a Change of Control is anticipated or in contemplation or has occurred; or
- (b) where no notification has been made, the date that the Customer becomes aware that a Change of Control is anticipated or is in contemplation or has occurred,

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

#### 41.6 Termination for breach of Regulations

41.6.1 The Customer may terminate this Call Off Contract by issuing a Termination Notice to the Supplier on the occurrence of any of the statutory provisos contained in Regulation 73 (1) (a) to (c).

#### 41.7 Termination Without Cause

41.7.1 The Customer shall have the right to terminate this Call Off Contract at any time by issuing a Termination Notice to the Supplier giving at least thirty (30) Working Days written notice (unless stated differently in the Call Off Order Form).

#### 41.8 Termination in Relation to Framework Agreement

41.8.1 The Customer may terminate this Call Off Contract by issuing a Termination Notice to the Supplier if the Framework Agreement is terminated for any reason whatsoever.

#### 41.9 Termination In Relation to Benchmarking

41.9.1 The Customer may terminate this Call Off Contract by issuing a Termination Notice to the Supplier if the Supplier refuses or fails to comply with its obligations as set out in paragraphs 1 and 2 of Framework Schedule 12 (Continuous Improvement and Benchmarking).

#### 41.10 Termination in Relation to Variation

41.10.1 The Customer may terminate this Call Off Contract by issuing a Termination Notice to the Supplier for failure of the Parties to agree or the Supplier to implement a Variation in accordance with the Variation Procedure.

## **42. SUPPLIER TERMINATION RIGHTS**

### 42.1 Termination on Customer Cause for Failure to Pay

42.1.1 The Supplier may, by issuing a Termination Notice to the Customer, terminate this Call Off Contract if the Customer fails to pay an undisputed sum due to the Supplier under this Call Off Contract which in aggregate exceeds an amount equal to one month's average Call Off Contract Charges (unless a different amount has been specified in the Call Off Order Form), for the purposes of this Clause 42.1.1 (the "**Undisputed Sums Limit**"), and the said undisputed sum due remains outstanding for forty (40) Working Days (the "**Undisputed Sums Time Period**") after the receipt by the Customer of a written notice of non-payment from the Supplier specifying:

- (a) the Customer's failure to pay; and
- (b) the correct overdue and undisputed sum; and
- (c) the reasons why the undisputed sum is due; and
- (d) the requirement on the Customer to remedy the failure to pay; and

this Call Off Contract shall then terminate on the date specified in the Termination Notice (which shall not be less than twenty (20) Working Days from the date of the issue of the Termination Notice), save that such right of termination shall not apply where the failure to pay is due to the Customer exercising its rights under this Call Off Contract including Clause 23.3 (Retention and Set off).

42.1.2 The Supplier shall not suspend the supply of the Goods and/or Services for failure of the Customer to pay undisputed sums of money (whether in whole or in part).

## **43. TERMINATION BY EITHER PARTY**

### 43.1 Termination for continuing Force Majeure Event

43.1.1 Either Party may, by issuing a Termination Notice to the other Party, terminate this Call Off Contract in accordance with Clause 40.6.1(a) (Force Majeure).

## **44. PARTIAL TERMINATION, SUSPENSION AND PARTIAL SUSPENSION**

44.1 Where the Customer has the right to terminate this Call Off Contract, the Customer shall be entitled to terminate or suspend all or part of this Call Off Contract provided always that, if the Customer elects to terminate or suspend this Call Off Contract in part, the parts of this Call Off Contract not terminated or suspended can, in the Customer's reasonable opinion, operate effectively to deliver the intended purpose of the surviving parts of this Call Off Contract.

44.2 Any suspension of this Call Off Contract under Clause 44.1 shall be for such period as the Customer may specify and without prejudice to any right of termination which has already accrued, or subsequently accrues, to the Customer.

44.3 The Parties shall seek to agree the effect of any Variation necessitated by a partial termination, suspension or partial suspension in accordance with the Variation Procedure, including the effect that the partial termination, suspension or

partial suspension may have on the provision of any other Goods and/or Services and the Call Off Contract Charges, provided that the Supplier shall not be entitled to:

44.3.1 an increase in the Call Off Contract Charges in respect of the provision of the Goods and/or Services that have not been terminated if the partial termination arises due to the exercise of any of the Customer's termination rights under Clause 41 (Customer Termination Rights) except Clause 41.7 (Termination Without Cause); and

44.3.2 reject the Variation.

## **45. CONSEQUENCES OF EXPIRY OR TERMINATION**

45.1 Consequences of termination under Clauses 41.1 (Termination in Relation to Guarantee), 41.2 (Termination on Material Default), 41.3 (Termination in Relation to Financial Standing), 41.8 (Termination in Relation to Framework Agreement), 41.9 (Termination in Relation to Benchmarking) and 41.10 (Termination in Relation to Variation)

45.1.1 Where the Customer:

- (a) terminates (in whole or in part) this Call Off Contract under any of the Clauses referred to in Clause 45.1; and
- (b) then makes other arrangements for the supply of the Goods and/or Services,

the Customer may recover from the Supplier the cost reasonably incurred of making those other arrangements and any additional expenditure incurred by the Customer throughout the remainder of the Call Off Contract Period provided that Customer shall take all reasonable steps to mitigate such additional expenditure. No further payments shall be payable by the Customer to the Supplier until the Customer has established the final cost of making those other arrangements.

45.2 Consequences of termination under Clauses 41.7 (Termination without Cause) and 42.1 (Termination on Customer Cause for Failure to Pay)

45.2.1 Where:

- (a) the Customer terminates (in whole or in part) this Call Off Contract under Clause 41.7 (Termination without Cause); or
- (b) the Supplier terminates this Call Off Contract pursuant to Clause 42.1 (Termination on Customer Cause for Failure to Pay),

the Customer shall indemnify the Supplier against any reasonable and proven Losses which would otherwise represent an unavoidable loss by the Supplier by reason of the termination of this Call Off Contract, provided that the Supplier takes all reasonable steps to mitigate such Losses. The Supplier shall submit a fully itemised and costed list of such Losses, with supporting evidence including such further evidence as the Customer may require, reasonably and actually incurred by the Supplier as a result of termination under Clause 41.7 (Termination without Cause).

45.2.2 The Customer shall not be liable under Clause 45.2.1 to pay any sum which:

- (a) was claimable under insurance held by the Supplier, and the Supplier has failed to make a claim on its insurance, or has failed to make a claim in accordance with the procedural requirements of the insurance policy; or
- (b) when added to any sums paid or due to the Supplier under this Call Off Contract, exceeds the total sum that would have been payable to the Supplier if this Call Off Contract had not been terminated.

#### 45.3 Consequences of termination under Clause 43.1 (Termination for Continuing Force Majeure Event)

45.3.1 The costs of termination incurred by the Parties shall lie where they fall if either Party terminates or partially terminates this Call Off Contract for a continuing Force Majeure Event pursuant to Clause 43.1 (Termination for Continuing Force Majeure Event).

#### 45.4 Consequences of Termination for Any Reason

45.4.1 Save as otherwise expressly provided in this Call Off Contract:

- (a) termination or expiry of this Call Off Contract shall be without prejudice to any rights, remedies or obligations accrued under this Call Off Contract prior to termination or expiration and nothing in this Call Off Contract shall prejudice the right of either Party to recover any amount outstanding at the time of such termination or expiry; and
- (b) termination of this Call Off Contract shall not affect the continuing rights, remedies or obligations of the Customer or the Supplier under Clauses 21 (Records, Audit Access & Open Book Data), 33 (Intellectual Property Rights), 34.3 (Confidentiality), 34.4 (Transparency and Freedom of Information) 34.5 (Protection of Personal Data), 36 (Liability), 45 (Consequences of Expiry or Termination), 51 (Severance), 53 (Entire Agreement), 54 (Third Party Rights) 56 (Dispute Resolution) and 57 (Governing Law and Jurisdiction), and the provisions of Call Off Schedule 1 (Definitions), Call Off Schedule 3 (Call Off Contract Charges, Payment and Invoicing), Call Off Schedule 9 (Exit Management), Call Off Schedule 10 (Staff Transfer), Call Off Schedule 11 (Dispute Resolution Procedure) and, without limitation to the foregoing, any other provision of this Call Off Contract which expressly or by implication is to be performed or observed notwithstanding termination or expiry shall survive the Call Off Expiry Date.

#### 45.5 Exit management

45.5.1 The Parties shall comply with the exit management provisions set out in Call Off Schedule 9 (Exit Management).

### **L. MISCELLANEOUS AND GOVERNING LAW**

#### **46. COMPLIANCE**

##### 46.1 Health and Safety

46.1.1 The Supplier shall perform its obligations under this Call Off Contract (including those in relation to the Goods and/or Services) in accordance with:

- (a) all applicable Law regarding health and safety; and
- (b) the Customer's health and safety policy (as provided to the Supplier from time to time) whilst at the Customer Premises.

46.1.2 Each Party shall promptly notify the other of as soon as possible of any health and safety incidents or material health and safety hazards at the Customer Premises of which it becomes aware and which relate to or arise in connection with the performance of this Call Off Contract

46.1.3 While on the Customer Premises, the Supplier shall comply with any health and safety measures implemented by the Customer in respect of Supplier Personnel and other persons working there and any instructions from the Customer on any necessary associated safety measures.

#### 46.2 Equality and Diversity

46.2.1 The Supplier shall:

- (a) perform its obligations under this Call Off Contract (including those in relation to provision of the Goods and/or Services) in accordance with:
  - (i) all applicable equality Law (whether in relation to race, sex, gender reassignment, religion or belief, disability, sexual orientation, pregnancy, maternity, age or otherwise); and
  - (ii) any other requirements and instructions which the Customer reasonably imposes in connection with any equality obligations imposed on the Customer at any time under applicable equality Law;
- (b) take all necessary steps, and inform the Customer of the steps taken, to prevent unlawful discrimination designated as such by any court or tribunal, or the Equality and Human Rights Commission or (any successor organisation).

#### 46.3 Official Secrets Act and Finance Act

46.3.1 The Supplier shall comply with the provisions of:

- (a) the Official Secrets Acts 1911 to 1989; and
- (b) section 182 of the Finance Act 1989.

#### 46.4 Environmental Requirements

46.4.1 The Supplier shall, when working on the Sites, perform its obligations under this Call Off Contract in accordance with the Environmental Policy of the Customer.

46.4.2 The Customer shall provide a copy of its written Environmental Policy (if any) to the Supplier upon the Supplier's written request.

### 47. ASSIGNMENT AND NOVATION

47.1 The Supplier shall not assign, novate, Sub-Contract or otherwise dispose of or create any trust in relation to any or all of its rights, obligations or liabilities under this Call Off Contract or any part of it without Approval.

47.2 The Customer may assign, novate or otherwise dispose of any or all of its rights, liabilities and obligations under this Call Off Contract or any part thereof to:

47.2.1 any other Contracting Authority; or

- 47.2.2 any other body established by the Crown or under statute in order substantially to perform any of the functions that had previously been performed by the Customer; or
- 47.2.3 any private sector body which substantially performs the functions of the Customer,
- and the Supplier shall, at the Customer's request, enter into a novation agreement in such form as the Customer shall reasonably specify in order to enable the Customer to exercise its rights pursuant to this Clause 47.2.
- 47.3 A change in the legal status of the Customer shall not, subject to Clause 47.4 affect the validity of this Call Off Contract and this Call Off Contract shall be binding on any successor body to the Customer.
- 47.4 If the Customer assigns, novates or otherwise disposes of any of its rights, obligations or liabilities under this Call Off Contract to a private sector body in accordance with Clause 47.2.3 (the "Transferee" in the rest of this Clause 47.4) the right of termination of the Customer in Clause 41.4 (Termination on Insolvency) shall be available to the Supplier in the event of insolvency of the Transferee (as if the references to Supplier in Clause 41.4 (Termination on Insolvency) and to Supplier or Framework Guarantor or Call Off Guarantor in the definition of Insolvency Event were references to the Transferee).

#### **48. WAIVER AND CUMULATIVE REMEDIES**

- 48.1 The rights and remedies under this Call Off Contract may be waived only by notice in accordance with Clause 55 (Notices) and in a manner that expressly states that a waiver is intended. A failure or delay by a Party in ascertaining or exercising a right or remedy provided under this Call Off Contract or by Law shall not constitute a waiver of that right or remedy, nor shall it prevent or restrict the further exercise of that right or remedy.
- 48.2 Unless otherwise provided in this Call Off Contract, rights and remedies under this Call Off Contract are cumulative and do not exclude any rights or remedies provided by Law, in equity or otherwise.

#### **49. RELATIONSHIP OF THE PARTIES**

- 49.1 Except as expressly provided otherwise in this Call Off Contract, nothing in this Call Off Contract, nor any actions taken by the Parties pursuant to this Call Off Contract, shall create a partnership, joint venture or relationship of employer and employee or principal and agent between the Parties, or authorise either Party to make representations or enter into any commitments for or on behalf of any other Party.

#### **50. PREVENTION OF FRAUD AND BRIBERY**

- 50.1 The Supplier represents and warrants that neither it, nor to the best of its knowledge any Supplier Personnel, have at any time prior to the Call Off Commencement Date:
- 50.1.1 committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act; and/or
- 50.1.2 been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act.

50.2 The Supplier shall not during the Call Off Contract Period:

50.2.1 commit a Prohibited Act; and/or

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

50.3 The Supplier shall during the Call Off Contract Period:

50.3.1 establish, maintain and enforce, and require that its Sub-Contractors establish, maintain and enforce, policies and procedures which are adequate to ensure compliance with the Relevant Requirements and prevent the occurrence of a Prohibited Act;

50.3.2 keep appropriate records of its compliance with its obligations under Clause 50.3.1 and make such records available to the Customer on request;

50.3.3 if so required by the Customer, within twenty (20) Working Days of the Call Off Commencement Date, and annually thereafter, certify to the Customer in writing that the Supplier and all persons associated with it or its Sub-Contractors or other persons who are supplying the Goods and/or Services in connection with this Call Off Contract are compliant with the Relevant Requirements. The Supplier shall provide such supporting evidence of compliance as the Customer may reasonably request; and

50.3.4 have, maintain and where appropriate enforce an anti-bribery policy (which shall be disclosed to the Customer on request) to prevent it and any Supplier Personnel or any person acting on the Supplier's behalf from committing a Prohibited Act.

50.4 The Supplier shall immediately notify the Customer in writing if it becomes aware of any breach of Clause 50.1, or has reason to believe that it has or any of the Supplier Personnel have:

50.4.1 been subject to an investigation or prosecution which relates to an alleged Prohibited Act;

50.4.2 been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act; and/or

50.4.3 received a request or demand for any undue financial or other advantage of any kind in connection with the performance of this Call Off Contract or otherwise suspects that any person or Party directly or indirectly connected with this Call Off Contract has committed or attempted to commit a Prohibited Act.

50.5 If the Supplier makes a notification to the Customer pursuant to Clause 50.4, the Supplier shall respond promptly to the Customer's enquiries, co-operate with any investigation, and allow the Customer to audit any books, records and/or any other relevant documentation in accordance with Clause 21 (Records, Audit Access and Open Book Data).

50.6 If the Supplier breaches Clause 50.3, the Customer may by notice:

50.6.1 require the Supplier to remove from performance of this Call Off Contract any Supplier Personnel whose acts or omissions have caused the Supplier's breach; or

50.6.2 immediately terminate this Call Off Contract for material Default.

50.7 Any notice served by the Customer under Clause 50.4 shall specify the nature of the Prohibited Act, the identity of the Party who the Customer believes has

committed the Prohibited Act and the action that the Customer has elected to take (including, where relevant, the date on which this Call Off Contract shall terminate).

## **51. SEVERANCE**

51.1 If any provision of this Call Off Contract (or part of any provision) is held to be void or otherwise unenforceable by any court of competent jurisdiction, such provision (or part) shall to the extent necessary to ensure that the remaining provisions of this Call Off Contract are not void or unenforceable be deemed to be deleted and the validity and/or enforceability of the remaining provisions of this Call Off Contract shall not be affected.

51.2 In the event that any deemed deletion under Clause 51.1 is so fundamental as to prevent the accomplishment of the purpose of this Call Off Contract or materially alters the balance of risks and rewards in this Call Off Contract, either Party may give notice to the other Party requiring the Parties to commence good faith negotiations to amend this Call Off Contract so that, as amended, it is valid and enforceable, preserves the balance of risks and rewards in this Call Off Contract and, to the extent that is reasonably practicable, achieves the Parties' original commercial intention.

51.3 If the Parties are unable to resolve the Dispute arising under Clause 51 within twenty (20) Working Days of the date of the notice given pursuant to Clause 51.2, this Call Off Contract shall automatically terminate with immediate effect. The costs of termination incurred by the Parties shall lie where they fall if this Call Off Contract is terminated pursuant to Clause 51.

## **52. FURTHER ASSURANCES**

52.1 Each Party undertakes at the request of the other, and at the cost of the requesting Party to do all acts and execute all documents which may be necessary to give effect to the meaning of this Call Off Contract.

## **53. ENTIRE AGREEMENT**

53.1 This Call Off Contract and the documents referred to in it constitute the entire agreement between the Parties in respect of the matter and supersede and extinguish all prior negotiations, course of dealings or agreements made between the Parties in relation to its subject matter, whether written or oral.

53.2 Neither Party has been given, nor entered into this Call Off Contract in reliance on, any warranty, statement, promise or representation other than those expressly set out in this Call Off Contract.

53.3 Nothing in Clause 53 shall exclude any liability in respect of misrepresentations made fraudulently.

## **54. THIRD PARTY RIGHTS**

54.1 The provisions of paragraphs 2.1 and 2.6 of Part A, paragraphs 2.1, 2.6, 3.1 and 3.3 of Part B, paragraphs 2.1 and 2.3 of Part C and paragraphs and 1.4, 2.3 and 2.8 of Part D of Call Off Schedule 10 (Staff Transfer) and the provisions of paragraph 9.9 of Call Off Schedule 9 (Exit Management) (together "**Third Party Provisions**") confer benefits on persons named in such provisions other than the Parties (each such person a "**Third Party Beneficiary**") and are intended to be enforceable by Third Parties Beneficiaries by virtue of the CRTPA.

54.2 Subject to Clause 54.1, a person who is not a Party to this Call Off Contract has no right under the CTRPA to enforce any term of this Call Off Contract but this does not affect any right or remedy of any person which exists or is available otherwise than pursuant to that Act.

54.3 No Third Party Beneficiary may enforce, or take any step to enforce, any Third Party Provision without the prior written consent of the Customer, which may, if given, be given on and subject to such terms as the Customer may determine.

54.4 Any amendments or modifications to this Call Off Contract may be made, and any rights created under Clause 54.1 may be altered or extinguished, by the Parties without the consent of any Third Party Beneficiary.

**55. NOTICES**

55.1 Except as otherwise expressly provided within this Call Off Contract, any notices sent under this Call Off Contract must be in writing. For the purpose of Clause 55, an e-mail is accepted as being "in writing".

55.2 Subject to Clause 55.3, the following table sets out the method by which notices may be served under this Call Off Contract and the respective deemed time and proof of service:

Manner of delivery	Deemed time of delivery	Proof of Service
Email (Subject to Clauses 55.3 and 55.4)	9.00am on the first Working Day after sending	Dispatched as a pdf attachment to an e-mail to the correct e-mail address without any error message
Personal delivery	On delivery, provided delivery is between 9.00am and 5.00pm on a Working Day. Otherwise, delivery will occur at 9.00am on the next Working Day	Properly addressed and delivered as evidenced by signature of a delivery receipt
Royal Mail Signed For™ 1 <sup>st</sup> Class or other prepaid, next Working Day service providing proof of delivery	At the time recorded by the delivery service, provided that delivery is between 9.00am and 5.00pm on a Working Day. Otherwise, delivery will occur at 9.00am on the same Working Day (if delivery before 9.00am) or on the next Working Day (if after 5.00pm)	Properly addressed prepaid and delivered as evidenced by signature of a delivery receipt

55.3 The following notices may only be served as an attachment to an email if the original notice is then sent to the recipient by personal delivery or Royal Mail Signed For™ 1<sup>st</sup> Class or other prepaid in the manner set out in the table in Clause 55.2:

- 55.3.1 any Termination Notice (Clause 41 (Customer Termination Rights)),
- 55.3.2 any notice in respect of:
- (a) partial termination, suspension or partial suspension (Clause 44 (Partial Termination, Suspension and Partial Suspension)),
  - (b) waiver (Clause 48 (Waiver and Cumulative Remedies))
  - (c) Default or Customer Cause; and
- 55.3.3 any Dispute Notice.
- 55.4 Failure to send any original notice by personal delivery or recorded delivery in accordance with Clause 55.3 shall invalidate the service of the related e-mail transmission. The deemed time of delivery of such notice shall be the deemed time of delivery of the original notice sent by personal delivery or Royal Mail Signed For™ 1st Class delivery (as set out in the table in Clause 55.2) or, if earlier, the time of response or acknowledgement by the other Party to the email attaching the notice.
- 55.5 Clause 55 does not apply to the service of any proceedings or other documents in any legal action or, where applicable, any arbitration or other method of dispute resolution (other than the service of a Dispute Notice under the Dispute Resolution Procedure).
- 55.6 For the purposes of Clause 55, the address and email address of each Party shall be as specified in the Call Off Order Form.

## **56. DISPUTE RESOLUTION**

- 56.1 The Parties shall resolve Disputes arising out of or in connection with this Call Off Contract in accordance with the Dispute Resolution Procedure.
- 56.2 The Supplier shall continue to provide the Goods and/or Services in accordance with the terms of this Call Off Contract until a Dispute has been resolved.

## **57. GOVERNING LAW AND JURISDICTION**

- 57.1 This Call Off Contract and any issues, Disputes or claims (whether contractual or non-contractual) arising out of or in connection with it or its subject matter or formation shall be governed by and construed in accordance with the laws of England and Wales.
- 57.2 Subject to Clause 56 (Dispute Resolution) and Call Off Schedule 12 (Dispute Resolution Procedure) (including the Customer's right to refer the Dispute to arbitration), the Parties agree that the courts of England and Wales (unless stated differently in the Call Off Order Form) shall have exclusive jurisdiction to settle any Dispute or claim (whether contractual or non-contractual) that arises out of or in connection with this Call Off Contract or its subject matter or formation.

## CALL OFF SCHEDULE 1: DEFINITIONS

1. In accordance with Clause 1 (Definitions and Interpretation) of this Call Off Contract including its recitals the following expressions shall have the following meanings:

- "Achieve"** means in respect of a Test, to successfully pass such Test without any Test Issues in accordance with the Test Strategy Plan and in respect of a Milestone, the issue of a Satisfaction Certificate in respect of that Milestone and **"Achieved"**, **"Achieving"** and **"Achievement"** shall be construed accordingly;
- "Acquired Rights Directive"** means the European Council Directive 77/187/EEC on the approximation of laws of European member states relating to the safeguarding of employees' rights in the event of transfers of undertakings, businesses or parts of undertakings or businesses, as amended or re-enacted from time to time;
- "Additional Clauses"** means the additional Clauses in Call Off Schedule 14 (Alternative and/or Additional Clauses) and any other additional Clauses set out in the Call Off Order Form or elsewhere in this Call Off Contract;
- "Affected Party"** means the party seeking to claim relief in respect of a Force Majeure;
- "Affiliates"** means in relation to a body corporate, any other entity which directly or indirectly Controls, is Controlled by, or is under direct or indirect common Control of that body corporate from time to time;
- "Alternative Clauses"** means the alternative Clauses in Call Off Schedule 14 (Alternative and/or Additional Clauses) and any other alternative Clauses set out in the Call Off Order Form or elsewhere in this Call Off Contract;
- "Approval"** means the prior written consent of the Customer and **"Approve"** and **"Approved"** shall be construed accordingly;
- "Approved Sub-Licensee"** means any of the following:
- a) a Central Government Body;
  - b) any third party providing goods and/or services to a Central Government Body; and/or
  - c) any body (including any private sector body) which performs or carries on any of the functions and/or activities that previously had been performed and/or carried on by the Customer;
- "Auditor"** means:
- a) the Customer's internal and external auditors;
  - b) the Customer's statutory or regulatory auditors;
  - c) the Comptroller and Auditor General, their staff and/or any appointed representatives of the National Audit Office;

	d) HM Treasury or the Cabinet Office;
	e) any party formally appointed by the Customer to carry out audit or similar review functions; and
	f) successors or assigns of any of the above;
<b>"Authority"</b>	means <b>THE MINISTER FOR THE CABINET OFFICE ("Cabinet Office")</b> as represented by Crown Commercial Service, a trading fund of the Cabinet Office, whose offices are located at 9th Floor, The Capital, Old Hall Street, Liverpool L3 9PP;
<b>"BACS"</b>	means the Bankers' Automated Clearing Services, which is a scheme for the electronic processing of financial transactions within the United Kingdom;
<b>"BCDR Goods and/or Services"</b>	means the Business Continuity Goods and/or Services and Disaster Recovery Goods and/or Services;
<b>"BCDR Plan"</b>	means the plan prepared pursuant to paragraph 2 of Call Off Schedule 8 (Business Continuity and Disaster Recovery), as may be amended from time to time;
<b>"Business Continuity Goods and/or Services"</b>	has the meaning given to it in paragraph 4.2.2 of Call Off Schedule 8 (Business Continuity and Disaster Recovery);
<b>"Call Off Commencement Date"</b>	means the date of commencement of this Call Off Contract set out in the Call Off Order Form;
<b>"Call Off Contract"</b>	means this contract between the Customer and the Supplier (entered into pursuant to the provisions of the Framework Agreement), which consists of the terms set out in the Call Off Order Form and the Call Off Terms;
<b>"Call Off Contract Charges"</b>	means the prices (inclusive of any Milestone Payments and exclusive of any applicable VAT), payable to the Supplier by the Customer under this Call Off Contract, as set out in Annex 1 of Call Off Schedule 3 (Call Off Contract Charges, Payment and Invoicing), for the full and proper performance by the Supplier of its obligations under this Call Off Contract less any Deductions;
<b>"Call Off Contract Period"</b>	means the term of this Call Off Contract from the Call Off Commencement Date until the Call Off Expiry Date;
<b>"Call Off Contract Year"</b>	means a consecutive period of twelve (12) Months commencing on the Call Off Commencement Date or each anniversary thereof;
<b>"Call Off Expiry Date"</b>	means: <ul style="list-style-type: none"> <li>(a) the end date of the Call Off Initial Period or any Call Off Extension Period; or</li> <li>(b) if this Call Off Contract is terminated before the date specified in (a) above, the earlier date of termination of this Call Off Contract;</li> </ul>
<b>"Call Off Extension Period"</b>	means such period or periods up to a maximum of the number of years in total as may be specified by the Customer, pursuant to Clause 5.2 and in the Call Off

Order Form;

<b>"Call Off Guarantee"</b>	means a deed of guarantee that may be required under this Call Off Contract in favour of the Customer in the form set out in Framework Schedule 13 (Guarantee) granted pursuant to Clause 7 (Call Off Guarantee);
<b>"Call Off Guarantor"</b>	means the person acceptable to the Customer to give a Call Off Guarantee;
<b>"Call Off Initial Period"</b>	means the initial term of this Call Off Contract from the Call Off Commencement Date to the end date of the initial term stated in the Call Off Order Form;
<b>"Call Off Order Form"</b>	means the order form applicable to and set out in Part 1 of this Call Off Contract;
<b>"Call Off Procedure"</b>	means the process for awarding a call off contract pursuant to Clause 5 (Call Off Procedure) of the Framework Agreement and Framework Schedule 5 (Call Off Procedure);
<b>"Call Off Schedule"</b>	means a schedule to this Call Off Contract;
<b>"Call Off Tender"</b>	means the tender submitted by the Supplier in response to the Customer's Statement of Requirements following a Further Competition Procedure and set out at Call Off Schedule 15 (Call Off Tender);
<b>"Call Off Terms"</b>	means the terms applicable to and set out in Part 2 of this Call Off Contract;
<b>"Central Government Body"</b>	means a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics: <ul style="list-style-type: none"><li>a) Government Department;</li><li>b) Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal);</li><li>c) Non-Ministerial Department; or</li><li>d) Executive Agency;</li></ul>
<b>"Change of Control"</b>	means a change of control within the meaning of Section 450 of the Corporation Tax Act 2010;
<b>"Charges"</b>	means the charges raised under or in connection with this Call Off Contract from time to time, which shall be calculated in a manner that is consistent with the Charging Structure;
<b>"Charging Structure"</b>	means the structure to be used in the establishment of the charging model which is applicable to the Call Off Contract, which is set out in Framework Schedule 3 (Framework Prices and Charging Structure);
<b>"Commercially Sensitive"</b>	means the Confidential Information listed in the Call Off

<b>Information"</b>	<p>Order Form (if any) comprising of commercially sensitive information relating to: -</p> <ul style="list-style-type: none"> <li>(a) the pricing of the Services;</li> <li>(b) details of the Supplier's IPR;</li> <li>(c) the Supplier's business and investment plans; and/or</li> <li>(d) the Supplier's trade secrets;</li> </ul> <p>which the Supplier has indicated to the Customer that, if disclosed by the Customer, would cause the Supplier significant commercial disadvantage or material financial loss;</p>
<b>"Comparable Supply"</b>	<p>means the supply of Goods and/or Services to another customer of the Supplier that are the same or similar to the Goods and/or Services;</p>
<b>"Compensation for Critical Service Level Failure"</b>	<p>has the meaning given to it in Clause 14.2.2 (Critical Service Level Failure);</p>
<b>"Confidential Information"</b>	<p>means the Customer's Confidential Information and/or the Supplier's Confidential Information, as the context specifies;</p>
<b>"Continuous Improvement Plan"</b>	<p>means a plan for improving the provision of the Goods and/or Services and/or reducing the Charges produced by the Supplier pursuant to Framework Schedule 12 (Continuous Improvement and Benchmarking);</p>
<b>"Contracting Authority"</b>	<p>means the Authority, the Customer and any other bodies listed in the OJEU Notice;</p>
<b>"Control"</b>	<p>means control in either of the senses defined in sections 450 and 1124 of the Corporation Tax Act 2010 and "Controlled" shall be construed accordingly;</p>
<b>"Conviction"</b>	<p>means other than for minor road traffic offences, any previous or pending prosecutions, convictions, cautions and binding over orders (including any spent convictions as contemplated by section 1(1) of the Rehabilitation of Offenders Act 1974 by virtue of the exemptions specified in Part II of Schedule 1 of the Rehabilitation of Offenders Act 1974 (Exemptions) Order 1975 (SI 1975/1023) or any replacement or amendment to that Order, or being placed on a list kept pursuant to section 1 of the Protection of Children Act 1999 or being placed on a list kept pursuant to the Safeguarding Vulnerable Groups Act 2006;</p>
<b>"Costs"</b>	<p>the following costs (without double recovery) to the extent that they are reasonably and properly incurred by the Supplier in providing the Goods and/or Services:</p> <ul style="list-style-type: none"> <li>a) the cost to the Supplier or the Key Sub-Contractor (as the context requires), calculated per Man Day, of engaging the Supplier Personnel, including: <ul style="list-style-type: none"> <li>i) base salary paid to the Supplier Personnel;</li> </ul> </li> </ul>

- ii) employer's national insurance contributions;
  - iii) pension contributions;
  - iv) car allowances;
  - v) any other contractual employment benefits;
  - vi) staff training;
  - vii) work place accommodation;
  - viii) work place IT equipment and tools reasonably necessary to provide the Goods and/or Services (but not including items included within limb (b) below); and
  - ix) reasonable recruitment costs, as agreed with the Customer;
- b) costs incurred in respect of those Supplier Assets which are detailed on the Registers and which would be treated as capital costs according to generally accepted accounting principles within the UK, which shall include the cost to be charged in respect of Supplier Assets by the Supplier to the Customer or (to the extent that risk and title in any Supplier Asset is not held by the Supplier) any cost actually incurred by the Supplier in respect of those Supplier Assets;
  - c) operational costs which are not included within (a) or (b) above, to the extent that such costs are necessary and properly incurred by the Supplier in the provision of the Goods and/or Services;
  - d) Reimbursable Expenses to the extent these have been specified as allowable in the Call Off Order Form and are incurred in delivering any Goods and/or Services where the Call Off Contract Charges for those Goods and/or Services are to be calculated on a Fixed Price or Firm Price pricing mechanism (as set out in Framework Schedule 3 (Framework Prices and Charging Structure));

but excluding:

- a) Overhead;
- b) financing or similar costs;
- c) maintenance and support costs to the extent that these relate to maintenance and/or support Goods and/or Services provided beyond the Call Off Contract Period whether in relation to Supplier Assets or otherwise;
- d) taxation;
- e) fines and penalties;
- f) amounts payable under Clause 25 (Benchmarking); and

	g) non-cash items (including depreciation, amortisation, impairments and movements in provisions);
<b>"Critical Service Level Failure"</b>	means any instance of critical service level failure specified in the Call Off Order Form;
<b>"Crown"</b>	means the government of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Executive and the National Assembly for Wales), including, but not limited to, government ministers and government departments and particular bodies, persons, commissions or agencies from time to time carrying out functions on its behalf;
<b>"Crown Body"</b>	means any department, office or executive agency of the Crown;
<b>"CRTPA"</b>	means the Contracts (Rights of Third Parties) Act 1999;
<b>"Customer"</b>	means the customer(s) identified in the Call Off Order Form;
<b>"Customer Assets"</b>	means the Customer's infrastructure, data, software, materials, assets, equipment or other property owned by and/or licensed or leased to the Customer and which is or may be used in connection with the provision of the Goods and/or Services;
<b>"Customer Background IPR"</b>	means: <ul style="list-style-type: none"> <li>a) IPRs owned by the Customer before the Call Off Commencement Date, including IPRs contained in any of the Customer's Know-How, documentation, software, processes and procedures;</li> <li>b) IPRs created by the Customer independently of this Call Off Contract; and/or</li> <li>c) Crown Copyright which is not available to the Supplier otherwise than under this Call Off Contract;</li> </ul>
<b>"Customer Cause"</b>	means any breach of the obligations of the Customer or any other default, act, omission, negligence or statement of the Customer, of its employees, servants, agents in connection with or in relation to the subject-matter of this Call Off Contract and in respect of which the Customer is liable to the Supplier;
<b>"Customer Data"</b>	means: <ul style="list-style-type: none"> <li>a) the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any electronic, magnetic, optical or tangible media, including any Customer's Confidential Information, and which: <ul style="list-style-type: none"> <li>i) are supplied to the Supplier by or on behalf of the Customer; or</li> <li>ii) the Supplier is required to generate, process,</li> </ul> </li> </ul>

	store or transmit pursuant to this Call Off Contract; or
	b) any Personal Data for which the Customer is the Data Controller;
<b>"Customer Premises"</b>	means premises owned, controlled or occupied by the Customer which are made available for use by the Supplier or its Sub-Contractors for the provision of the Goods and/or Services (or any of them);
<b>"Customer Property"</b>	means the property, other than real property and IPR, including any equipment issued or made available to the Supplier by the Customer in connection with this Call Off Contract;
<b>"Customer Representative"</b>	means the representative appointed by the Customer from time to time in relation to this Call Off Contract;
<b>"Customer Responsibilities"</b>	means the responsibilities of the Customer set out in Call Off Schedule 4 (Implementation Plan) and any other responsibilities of the Customer in the Call Off Order Form or agreed in writing between the Parties from time to time in connection with this Call Off Contract;
<b>"Customer's Confidential Information"</b>	means: <ul style="list-style-type: none"> <li>a) all Personal Data and any information, however it is conveyed, that relates to the business, affairs, developments, property rights, trade secrets, Know-How and IPR of the Customer (including all Customer Background IPR and Project Specific IPR);</li> <li>b) any other information clearly designated as being confidential (whether or not it is marked "confidential") or which ought reasonably be considered confidential which comes (or has come) to the Customer's attention or into the Customer's possession in connection with this Call Off Contract; and</li> <li>c) information derived from any of the above;</li> </ul>
<b>"Data Controller"</b>	has the meaning given to it in the Data Protection Act 1998, as amended from time to time;
<b>"Data Processor"</b>	has the meaning given to it in the Data Protection Act 1998, as amended from time to time;
<b>"Data Protection Legislation" or "DPA"</b>	means the Data Protection Act 1998, as amended from time to time and all applicable laws and regulations relating to processing of personal data and privacy, including where applicable the guidance and codes of practice issued by the Information Commissioner or relevant Government department in relation to such legislation;
<b>"Data Subject"</b>	has the meaning given to it in the Data Protection Act 1998, as amended from time to time;
<b>"Data Subject Access"</b>	means a request made by a Data Subject in accordance

<b>Request"</b>	with rights granted pursuant to the DPA to access his or her Personal Data;
<b>“Deductions”</b>	means all Service Credits, Delay Payments or any other deduction which the Customer is paid or is payable under this Call Off Contract;
<b>"Default"</b>	means any breach of the obligations of the Supplier (including but not limited to including abandonment of this Call Off Contract in breach of its terms) or any other default (including material Default), act, omission, negligence or statement of the Supplier, of its Sub-Contractors or any Supplier Personnel howsoever arising in connection with or in relation to the subject-matter of this Call Off Contract and in respect of which the Supplier is liable to the Customer;
<b>"Delay"</b>	means: <ul style="list-style-type: none"> <li>a) a delay in the Achievement of a Milestone by its Milestone Date; or</li> <li>b) a delay in the design, development, testing or implementation of a Deliverable by the relevant date set out in the Implementation Plan;</li> </ul>
<b>"Delay Payments"</b>	means the amounts payable by the Supplier to the Customer in respect of a delay in respect of a Milestone as specified in the Implementation Plan;
<b>“Delay Period Limit”</b>	shall be the number of days specified in Call Off Schedule 4 (Implementation Plan) for the purposes of Clause 6.4.1(b)(ii);
<b>"Deliverable"</b>	means an item or feature in the supply of the Goods and/or Services delivered or to be delivered by the Supplier at or before a Milestone Date listed in the Implementation Plan (if any) or at any other stage during the performance of this Call Off Contract;
<b>"Delivery"</b>	means delivery in accordance with the terms of this Call Off Contract as confirmed by the issue by the Customer of a Satisfaction Certificate in respect of the relevant Milestone thereof (if any) or otherwise in accordance with this Call Off Contract and accepted by the Customer and <b>"Deliver"</b> and <b>"Delivered"</b> shall be construed accordingly;
<b>"Disaster"</b>	means the occurrence of one or more events which, either separately or cumulatively, mean that the Goods and/or Services, or a material part thereof will be unavailable (or could reasonably be anticipated to be unavailable) for the period specified in the Call Off Order Form (for the purposes of this definition the <b>“Disaster Period”</b> );
<b>"Disaster Recovery Goods and/or Services"</b>	means the Goods and/or Services embodied in the processes and procedures for restoring the provision of Goods and/or Services following the occurrence of a Disaster, as detailed further in Call Off Schedule 8

	(Business Continuity and Disaster Recovery);
<b>"Disclosing Party"</b>	means a Party which discloses or makes available directly or indirectly its Confidential Information to the Recipient;
<b>"Dispute"</b>	means any dispute, difference or question of interpretation arising out of or in connection with this Call Off Contract, including any dispute, difference or question of interpretation relating to the Goods and/or Services, failure to agree in accordance with the Variation Procedure or any matter where this Call Off Contract directs the Parties to resolve an issue by reference to the Dispute Resolution Procedure;
<b>"Dispute Notice"</b>	means a written notice served by one Party on the other stating that the Party serving the notice believes that there is a Dispute;
<b>"Dispute Resolution Procedure"</b>	means the dispute resolution procedure set out in Call Off Schedule 11 (Dispute Resolution Procedure);
<b>"Documentation"</b>	means descriptions of the Services and Service Levels, technical specifications, user manuals, training manuals, operating manuals, process definitions and procedures, system environment descriptions and all such other documentation (whether in hardcopy or electronic form) as: <ul style="list-style-type: none"> <li>a) is required to be supplied by the Supplier to the Customer under this Call Off Contract;</li> <li>b) would reasonably be required by a competent third party capable of Good Industry Practice contracted by the Customer to develop, configure, build, deploy, run, maintain, upgrade and test the individual systems that provide the Goods and/or Services;</li> <li>c) is required by the Supplier in order to provide the Goods and/or Services; and/or</li> <li>d) has been or shall be generated for the purpose of providing the Goods and/or Services;</li> </ul>
<b>"DOTAS"</b>	means the Disclosure of Tax Avoidance Schemes rules which require a promoter of tax schemes to tell HMRC of any specified notifiable arrangements or proposals and to provide prescribed information on those arrangements or proposals within set time limits as contained in Part 7 of the Finance Act 2004 and in secondary legislation made under vires contained in Part 7 of the Finance Act 2004 and as extended to national insurance contributions by the National Insurance Contributions (Application of Part 7 of the Finance Act 2004) Regulations 2012, SI 2012/1868) made under section 132A of the Social Security Administration Act 1992;
<b>"Due Diligence Information"</b>	means any information supplied to the Supplier by or on behalf of the Customer prior to the Call Off

<b>"Employee Liabilities"</b>	<p>Commencement Date;</p> <p>means all claims, actions, proceedings, orders, demands, complaints, investigations (save for any claims for personal injury which are covered by insurance) and any award, compensation, damages, tribunal awards, fine, loss, order, penalty, disbursement, payment made by way of settlement and costs, expenses and legal costs reasonably incurred in connection with a claim or investigation including in relation to the following:</p> <ul style="list-style-type: none"> <li>a) redundancy payments including contractual or enhanced redundancy costs, termination costs and notice payments;</li> <li>b) unfair, wrongful or constructive dismissal compensation;</li> <li>c) compensation for discrimination on grounds of sex, race, disability, age, religion or belief, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation or claims for equal pay;</li> <li>d) compensation for less favourable treatment of part-time workers or fixed term employees;</li> <li>e) outstanding debts and unlawful deduction of wages including any PAYE and National Insurance Contributions in relation to payments made by the Customer or the Replacement Supplier to a Transferring Supplier Employee which would have been payable by the Supplier or the Sub-Contractor if such payment should have been made prior to the Service Transfer Date;</li> <li>f) claims whether in tort, contract or statute or otherwise;</li> <li>g) any investigation by the Equality and Human Rights Commission or other enforcement, regulatory or supervisory body and of implementing any requirements which may arise from such investigation;</li> </ul>
<b>"Employment Regulations"</b>	<p>means the Transfer of Undertakings (Protection of Employment) Regulations 2006 (SI 2006/246) as amended or replaced or any other Regulations implementing the Acquired Rights Directive;</p>
<b>"Environmental Policy"</b>	<p>means to conserve energy, water, wood, paper and other resources, reduce waste and phase out the use of ozone depleting substances and minimise the release of greenhouse gases, volatile organic compounds and other substances damaging to health and the environment, including any written environmental policy of the Customer;</p>
<b>"Environmental Information Regulations"</b>	<p>means the Environmental Information Regulations 2004 together with any guidance and/or codes of practice</p>

<b>or EIRs"</b>	issued by the Information Commissioner or relevant Government department in relation to such regulations;
<b>"Estimated Year 1 Call Off Contract Charges"</b>	means the sum in pounds estimated by the Customer to be payable by it to the Supplier as the total aggregate Call Off Contract Charges from the Call Off Commencement Date until the end of the first Call Off Contract Year stipulated in the Call Off Order Form;
<b>"Exit Plan"</b>	means the exit plan described in paragraph 5 of Call Off Schedule 9 (Exit Management);
<b>"Expedited Dispute Timetable"</b>	means the timetable set out in paragraph 5 of Call Off Schedule 11 (Dispute Resolution Procedure);
<b>"FOIA"</b>	means the Freedom of Information Act 2000 as amended from time to time and any subordinate legislation made under that Act from time to time together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government department in relation to such legislation;
<b>"Force Majeure"</b>	<p>means any event, occurrence, circumstance, matter or cause affecting the performance by either the Customer or the Supplier of its obligations arising from:</p> <ul style="list-style-type: none"> <li>a) acts, events, omissions, happenings or non-happenings beyond the reasonable control of the Affected Party which prevent or materially delay the Affected Party from performing its obligations under this Call Off Contract;</li> <li>b) riots, civil commotion, war or armed conflict, acts of terrorism, nuclear, biological or chemical warfare;</li> <li>c) acts of the Crown, local government or Regulatory Bodies;</li> <li>d) fire, flood or any disaster; and</li> <li>e) an industrial dispute affecting a third party for which a substitute third party is not reasonably available but excluding: <ul style="list-style-type: none"> <li>i) any industrial dispute relating to the Supplier, the Supplier Personnel (including any subsets of them) or any other failure in the Supplier or the Sub-Contractor's supply chain; and</li> <li>ii) any event, occurrence, circumstance, matter or cause which is attributable to the wilful act, neglect or failure to take reasonable precautions against it by the Party concerned; and</li> <li>iii) any failure of delay caused by a lack of funds;</li> </ul> </li> </ul>
<b>"Force Majeure Notice"</b>	means a written notice served by the Affected Party on the other Party stating that the Affected Party believes that there is a Force Majeure Event;
<b>"Former Supplier"</b>	means a supplier supplying the goods and/or Services to

	the Customer before the Relevant Transfer Date that are the same as or substantially similar to the Goods and/or Services (or any part of the Goods and/or Services) and shall include any sub-contractor of such supplier (or any sub-contractor of any such sub-contractor);
<b>"Framework Agreement"</b>	means the framework agreement between the Authority and the Supplier referred to in the Call Off Order Form;
<b>"Framework Commencement Date"</b>	means 31 <sup>st</sup> May 2017
<b>"Framework Period"</b>	means the period from the Framework Commencement Date until the expiry or earlier termination of the Framework Agreement;
<b>"Framework Price(s)"</b>	means the price(s) applicable to the provision of the Goods and/or Services set out in Framework Schedule 3 (Framework Prices and Charging Structure);
<b>"Framework Schedule"</b>	means a schedule to the Framework Agreement;
<b>"Fraud"</b>	means any offence under any Laws creating offences in respect of fraudulent acts (including the Misrepresentation Act 1967) or at common law in respect of fraudulent acts including acts of forgery;
<b>"Further Competition Procedure"</b>	means the further competition procedure described in paragraph 3 of Framework Schedule 5 (Call Off Procedure);
<b>"General Anti-Abuse Rule"</b>	means (a) the legislation in Part 5 of the Finance Act 2013; and (b) any future legislation introduced into parliament to counteract tax advantages arising from abusive arrangements to avoid national insurance contributions;
<b>"General Change in Law"</b>	means 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 a Comparable Supply;
<b>"Good Industry Practice"</b>	means standards, practices, methods and procedures conforming to the Law and the exercise of the degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged within the relevant industry or business sector;
<b>"Goods"</b>	means the goods to be provided by the Supplier to the Customer as specified in Annex 2 of Call Off Schedule 2 (Goods and and/or Services);
<b>"Government"</b>	means the government of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Executive and the National Assembly for Wales), including government ministers and government departments and other bodies, persons, commissions or agencies from time to time carrying out functions on its behalf;

<b>“Government Procurement Card”</b>	means the Government’s preferred method of purchasing and payment for low value goods or services <a href="https://www.gov.uk/government/publications/government-procurement-card--2">https://www.gov.uk/government/publications/government-procurement-card--2</a> ;
<b>"Halifax Abuse Principle"</b>	means the principle explained in the CJEU Case C-255/02 Halifax and others;
<b>"HMRC"</b>	means Her Majesty’s Revenue and Customs;
<b>"Holding Company"</b>	has the meaning given to it in section 1159 of the Companies Act 2006;
<b>"ICT Policy"</b>	means the Customer's policy in respect of information and communications technology, referred to in the Call Off Order Form, which is in force as at the Call Off Commencement Date (a copy of which has been supplied to the Supplier), as updated from time to time in accordance with the Variation Procedure;
<b>"Impact Assessment"</b>	has the meaning given to it in Clause 22.1.3 (Variation Procedure);
<b>"Implementation Plan"</b>	means the plan set out in the Call Off Schedule 4 (Implementation Plan);
<b>"Information"</b>	has the meaning given under section 84 of the Freedom of Information Act 2000 as amended from time to time;
<b>"Installation Works"</b>	means all works which the Supplier is to carry out at the beginning of the Call Off Contract Period to install the Goods in accordance with the Call Off Order Form;
<b>"Insolvency Event"</b>	means, in respect of the Supplier or Framework Guarantor or Call Off Guarantor (as applicable): <ul style="list-style-type: none"> <li>a) a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or of any other composition scheme or arrangement with, or assignment for the benefit of, its creditors; or</li> <li>b) a shareholders' meeting is convened for the purpose of considering a resolution that it be wound up or a resolution for its winding-up is passed (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation); or</li> <li>c) a petition is presented for its winding up (which is not dismissed within fourteen (14) Working Days of its service) or an application is made for the appointment of a provisional liquidator or a creditors' meeting is convened pursuant to section 98 of the Insolvency Act 1986; or</li> <li>d) a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets; or</li> <li>e) an application order is made either for the appointment of an administrator or for an administration order, an administrator is appointed,</li> </ul>

or notice of intention to appoint an administrator is given; or

- f) it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986; or
- g) being a "small company" within the meaning of section 382(3) of the Companies Act 2006, a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or
- h) where the Supplier or Framework Guarantor or Call Off Guarantor is an individual or partnership, any event analogous to those listed in limbs (a) to (g) (inclusive) occurs in relation to that individual or partnership; or
- i) any event analogous to those listed in limbs (a) to (h) (inclusive) occurs under the law of any other jurisdiction;

**"Intellectual Property Rights" or "IPR"**

means

- a) copyright, rights related to or affording protection similar to copyright, rights in databases, patents and rights in inventions, semi-conductor topography rights, trade marks, rights in internet domain names and website addresses and other rights in trade or business names, designs, Know-How, trade secrets and other rights in Confidential Information;
- b) applications for registration, and the right to apply for registration, for any of the rights listed at (a) that are capable of being registered in any country or jurisdiction; and
- c) all other rights having equivalent or similar effect in any country or jurisdiction;

**"IPR Claim"**

means any claim of infringement or alleged infringement (including the defence of such infringement or alleged infringement) of any IPR, used to provide the Goods and/or Services or as otherwise provided and/or licensed by the Supplier (or to which the Supplier has provided access) to the Customer (including any claims arising from the publication of the Project Specific IPRs as Open Source) in the fulfilment of its obligations under this Call Off Contract;

**"Key Performance Indicators" or "KPIs"**

means the performance measurements and targets in respect of the Supplier's performance of the Framework Agreement set out in Part B of Framework Schedule 2 (Goods and/or Services and Key Performance Indicators);

**"Key Personnel"**

means the individuals (if any) identified as such in the Call Off Order Form;

**"Key Role(s) "**

has the meaning given to it in Clause 26.1 (Key

	Personnel);
<b>"Key Sub-Contract"</b>	means each Sub-Contract with a Key Sub-Contractor;
<b>"Key Sub-Contractor"</b>	means any Sub-Contractor: <ul style="list-style-type: none"> <li>a) listed in Framework Schedule 7 (Key Sub-Contractors);</li> <li>b) which, in the opinion of the Authority and the Customer, performs (or would perform if appointed) a critical role in the provision of all or any part of the Goods and/or Services; and/or</li> <li>c) with a Sub-Contract with a contract value which at the time of appointment exceeds (or would exceed if appointed) 10% of the aggregate Call Off Contract Charges forecast to be payable under this Call Off Contract;</li> </ul>
<b>"Know-How"</b>	means all ideas, concepts, schemes, information, knowledge, techniques, methodology, and anything else in the nature of know-how relating to the Goods and/or Services but excluding know-how already in the other Party's possession before the Call Off Commencement Date;
<b>"Law"</b>	means any law, 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, regulation, order, regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements with which the Supplier is bound to comply;
<b>"Losses"</b>	means all losses, liabilities, damages, costs, expenses (including legal fees), disbursements, costs of investigation, litigation, settlement, judgment, interest and penalties whether arising in contract, tort (including negligence), breach of statutory duty, misrepresentation or otherwise and <b>"Loss"</b> shall be interpreted accordingly;
<b>Malicious Software</b>	means any software program or code intended to destroy, interfere with, corrupt, or cause undesired effects on program files, data or other information, executable code or application software macros, whether or not its operation is immediate or delayed, and whether the malicious software is introduced wilfully, negligently or without knowledge of its existence;
<b>"Man Day"</b>	means 7.5 Man Hours, whether or not such hours are worked consecutively and whether or not they are worked on the same day;
<b>"Man Hours"</b>	means the hours spent by the Supplier Personnel properly working on the provision of the Goods and/or Services including time spent travelling (other than to and from the Supplier's offices, or to and from the Sites) but excluding lunch breaks;

<b>"Milestone"</b>	means an event or task described in the Implementation Plan which, if applicable, must be completed by the relevant Milestone Date;
<b>"Milestone Date"</b>	means the target date set out against the relevant Milestone in the Implementation Plan by which the Milestone must be Achieved;
<b>"Milestone Payment"</b>	means a payment identified in the Implementation Plan to be made following the issue of a Satisfaction Certificate in respect of Achievement of the relevant Milestone;
<b>"Month"</b>	means a calendar month and <b>"Monthly"</b> shall be interpreted accordingly;
<b>"Occasion of Tax Non-Compliance"</b>	<p>means:</p> <ul style="list-style-type: none"> <li>a) any tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 which is found on or after 1 April 2013 to be incorrect as a result of: <ul style="list-style-type: none"> <li>i) a Relevant Tax Authority successfully challenging the Supplier under the General Anti-Abuse Rule or the Halifax Abuse Principle or under any tax rules or legislation in any jurisdiction that have an effect equivalent or similar to the General Anti-Abuse Rule or the Halifax Abuse Principle;</li> <li>ii) the failure of an avoidance scheme which the Supplier was involved in, and which was, or should have been, notified to a Relevant Tax Authority under DOTAS or any equivalent or similar regime in any jurisdiction; and/or</li> </ul> </li> <li>b) any tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 which gives rise, on or after 1 April 2013, to a criminal conviction in any jurisdiction for tax related offences which is not spent at the Call Off Commencement Date or to a civil penalty for fraud or evasion;</li> </ul>
<b>"Open Book Data "</b>	<p>means complete and accurate financial and non-financial information which is sufficient to enable the Customer to verify the Call Off Contract Charges already paid or payable and Call Off Contract Charges forecast to be paid during the remainder of this Call Off Contract, including details and all assumptions relating to:</p> <ul style="list-style-type: none"> <li>a) the Supplier's Costs broken down against each Good and/or Service and/or Deliverable, including actual capital expenditure (including capital replacement costs) and the unit cost and total actual costs of all goods and/or services;</li> <li>b) operating expenditure relating to the provision of the Goods and/or Services including an analysis</li> </ul>

showing:

- i) the unit costs and quantity of Goods and any other consumables and bought-in goods and/or services;
  - ii) manpower resources broken down into the number and grade/role of all Supplier Personnel (free of any contingency) together with a list of agreed rates against each manpower grade;
  - iii) a list of Costs underpinning those rates for each manpower grade, being the agreed rate less the Supplier's Profit Margin; and
  - iv) Reimbursable Expenses, if allowed under the Call Off Order Form;
- c) Overheads;
  - d) all interest, expenses and any other third party financing costs incurred in relation to the provision of the Goods and/or Services;
  - e) the Supplier Profit achieved over the Call Off Contract Period and on an annual basis;
  - f) confirmation that all methods of Cost apportionment and Overhead allocation are consistent with and not more onerous than such methods applied generally by the Supplier;
  - g) an explanation of the type and value of risk and contingencies associated with the provision of the Goods and/or Services, including the amount of money attributed to each risk and/or contingency; and
  - h) the actual Costs profile for each Service Period.

**"Open Source"**

means computer software, computer program, and any other material that is published for use, with rights to access and modify, by any person for free, under a generally recognised open source licence;

**"Open Standards"**

means the open standards principles as described by Government and further detailed at <https://www.gov.uk/government/publications/open-standards-principles/open-standards-principles> (as may be updated from time to time);

**"Order"**

means the order for the provision of the Goods and/or Services placed by the Customer with the Supplier in accordance with the Framework Agreement and under the terms of this Call Off Contract;

**"Other Supplier"**

means any supplier to the Customer (other than the Supplier) which is notified to the Supplier from time to time and/or of which the Supplier should have been aware;

<b>"Over-Delivered Goods"</b>	has the meaning given to it in Clause 9.5.1 (Over-Delivered Goods);
<b>"Overhead"</b>	means those amounts which are intended to recover a proportion of the Supplier's or the Key Sub-Contractor's (as the context requires) indirect corporate costs (including financing, marketing, advertising, research and development and insurance costs and any fines or penalties) but excluding allowable indirect costs apportioned to facilities and administration in the provision of Supplier Personnel and accordingly included within limb (a) of the definition of "Costs";
<b>"Parent Company"</b>	means any company which is the ultimate Holding Company of the Supplier and which is either responsible directly or indirectly for the business activities of the Supplier or which is engaged by the same or similar business to the Supplier. The term "Holding or Parent Company" shall have the meaning ascribed by the Companies Act 2006 or any statutory re-enactment or amendment thereto;
<b>"Party"</b>	means the Customer or the Supplier and " <b>Parties</b> " shall mean both of them;
<b>"Performance Monitoring System"</b>	has the meaning given to it in paragraph 1.1.2 in Part B of Schedule 6 (Service Levels, Service Credits and Performance Monitoring);
<b>"Performance Monitoring Reports"</b>	has the meaning given to it in paragraph 3.1 of Part B of Schedule 6 (Service Level, Service Credit and Performance Monitoring);
<b>"Personal Data"</b>	has the meaning given to it in the Data Protection Act 1998 as amended from time to time;
<b>"Processing"</b>	has the meaning given to it in the Data Protection Legislation but, for the purposes of this Call Off Contract, it shall include both manual and automatic processing and " <b>Process</b> " and " <b>Processed</b> " shall be interpreted accordingly;
<b>"Prohibited Act"</b>	means any of the following: <ul style="list-style-type: none"> <li>a) to directly or indirectly offer, promise or give any person working for or engaged by the Customer and/or the Authority or other Contracting Authority or any other public body a financial or other advantage to: <ul style="list-style-type: none"> <li>i) induce that person to perform improperly a relevant function or activity; or</li> <li>ii) reward that person for improper performance of a relevant function or activity;</li> </ul> </li> <li>b) to directly or indirectly request, agree to receive or accept any financial or other advantage as an inducement or a reward for improper performance of a relevant function or activity in connection with</li> </ul>

this Agreement;

- c) committing any offence:
  - i) under the Bribery Act 2010 (or any legislation repealed or revoked by such Act); or
  - ii) under legislation or common law concerning fraudulent acts; or
  - iii) defrauding, attempting to defraud or conspiring to defraud the Customer, a Contracting Authority or other public body; or
  - iv) any activity, practice or conduct which would constitute one of the offences listed under (c) above if such activity, practice or conduct had been carried out in the UK.

**"Project Specific IPR"**

means:

- a) Intellectual Property Rights in items created by the Supplier (or by a third party on behalf of the Supplier) specifically for the purposes of this Call Off Contract and updates and amendments of these items including (but not limited to) database schema; and/or
- b) IPR in or arising as a result of the performance of the Supplier's obligations under this Call Off Contract and all updates and amendments to the same;

but shall not include the Supplier Background IPR;

**"Project Specific IPR Items"**

means the items in which the Project Specific IPRs subsist;

**"Recipient"**

mean the Party which receives or obtains directly or indirectly Confidential Information from the Disclosing Party;);

**"Rectification Plan"**

means the rectification plan pursuant to the Rectification Plan Process;

**"Rectification Plan Process"**

means the process set out in Clause 38.2 (Rectification Plan Process);

**"Registers"**

has the meaning given to in Call Off Schedule 9 (Exit Management);

**"Regulations"**

means the Public Contracts Regulations 2015 and/or the Public Contracts (Scotland) Regulations 2012 (as the context requires) as amended from time to time;

**"Reimbursable Expenses"**

has the meaning given to it in Call Off Schedule 3 (Call Off Contract Charges, Payment and Invoicing);

**"Related Supplier"**

means any person who provides goods and/or services to the Customer which are related to the Goods and/or Services from time to time;

<b>"Relevant Conviction"</b>	means a Conviction that is relevant to the nature of the Goods and/or Services to be provided or as specified in the Call Off Order Form;
<b>"Relevant Requirements"</b>	means all applicable Law relating to bribery, corruption and fraud, including the Bribery Act 2010 and any guidance issued by the Secretary of State for Justice pursuant to section 9 of the Bribery Act 2010;
<b>"Relevant Tax Authority"</b>	means HMRC, or, if applicable, the tax authority in the jurisdiction in which the Supplier is established;
<b>"Relevant Transfer"</b>	means a transfer of employment to which the Employment Regulations applies;
<b>"Relevant Transfer Date"</b>	means, in relation to a Relevant Transfer, the date upon which the Relevant Transfer takes place;
<b>"Relief Notice"</b>	has the meaning given to it in Clause 39.2.2 (Supplier Relief Due to Customer Cause);
<b>"Replacement Goods"</b>	means any goods which are substantially similar to any of the Goods and which the Customer receives in substitution for any of the Goods following the Call Off Expiry Date, whether those goods are provided by the Customer internally and/or by any third party;
<b>"Replacement Services"</b>	means any services which are substantially similar to any of the Services and which the Customer receives in substitution for any of the Services following the Call Off Expiry Date, whether those services are provided by the Customer internally and/or by any third party;
<b>"Replacement Sub-Contractor"</b>	means a sub-contractor of the Replacement Supplier to whom Transferring Supplier Employees will transfer on a Service Transfer Date (or any sub-contractor of any such sub-contractor);
<b>"Replacement Supplier"</b>	means any third party provider of Replacement Goods and/or Services appointed by or at the direction of the Customer from time to time or where the Customer is providing Replacement Goods and/or Services for its own account, shall also include the Customer;
<b>"Request for Information"</b>	means a request for information or an apparent request relating to this Call Off Contract or the provision of the Goods and/or Services or an apparent request for such information under the FOIA or the EIRs;
<b>"Restricted Countries"</b>	means a country outside the European Economic Area or any country which is not determined to be adequate by the European Commission pursuant to Article 25(6) of Directive 95/46/EC;
<b>"Satisfaction Certificate"</b>	means the certificate materially in the form of the document contained in Call Off Schedule 5 (Testing) granted by the Customer when the Supplier has Achieved a Milestone or a Test;
<b>"Security Management"</b>	means the Supplier's security management plan

<b>Plan"</b>	prepared pursuant to paragraph <b>Error! Reference source not found.</b> of Call Off Schedule 7 (Security) a draft of which has been provided by the Supplier to the Customer in accordance with paragraph <b>Error! Reference source not found.</b> of Call Off Schedule 7 (Security) and as updated from time to time;
<b>"Security Policy"</b>	means the Customer's security policy, referred to in the Call Off Order Form, in force as at the Call Off Commencement Date (a copy of which has been supplied to the Supplier), as updated from time to time and notified to the Supplier;
<b>"Security Policy Framework"</b>	the current HMG Security Policy Framework that can be found at <a href="https://www.gov.uk/government/publications/security-policy-framework">https://www.gov.uk/government/publications/security-policy-framework</a> ;
<b>"Service Credit Cap"</b>	has the meaning given to it in the Call Off Order Form;
<b>"Service Credits"</b>	means any service credits specified in Annex 1 to Part A of Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring) being payable by the Supplier to the Customer in respect of any failure by the Supplier to meet one or more Service Levels;
<b>"Service Failure"</b>	means an unplanned failure and interruption to the provision of the Goods and/or Services, reduction in the quality of the provision of the Goods and/or Services or event which could affect the provision of the Goods and/or Services in the future;
<b>"Service Level Failure"</b>	means a failure to meet the Service Level Performance Measure in respect of a Service Level Performance Criterion;
<b>"Service Level Performance Criteria"</b>	has the meaning given to it in paragraph 4.2 of Part A of Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring);
<b>"Service Level Performance Measure"</b>	shall be as set out against the relevant Service Level Performance Criterion in Annex 1 of Part A of Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring);
<b>"Service Level Threshold"</b>	shall be as set out against the relevant Service Level Performance Criterion in Annex 1 of Part A of Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring);
<b>"Service Levels"</b>	means any service levels applicable to the provision of the Goods and/or Services under this Call Off Contract specified in Annex 1 to Part A of Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring);
<b>"Service Period"</b>	has the meaning given to in paragraph 5.1 of Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring);

<b>"Service Transfer"</b>	means any transfer of the Goods and/or Services (or any part of the Goods and/or Services), for whatever reason, from the Supplier or any Sub-Contractor to a Replacement Supplier or a Replacement Sub-Contractor;
<b>"Service Transfer Date"</b>	means the date of a Service Transfer;
<b>"Services"</b>	means the services to be provided by the Supplier to the Customer as referred to in Annex 1 of Call Off Schedule 2 (Goods and Services);
<b>"Sites"</b>	means any premises (including the Customer Premises, the Supplier's premises or third party premises) from, to or at which: <ul style="list-style-type: none"> <li>a) the Goods and/or Services are (or are to be) provided; or</li> <li>b) the Supplier manages, organises or otherwise directs the provision or the use of the Goods and/or Services.</li> </ul>
<b>"Specific Change in Law"</b>	means a Change in Law that relates specifically to the business of the Customer and which would not affect a Comparable Supply;
<b>"Staffing Information"</b>	has the meaning give to it in Call Off Schedule 10 (Staff Transfer);
<b>"Standards"</b>	means any: <ul style="list-style-type: none"> <li>a) standards published by BSI British Standards, the National Standards Body of the United Kingdom, the International Organisation for Standardisation or other reputable or equivalent bodies (and their successor bodies) that a skilled and experienced operator in the same type of industry or business sector as the Supplier would reasonably and ordinarily be expected to comply with;</li> <li>b) standards detailed in the specification in Framework Schedule 2 (Goods and/or Services and Key Performance Indicators);</li> <li>c) standards detailed by the Customer in the Call Off Order Form or agreed between the Parties from time to time;</li> <li>d) relevant Government codes of practice and guidance applicable from time to time.</li> </ul>
<b>"Statement of Requirements"</b>	means a statement issued by the Customer detailing its requirements in respect of Goods and/or Services issued in accordance with the Call Off Procedure;
<b>"Sub-Contract"</b>	means any contract or agreement (or proposed contract or agreement) pursuant to which a third party: <ul style="list-style-type: none"> <li>a) provides the Goods and/or Services (or any part of them);</li> <li>b) provides facilities or services necessary for the</li> </ul>

	provision of the Goods and/or Services (or any part of them); and/or
	c) is responsible for the management, direction or control of the provision of the Goods and/or Services (or any part of them);
<b>"Sub-Contractor"</b>	means any person other than the Supplier, who is a party to a Sub-Contract and the servants or agents of that person;
<b>"Supplier"</b>	means the person, firm or company with whom the Customer enters into this Call Off Contract as identified in the Call Off Order Form;
<b>"Supplier Assets"</b>	means all assets and rights used by the Supplier to provide the Goods and/or Services in accordance with this Call Off Contract but excluding the Customer Assets;
<b>"Supplier Background IPR"</b>	means <ul style="list-style-type: none"> <li>a) Intellectual Property Rights owned by the Supplier before the Call Off Commencement Date, for example those subsisting in the Supplier's standard development tools, program components or standard code used in computer programming or in physical or electronic media containing the Supplier's Know-How or generic business methodologies; and/or</li> <li>b) Intellectual Property Rights created by the Supplier independently of this Call Off Contract,</li> </ul>
<b>"Supplier Equipment"</b>	means the Supplier's hardware, computer and telecoms devices, equipment, plant, materials and such other items supplied and used by the Supplier (but not hired, leased or loaned from the Customer) in the performance of its obligations under this Call Off Contract;
<b>"Supplier Non-Performance"</b>	has the meaning given to it in Clause 39.1 (Supplier Relief Due to Customer Cause);
<b>"Supplier Personnel"</b>	means all directors, officers, employees, agents, consultants and contractors of the Supplier and/or of any Sub-Contractor engaged in the performance of the Supplier's obligations under this Call Off Contract;
<b>"Supplier Profit"</b>	means, in relation to a period or a Milestone (as the context requires), the difference between the total Call Off Charges (in nominal cash flow terms but excluding any Deductions) and total Costs (in nominal cash flow terms) for the relevant period or in relation to the relevant Milestone;
<b>"Supplier Profit Margin"</b>	means, in relation to a period or a Milestone (as the context requires), the Supplier Profit for the relevant period or in relation to the relevant Milestone divided by the total Call Off Contract Charges over the same period or in relation to the relevant Milestone and expressed as

	a percentage;
<b>"Supplier Representative"</b>	means the representative appointed by the Supplier named in the Call Off Order Form;
<b>"Supplier's Confidential Information"</b>	means <ul style="list-style-type: none"> <li>a) any information, however it is conveyed, that relates to the business, affairs, developments, IPR of the Supplier (including the Supplier Background IPR) trade secrets, Know-How, and/or personnel of the Supplier;</li> <li>b) any other information clearly designated as being confidential (whether or not it is marked as "confidential") or which ought reasonably to be considered to be confidential and which comes (or has come) to the Supplier's attention or into the Supplier's possession in connection with this Call Off Contract;</li> <li>c) information derived from any of the above.</li> </ul>
<b>"Template Call Off Order Form"</b>	means the template Call Off Order Form in Annex 1 of Framework Schedule 4 (Template Call Off Order Form and Template Call Off Terms);
<b>"Template Call Off Terms"</b>	means the template terms and conditions in Annex 2 of Framework Schedule 4 (Template Call Off Order Form and Template Call Off Terms);
<b>"Tender"</b>	means the tender submitted by the Supplier to the Authority, a copy of which is annexed or referred to in Framework Schedule 21;
<b>"Termination Notice"</b>	means a written notice of termination given by one Party to the other, notifying the Party receiving the notice of the intention of the Party giving the notice to terminate this Call Off Contract on a specified date and setting out the grounds for termination;
<b>"Test Issue"</b>	means any variance or non-conformity of the Goods and/or Services or Deliverables from their requirements as set out in the Call Off Contract;
<b>"Test Plan"</b>	means a plan: <ul style="list-style-type: none"> <li>a) for the Testing of the Deliverables; and</li> <li>b) setting out other agreed criteria related to the achievement of Milestones,</li> </ul> as described further in paragraph 4 of Call of Schedule 5 (Testing);
<b>"Test Strategy"</b>	means a strategy for the conduct of Testing as described further in paragraph 3 of Call Off Schedule 5 (Testing);
<b>"Tests and Testing"</b>	means any tests required to be carried out pursuant to this Call Off Contract as set out in the Test Plan or elsewhere in this Call Off Contract and "Tested" shall be construed accordingly;

<b>"Third Party IPR"</b>	means Intellectual Property Rights owned by a third party which is or will be used by the Supplier for the purpose of providing the Goods and/or Services;
<b>"Transferring Customer Employees"</b>	those employees of the Customer to whom the Employment Regulations will apply on the Relevant Transfer Date;
<b>"Transferring Former Supplier Employees"</b>	in relation to a Former Supplier, those employees of the Former Supplier to whom the Employment Regulations will apply on the Relevant Transfer Date;
<b>"Transferring Supplier Employees"</b>	means those employees of the Supplier and/or the Supplier's Sub-Contractors to whom the Employment Regulations will apply on the Service Transfer Date.
<b>"Transparency Reports"</b>	means the information relating to the Services and performance of this Call Off Contract which the Supplier is required to provide to the Customer in accordance with the reporting requirements in Schedule 13;
<b>"Undelivered Goods"</b>	has the meaning given to it in Clause 9.4.1 (Goods);
<b>"Undelivered Goods and/or Services"</b>	has the meaning given to it in Clause 8.4.1 (Goods and/or Services);
<b>"Undisputed Sums Time Period"</b>	has the meaning given to it Clause 42.1.1 (Termination of Customer Cause for Failure to Pay);
<b>"Valid Invoice"</b>	means an invoice issued by the Supplier to the Customer that complies with the invoicing procedure in paragraph 7 (Invoicing Procedure) of Call Off Schedule 3 (Call Off Contract Charges, Payment and Invoicing);
<b>"Variation"</b>	has the meaning given to it in Clause 22.1 (Variation Procedure);
<b>"Variation Form"</b>	means the form set out in Call Off Schedule 12 (Variation Form);
<b>"Variation Procedure"</b>	means the procedure set out in Clause 22.1 (Variation Procedure);
<b>"VAT"</b>	means value added tax in accordance with the provisions of the Value Added Tax Act 1994;
<b>"Warranty Period"</b>	means, in relation to any Goods, the warranty period specified in the Call Off Order Form;
<b>"Worker"</b>	means any one of the Supplier Personnel which the Customer, in its reasonable opinion, considers is an individual to which Procurement Policy Note 08/15 (Tax Arrangements of Public Appointees) <a href="https://www.gov.uk/government/publications/procurement-policy-note-0815-tax-arrangements-of-appointees">https://www.gov.uk/government/publications/procurement-policy-note-0815-tax-arrangements-of-appointees</a> applies in respect of the Goods and/or Services.
<b>"Working Day"</b>	means any day other than a Saturday or Sunday or public holiday in England and Wales unless specified otherwise by Parties in this Call Off Contract.

## **CALL OFF SCHEDULE 2: SERVICES**

### **1. INTRODUCTION**

1.1 This Call Off Schedule 2 specifies the:

1.1.1 Services to be provided under this Call Off Contract, in Annex 1; and

1.1.2 NOT USED

## ANNEX 1: THE SERVICES

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**PURPOSE**

1.1 This document sets out the services DWP requires to call off from the CCS Full Service for Occupational Health Services and Employee Assistance Programmes Framework Lot 1 Framework (RM3795) for the provision of Occupational Health & Employee Assistance Programme services.

**1. BACKGROUND TO THE CONTRACTING AUTHORITY**

2.1 The Contracting Authority, the Department for Work and Pensions, is a major Government Department responsible for customer delivery and policy formation on all aspects of the Government's welfare to work strategy and social security provision.

2.2 This includes the provision of welfare to work and social security benefits to individuals with health conditions and disabilities and those over working age. The Department has over 80,000 staff to deliver £165bn of payments annually, comprising of pensions, welfare to work and social security benefits.

2.3 The following information is provided for illustrative purposes only:

- Approximately 90% of staff are employed in DWP Operations delivering services to customers either face to face or via the telephone. They are supported by a further 10% of staff employed in Corporate Centre functions including Finance, HR, Digital and Communications.
- DWP's projected headcount for 1 January 2018 is 78,678 FTE.

2.4 Services are required for all DWP employees, including its Executive Agencies. (It is expected that less than 0.1% of referrals will come from Executive Agencies or Arm's Length Bodies).

2.5 Services may also be utilised by the DWP family group (including BPPTS) and DCMS. (It is expected that less than 1% of referrals will come from BPPTS and DCMS).

2.6 The requirements outlined within this specification are based on those of DWP. The Contractor should be able to demonstrate their ability to meet these requirements, as well as offering a degree of flexibility in the event that other departments or NDPB's seek to utilise the agreement with slightly differing requirements – for example (but not limited to) a slightly different range of spectacle lenses or frames – providing specific alternative requirements do not represent a significant and/or material change to the primary agreement.

**2.7 Sickness Absence:**

2.7.1 Historical sick absence/Average Working Days Lost data for 2016-2017 is as follows:

Business Unit	Mar 16	Apr 16	May 16	Jun 16	Jul 16	Aug 16	Sep 16	Oct 16	Nov 16	Dec 16	Jan 17	Feb 17	Mar 17
DWP (Overall)	6.15	6.13	6.12	6.13	6.13	6.13	6.13	6.16	6.19	6.23	6.25	6.22	6.20
DWP Operations	6.31	6.29	6.29	6.32	6.34	6.34	6.36	6.40	6.44	6.48	6.51	6.47	6.44
Corporate Centre	5.12	5.07	5.00	4.89	4.79	4.77	4.66	4.60	4.59	4.59	4.61	4.61	4.63

2.8 For more information on the work and overall objectives of the Department, please view our single business plan, published at:

<https://www.gov.uk/government/publications/dwp-single-departmental-plan-2015-to-2020>

**2.9 Health & Wellbeing**

2.9.1 The Contracting Authority has developed a Health & Wellbeing strategy 'Working Well Together' to optimise the health and wellbeing of its workforce. Further

information on this Health & Wellbeing Strategy can be found in the Bidders Information Pack

#### 2.9.2 Internal sources of support

- Mental Health First Aiders – these are staff volunteers who have received Mental Health First Aider training to help individuals and line managers spot the signs of stress including workplace stress and to offer direction to appropriate services and confidential support.
- Trade Unions - They are three trade unions including Public and Commercial Serviced Union (PCS), Prospect and FDA.
- HR Casework Services – this is a managed service who provide advice, guidance or help to manager’s dealing with attendance, performance, grievance or disciplinary issues. This support is provided via the telephone, email or face-to-face.
- The DWP Workplace Adjustment Team (also known as the Civil Service Workplace Adjustment Team or CSWAT) – this is a managed service who facilitate referrals for specialist assessments, including home and office Work Station Assessments, dyslexia diagnostic, workplace assessments, autism assessments, as well as advising and arranging the purchase and installation of agreed workplace adjustments.

2.9.2.1 The Supplier will be required to work collaboratively with the internal networks and stakeholders listed above to ensure a seamless customer journey and signpost staff to relevant sources of support where necessary.

### 3 BACKGROUND TO REQUIREMENT/OVERVIEW OF REQUIREMENT

- 3.1 The DWP is the UK Government Department responsible for welfare, pensions and child maintenance policy and delivery. As the UK’s biggest public service Department, it administers the state pension and a range of working age, disability and ill health benefits to over 22 million claimants and customers. DWP is a ministerial Department, supported by 13 agencies and public bodies.
- 3.2 The CCS Full Service for Occupational Health Services and Employee Assistance Programmes Framework was awarded in July 2017 and the Contracting Authority intends to run a call off competition from Lot 1 to consolidate its requirements and select a single supplier for these services through competition. This document outlines the Contracting Authority’s requirements for this service that must be met by the selected supplier.
- 3.3 The successful Supplier selected in this competition will be the Contracting Authority’s primary provider for Occupational Health and Employee Assistance Programme Services.

### 4 DEFINITIONS

Expression or Acronym:	Definition:
Agreement	means the services to be supplied as specified in the Specification.
BPDTS	Benefits and Pensions Digital Technology Service – specialist technology arm covered under this specification.
Bidder Information Pack	A supplementary pack of information provided to bidders to provide background to the Contracting Authority and its requirements.
Breach of Security	means the occurrence of unauthorised access to or use of the Premises, the Services, the Contractor system or any

	ICT or data (including the Contracting Authority's Data) used by the Contracting Authority or the Contractor in connection with this Contract.
CCS	Crown Commercial Service
Contracting Authority	The Contracting Authority for this contract is the Department for Work and Pensions
Crown	means the government of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Government and The Welsh Government), including, but not limited to, government ministers, government departments, government and particular bodies, and government agencies. In this Agreement, the Contracting Authority is acting as part of the Crown.
DCMS	Department for Culture, Media and Sport
DWP	Department for Work and Pensions. (the Contracting Authority)
DWP Offshoring Policy	means the Contracting Authority's policy and procedures in relation to hosting or accessing the Contracting Authority ICT System or official information outside of the UK including Landed Resources as advised to the Contractor by the Contracting Authority from time to time.
Equality Act 2010	Act of parliament that protects against direct and indirect discrimination, harassment and victimisation in employment, services and public functions, extending rights to groups with protected characteristics.
KPI	Key Performance Indicator.
Fraud	means any offence under Law or common law creating offences in respect of fraudulent acts, fraudulent acts in relation to the Agreement, defrauding or attempting to defraud or conspiring to defraud the Crown.
Good Industry Practice	means standards, practices, methods and procedures conforming to the Law and the degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged in a similar type of undertaking under the same or similar circumstances.
ICT	means information and communications technology.
ICT Environment	means the Contracting Authority system and the Supplier system.
Initial Term	The length of the agreement.
MI	Management Information.
Month	means calendar month.
Security Plan	means the Contractor's security plan prepared as directed in Chapter 17 Security Requirements.
Security Policy	means the Contracting Authority's Security Policy included in the Bidder Information pack, as updated from time to time.

Service Period	means calendar month.
Services	means the services to be supplied as specified in the Specification.
SLA	Service Level Agreement means the Contracting Authorities specified Service Level Agreements linked to specific functions which the Supplier is required to undertake as part of the Contract
Working Day	means any day other than a Sunday, or public holiday when banks in the United Kingdom are open for business.

## 5 SCOPE OF REQUIREMENT

- 5.1 The RM3795 Lot 1 Framework Agreement provides a compliant route for the Contracting Authority to procure Occupational Health and Employee Assistance Programme Services, providing Occupational Health and Employee Assistance Programme advice and Services for all of Contracting Authority Personnel within UK Central Government and Wider Public Sector Organisations including those working remotely, travelling or postings overseas.
- 5.2 This Specification sets out where DWP (including BPDTs and DCMS) (the Contracting Authority) has its own unique requirements either as part of or in addition to the RM3795 Lot 1 Framework.
- 5.3 The Supplier shall if required provide all aspects of the requirements for Lot 1 as set out in the Occupational Health and Employee Assistance Programme Framework Schedule 2 (Part A: Goods and Services). This specification highlights the specific areas of the RM3795 Lot 1 Framework that the Contract Authority must be prepared to provide.
- 5.4 Other service lines not listed in this specification such as, but not limited to Surveillance Service and safety critical work services assessments may still be required at some point during this contract.
- 5.5 Terms and Conditions:**
- 5.5.1 The Supplier is required to meet and adhere to all terms and conditions contained within the Full Service for Occupational Health Services and Employee Assistance Programmes RM3795 Framework and any current or future legislation that may impact the services delivered within the Agreement.
- 5.5.2 The Supplier must also adhere to the additional requirements and terms and conditions that are specified within this document and/or included as part of the tender process.
- 5.6 Term of the Agreement:**
- 5.6.1 The Agreement between the two Parties shall last for an Initial Term of three (3) years, starting from the date of Service Commencement.
- 5.6.2 At the end of the Initial Term, the Contracting Authority may choose to extend the Agreement for an additional year (plus 1).
- 5.6.3 If the Contracting Authority chooses to invoke the extension, the Agreement will run for its maximum permitted length, which is four years from the date of Service Commencement.
- 5.6.4 The Contracting Authority will inform the Supplier in writing no less than 3 months in advance of its intention to extend the Agreement.
- 5.7 Service Lines:**
- 5.7.1 Occupational Health Services:**
- 5.7.2 The Occupational Health Services shall enable the Contracting Authority to address particular health and attendance issues, meet their statutory obligations with regards to health and wellbeing, identify the preventative measures that can be taken to

minimise the overall risk of sickness absence and to improve general employee health and wellbeing in the workplace.

5.7.3 As in accordance with the RM3795 Framework, the Supplier shall provide the core requirements which shall include but not be limited to:

- Telephone Support Services;
- Online Portal;
- Referrals from the Contracting Authority;
- Attendance Management Advice and Assessments;
- Attendance Management Reports;
- Case Conferences;
- Ill Health Retirement;
- Pre-Appointment & Pre-Enrolment Checks;
- Fitness for Task Services:
  - Hearing Tests; and
  - Baseline Hearing Tests.
- Physiotherapy Services
- Workplace Assessments and Adjustments which shall include:
  - Assessments Relating to Reasonable Adjustments for Hearing and Sight Loss;
  - Dyslexia Assessments;
  - Specialist Support Services;
  - Support Worker Services;
  - Occupational Therapy Assessment; and
  - Display Screen Equipment Assessments;
- Health & Wellbeing Consultancy;
- Education and Awareness Programmes;
- Publicity and Promotion; and
- Service implementation.

5.7.4 The Supplier shall deliver innovative products, initiatives and Services in accordance with the following principles:

- The Services shall be available to all Contracting Authority Personnel including those working remotely, both in the UK and overseas and/or travelling overseas. It is envisaged that all service requirements would be within the UK;
- The Service shall provide sufficient flexibility of approach to accommodate different organisational structures, operating styles, cultures and job roles, as detailed in Annex 2 of the RM3795 Framework Schedule 2 Part A: Goods and Services;
- Confidentiality is crucial to the integrity of the Services;
- A strong focus on a high quality, clinically-led, evidence-based Services;

- Impartial advice and guidance for both Contracting Authority Personnel and the Contracting Authority;
- Cooperation and partnership with suppliers of Services where there is a required hand off between Services, such as Employee Assistance Programmes and Workplace Adjustments Teams;
- Delivery of innovative Services;
- An emphasis on health and Wellbeing education of Contracting Authority Personnel as well as prevention of absence.
- Maximising e-enabled solutions and innovations such as web-chat and internet based telephony as appropriate to Contracting Authority technology and security limitations;
- Flexibility to meet identified individual business needs, including the provision of a permanent on-site presence at the Contracting Authority's specified locations; and
- Flexibility to meet changing internal and external policies and regulations.
- Digital interventions e.g. lifestyle consultations

5.7.5 The Contracting Authority will also advise the Supplier of any planned programmes of work, which may have an impact on the usage of the services, such as major transformation programmes. It is also important that the Supplier has an active interest in Contracting Authority programmes of work and takes a pro-active approach to ensuring it has the necessary resources in the right areas to cope with any peaks in demand. The Contracting Authority expects a partnership relationship rather than just simply passing information to the Supplier.

5.7.6 The Supplier will provide the Contracting Authority with commercial insight and industry best practice, innovative ideas in developing the Health & Wellbeing strategy and processes and act as a partner in promoting a healthy workforce.

5.7.7 The Supplier will help the Contracting Authority develop, embed and deliver the DWP wellbeing strategy.

5.7.8 The Supplier will identify lifestyle hotspots that may be apparent in particular parts of the business and suggest solutions.

5.7.9 The Supplier shall obtain and analyse MI from various sources including but not limited to OH referrals, EAP calls, workshop requests, Wellbeing Dashboard and Wellbeing Index, Wellbeing Zone records and interactions in order to provide the Contracting Authority with a holistic view of Wellbeing within the Department and potential Wellbeing initiatives that could provide health benefits and decrease sick absence.

5.7.10 Supplier MI should incorporate and analyse these channels and any others to form a narrative both historical and to detect potential spikes in sickness absence before they occur.

5.7.11 The Supplier shall ensure that all Contracting Authority and Supplier Personnel are aware of the scope and limitations of patient and client confidentiality, in particular where there is a legal responsibility to breach patient confidentiality where there are issues of child protection, a threat to health and safety, a risk of harm to self or others, or prevention of a crime or terrorist act.

5.7.12 The Supplier shall maintain, at its own expense, all relevant medical records relating to the Services and shall store these in accordance with applicable law and the Contracting Authority's security policy.

5.7.13 The Supplier should offer a variety of communication channels to include but not limited to telephone via a Supplier Helpdesk; e-mail via a designated e-mail address;

web-chat, internet based telephony and App communications as appropriate to the type of correspondence and with Contracting Authority Digital limitations in mind.

## **5.8 Employee Assistance Programme:**

5.8.1 The Supplier shall provide support to the Contracting Authority Personnel over the full range of work related or personal matters that may impact on workplace performance and seek to resolve those issues where possible

5.8.2 The Supplier shall provide the core requirements which shall include, but not be limited to:

- Online Portal
- Telephone, Triage and Support Services which shall include, but not be limited to:
  - Advice and support;
  - Bullying and harassment support;
  - Whistleblowing Services; and
  - Management support Services;
  - Coaching and counselling Services including therapeutic interventions;
  - Case management.
- Mediation (as a back-up to the existing CSMS HR Mediation and Investigation Service);
- Trauma and critical incident Support;
- Interactive health kiosks (if required at some point during the contract period);
- Policy guidance and trend Management;
- Health and wellbeing promotion and awareness; and
- Publicity and promotion.

5.8.3 The Supplier shall make the Services available to the following groups, where the Contracting Authority gives prior instruction and approval:

- Volunteers as defined and identified by the Contracting Authority as being eligible;
- Past Contracting Authority Personnel with more than two years' service, who have retired through severance, age related, medical or early retirement have authorised access to the Service for three months following their last day of service;
- The Contracting Authority's Personnel family members impacted by the employee's work related issues, dependencies or abuse (e.g. gambling, alcohol, drugs and debt) as long as the employee is present when the counselling takes place; and
- The Contracting Authority's Personnel next of kin / partner in cases of bereavement with prior agreement of the Contracting Authority.

5.8.4 For all Services described in this Specification, the Supplier shall provide Contracting Authority Personnel with access to obtain advice and support for, including but not limited to the following:

- Addiction / dependency / substance abuse;
- Alcoholism;

- Anxiety;
- Bereavement;
- Bullying / harassment / intimidation / discrimination;
- Career / job related stress;
- Care problems related to childcare / eldercare / disability care;
- Debt advice;
- Depression;
- Domestic violence;
- Eating disorders;
- Family / relationship problems;
- Gambling;
- Gender reassignment;
- Health problems;
- Illness of a family member;
- Legal information;
- Lesbian, Gay, Bisexual and Transgender (LGBT) issues;
- Mental health related issues;
- Matrimonial / domestic settlement problems;
- Performance related problems;
- Post-traumatic stress problems including those arising from an accident at work or work-related incident;
- Redeployment / relocation / redundancy;
- Sexual assault and abuse;
- Stress;
- Support for all parties involved in a formal work-related investigation both during and following the investigation;
- Whistleblowing;
- Workplace restructuring / transformation programmes / departmental change;
- Workplace trauma.

## **5.9 Collaboration:**

- 5.9.1 Continuous Service improvement through use of Agile methodology is required to cooperatively identify improvements that would be advantageous to the Contracting Authority, and then manage them through to implementation and reviewed at contract review meetings.
- 5.9.2 The Supplier is required to work collaboratively with existing and future DWP Suppliers in order to successfully deliver the services required and facilitate any changes that take place through the duration of the Agreement.

## **5.10 Customer Service:**

- 5.10.1 The Supplier will provide a Customer Relationship Manager for the Agreement and a customer service team to act as a first point of contact to resolve any booking, delivery or quality issues for the services provided under the Agreement.
- 5.10.2 The Customer Relationship Manager should ensure they have the time and capacity to meet the needs of the Contracting Authority and to ensure they are accountable for maintaining a good understanding of the Contracting Authority's business and strategy in this field.
- 5.10.3 The Supplier should provide the Contracting Authority with access to a specialist team/function to work alongside its Workplace Adjustment Team (CSWAT) who are responsible for the Departments 'bespoke' and complex referrals. This should include specific e-mail contacts and telephones numbers for advice on critical and complex cases and the facility to fast track or escalate cases to Senior Occupational Therapists for expert and efficient advice.
- 5.10.4 Where the Contracting Authority has concerns about the quality of Occupational Health or Workstation Assessment reports, the Supplier will investigate complaints

and queries and provide further training to improve quality outputs. Should the Contracting Authority feel that the quality of a specific Assessor has not improved, the Supplier should replace the Assessor.

- 5.10.5 Where Occupational Health and Workstation Assessment reports are considered by the Contracting Authority to be of poor quality or where there are queries on the content of reports, the Contracting Authority personnel such as CSWAT, should have instant access to the Assessor or Occupational Therapist responsible for writing the report. This can be via Assessor contact details for direct communication or through an Admin Team with the functionality to Instant Message the Assessor immediately to answer a query.

## **6 THE REQUIREMENT**

### **6.1 Occupational Health Service Availability**

- 6.1.1 The Supplier shall ensure that all Occupational Health Services, including the necessary Supplier Personnel, be available as a minimum, fifty two (52) weeks a year, Monday to Friday between the hours of 08:00 hours to 20:00 hours and between 09:00 and 13:00 on Saturdays, excluding Public and Bank Holidays.
- 6.1.2 Currently our service requirement is for Monday to Friday 08:00 hours to 20:00 and 09:00 and 13:00 on Saturdays. It is possible within the lifetime of the contract we will move to a different opening hours' model such as extending weekend working and the provision of OH services would need to reflect this change.

### **6.2 Employee Assistance Programme Service Availability**

- 6.2.1 The Supplier shall ensure that the Services, including the necessary Supplier Personnel, are available to all Contracting Authority Personnel twenty four (24) hours a day, seven (7) days a week and three hundred and sixty five (365) days a year/ three hundred and sixty six (366) days a year for the 2020 'leap year', unless agreed otherwise in advance by Contracting Authority.

### **6.3 Telephone Support Services**

- 6.3.1 The Supplier shall provide telephone support Services for Contracting Authority Personnel staffed by appropriately experienced, skilled and/or qualified Supplier Personnel.
- 6.3.2 The Supplier shall ensure that Contracting Authority Personnel have continuous access to occupational health physicians and occupational health advisors as required as part of the telephone advice and support Service.
- 6.3.3 The Supplier shall ensure that the Telephone and Support Service will be accessible to Contracting Authority Personnel, via a Freephone number or a dedicated non-premium rate and/or a 01, 02, 03 prefix, which must be accessible from UK landlines, mobile telephones and overseas, via a UK dialling code and shall be able to accept calls from outside the UK.
- 6.3.4 The Supplier shall provide multiple telephone lines branded for specific Services, if requested by the Contracting Authority, which will be at no additional cost to the Contracting Authority.
- 6.3.5 The Supplier shall ensure that all telephone messages from Contracting Authority Personnel are responded to within twenty four (24) hours.
- 6.3.6 The Supplier shall ensure immediate access to suitably qualified Personnel and not a call back service
- 6.3.7 The Supplier shall provide the following as a minimum via the telephone support Services:
- General Services advice;
  - Generic advice on the impact of a condition or illness in the workplace;
  - Advice about how to use the online Portal;
  - Pre-referral advice for Referring Managers;
  - Clarification on the referral process;
  - Advice on progression of Contracting Authority Personnel cases; and
  - Updates and amendments to Contracting Authority Personnel cases.

- 6.3.8 The Supplier shall also provide access to qualified Supplier Personnel via the telephone Services who shall provide:
- Generic occupational health advice to managers on any health issue affecting Contracting Authority Personnel in the workplace;
  - Information and guidance on how best to construct the referral for an occupational health assessment;
  - Overseas travel health advice for Contracting Authority Personnel, including vaccination advice;
  - Management support that provides direct and rapid access to qualified medical advice and consultancy on occupational health and health and safety issues;
  - Advice about immunisations, vaccinations, inoculations, medications and blood tests
  - Advice about adjustments for DSE issues and if applicable, a reference number to allow a Referring manager to submit a referrals for a DSE assessment
  - Access to past referrals and clarification on current and past reports
  - Advice on individual Contracting Authority Personnel cases before making a formal management referral, and to ensure where cases are complicated or sensitive, that the referral is progressed in the most effective manner.

#### **6.4 Holistic Occupational Health and Employee Assistance Programme Services**

##### **6.4.1 Insight and Recommendations**

- 6.4.1.1 The Supplier will provide the Contracting Authority with commercial insight and industry best practice throughout the contract period as Health & Wellbeing practices evolve.
- 6.4.1.2 The Contracting Authority expects the Supplier to provide innovative ideas in developing the Health & Wellbeing strategy and processes and a partner who will help promote Wellbeing and a healthy workforce. In addition to developing ideas, the Supplier will help embed and deliver the health and wellbeing strategy and processes.
- 6.4.1.3 The Supplier should have involvement in professional networks such as but not limited to BITC Wellbeing in order to keep up with industry developments and news.
- 6.4.1.4 The Supplier should understand and where necessary and appropriate, challenge the Contracting Authority's policies and procedures as a Health & Wellbeing Partner.
- 6.4.1.5 The Supplier should offer the opportunity for the Contracting Authority to trial or pilot new Health & Wellbeing initiatives as well as sharing the outcome of trials and initiatives from its other clients to share industry knowledge and best practice.
- 6.4.1.6 The Supplier should help the Contracting Authority deliver its ambitious Working Well Together calendar of activities and suggest additions or improvements to the calendar on an ongoing basis.
- 6.4.1.7 The Supplier will have a good understanding of the Contracting Authority's business, staff benefits and Cross-Government issues and ways of working.
- 6.4.1.8 The Contracting Authority will share with the Supplier any relevant updates such as Workforce Planning, Major Change Programmes and Department specific changes affecting staff in order for the Supplier to understand the potential impacts on our staff and to help inform MI narrative and encourage informed Health & Wellbeing initiatives.
- 6.4.1.9 In understanding the Contracting Authority business, the Supplier will tailor advice and suggested initiatives and automatically refresh their training provision such as workshop content accordingly.
- 6.4.2 The Supplier shall obtain and analyse MI from various sources including, but not limited to:

- OH referrals
  - EAP calls
  - Workshop requests
  - DWP Wellbeing Dashboard
  - DWP Wellbeing Index
  - DWP Wellbeing Zone records and interactions
- 6.4.3 In using these sources of data the Supplier will provide the Contracting Authority with a holistic view of Wellbeing within the Department and potential Wellbeing initiatives that could provide health benefits and decrease sick absence.
- 6.4.4 The data will provide the Supplier with who is using which services, where and why. This will provide trends, spikes in use of services and can be used to recommend initiatives to the Contracting Authority.
- 6.4.5 When trends and spikes in particular requests are identified through combined MI, the Supplier should offer to scope them out and offer solutions rather than being led purely by the Contracting Authority instructions.
- 6.4.6 Supplier MI should incorporate and analyse these channels and any others to form a narrative both historical and to detect potential spikes in sickness absence before they occur.

## **6.5 Single Online Platform**

- 6.5.1 The Supplier will host and provide the Contracting Authority with a single online platform to access OH, EAP and Wellbeing Zone portals or internet sites (Zones) providing a single routing into all Health and Wellbeing provisions.
- 6.5.2 Each of the online portals or 'Zones' should contain relevant content including toolkits that can be updated by both the Supplier and the Contracting Authority to ensure they are kept up to date with the latest industry information and topical content.
- 6.5.3 Portal zone content should be aligned to the Working Well Together calendar of activities in addition to latest topical issues.
- 6.5.4 The Contracting Authority will provide the Supplier with content and products that can be enhanced into useful toolkits for managers and staff.
- 6.5.5 The Supplier should provide Contracting Authority staff with access to an App that they can download to personal or work devices such as smart phones or tablets. The App should contain Wellbeing Zone content suitable for mobile devices and act as a further platform for interactive content.
- 6.5.6 The Wellbeing Zone should contain an interface with Health & Wellbeing related technology such as FitBit data or alternative exercise and health tracking products.
- 6.5.7 The Supplier shall ensure that the Occupational Health online portal is available twenty four hours a day, seven days a week, except for agreed downtime and maintenance which will be agreed with the Contracting Authority at least seventy two (72) hours in advance of such work.
- 6.5.8 The Supplier shall provide and maintain an online portal to support the Services, available to the Contracting Authority's Personnel twenty four (24) hours a day, seven (7) days a week and three hundred and sixty five (365) days a year/ three hundred and sixty six (366) days a year for the 2020 'leap year', unless agreed otherwise in advance by Contracting Authority.

## **6.6 Occupational Health Online Portal**

- 6.6.1 The Supplier shall provide and maintain an online portal to support the Occupational Health Services and provide as a minimum, but not limited to:
- Web based access;
  - Secure log-in by Contracting Authority Personnel;
  - General information on the Services;
  - Input and transfer of Contracting Authority Personnel referrals;
  - Case management and tracking;
  - Health screening and surveillance referrals and monitoring;

- Management Information in a downloadable format, including real time access to MI for approved Personnel
- All referrals to be made for all service lines via the portal
- On-line booking of telephone assessments
- OH portal Security

6.6.2 The Occupational Health online portal should be situated on a platform with the EAP online platform, DWP Wellbeing Zone and other online products and toolkits as appropriate.

## **6.7 EAP Online Portal**

6.7.1 The Supplier shall brand the online portal as required by the Contracting Authority.

6.7.2 The EAP online portal shall contain, as a minimum:

6.7.2.1 Details of how to access the services, including brief descriptions of such Services;

6.7.2.2 Details of services which are freely available to Contracting Authority's Personnel and which would be signposted by the Supplier in any case, for example whistleblowing, Citizens Advice Bureau; MIND and the Samaritans;

6.7.2.3 Information relating to any planned training or seminars to be delivered by the Supplier on behalf of the Contracting Authority;

6.7.2.4 Self-help guides, fact sheets and leaflets in a fully downloadable accessible format on subjects such as at a minimum:

- Stress and pressure;
  - Personal resilience;
  - Work/life balance;
  - Bereavement;
  - Physical activity;
  - Nutrition;
  - Smoking;
  - Alcohol; and
  - Sleep
  - Financial wellbeing
  - Chronic illness/conditions
  - Social connections
  - Loneliness
- Advice and guidance on musculoskeletal, mental health and healthy lifestyles;
  - Health-check questionnaires, which Contracting Authority Personnel will be able to complete online. On submission of the questionnaire, Contracting Authority Personnel shall be provided with immediate results, feedback and guidance as to lifestyle options and/or sources of further support and guidance, including a lifestyle behaviour change programme. Contracting Authority Personnel shall also receive an online and/or e-mail version of the completed report and recommendations;
  - An online news page for the Contracting Authority to maintain to include current topics including publicity on national and local campaigns.

- Access to all training material which has been developed for the Contracting Authority; and
  - Access to all Supplier standard training materials, which they include as part of their standard Service offering.
- 6.7.3 The Supplier shall ensure that all Contracting Authority Personnel who access the EAP online portal shall be requested to complete a confidential questionnaire which targets feedback on the online portal in relation to its effectiveness, accessibility and relevance. Such results will be anonymised and provided to the Contracting Authority as part of the monthly Management Information.
- 6.7.4 The Supplier shall update the EAP online portal at regular intervals with all relevant material to support the Services and health and wellbeing of Contracting Authority Personnel.
- 6.8 EAP Telephone Services, Triage and Support Services**
- 6.8.1 The Supplier shall provide the Contracting Authority with a freephone number. The Supplier's telephone service shall provide a dedicated non premium rate and/or a 01, 02, 03 prefix telephone number which must be accessible from UK landlines, mobile telephones and overseas, via a UK dialling code and be able to accept calls from outside the UK.
- 6.8.2 The Supplier shall provide a telephone support Service for Contracting Authority Personnel staffed by either:
- Supplier Personnel who are qualified professionals in a range of counselling services; or
  - Supplier Personnel who are not qualified professionals in counselling Services, but who are appropriately trained in the Services.
- 6.8.3 The Supplier shall route Contracting Authority Personnel who are identified as being at risk ('red flag') to a counsellor for immediate support (e.g. at risk of taking their own life).
- 6.8.4 The Supplier shall provide the following triage services, including but not be limited to:
- Recording Contracting Authority Personnel details and open a case file where all details of the advice, guidance and any further Services provided shall be maintained;
  - Recording details of the Contracting Authority Personnel's request and provide advice and guidance pertinent to the request made;
  - Routing Contracting Authority Personnel as appropriate to counselling Services, as further described in this Schedule;
  - Signposting Contracting Authority Personnel as appropriate to specialised agencies such as Relate, Alcoholics Anonymous, Citizens Advice Bureaux and Cruise;
  - Signposting and referring Contracting Authority Personnel to organisations and networks linked to the Contracting Authority, such as Mental Health First Aiders / Mental Health Advocates, the Charity for Civil Servants, Civil Service Sports Council, the Civil Service Retirement Fellowship and other such organisations and networks;

- Routing Contracting Authority Personnel to specialised support as appropriate, including short-term, focussed one-to-one counselling and Cognitive Based Therapy or other therapeutic interventions, where a clinical need is identified and as further described in this Schedule;
- Providing advocacy support where a Contracting Authority's Personnel is too distressed or is unable to effectively manage the interface with the Contracting Authority and/or external organisations; and
- Providing advice and support Services specifically for managers as further described in this Schedule.

- 6.8.5 The Supplier shall brand the Services in accordance with Contracting Authority's requirements so that Contracting Authority Personnel using the Services shall reach a helpline that can be identified by their organisation name and/or specific Services.
- 6.8.6 The Supplier shall allow Contracting Authority Personnel to self-refer to use the Services and the Supplier shall also allow referrals from managers, HR, and suppliers of occupational health Services provided to the Contracting Authority or any other network/support service as authorised by the Contracting Authority where the Contracting Authority Personnel grants prior permission.
- 6.8.7 The Supplier shall provide information to Contracting Authority Personnel about the Charity for Civil Servants and shall assist Contracting Authority Personnel with the completion of application forms to the fund.
- 6.8.8 The Supplier shall support as required any Contracting Authority Personnel who requires assistance in preparing a case or a supporting statement to the Charity for Civil Servants or other such organisation. The Contracting Authority shall provide the Supplier with relevant information and policy guidance.
- 6.8.9 The Supplier shall ensure that all Contracting Authority Personnel requiring a telephone call back following triage shall receive one within two (2) hours of triage taking place.
- 6.8.10 The Supplier shall ensure that all Contracting Authority Personnel queries, which do not require counselling Services are completed within twenty four (24) hours.

### **6.9 Bullying and Harassment Support**

- 6.9.1 The Supplier shall provide a specific freephone telephone helpline number for advice and support on bullying and harassment. The Services provided by the Supplier shall be the same as that provided via the standard telephone advice lines, with the exception of the provision of a specific telephone number.
- 6.9.2 The Supplier shall provide support and advice to Contracting Authority Personnel experiencing bullying and harassment in the workplace, including those involved in formal action.
- 6.9.3 To help educate and promote the Services, the Supplier shall produce specific materials such as leaflets and posters, which the Contracting Authority shall distribute accordingly.
- 6.9.4 The Supplier shall provide a listening Service for Contracting Authority Personnel and the Supplier shall signpost Contracting Authority Personnel to internal Contracting Authority support mechanisms, personnel and policy/procedural for further advice and guidance. The Supplier shall not give advice on the individual Contracting Authority's policies and procedures.
- 6.9.5 The Supplier shall not act as an advocate for any Contracting Authority Personnel in grievance cases connected with harassment and bullying.

### **6.10 Mediation**

- 6.10.1 The Contracting Authority has an in-house Civil Service mediation service, however, if required the Supplier shall provide independent mediation Services upon request of a Contracting Authority. The Supplier shall first direct Contracting Authority

Personnel to these services. Any agreement reached in mediation shall be documented by the Supplier and agreed by all Parties.

6.10.2 If required, the Supplier shall agree with the Contracting Authority the number of mediation sessions to be offered for each mediation case and the premises where the mediation Services will take place.

6.10.3 If required, the Supplier shall provide mediation Services Monday – Friday between 08:00 and 18:00, unless otherwise agreed in advance with the Contracting Authority.

### **6.11 Whistleblowing Service**

6.11.1 The Supplier shall ensure that they obtain copies and comply with Contracting Authority whistleblowing policies and procedures and contact details of appointed teams.

6.11.2 The Supplier Personnel shall take all relevant details of whistleblowing incidents reported to assist Contracting Authority appointed teams with further investigation of the incident by;

- Recording full details of each whistleblowing incident in accordance with Contracting Authority's whistleblowing policies;
- Report the call to the Contracting Authority within one (1) working day of the incident being reported; and
- Direct Contracting Authority Personnel to the internal designated Contracting Authority's team for further advice and guidance where appropriate.

### **6.12 Management Support Services**

6.12.1 The Supplier shall provide advice, guidance and coaching to managers for subject matters including, but not limited to:

- Workplace attendance;
- Workplace bullying;
- Discrimination;
- Gender reassignment;
- Work related stress;
- Workplace conflict;
- Leading Contracting Authority Personnel through change;
- Alcohol and drugs;
- Work/life balance;
- Mental health issues;
- Terminal illness; and
- Bereavement.

6.12.2 The Supplier shall ensure that Supplier Personnel are conversant in the Contracting Authority's internal policies as provided by the Contracting Authority.

6.12.3 The Supplier shall:

- Provide advice, support and coaching to managers regarding recognition of problems which may impact on their own or their Contracting Authority's Personnel ability to work effectively;
- Support and coach managers in undertaking their duty of care to Contracting Authority Personnel including having difficult conversations, managing and implementing change, identifying causes of stress, pressure points and encouraging resilience;

- Support and coach managers in recognising issues of mental health among Contracting Authority Personnel and provide advice on practical measures on how to support Contracting Authority Personnel;
- Provide coaching to Contracting Authority managers in having quality conversations with Contracting Authority Personnel;
- Enhance managers' confidence and capability in all areas of health and wellbeing; and
- Provide information about and signpost Contracting Authority Personnel to specialist sources of help for any of the problems raised by managers.

### 6.13 Trauma and Critical Incident Support

- 6.13.1 The Supplier shall provide telephone and face-to-face trauma and critical incident support Services for Contracting Authority Personnel, who may have been subject to an incident in or outside the workplace.
- 6.13.2 The Supplier shall agree with the Contracting Authority the circumstances when such Services are appropriate and have clear processes for triggering and managing such Services. The Supplier shall report all requests for such Services in writing to the Contracting Authority.
- 6.13.3 The Supplier shall ensure that appropriately skilled or qualified Supplier Personnel are available twenty four (24) hours, seven (7) days a week, and three hundred and sixty five (365) days a year/three hundred and sixty six (366) days a year for the 2020 'leap year' to provide trauma or critical incident Services.
- 6.13.4 The Supplier shall provide the Services in line with the National Institute for Health and Clinical Excellence (NICE) Guidelines for Post Traumatic Stress Disorder (2005).
- 6.13.5 The Supplier shall provide Contracting Authority Personnel with access to designated telephone support within two (2) hours of the Services being invoked.
- 6.13.6 The Supplier shall make available, when requested by the Contracting Authority, relevant Supplier Personnel on site at the Contracting Authority's premises or other specified location within twenty-four (24) hours on notification of the request for trauma and critical incident Services to provide Contracting Authority's Personnel debriefing and/or counselling Services.
- 6.13.7 Suppliers shall provide UK wide coverage, including remote locations.
- 6.13.8 The Supplier should flex its resources dependent on geographical demand such as directing resources to a particular region where a specific need for support is identified by MI.
- 6.13.9 The Supplier shall provide a Service which includes support for:
- Contracting Authority Personnel involved in or witnessing serious and untoward incidents at work, over and above what would normally be expected in the workplace; this may include, for example violence, witnessing extreme self-harm, deaths in custody by suicide, verbal abuse and threatening behaviour;
  - Contracting Authority Personnel who have been carrying out or supporting the emergency services in trauma and/or critical incidents;
  - Groups of or individual Contracting Authority Personnel when more than one Contracting Authority Personnel has been involved in or witnessed a violent incident, fire or major accident or fatality; and
  - Contracting Authority Personnel within a team or location where a team member has taken their own life.

6.13.10 The Supplier shall provide trauma and critical incident support which shall include, but not be limited to the following:

- Individual counselling for Contracting Authority Personnel;
- Group support for Contracting Authority Personnel;
- Counselling assessment and recommendation reports for further Services;
- Assistance in accessing local resource networks for support and advice and/or updates of the situation;
- Managing follow up support for Contracting Authority Personnel;
- Appropriate information and guidance for managers supporting affected Contracting Authority Personnel;
- Running trauma and/or critical incident debriefing sessions for groups of Contracting Authority Personnel affected by such incidents; and
- Providing other outcome-focussed therapies for example EMDR, where appropriate.

**6.14 Coaching And Counselling Services including Therapeutic Interventions**

6.14.1 The Supplier shall provide telephone, online and face-to-face, short term, focused coaching and counselling Services including Cognitive Behavioural Therapy (CBT) and other therapeutic interventions.

6.14.2 The Supplier shall assess the Contracting Authority Personnel presenting issues and determine the most appropriate form of intervention.

6.14.3 The Supplier shall provide short-term focussed face-to-face counselling where this shall provide the best outcome for the Contracting Authority Personnel or where the Contracting Authority Personnel states this as their preference. The Supplier shall consider this option as the first course of treatment unless a clinical assessment determines otherwise.

6.14.4 The Supplier shall:

- Ensure the Contracting Authority Personnel understands all methods of counselling / coaching available to them, the expectations and limitations of each, and work together to choose the most clinically effective method;
- Ensure counselling Services are available twenty four (24) hours a day, seven (7) days a week, three hundred and sixty five days a year / three hundred and sixty six (366) days a year for the 2020 'leap year', unless agreed otherwise in advance by the Contracting Authority.
- Arrange the first counselling session appointment within forty eight (48) hours of agreeing that counselling is an appropriate form of treatment;
- Ensure the first session of counselling takes place within five (5) days of referral;
- Provide a fast-track referral option where circumstances require a counselling session in advance of the standard appointment window. A fast track referral appointment shall take place within two (2) days of first referral;
- Ensure that the duration of the initial consultation and subsequent sessions are in line with clinical best practice;
- Ensure that when work-related stress is identified as an underlying issue, that assessment is carried out in conjunction with the Health and Safety Executive Management Standards;

- Provide immediate telephone counselling support and/or forward Contracting Authority's Personnel immediately to emergency NHS Primary Care/A&E where a Contracting Authority's Personnel is presenting at risk i.e. 'red flag'. Examples of such are, medical emergencies and the risk of self-harm; and
- Provide the first face to face counselling session for urgent cases within twenty four (24) hours of first contact.
- The Supplier will ensure that Contracting Authority Personnel who would not qualify for EAP Counselling service due to the nature or severity of their mental health condition are not left without support when Contracting Authority Personnel are unable to get an immediate NHS appointment. In these circumstances the Supplier has a duty of care to ensure interim support is available until alternative private or NHS services are available to the Contracting Authority Personnel.

- 6.14.5 The Supplier shall deliver up to six (6) initial counselling sessions to Contracting Authority Personnel during a Contract Year.
- 6.14.6 The Supplier shall agree an additional two (2) counselling sessions with the Contracting Authority so a maximum of eight (8) sessions.
- 6.14.7 The request for additional counselling should be made to the Authorities contract management team in writing before the sixth counselling session and include clinical scrutiny of the requirement.
- 6.14.8 The Supplier shall provide no additional counselling Services unless approved in writing by the Contracting Authority.
- 6.14.9 The maximum number of eight (8) counselling sessions shall be subject to the clinical judgement of the Supplier. In exceptional circumstances the Contracting Authority may authorise additional counselling Services where there is a proven clinical need to do so such as the Contracting Authority has a duty of care to its employee following a traumatic work related incident, or if the counselling is required as a result of bullying and harassment by a DWP employee. The Supplier shall obtain such authorisation in advance of any additional counselling being carried out.
- 6.14.10 The Supplier shall provide continuity of counsellors during a referral unless exceptional circumstances dictate otherwise. Where continuity of counsellor cannot be maintained the Supplier shall notify the Contracting Authority's Personnel immediately or at least twenty four (24) hours before an appointment. If the counsellor is unwell, the Contracting Authority's Personnel shall be given the opportunity to rebook an appointment within forty-eight (48) hours of the original appointment.
- 6.14.11 The Supplier shall make alternative arrangements to meet the Contracting Authority's Personnel needs should Contracting Authority Personnel express reasonable objections that they are not content with the counsellor assigned to them.
- 6.14.12 The Supplier shall provide Counselling Services including therapeutic interventions, which shall be required due to the high risk and traumatic nature of some job roles, which expose Contracting Authority Personnel to Post Traumatic Stress Disorder. The Supplier shall include Cognitive Based Therapy (CBT) and EMDR (Eye Movement Desensitization and Reprocessing) Services.
- 6.14.13 Where such outcome based counselling Services are recommended by the Supplier for a Contracting Authority's Personnel the number of sessions shall be agreed and approved between the Supplier and Contracting Authority prior to commencement. The Supplier shall provide an independent and confidential Service to assess the Contracting Authority's Personnel needs and provide the most appropriate therapeutic intervention. The Supplier shall ensure that they have access to a comprehensive UK wide network of counsellors available to deliver these Services.

- 6.14.14 The Supplier shall ensure that premises are appropriate, safe and offer adequate levels of privacy to Contracting Authority's Personnel, if they provide face-to-face counselling away from the Contracting Authority's Personnel normal place of work.
- 6.14.15 The Supplier shall provide appointments within a reasonable travelling distance of the Contracting Authority Personnel's home, but no more than one hour's travelling distance by public transport, from the Contracting Authority Personnel's home office location.
- 6.14.16 The Supplier shall ensure that there are sufficient, adequately equipped premises to provide Services to any Contracting Authority Personnel who are disabled, including disabled parking.
- 6.14.17 The Supplier shall ensure that all face-to-face counselling appointments shall meet the Contracting Authority Personnel's wishes with regards to counsellors of the same gender and if possible race and religion.
- 6.14.18 The Supplier shall provide where required, a fully accessible, secure online counselling service. The Supplier shall ensure that the Service can also be accessed by Contracting Authority Personnel who are posted overseas.
- 6.14.19 The Supplier shall recommend a referral to specialist agencies outside any contracted services to Contracting Authority Personnel requiring prolonged counselling or psychotherapy. The Contracting Authority shall not meet the costs resulting from these referrals.

#### **6.15 Interactive Health Kiosks**

- 6.15.1 If required by the Contracting Authority during the contract duration, the Supplier shall deliver, install and maintain interactive health kiosks on Contracting Authority premises, where requested. The interactive health kiosks shall enable Contracting Authority Personnel to take an immediate and confidential snapshot of their health and provide a mechanism to track and monitor changes between tests. The interactive health kiosks shall also signpost Contracting Authority Personnel to further sources of support and inform the Contracting Authority Personnel if they should contact a health professional. The interactive health kiosks shall enable users to test, at a minimum, blood pressure, body mass index (BMI), weight and heart rate.
- 6.15.2 The Supplier shall provide the Contracting Authority with anonymised Management Information from the interactive health kiosks about the numbers of Contracting Authority Personnel who have used the interactive health kiosks, the specific Services used by the Contracting Authority Personnel and trends of results that the Contracting Authority can use to inform health promotion planning.
- 6.15.3 The Supplier shall be responsible for the full maintenance and repair cover of the interactive health kiosks.

#### **6.16 Case Conferences**

- 6.16.1 The Supplier shall attend and participate in case conferences as required by the Contracting Authority. Case conferences shall take place on an ad-hoc basis for any complex cases, to monitor attendance management cases and shall be conducted for one or more cases as requested by the Contracting Authority.
- 6.16.2 The Supplier shall:
- Ensure case conferences focus on recommendations to resolve long-term sickness absence and cases of repeated short term absences where a medical condition may be the cause;
  - Provide verbal and written case reports including a summary of the case, prognosis, likely length of absence, reasonable adjustments required and recommendations and actions required by either the Supplier, Contracting Authority and/or the Contracting Authority's Personnel; and

- Provide the Contracting Authority with details of any recommendations made by the Supplier to the Contracting Authority's Personnel and with which the Contracting Authority Personnel disagrees.
- 6.16.3 The Supplier shall be advised that attendees at case conferences may include line management, HR, relevant Supplier Personnel (such as the occupational health advisor), a member of the Contracting Authority workplace adjustments team, health and safety advisor, wellbeing advisor, a trade union representative and/or legal advisor, where the Contracting Authority Personnel has given prior agreement.
- 6.16.4 The Supplier shall be advised that case conferences shall be delivered by telephone, face-to-face, video, on-site and/or off site as required by the Contracting Authority.
- 6.16.5 The Supplier shall ensure that ad hoc case conferences take place within 5 working days of request by the Contracting Authority.
- 6.16.6 The Supplier shall ensure multiple case conference (including collation of referrals) take place within ten (10) working days of request by the Contracting Authority.
- 6.17 Referrals from the Contracting Authority**
- 6.17.1 The Supplier shall provide an online referral Service through the online portal whereby Contracting Authority authorised representatives ("Referring Managers") shall electronically refer Contracting Authority Personnel to the Services.
- 6.17.2 The Supplier shall develop with the Contracting Authority and make bespoke to their needs, online referral forms and online questionnaires which the Supplier shall use:
- To triage referrals;
  - Make decisions based on the information provided to determine the relevant Services required; and
  - Identify where no further intervention is required.
- 6.17.3 This will mean referrals are triaged to the correct service line, even where this is not a telephony referral, or no referral is required at all.
- 6.17.4 The Supplier shall make adjustments to the referral forms from time to time but will flex to the needs of the Contracting Authority and will not be bound by the needs of other customers.
- 6.17.5 The online referral form shall capture the following information as a minimum about the referral:
- Relevant Contracting Authority Personnel and Referring Manager details;
  - Contracting Authority Personnel consent;
  - Details of any Contracting Authority Personnel engaged in the case;
  - Reason for referral and Services requested where known (e.g. attendance management, fitness for work assessments, inoculations);
  - Any workplace adjustments which are known to be in place for the Contracting Authority Personnel;
  - Questions relating to the referral. There should be no restriction on the number of questions which can be asked or the length of the questions. This can include as part of a standard attendance management referral, an opinion based on the medical evidence presented, of whether Contracting Authority personnel are likely to qualify for ill health retirement; and
  - Supplementary information that may be pertinent to the case.
- 6.17.6 The Supplier shall ensure that all referrals meet the relevant Contracting Authority's procedures. Such procedures may include:
- In-work referrals for Contracting Authority Personnel who are not absent from the workplace but who may be experiencing issues in the workplace;
  - Day 1 sick absence referral;
  - Day 1 sick absence referral for musculoskeletal and mental health issues

including stress;

6.17.7 The Supplier shall ensure referrals meet the Contracting Authority's agreed procedures. If the referral does not meet the agreed standards the Supplier shall inform the Referring Manager and direct them to their internal HR guidance, at no cost.

6.17.8 The Supplier shall, on receipt of the referral:

- Determine the relevant Service required for the Contracting Authority's Personnel;
- Identify returning cases that should be treated as a case review not a new referral;
- Identify alternative methods of resolution such as a case conference;
- Book a face to face consultation for the employee with an occupational health adviser or occupational health physician as appropriate, provided that a clinical assessment via the telephone determines that one is required or as approved in advance by the Contracting Authority;
- Contact the Contracting Authority's Personnel and/or Referring Manager to arrange a mutually acceptable appointment time;
- Notify the Contracting Authority's Personnel and Referring Manager of the scheduled appointment electronically and/or by telephone;
- Ensure consistency in allocated Supplier Personnel for Contracting Authority Personnel cases particularly where the case is a review or the case has previously been managed by an occupational health physician;
- Obtain all required consents from the Contracting Authority Personnel; and
- Pass all details of the referral to the relevant Supplier Personnel to enable delivery of the Services.

## 6.18 **Attendance Management Advice and Assessments**

6.18.1 The Supplier shall provide attendance management advice and assessment, where a referral relates to the attendance management of the Contracting Authority's Personnel. The Supplier shall:

- Carry out an initial assessment of the Contracting Authority Personnel via telephone, unless otherwise agreed with the Contracting Authority;
- Offer clear advice to the Contracting Authority Personnel and Referring Manager on what the Contracting Authority Personnel can do to remain in or return to work, including any physical or role and procedure adjustment (also known as soft adjustments to work patterns or duties) that may be necessary to support this;
- 'De-medicalise' situations by focusing on capability and providing practical advice;
- Work with appropriate specialist organisations to provide full national coverage to the Contracting Authority Personnel with advice and recommendations to manage specialist needs e.g. dyslexia, Asperger's Syndrome;
- Keep the Referring Manager informed of case progress through an electronic portal or via the telephone support Services and/or e-mail. Such updates should be weekly at a minimum;
- In addition the supplier shall, if requested by the Referring Manager, discuss the referral directly before and/or after the discussion with the Contracting

Authority Personnel. This will be requested when the Referring Manager submits the referral on the online portal;

- Maintain accurate records of all appointments and case notes, including updates made to the Referring Manager.

6.18.2 The Supplier shall determine when an assessment should be delivered at the Contracting Authority Personnel's home, e.g. when the Contracting Authority Personnel has a disability or medical condition that is so severe that it prevents them from travelling.

6.18.3 The Supplier shall obtain approval in advance from the Contracting Authority before such home visits take place and if the Contracting Authority do not approve this, the Supplier shall advise an alternative way of completing the referral.

6.18.4 The Supplier shall determine the specific need for further medical evidence if the Contracting Authority Personnel's case cannot be progressed without it and have clear timelines of how to progress referrals in a timely manner when this is not received.

6.18.5 The Supplier shall gain approval from the Contracting Authority before requesting further medical evidence and shall support the request with relevant evidence confirming its relevance.

6.18.6 The Supplier shall ensure that further medical evidence reports are requested from a specialist or General Practitioner within two (2) days of the need having been identified by the Supplier.

6.18.7 The Supplier shall provide objective, independent, comprehensive medical advice to the Referring Manager and Contracting Authority Personnel of the actions and/or measures to resolve the referral, following an assessment including at a minimum:

- Any adjustments recommended under the Equality Act 2010;
- A phased return to work;
- Advice on the prospects of the Contracting Authority Personnel's return to full capability;
- Advice on underlying medical conditions and identification of any health and safety risks to that Contracting Authority Personnel; and
- Generic advice on health related matters including specific conditions or illnesses, responsibility under duty of care, possible preventative measures and opportunities for active intervention including signposting the Contracting Authority Personnel to further sources of advice.
- The Supplier should not make recommendations that they know the Contracting Authority cannot support i.e. they should stay silent if they cannot identify any adjustments that will fit within the business. The Supplier has an obligation to ensure that they have a comprehensive knowledge of what the Contracting Authority can and cannot support by having regular meetings between a senior clinician and Contracting Authority contract management team, at no additional cost.
- OH report recommendations must reflect the constraints/changing need of the business. For example; the Assessor should not recommend back of house jobs as a reasonable adjustment as these may not be possible depending on the business area and location. The Supplier could recommend a type of role that would suit somebody with a specific medical condition, but should

consider in the report content that the Contracting Authority may not have jobs of that nature available for the Contracting Authority Personnel and that recommending a role that doesn't exist would be unhelpful in certain circumstances.

- It is imperative the Assessors employed by the Supplier are not influenced by Contracting Authority personnel when preparing reports. They should consider the medical condition and the employees' situation as well as the needs of the business. i.e. they should not present the employees opinions or self-diagnosis as fact.

- 6.18.8 The Supplier shall provide advice if a Contracting Authority's Personnel has a progressive or terminal illness, and where appropriate, make recommendations to the Contracting Authority on how to support the Contracting Authority Personnel in the workplace and signpost them to additional sources of information and support.
- 6.18.9 The Supplier shall assist the Contracting Authority Personnel with a detailed hand-over to the Employee Assistance Programme services or other relevant support services, which may be provided by the Contracting Authority or other external organisations. The Supplier shall ensure that the transition to other support services is documented in the case report.
- 6.18.10 The Supplier shall determine where a Contracting Authority Personnel requires urgent psychological support. The Supplier shall have a seamless process in place to refer the Contracting Authority Personnel to immediate support via the Contracting Authority's Employee Assistance Programme supplier or other appropriate services provided the Contracting Authority.
- 6.18.11 The Supplier shall ensure that Contracting Authority are notified of a Contracting Authority Personnel failing to attend appointment within one (1) working day of an appointment being missed. This shall be done via the portal, with an email notifying the Contracting Authority Personnel to log on to the portal and view the message.
- 6.18.12 The Supplier will develop a strategic plan and work proactively to reduce the number of short notice cancellations and appointments not attended by the Contracting Authority Personnel.

#### 6.19 **Attendance Management Case Reports**

- 6.19.1 The Supplier shall provide Attendance Management case reports to the Contracting Authority where a referral relates to the attendance management of a Contracting Authority Personnel.
- 6.19.2 The Supplier shall confirm that all relevant patient consents have been requested and granted and where not granted state the impact this may have or likely to have on the case. Where patient consent has not been granted only such information as can otherwise be disclosed shall be included in case reports.
- 6.19.3 The Supplier shall include the following in case reports, under clear headings. The Contracting Authority can make changes to the headings and can customise to suit the needs of their business:
- Medical terms shall be explained;
  - A concise summary of the relevant medical issues, including physical and/or mental health problems;
  - Assessment of the Contracting Authority Personnel's fitness for work;
  - Advice on the prospects of a Contracting Authority Personnel's return to full capability (taking the needs of the Contracting Authority into account);
  - Advice relating to lifestyle issues (for example drugs, alcohol, diet and

exercise);

- Expected sickness absence levels of the Contracting Authority Personnel;
- Identification of any work-related health and safety risks impacting the case (including infections);
- Advice on whether the Contracting Authority Personnel's illness or injury is work-related;
- The Contracting Authority Personnel's prognosis, rehabilitation plan, advice to support case resolution and to help the Contracting Authority to manage any unexpected outcome, with an indication of likely timescale for case resolution;
- A note of the discussion between the Contracting Authority Personnel and Supplier Personnel on what steps the Contracting Authority's Personnel is taking, if any, to improve their own circumstances;
- Confirmation of and clinical justification for a further review of the Contracting Authority's Personnel's case where relevant;
- A determination if the Equality Act 2010 is likely to apply, how it is relevant and what adjustments should be considered including the reasons why, and the likely duration that the adjustment will be required for;
- Where the Equality Act 2010 does not apply, a recommendation on what workplace adjustments should be considered, the reasons why and the duration for which they may be required;
- A balanced assessment of Contracting Authority Personnel perception versus clinical opinion;
- The report should be worded in a manner that clearly separates Contracting Authority Personnel opinion i.e. 'the jobholders perception is that....'
- Summary recommendations, supported as required by medical evidence, providing a clear recommendation of any actions that a Referring manager should take;
- A review of whether ill-health retirement should be considered for the Contracting Authority Personnel;
- Confirmation that the Contracting Authority Personnel has been asked that a copy of the case report can be forwarded to their GP and whether this has been consented to;
- The relevant Supplier Personnel's contact details for further clarification on any aspect of the case report; and when the information will be received
- Inclusion of GP and/or specialist reports;
- A recommendation if the Contracting Authority Personnel should be referred to the Employee Assistance Programme services or other services offered by the Contracting Authority;

- A recommendation if a work-related injury or ill-health should be reported to the Health and Safety Executive (HSE) under Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR);
- A recommendation if a work-related injury or ill health might be appropriate for referral to the Civil Service Benefits Injury Scheme or other such schemes as may be noted by the Contracting Authority. This could be as part of a standard attendance management referral and be asked by a manager as an additional question. The Contracting Authority can determine a standard question to be used at call off and can change this during the call off period;
- A recommendation on the actions needed if the Contracting Authority Personnel has come into contact with someone suffering from an infectious disease or condition. Where relevant, the Supplier will also specify whether the Health and Safety Executive (HSE) or Local Authority need to be informed; and
- A clear indication of likely timescale for case resolution.

- 6.19.4 The Supplier shall also provide support to the Contracting Authority in the preparation of material required for an employment tribunal or court.
- 6.19.5 The Supplier shall provide the Contracting Authority with the content of any case reports if requested, to support employment decisions, including dismissal on ill health grounds or to defend personal injury claims in an employment tribunal or court. If required by the court, the Supplier Personnel responsible for the report shall be available to defend the contents of the report in court.
- 6.19.6 The supplier shall allow a companion to join the Contracting Authority Personnel i.e. a colleague or trade union representative (not acting in trade union capacity)
- 6.19.7 The Supplier shall provide additional and/or clarify information where requested by Contracting Authority. This shall be considered part of the case report and not additionally charged to the Contracting Authority. Clinicians shall provide contact details on each report and respond to requests for clarification within twenty four hours.
- 6.19.8 The Supplier shall deliver a case report based on information held on file and not based on further assessments of the Contracting Authority Personnel were requested by the Contracting Authority. Examples of such information on file could be previous occupational health assessments and support provided or further medical evidence reports.
- 6.19.9 The Supplier shall ensure that occupational health advisor telephone consultations are held and reports provided to the Contracting Authority within four (4) working days of a Contracting Authority Personnel's referral.
- 6.19.10 The Supplier shall ensure that occupational health physician telephone consultations are held and reports provided to the Contracting Authority within seven (7) working days of Contracting Authority Personnel's referral.
- 6.19.11 The Supplier shall ensure that occupational health advisor or occupational health physician face to face consultations are held and reports provided within 10 working days of Contracting Authority Personnel's referral (including confirmation of appointment to the Contracting Authority Personnel and Referring Manager).
- 6.20 Ill-Health Retirement**
- 6.20.1 The Supplier shall make recommendations to the Contracting Authority to support them with Ill-Health Retirement cases when requested, including when this is made as part of a standard attendance management referral.
- 6.20.2 The Supplier shall not make a decision as to whether the Contracting Authority

- Personnel qualifies for ill-health retirement.
- 6.20.3 The Supplier shall, on request, provide the Contracting Authority with an opinion on the likelihood of the Contracting Authority's Personnel meeting the criteria for ill-health retirement to enable the Contracting Authority to determine if a formal retirement application should be made for the Contracting Authority's Personnel.
- 6.20.4 The Supplier shall provide such opinion, based on a paper review of existing medical evidence provided to the Supplier, or via a review of the Contracting Authority's Personnel.
- 6.20.5 The Supplier shall provide an electronic report of the opinion to the Contracting Authority once the Contracting Authority Personnel's consent has been gained.
- 6.20.6 The Supplier shall assist the Contracting Authority to gather and collate medical evidence to support the Scheme Medical Advisor to the Principal Civil Service Pension Scheme (PCSPS), ill-health retirement scheme for the NHS or other relevant pension scheme on applications for ill-health retirement or Civil Service injury benefit scheme. This should be submitted via an online portal or any other secure means if required to, by the Scheme Medical Advisor.
- 6.20.7 The Supplier shall provide any documents requested by the Contracting Authority or Scheme Medical Advisor, to support an ill health retirement application, at no cost. This should be submitted via an online portal or any other secure means if required to by the Contracting Authority or Scheme Medical Advisor.
- 6.20.8 The Supplier shall work with other suppliers of medical services which support ill-health retirement applications and Industrial Injury cases as needed in the collation of evidence for such cases.
- 6.20.9 The Supplier shall provide the Contracting Authority with a copy of a medical in confidence report which contains a breakdown of known medical information in sealed envelopes to support ill-health retirement requests. The report may also be used to support injury benefit requests and in response to subject access requests.
- 6.20.10 The Supplier shall provide all medical opinion reports to the Contracting Authority within ten (10) working days of request.
- 6.21 **Pre-Appointment and Pre-Enrolment Check**
- 6.21.1 The Supplier shall provide pre-appointment and pre-enrolment checks on behalf of the Contracting Authority. These will be customised to suit the needs of the Contracting Authority, including if necessary providing an additional bespoke report outlining a summary of adjustments to provide to vacancy holders.
- 6.21.2 The Supplier shall work with the Contracting Authority to determine the type and level of medical assessment for Contracting Authority Personnel.
- 6.21.3 The Supplier shall:
- Reject at no cost, referrals that do not include a job description;
  - Understand the broad range of roles performed by the Contracting Authority and adapt the online assessment Service to suit the roles;
  - Change the online assessment as necessary to suit the changing needs of the Contracting Authority;
  - Provide an online assessment Service that will automatically return clearance where the potential Contracting Authority Personnel responses conclude medical fitness;
  - Assess fitness in relation to specific job requirements, and where necessary, identify health surveillance requirements including a baseline of the Contracting Authority Personnel's health status against which to measure future health surveillance tests;

- Provide automatic escalation of the case where required;
- Highlight if the Contracting Authority's Personnel is likely to be covered by the Equality Act 2010 and provide clear advice and guidance on any reasonable adjustments to the work environment, required under the Equality Act 2010, taking account of the job specification;
- Provide a report to the Contracting Authority following online screening within twenty four (24) hours of screening;
- Provide an occupational health adviser written opinion following online assessment to the Contracting Authority within two (2) working days of assessment;
- Provide Contracting Authority Personnel with a face to face assessment within five (5) working days of request; and
- Provide the Contracting Authority with a written opinion following telephone and face-to-face assessment within two (2) working days of the assessment.

## **6.22 Hearing Tests**

6.22.1 The Supplier shall provide hearing tests for Contracting Authority Personnel who:

- have experienced a noise incident at work;
- are experiencing hearing problems at work;
- are concerned that their hearing has been adversely affected by their work;
- whose performance at work is affected by a hearing problem; and
- are required to wear covert earpieces.

## **6.23 Physiotherapy Services**

6.23.1 The Supplier shall provide physiotherapy Services and shall deliver these Services either:

- face-to-face;
- via a telephone advice line;
- using the online portal; and/or
- paper based.

6.23.2 The Supplier shall provide Contracting Authority Personnel with exercise and advice programmes that can be self-managed by the Contracting Authority's Personnel.

6.23.3 The Supplier shall accept self-referral from Contracting Authority Personnel or from Referring Managers, in line with the Contracting Authority's policies.

6.23.4 The Supplier shall provide Supplier Personnel who are qualified as physiotherapists or suitably qualified to assess the needs of Contracting Authority Personnel and determine if physiotherapy Services are an appropriate form of treatment.

6.23.5 The Supplier shall provide face-to-face physiotherapy which shall accommodate Contracting Authority Personnel's mobility needs and shall be conducted in a location which meets such needs. This may be a remote DWP location.

6.23.6 The Supplier shall provide a detailed assessment of the Contracting Authority Personnel's musculoskeletal injuries to identify any traumatic and trauma associated conditions.

- 6.23.7 The Supplier shall provide a report to the Contracting Authority's Referring Manager if appropriate, on the nature, extent and prognosis of each individual condition, including appropriate treatment programmes.
- 6.23.8 The Supplier shall provide fast track physiotherapy Services to Contracting Authority Personnel who present with a musculoskeletal disorder resulting from an acute injury, which may or may not be work-related.
- 6.23.9 The Supplier shall provide Contracting Authority Personnel with a telephone assessment within four (4) working days of request.
- 6.23.10 The Supplier shall provide Contracting Authority Personnel with an appointment and first face-to-face physiotherapy session within seven (7) calendar days of referral.
- 6.23.11 The Supplier shall provide the Referring Manager and the Contracting Authority's Personnel with a report detailing the outcome of the treatment within two (2) working days of completion of treatment.

**6.24 Work Station Assessments and Adjustments**

- 6.24.1 The Supplier shall provide the Contracting Authority with Work Station Assessments and adjustments where requested.
- 6.24.2 The Supplier shall conduct assessments, of a Contracting Authority Personnel's workstation, workplace or specialist requirements to determine what, if any, adjustments are required to support the Contracting Authority Personnel's ability to attend work or to carry out a particular job.
- 6.24.3 The Supplier shall ensure that role and procedure assessments are included in the overall assessment.
- 6.24.4 The Supplier shall ensure that assessments are appropriate for Contracting Authority Personnel with a diverse range of conditions (for example, dyspraxia or autism).
- 6.24.5 The Supplier shall ensure the assessments meet the needs of Contracting Authority Personnel with neuro-diverse conditions such as Asperger's / autism, bipolarity, ADHD, schizophrenia, schizoaffective disorder or sociopathy, who may also be presenting with other non-related conditions.
- 6.24.6 The Supplier shall provide a report to the Contracting Authority after an assessment listing recommended adjustments.
- 6.24.7 The Supplier shall cooperate with the Contracting Authority contracted Suppliers regarding the assessment and provision of reasonable adjustments.
- 6.24.8 The Supplier shall assess any existing workplace or work station adjustments to determine if continued use of such provision is acceptable.
- 6.24.9 The Supplier shall ensure that all Work Station Assessments including those listed below take a maximum of ten (10) working days from referral to delivery of report to the Contracting Authority.

**6.25 Upper Limb Assessments**

- 6.25.1 The Supplier shall provide the Contracting Authority with Upper Limb Assessments where requested.
- 6.25.2 The Supplier shall conduct assessments for Contracting Authority Personnel who have been identified as having upper limb disorders/injuries, or conditions that affect the upper limbs, and would like their workstations to be set up with suggestions for improvements.
- 6.25.3 The Contracting Authority require a summary of the assessment with recommendations of products which would be beneficial for the Contracting Authority Personnel in the workplace, such as non-IT desktop items and/or products from the Contracting Authority IT catalogue.
- 6.25.4 This assessment does not include the review or recommendation of ergonomic furniture for example a desk or chair.
- 6.25.5 A list of common upper limb disorders, or conditions that can affect the upper limbs (not an exhaustive list) where an Upper Limb Assessment would be required:
  - Generalised upper limb pain (affecting shoulders, arms, elbow, wrist, hand, finger, thumb)

- Repetitive strain injury (RSI)
- Tennis elbow
- Carpal tunnel syndrome
- Arthritis
- Osteo-arthritis
- Bursitis
- Recovery from injury, broken limb etc
- Stroke
- Neurological conditions
- Multiple sclerosis
- Parkinson's disease
- Frozen shoulder
- Tendonitis/De Quervain's disease/tenosynovitis
- Rotator cuff injury
- Trigger finger
- Radial tunnel syndrome
- Reflex sympathetic dystrophy

## 6.26 **Assessments Relating to Reasonable Adjustments for Hearing and Sight Loss**

- 6.26.1 The Supplier shall provide the Contracting Authority with assessments relating to reasonable adjustments for hearing and sight loss where requested.
- 6.26.2 The Supplier shall carry out specialist hearing or sight assessments for Contracting Authority Personnel who are considered disabled under the Equality Act 2010.
- 6.26.3 The Supplier shall provide a detailed report recommending suitable aids, adaptations, equipment, training and/or specialist support for both the Contracting Authority Personnel and the Referring Manager and make recommendations to the Contracting Authority Personnel of actions they can take to enable them to do their job more effectively.

## 6.27 **Dyslexia Assessments**

- 6.27.1 The Supplier shall provide dyslexia assessments by specialist dyslexia assessors (including Educational Psychologists) where requested by Contracting Authority.
- 6.27.2 The Supplier shall provide a report to the Contracting Authority Personnel and Referring Manager listing any reasonable adjustments to be made, including any learning required and shall make recommendations to the Contracting Authority Personnel of actions they can take to enable them to do their job more effectively.

## 6.28 **Specialist Support Services**

- 6.28.1 The Supplier shall provide specialist support Services to include the following for Contracting Authority Personnel experiencing hearing and sight loss or dyslexia:
- Telephone advice line for Referring Managers;
  - Specialist advice for Referring Managers via case conferences;
  - Training and/or specialist support for both the Contracting Authority Personnel and Referring Manager to enable implementation of the recommendations listed in an assessment report; and
  - Additional reports or further information in relation to the original assessment should further information be required.

## 6.29 **Support Worker Services**

- 6.29.1 The Supplier shall provide the Contracting Authority with Support Worker Services.
- 6.29.2 The Supplier shall, on request by the Contracting Authority, assess a disabled Contracting Authority Personnel's need for a clinical or non-clinical Support Worker to assist them at work. For example, support may include personal hygiene, support

with eating, dressing and/or supporting disabled Contracting Authority Personnel in and around the work place. The service will also include toileting under the broader remit of personal hygiene.

- 6.29.3 The Supplier shall carry out the assessment at the Contracting Authority Personnel's place of work and shall book an appointment with the Contracting Authority Personnel upon receipt of a request from the Contracting Authority.
- 6.29.4 The Supplier shall provide the Contracting Authority with a formal report of the assessment having been carried out and the report shall include advice relating to the tasks a Support Worker would be required to undertake.
- 6.29.5 The Supplier shall advise the Contracting Authority where to source a Support Worker to carry out the tasks recommended in the assessment.

### 6.30 **Occupational Therapy Assessment**

- 6.30.1 The Supplier shall provide an occupational therapy assessment for Contracting Authority Personnel where requested for example, where a clinical need has been identified.
- 6.30.2 The Supplier shall work with other Contracting Authority contracted suppliers engaged in the supply and delivery of the service, including specialist equipment suppliers.
- 6.30.3 The Supplier shall deliver an assessment report to the Contracting Authority detailing the Contracting Authority Personnel's issues identified, functional abilities, potential adjustments that should be made in the work place for the Contracting Authority Personnel and a graded rehabilitation programme in accordance with the Equality Act 2010.
- 6.30.4 The Supplier shall carry out a follow-up assessment, to be undertaken by an occupational therapist, on request of the Contracting Authority.
- 6.30.5 The Supplier shall assess whether the recommendations and advice provided in the assessment report have been implemented correctly and assess if further adjustments are required.
- 6.30.6 The Supplier shall confirm to the Contracting Authority if the Contracting Authority's Personnel has sufficient information to manage their condition and shall confirm that equipment provided has been set up and/or modified appropriately.
- 6.30.7 If required by the Contracting Authority, the Supplier will assign an Occupational Therapist to attend a combined Occupational Therapy/Furniture Specialist Assessment with a Furniture Specialist from another Supplier.

### 6.31 **Display Screen Equipment Workstation Assessments**

- 6.31.1 The Supplier shall provide Display Screen Equipment (DSE) workstation assessments where requested by the Contracting Authority.
- 6.31.2 These would only be requested if issues identified as part of the standard DSE through our Facilities Management Supplier could not be addressed through Facility Management routes.
- 6.31.3 This shall include, but not be limited to:
  - Providing on-site workstation assessments in-line with the Contracting Authority policies;
  - Providing off-site workstation assessments for those Contracting Authority Personnel who work remotely at home or in field locations;
  - Assessment of environmental issues such as dust levels, lighting, humidity and heating;
  - Providing written advice on workstation / equipment / software suitability and ergonomic configuration taking into account individual needs, health and safety requirements and any physiological conditions; and

- Advising, in report format (including Contracting Authority specialist order forms), the requirement for additional / alternative ergonomic or other equipment (including specialist software) to support an individual whilst at work.
- Reject, at no cost to the Contracting Authority, referrals that are made without all of the documentation required by the Contracting Authority;
- Work with the Contracting Authority's Estate suppliers to identify suitable equipment that are not on our framework, and with Estates and suppliers to give full measurement details to procure equipment not on the Contracting Authority procurement framework;
- Work in conjunction with the Contracting Authority's internal processes i.e. provide advice to DSE assessors through the clinical helpdesk and provide a reference number to authorise a DSE Workstation assessment if cannot adjustments can be recommended after seeking advice from the clinical helpdesk;
- Clinicians to provide a reference number to allow a DSE referral to be made without having to go through the Contracting Authority's internal process, by agreed exception. These will be subject to the agreed SLA of the original referral, Management Information to be provided for this
- The Supplier shall ensure that all Display Screen Equipment Workstation Assessments take a maximum of ten (10) working days from referral to delivery of report to the Contracting Authority.

### 6.32 **Failure to Attend Appointments Process**

- 6.32.1 The Supplier shall remind Contracting Authority Personnel via telephone, e-mail and/or SMS of booked appointments. The Supplier shall send a reminder to Contracting Authority Personnel (both the Referring Managing and the person having the appointment) at least forty-eight (48) and twenty-four (24) hours before any appointment is due.
- 6.32.2 The Supplier shall inform the Referring Manager of all missed appointments, including repeated failures to attend. If the Contracting Authority's Personnel does not attend three appointments the Supplier shall work with the Contracting Authority to address why the Contracting Authority's Personnel has been unable to attend an appointment and seek to resolve the issue.
- 6.32.3 The Supplier shall identify and report on all missed appointments weekly and work with the Contracting Authority to propose, implement and track ways of reducing the number of missed appointments.

### 6.33 **Consultancy Services**

- 6.33.1 The Supplier shall provide a consultancy Service delivered by Supplier Personnel with specialist knowledge, where requested by the Contracting Authority.
- 6.33.2 The consultancy Services shall include:
- Health and safety industry specialists to deliver health surveillance guidance and training;
  - Project managers to manage specific projects and co-ordinate defined research activities;
  - Occupational health advisors to deliver educational and advice Services focused on health in the workplace. Such Services can be delivered in a

variety of ways, including presentations, published guidance and/or webinars;

- Occupational health physicians to deliver advice and guidance on health in the workplace. Such Services can be delivered in a variety of ways including presentations, guidance and/or webinars; and
- Occupational therapists to deliver consultancy, education and training on areas pertinent to the provision of the Services.

6.33.3 The Supplier shall provide suitably qualified, skilled or experienced Supplier Personnel to attend an employment tribunal to provide support or to act as a witness where requested by the Contracting Authority.

**6.34 Education and Awareness Programmes**

6.34.1 The Supplier shall provide the Contracting Authority an annual calendar of the promotion they will undertake, this will be agreed and tailored to the requirement of the Contracting Authority.

6.34.2 The Supplier shall deliver a programme of education and support to Contracting Authority Personnel in relation to the Services they provide.

6.34.3 The Supplier shall agree the content and delivery of such programmes in advance with the Contracting Authority.

6.34.4 The Supplier shall ensure that all health promotion materials reflect that of wider government health policy published by the Department of Health and Public Health England and reflect clinical best practice.

6.34.5 The Supplier shall include relevant material in their programme which is provided by the Contracting Authority, such as policy changes. The content of any programme shall be based on material readily available by the Supplier and tailored where required for the Contracting Authority.

6.34.6 The Supplier shall ensure that the programme coincide with all national and local health strategies and awareness campaigns.

6.34.7 The Supplier shall deliver the programmes using a variety of communication methods, including posters, leaflets, audio, web-based, workshops, seminars, broadcasts, stalls at conferences and televisual and shall tailor programmes to meet the needs of the Contracting Authority.

6.34.8 The Supplier will attend Contracting Authority conferences and events to promote OH and EAP services using promotional materials and narrative supplied by the Supplier.

6.34.9 The Supplier should present and promote services and appropriate industry expertise such as but not limited to Mental Health, Musculoskeletal, resilience subjects on Contracting Authority broadcasts as part of the Health and Wellbeing calendar of events.

6.34.10 The Supplier shall ensure subject areas cover general health and wellbeing including, but limited to:

- Mental health;
- Musculoskeletal health;
- Healthy lifestyle;
- Stress management;
- An aging workforce;
- Back care;
- Exercise;
- Sleep;
- Health promotion;
- Financial wellbeing;
- Chronic illness/disease
- Resilience;
- Social connectivity/loneliness;

- Physical safety;
- Smoking awareness;
- Sun safe;
- Blood pressure;
- Diabetes (incorporating obesity and healthy eating);
- Bone density;
- Weight; and
- Diet and nutrition.

### 6.35 **Publicity and Promotion**

- 6.35.1 The Supplier shall provide the Contracting Authority with publicity and promotion materials where requested.
- 6.35.2 The Supplier will provide a calendar of activity, they will undertake to support the Contracting Authority promote the services of the Supplier and up-skills Contracting Authority Personnel to ensure they receive the best quality advice.
- 6.35.3 The Supplier shall work with the Contracting Authority to agree a series of on-going publicity and general promotional material and initiatives throughout the term of a Call Off contract to highlight awareness of the Services.
- 6.35.4 The Supplier shall use a range of delivery methods including but not limited to:
- Webcasts;
  - Focus groups/Workshops;
  - Recorded video messages;
  - Telephone broadcasts (transcripts or replays of the call are wholly owned by the Contracting Authority and can be used and distributed freely); and
  - Aide memoires.
- 6.35.5 The Supplier shall ensure that any material provided shall be agreed in advance by the Contracting Authority and contain branding specific to the Contracting Authority if required.

### 6.36 **Health and Wellbeing Promotion and Awareness**

- 6.36.1 The Supplier shall provide a programme of education, support and training to Contracting Authority Personnel in relation to general health and wellbeing, which reflects and/or includes mental health, musculoskeletal and healthy lifestyle. The programme shall coincide with national and local health and wellbeing campaigns.
- 6.36.2 The Supplier will help the Contracting Authority deliver an ambitious calendar of activities and campaigns which include the 7 strategic priorities that make up Working Well Together:
- Lifestyle diseases and chronic health conditions
  - Physical Safety
  - Financial wellbeing
  - Musculoskeletal disorders
  - Social connectivity
  - Healthy lifestyle
  - Mental wellbeing
- 6.36.3 The Supplier shall ensure policy changes and such material, provided by Contracting Authority, will be included in the relevant programme.
- 6.36.4 The Supplier shall include the following subject areas, but not be limited to:
- Resilience;
  - Mindfulness;
  - Identifying stress and its causes;
  - Lifestyle risks;
  - Fatigue / sleep problems;

- Mental health stigma;
- Substance abuse;
- Work / life balance;
- Gender reassignment;
- Menopause;
- Retirement; and
- Coping with change.
- Lifestyle diseases and chronic health conditions
- Physical Safety
- Financial wellbeing
- Musculoskeletal disorders
- Social connectivity

6.36.5 The Supplier shall provide education to the Contracting Authority with prevalent and emerging health and wellbeing issues, such as:

- The ageing workforce;
- Supporting those with caring responsibilities;
- Cancer support;
- Gender dystopia;
- Support for disabled Personnel or Contracting Authority Personnel caring for a disabled dependant; and
- Supporting those with neuro diverse conditions such as asperger's / autism, bipolarity, ADHD, schizophrenia, schizo affective disorder and sociopathy.

6.36.6 The Supplier shall provide wellbeing information within a planned programme to be approved in advance by the Contracting Authority. All health promotion materials shall reflect that of wider government health policy published by the Department of Health and Public Health England and reflect clinical best practice.

6.36.7 The Supplier shall embed programme materials within their Employee Assistance Programme online portal.

### **6.37 Wellbeing Zone online Portal**

6.37.1 The Supplier will provide an interactive Wellbeing Zone for employees to tailor their wellbeing needs, monitor their progress and access a variety of supporting materials as well as making their own Health and Wellbeing pledges through an interactive 'i-Pledge Wall'.

6.37.2 The Wellbeing Zone should include access to the DWP Wellness Index and administer the Wellness survey. The wellbeing zone platform that the survey is administered through will calculate the DWP wellness score.

6.37.3 The Supplier will provide a platform for the Contracting Authority to run a wellness survey for all Contracting Authority staff to complete. The Supplier will use its own technology and expertise to analyse the survey results and present the findings as a Wellness index in a dashboard.

6.37.4 The Supplier should use MI from the Wellbeing Zone and Wellness Index to supplement its own OH and EAP MI to build the richest possible data, to inform its MI reports and to develop toolkits and training initiatives. In addition the Supplier should use MI to identify hot spots and use lifestyle information to suggest/recommend solutions to improve Health and wellbeing of Contracting Authority Personnel.

6.37.5 The Supplier should host the Wellbeing Zone and its online content on its own EAP online portal taking advantage of a singular Wellbeing Platform to make access as simple as possible and to encourage online traffic and a holistic approach to Health and Wellbeing.

6.37.6 The Wellbeing Zone and all its content including video's toolkits and any interactive communication platforms should be accessible to all Contracting Authority personnel

and should be developed and tested with IT accessibility in mind such as the current version of Internet Explorer, access to video camera for internet based telephony calls, appropriate technology for web-chat functions etc.

### **6.38 Employee Assistance Programme Promotional Material**

6.38.1 The Supplier shall work with the Contracting Authority to agree a series of on-going publicity and general promotional material and initiatives throughout the term of the Contract to highlight awareness of the Services and encourage uptake and use of the Services by Contracting Authority Personnel.

6.38.2 For general promotion of the Services, which does not require on-site seminars or conference style delivery, the Contracting Authority shall not be charged for such Services. Any material shall be agreed in advance by the Contracting Authority, and contain branding specific to the Contracting Authority if required.

### **6.39 Premises and Access to Services**

6.39.1 The Supplier shall ensure when delivering Services on the Contracting Authority's premises that the accommodation is suitable for the Services.

6.39.2 The Supplier shall agree with the Contracting Authority any equipment required for the delivery of on-site Services.

6.39.3 Where the Supplier shall be responsible for the provision of such equipment and the Supplier shall provide the Contracting Authority with all requirements of the premises in order that the equipment can be correctly installed and maintained.

6.39.4 The Supplier should note that the availability of WIFI may be inconsistent across the Contracting Authority's premises and should provide their own data connectivity.

6.39.5 The Supplier shall ensure that access to premises is requested from the Contracting Authority in advance of Services being performed so as to allow for any additional security clearance, which may be required.

6.39.6 The Supplier shall provide mobile units and all necessary equipment and Supplier Personnel where the Services are required to be delivered from such facilities. The Services may also be required for Contracting Authority Personnel based in remote locations, travel clinics or where the Contracting Authority are unable to provide suitable accommodation.

6.39.7 The Supplier shall ensure that face-to-face Services which are required away from the Contracting Authority's normal place of work, are conducted on premises that are appropriate, safe and offer adequate levels of privacy.

6.39.8 The Supplier shall ensure that appointments take place in suitable Supplier premises within a reasonable travelling distance of the Contracting Authority Personnel's home, but no more than one hour's travelling distance by public transport, from the Contracting Authority Personnel's office location.

6.39.9 The Supplier shall ensure, if requested by the Contracting Authority's Personnel, Supplier Personnel of the same gender shall carry out the consultation.

6.39.10 The Supplier shall ensure that there are sufficient, adequately equipped premises to provide Services to disabled Contracting Authority Personnel, including disabled parking.

### **6.40 Service Implementation**

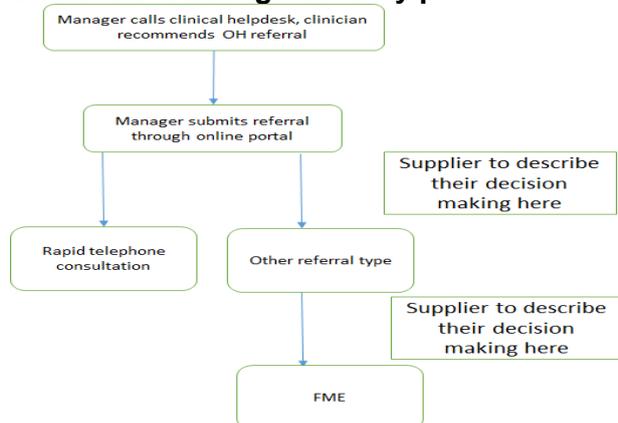
6.40.1 The Supplier shall provide implementation support for Contracting Authorities at Call Off stage, which shall include as a minimum but not limited to:

- A dedicated service delivery manager and clinical lead;
- Dedicated clinicians who have a detailed knowledge of the Contracting Authority and our business transformation;
- A clear understanding of the Contracting Authority's governance and approval process and work in a manner that supports;
- A detailed implementation plan, including risks and mitigation, tasks, a timeline, milestones, priorities and dependencies;
- Regular face to face and teleconferencing calls to discuss progress;

- Working directly with Digital colleagues, within the Contracting Authority to ensure that risk assurance work for all IT infrastructure is complete and approved prior to go live. All work required for approval, must be complete before go live;
- Work with the Contracting Authority to set up systems and processes to support the delivery of the Services;
- Work with the Contracting Authority to agree all policies and procedures which are relevant to the Services and develop and execute a training plan for relevant Supplier Personnel;
- A communications strategy to ensure the Contracting Authority is kept informed at key stages during the transition of Services;
- Written communication to update stakeholders;
- Written guidance to update internal guidance of the Contracting Authority, covering use of the online Portal, how to make a good referral;
- Work with the incumbent Suppliers to ensure a seamless transfer and continuity of Services, including the transfer of all relevant medical records and Data: and
- The transfer of all relevant historical medical records to any new Supplier on expiry of a Call Off contract
- Medical records will be made available by the supplier no more than one week from the go live date of the contract.

6.40.2 The Supplier shall provide the Contracting Authority with a process flow/decision tree and description of how appropriate Services are managed, from the point of contact through to case management and resolution as part of their implementation plan. These processes shall be approved in advance by the Contracting Authority and can be changed to suit the needs of the Contracting Authority.

**6.40.3 Contracting Authority process flow/decision tree**



6.40.4 The Supplier and Contracting Authority will review the process flow/decision tree annually to ensure that it meets the requirements of the Contracting Authority. The Contracting Authority can change the process flow/decision tree to suit their needs.

6.40.5 The Supplier shall establish a project team, which is responsible for the implementation of the Services.

6.40.6 The Supplier shall appoint a project manager with relevant experience of implementing a project of similar size and complexity.

6.40.7 The Supplier project manager shall report to the Contracting Authority on all aspects of implementation.

- 6.40.8 The Supplier shall provide a system where quotes for non-core services are provided before the service request is confirmed.
- 6.40.9 The Contracting Authority require access to advice for managers of disabled staff who may require reasonable adjustments. The Supplier will nominate a contact for the Contracting Authority's Workplace Adjustment Team.
- 6.40.10 Recommendations made during any assessment for desktop or IT equipment are made using DWP internal catalogues and any requests for non-standard items should be scrutinised by a Senior Occupational Therapist for justification.
- 6.40.11 The Contracting Authority will advise the Supplier of any planned programmes of work, which may have an impact on the usage of the services, such as major transformation programmes.
- 6.40.12 Should the Contracting Authority require a referral to be handled off-line, the Supplier will provide a senior clinician to help case-manage the referral either within or outside the standard referral process. These are in exceptional circumstances and will be led by the Contracting Authority Contract Management team.

**6.41 Diversity and Inclusion**

- 6.41.1 The Supplier shall ensure Services comply with all discrimination legislation, including the Equality Act 2010 and Gender Recognition Act 2004.
- 6.41.2 The Supplier shall ensure Supplier Personnel are trained in such legislation as necessary for the provision of the Services. The delivery of Services shall be accessible to Contracting Authority Personnel users, and shall include as a minimum:
  - Provision of written reports in alternative formats where required or upon request of the Contracting Authority's Personnel;
  - Telephone services to support Contracting Authority Personnel with hearing or speech difficulties;
  - Services for Contracting Authority Personnel whose first language is not English and who may request or require language support;
  - Access to Supplier premises for face-to-face appointments shall be disability friendly, where required to be so. Where this is not possible alternative arrangements shall be made in advance of any appointments; and
  - Provision of disabled parking at Supplier premises, where required.
- 6.41.3 The Supplier shall meet or be working towards meeting the content accessibility standards WCAG 2.0 AA in line with central Government standards. For further information see [Web Content Accessibility Guidelines \(WCAG\) 2.0](#).

**7 KEY MILESTONES**

- 7.1 The Contracting Authority requires that the chosen Supplier will commit to facilitating the timely implementation of the new Agreement ensuring no loss of service. The implementation phase will not be at cost to the Department and invoices will only be accepted from service commencement.
- 7.2 The Supplier should note the following project milestones that the Contracting Authority will measure the quality of implementation against:

Milestone	Description	Timeframe
1	Contract Signature	Within 1 week of contract award
2	Potential Provider to appoint an Account Manager	Within week 1 of Contract Award

3	Initial set up meeting with the Contracting Authority's OHS/EAP Contract Manager and the Supplier. Set strategy for implementation meetings during 12 week implementation	Within week 1 of Contract Award Within week 1 of Contract Award
4	Develop communication strategy for service commencement	Within 8 weeks of contract award
5	Testing of services on Contracting Authority Systems	Within 4 weeks of contract award
6	Phased testing and rollout of services	Within week 10 of Contract Award
7	Transfer of clinical data and any existing notes relevant to the Contracting Authority Personnel from existing Supplier, including TUPE activities	Within weeks 1-12 Contract Award
8	Service Commencement	Within 12 weeks of Contract Award

## 8 CONTRACTING AUTHORITY'S RESPONSIBILITIES

- 8.1 The Contracting Authority will work collaboratively with the Supplier to support the delivery of the Agreement to the end users of the services.
- 8.2 The Contracting Authority will ensure all contractual obligations are adhered to and managed accordingly.
- 8.3 All queries from the Supplier will be addressed and responded to within 3 working days.
- 8.4 The Contracting Authority will provide suitably qualified persons to attend and chair supplier meetings when required to do so.
- 8.5 The Contracting Authority will provide details of the Contract Manager within 1 week of contract award.
- 8.6 The Contracting Authority will arrange regular meetings to manage contract and provide feedback on service to the Supplier.
- 8.7 The Contracting Authority OH/EAP Contract Manager will supply the Supplier with any department policies which are applicable to delivery of service.
- 8.8 **Contract Management**
- 8.8.1 The Supplier shall provide a suitably qualified Contract Manager within five (5) working days of the Call Off contract Commencement date, provide the Contracting Authority with the name and contact details (including the telephone number and email address) of the 'Call Off contract' manager.
- 8.8.2 The Contract Manager shall have a detailed understanding of the Framework and Call Off contract and shall have experience of managing contracts of similar size and complexity.
- 8.8.3 The Supplier shall participate in monthly contract performance meetings at no additional cost to the Contracting Authority as well as quarterly face to face contract review meetings.
- 8.8.4 The Supplier Contract Manager shall be the primary contact between the Supplier and the Contracting Authority. The Supplier Contract Manager shall be responsible for managing the relationship with the Contracting Authority, which shall include:
- Ensuring continuity of provision and Service delivery;
  - Service planning, monitoring and continuous improvement;

- Agreeing and documenting points of contact with the Supplier for communication and escalation;
- Contract administration;
- The provision of Management Information;
- Support in drafting guidance, to be published on the Contracting Authority's intranet to support those accessing contract services;
- Attending contract review meetings at the frequency determined by the Contracting Authority;
- Providing detailed key performance Data;
- Issue resolution and Service improvement where issues have been identified; and
- Resolution of complaints and queries, which have been escalated.
- The provision of in guidance, training materials and communications, to be published on the Contracting Authority's intranet to support those accessing contract services.

8.8.5 The Supplier shall provide contact details of Supplier Personnel responsible for managing the Call Off contract where the Contract Manager is not available.

8.8.6 The Supplier shall provide the Contracting Authority with a quarterly report, listing as a minimum:

- External market trends, including analysis of how the Contracting Authority could benefit from such trends, including a cost analysis of any such changes;
- Proposed improvements to Services, including but not limited to, technology changes, administrative changes, Charges and new ways of working. Such proposals shall include an impact assessment of such changes.

8.9 Throughout on-going contract management for the Agreement, the Supplier is required to use the Authority's e-procurement software Bravo Solution;  
<https://dwp.bravosolution.co.uk/web/login.shtml>

The Supplier will be required to create/maintain their supplier profile and use the Bravo platform to share information with the Authority (e.g. Management Information, Diversity Plans, etc.).

8.10 The conduct and performance of third party contractors will be monitored by the Supplier who should provide credentials of new third party contractors and ensure that they carry out appropriate due diligence. Should the Supplier have any reason to believe a third party contractor demonstrates any kind of risk to the Contracting Authority, they must make the Supplier aware.

8.11 The Supplier should use report formats provided by the Contracting Authority should the Contracting Authority require a specific type or design and not insist on using their own format for their own convenience.

## **8.12 IT Accessibility**

8.12.1 Online portals (OH, EAP, Wellbeing Zone and any other Supplier platforms) should be accessible to all Contracting Authority personnel using standard DWP IT software

and hardware. This includes the current version of internet explorer which could otherwise prevent portal access or modified content.

- 8.12.2 The Supplier should test IT accessibility with the Contracting Authority as part of User Acceptance Testing and should not release new platforms, communication channels or on-line content such as tool-kits, without first checking with DWP Digital via the contract management team that the portal/content is both accessible to users and on secure technology.

### **8.13 Exit Strategy**

- 8.13.1 The Supplier shall provide an exit plan 3 months into the start of the contracts and then reviewed 6 months prior to the end of the contract. This plan shall include as a minimum details as to how the Records will be transitioned to a new supplier along with the provision of information regarding the existing processes and procedures, timescales, costs and any other information to enable the service to be tendered.
- 8.13.2 The Supplier shall take all measures to ensure that a smooth exit transition is effected for the Contracting Authority from their current Contract across to new Contract arrangements under any new Supplier, and that the Supplier shall work collaboratively with any new Supplier appointed during the new Contract Implementation phase.
- 8.13.3 The Supplier shall transfer all data relating to the Contracting Authority at contract termination (or alternative point requested by the Contracting Authority) to either the incoming Supplier or the Contracting Authority.
- 8.13.4 The Supplier shall ensure all data is available for transfer to the new Supplier in a common readable format at the point at which the Contracting Authority wishes to transfer the data.
- 8.13.5 Upon termination or termination (or alternative point requested by the Contracting Authority). The Supplier shall delete all Contracting Authority data in accordance with the Framework terms, providing a Destruction Certificate to the Contracting Authority confirming the data deletion.
- 8.13.6 At the end of the Agreement all equipment transferred to the Supplier shall remain in the ownership of the Contracting Authority. All physical and digitised records shall remain the property of the Contracting Authority at all times.

## **9 REPORTING**

### **9.1 Management Information reports**

- 9.1.1 The Supplier shall compile and deliver to the Contracting Authority a detailed Management Information pack within 5 Working Days of the end of each Service Period.
- 9.1.2 The Management Information pack shall contain Supplier performance information against the Agreement's Service Levels (including a calculation of any Service Credits due.
- 9.1.3 Management Information shall be provided in a Microsoft Excel worksheet format so that the data may easily be manipulated.
- 9.1.4 The Supplier will also provide a Customer Service Report at the end of each Service Period and the results of the Customer Satisfaction survey every three Service Periods.
- 9.1.5 The Supplier shall also deliver additional MI at the request of the Contracting Authority for various purposes (e.g. audit investigation, Freedom of Information requests). These ad hoc requests shall be provided whenever required as per the Framework terms.
- 9.1.6 The Supplier shall provide an online "real time" database portal which provides the Contracting Authority with live Management Information covered in the points above within 3 months of the start date of the Agreement.

- 9.1.7 The Supplier shall provide MI as required to support attendance management and compliance with policy within 5 working days of a request by the Contracting Authority.
- 9.1.8 Urgent MI requests (e.g. Freedom of Information, Parliamentary Questions) to be provided within the timelines associated to each request.
- 9.1.9 The Supplier should take every opportunity to combine MI from any reliable source and use the data from both Occupational Health and Employee Assistance Programmes to 'tell the story'. In addition to OH and EAP data, the Supplier should look to include data from the Wellbeing Zone, Wellness Index, People Survey etc to establish a holistic approach to delivering OH and EAP Services.
- 9.1.10 The supplier shall produce, free of charge, separate MI for BPDTS and DCMS.
- 9.1.11 The Supplier will allow approved Personnel at the Contracting Authority, access to live MI via the online Portal
- 9.1.12 The Contracting Authority will require comprehensive and robust Management Information to verify that Services are being delivered to the required standard, providing quality outcomes and providing value for money.
- 9.1.13 The Supplier shall provide separate MI relating to specific trials or initiatives to clearly demonstrate return on investment;
- 9.1.14 The Supplier shall adapt, with reasonable notice, the monthly MI to suit the needs of the Contracting Authority
- 9.1.15 The Supplier shall ensure Contracting Authority Personnel anonymity and confidentiality in the delivery and content of all Management Information.
- 9.1.16 The Supplier shall provide the Management Information broken down as specified by the Contracting Authority, but at a minimum this shall be at organisation, agency, and business unit level and by geographical location.
- 9.1.17 The Contracting Authority may request a reasonable number of ad-hoc Management Information reports. The Supplier shall provide such Management Information reports at no additional Charge.
- 9.1.18 The Contracting Authority will, where the Data is available, provide the Supplier with quarterly statistics on causes of sick absence, absence levels and average working days lost (AWDL).
- 9.1.19 The Contracting Authority will advise the Supplier of any planned programmes of work, which may have an impact on the usage of the services, such as major transformation programmes.

## **9.2 Contracting Authority Monthly Management Information**

- 9.2.1 The Supplier shall provide the following monthly Management Information to the Contracting Authority including a demographic (gender, ethnicity, age and disability) breakdown of Service usage:
- 9.2.2 General:
  - Monthly and cumulative Contract Year to date Charges for the Services, including any pass through or additionally agreed Charges;
  - Consolidated Contracting Authority Personnel complaints report;
  - Performance against agreed Service Level Performance Measures;
  - Results of Contracting Authority Personnel satisfaction surveys; and
  - Identification of any risks identified with the delivery of the Services including mitigating actions to manage the risks going forward.
  - Broken down by line of business, or however the Contracting Authority decides, the total cost and number of did not attend appointments and short notice cancellations.
- 9.2.3 Helpdesks
  - Numbers of telephone enquiries received;
  - Numbers of email enquiries received; and
  - Numbers of calls to helplines, categorised by type e.g. Manager, Clinical type,

queries relating specifically to day 1 absence referrals.

#### 9.2.4 Pre-employment checks

- Number of online assessments completed; and
- Number of occupational health adviser assessments completed.

#### 9.2.5 Attendance Management

- Total number of Contracting Authority Personnel referrals;
- Referral by type – telephone, electronic, face to face, paper based;
- Referral by category of illness / condition / medical category / service. The categories shall be standardised in agreement with the Supplier, but shall include musculoskeletal, mental health, work related stress, surveillance and pre-employment at a minimum;
- Referral by service line;
- Referral by clinician who completed the referral i.e. technician, occupational health advisor or occupational health physician;
- Number of referrals relating specifically to our attendance management policy and recommendation to make referrals on day one of some absence types;
- Management referral activity by clinical disease codes (ICD10);
- Number of occupational health visits undertaken, categorised by type such as workplace and home;
- A breakdown of referrals categorised by new referrals (including time from referral to first appointment), closed referrals (including how long the referral lasted), in progress referrals categorised by time slots of ten days and type (standard, complex, further medical evidence required etc.) number of referrals not yet processed (including the age of such referrals by the number of days);
- Number of occupational health advisor and occupational health physician appointments;
- Number of appointments cancelled by the Supplier, with reasons;
- Number of the appointments cancelled by the Contracting Authority, with reasons
- Number of Contracting Authority Personnel referred with absence less than 21 days;
- Number of Contracting Authority Personnel referred with absence of more than 21 days;
- Number of in-work referrals and further information requests;
- Number of cases related to equality legislation;
- Number of re-referrals and further information requests;
- Number of reports returned to the Supplier for revision and amendments including time taken to produce the amended report;
- Type of recommendation and/or outcome for referrals i.e. return to work, reasonable adjustment, medical retirement, medical termination;
- Number of further medical evidence requests and by type; and
- Analysis of Contracting Authority Personnel who did not attend appointments.
- Ill health retirement

#### 9.2.6 Case Conferences

- Number of case conferences held between the Supplier and the Contracting Authority.

#### 9.2.7 Surveillance

- Number and type of surveillance referrals;
- Number of RIDDOR reportable occupational diseases reported; and

- Number of questionnaires sent and received categorised by type e.g. health assessment questionnaires (HAQs) etc.

#### 9.2.8 Assessments for Contracting Authority Personnel Covered by the Equality Act 2010

- Number of workstation assessments;
- Number of workplace assessments;
- Numbers of assessments relating to hearing loss; and
- Number of assessments relating to sight loss.

#### 9.2.9 Other Services

- Number of dyslexia assessments undertaken;
- Number of referrals to the dyslexia support service;
- Number of face to face physiotherapy sessions; and
- Number of telephone based physiotherapy sessions.

### 9.3 Contracting Authority Quarterly Management Information

9.3.1 The Supplier shall provide the following quarterly Management Information. The content and scope of reports shall be defined by Contracting Authority and shall include a demographic (gender, ethnicity, age and disability) breakdown of Service usage:

- An executive summary outlining usage of the Services by the Contracting Authority and emerging trends;
- Explanation of how the Data has been collated and derived and any anomalies identified;
- Monthly and year to date performance against SLAs;
- Period by period comparison of the Data presented;
- Presentation in graphical and tabular form along with the base Data, the specific format of which will be agreed on award of the Framework;
- The benefits and added value the Services are providing, specifically stating what benefit the Supplier has brought to the Services both for the Contracting Authority Personnel and commercially;
- Summary by Contracting Authority Personnel satisfaction surveys, which shall track the Contracting Authority Personnel journey from referral to resolution and identify where the Services are not meeting expected standards and plans to address these;
- Summary of Contracting Authority Personnel complaints and identification of any trends resulting from these with a proposed service improvement plan to be agreed between the parties;
- Number of planned and executed policy and other occupational health workshops, listed by department;
- Trend analysis of Service usage including suggested actions and service improvements, with proposed times and costs for implementation;
- Service hotspots in the Contracting Authority, defining where these specifically occur along with Service improvement plans to address such issues;
- Identification of risks, reasons and mitigating actions to manage the risks going forward; and
- Market innovations and trends emerging in the wider occupational health market including mental health, musculoskeletal and healthy lifestyle.

### 9.4 Employee Assistance Programmes Monthly Management Information:

9.4.1 The Supplier shall provide the following **monthly** Management Information to the Contracting Authority as well as a demographic (gender, ethnicity, age and disability) breakdown of Service usage:

9.4.2 General

- Monthly and cumulative Contract Year to date Charges for the Services, including any pass through or additionally agreed Charges;
- Consolidated customer complaints report;
- Performance against agreed Service Level Performance Measures.
- Results of customer satisfaction surveys;
- Continuous improvement report; and
- Identification of any risks identified with the delivery of the Services including mitigating actions to manage the risks going forward.

#### 9.4.3 Online Portal and Telephone Services

- Analysis of hits to online portal, including sub-site breakdown information.
- Number of calls received to the telephone advice Service desks;
- Number of telephone calls requiring call-back;
- Number of telephone calls abandoned;
- Number of immediate high risk or red flag cases;
- Number of cases assessed as medium to high risk; and
- Number of low risk cases identified.

#### 9.4.4 Counselling and Other Services

- The number of Contracting Authority Personnel that received or are progressing through telephone based counselling;
- The number of Contracting Authority Personnel that received or are progressing through face to face counselling;
- The number of Contracting Authority Personnel that received or are progressing through therapeutic intervention;
- Analysis of problem source by work, home and/or both;
- Analysis of Contracting Authority Personnel who failed to attend booked counselling sessions;
- Average number of counselling sessions per Service received and resultant trends;
- Identification of service types which frequently require additional counselling Services;
- The number of Contracting Authority Personnel outlining work related stress as a primary reason for contact;
- A breakdown of cases using the HSE management standards (sources of stress at work) – demands; control; relationships; role; and change;
- The number of mediation cases undertaken and in progress, including outcomes;
- The number of Contracting Authority Personnel who have used telephone support through the trauma and critical incident Service; and
- Number of planned and executed policy and other employee assistance programme workshops/training programmes/seminars, listed by department.

### 9.5 **Employee Assistance Programmes Quarterly Management Information:**

9.5.1 The Supplier shall provide a **quarterly** Management Information report which shall include:

- An Executive Summary outlining service usage of the Services used by the Contracting Authority and emerging trends;
- Explanation of how the data has been collated and derived and any anomalies identified;
- Monthly and year to date performance against SLAs and KPIs;
- Period by period comparison of the data presented;

- Presentation in graphical and tabular form along with the base data, the specific format of which will be agreed on award of the Framework;
- The benefits and added value the Service is providing, specifically stating what benefit the Supplier has brought to the Services both for the Contracting Authority Personnel and commercially;
- Summary by Contract of employee surveys, which shall track the Contracting Authority Personnel's journey from engagement to resolution and identify where the Services are not meeting expected standards and plans to address these;
- Summary of Contracting Authority Personnel complaints and identification of any trends resulting from these with a proposed Service improvement plan to be agreed between the parties;
- Trend analysis of Service usage including suggested actions and service improvements, with proposed times and costs for implementation;
- Service hotspots in the Contracting Authority, defining where these specifically occur along with Service improvement plans to address such issues;
- Identification of risks, reasons and mitigating actions to manage the risks going forward; and
- Market innovations and trends emerging in the wider employee assistance programme market including mental health, musculoskeletal and healthy lifestyle.

#### 9.5.2 Summary of reporting requirements:

Report	Frequency	Reference
Service Level Performance	Every Service Period, within 5 working days	Chapter 9
Service Credit Calculation	Every Service Period, within 5 working days	Chapters 9 and 16
Management Information Report (Monthly)	Every Service Period, within 5 working days	Chapter 9
Management Information Report (Quarterly)	To be define by the Contracting Authority during implementation	Chapter 9
Sustainable Development Policy and Plan	After 6 months then annually	Chapter 12
Diversity and equality plan	After 6 months then annually	Chapter 12
Life Chances workforce monitoring	After 6 months then annually	Chapter 12
Customer Service Report	Every Service Period, within 5 working days	Chapter 15
Customer Satisfaction Survey	Every 3 Service Periods, within 5 working days	Chapters 9 and 15
Security Plan	After 20 working days of contract start	Chapter 17

	then annually	
VAT invoice	Every Service Period, within 5 working days	Chapter 19
Supporting Documentation	Every Service Period, within 5 working days	Chapter 19
Exit plan / TUPE information	To be provided 6 months before the end of the Agreement	Chapter 16

## 10 VOLUMES

- 10.1 The Contracting Authority does not bind itself to a specific volume of business under this agreement.
- 10.2 DWP's projected headcount for 1 January 2018 is 78,678 FTE.
- 10.3 DCMS projected headcount for 1 January 2018 is 730.
- 10.4 BPPTS projected headcount for 1 January 2018 is 400. This has the potential to increase to c1000 in the first year of the contract.
- 10.5 The headcount will be reviewed quarterly within the first year and bi-annually for the remainder of the contract thereafter in order to allow for fluctuations in workforce turnover and pricing adjustments will be made.
- 10.6 We currently anticipate that volumes will remain in the region of 2016/17 volumes. However DWP HR strategies and workforce size may change over the lifetime of the contract which could result in increased volumes for this service. We will require the Supplier to operate the services in a flexible manner that will support the Contracting Authority during any fluctuations in volumes. The Contracting Authority reserves the right to increase volumes and therefore the contract value in line with the Public Contracts Regulations (2015) should future OHS/EAP service requirements dictate.
- 10.7 The following tables provide an indication of the Contracting Authority's current usage of Occupational Health and Employee Assistance Programme Services to assist bidders in understanding the likely scale and scope of services that they will be required to provide under the Agreement. The Contracting Authority's usage of these services may change during the period of the contract as technology is developed/ implemented. As a result the Contracting Authority reserves the right to change the usage without restriction.

### Occupational Health Service Usage

OH Service Line	Previous 12 months	Monthly Average
OH Advisor Telephone Assessments	22,199	1849
OH Physician Telephone Assessments	345	29
Face to Face OH Assessments	501	42
Further Medical Evidence Reports	260	22
File Opinions	811	68
Pre-Appointment Assessments	1559	130

Workstation Assessments	1408	117
Workplace Assessments Dyslexia	318	27

### Employee Assistance Programme Usage

EAP Service Line	Previous 12 months	Monthly Average
Telephone Counselling	1890	158
Face to Face Counselling	1462	122
Workshops Delivered	804	67

## 10 CONTINUOUS IMPROVEMENT

- 11.1 The Supplier will be expected to continually improve the way in which the required Services are to be delivered throughout the Contract duration.
- 11.2 The Supplier should present new ways of working to the Contracting Authority during quarterly Contract review meetings.
- 11.3 Changes to the way in which the Services are to be delivered must be brought to the Contracting Authority's attention and agreed prior to any changes being implemented.
- 11.4 Please refer to Framework Terms and Conditions; Schedule 12: Continuous Improvement and Benchmarking which details the minimum requirements for continuous improvement.

### 11.5 Clinical Governance and Performance Monitoring

- 11.5.1 The Supplier shall conduct an annual Service review in respect of each Contract Year. The Service review shall be supported by a report that provides details of the methodology applied to complete the review, the sampling techniques applied, details of any issues identified and remedial action to be taken.
- 11.5.2 The Supplier shall make the results available to the Contracting Authority.
- 11.5.3 The Supplier shall include the following in the review:
- Supplier Personnel levels are being maintained and monitored to cope with Service demands and that a Supplier Personnel resource planning process is regularly reviewed and maintained;
  - All clinical policies and procedures are being monitored and followed;
  - The maintenance and secure storage of medical records;
  - Supplier Personnel are professionally accredited in order to provide the Services;
  - The Supplier is compliant with SEQOHS standards;
  - Supplier Personnel professional qualification accreditation is monitored and maintained at organisational level; and
  - The complaints process is effectively monitored and maintained by sampling 10% of complaints and reviewing that all processes are followed and appropriate records maintained.

- 11.5.4 The Supplier shall work with the Contracting Authority to track and report on any remedial actions identified and the Parties agree that they shall bear their own respective costs and expenses incurred in respect thereof.
- 11.6 **Measuring Service Impact and Outcomes**
- 11.6.1 The Supplier shall use published, recognised methodologies, where available and agree in advance with the Contracting Authority, to measure the Services at least twice in each Contract Year. The Supplier shall include, at a minimum, an assessment of the impact of the Services on:
- Contracting Authority Personnel engagement with the Contracting Authority as an employer;
  - Contracting Authority Personnel perception of their own health and wellbeing;
  - Contracting Authority Personnel perception of their own stress and anxiety levels;
  - Contracting Authority Personnel perception of their own levels of resilience; and
  - Contracting Authority Personnel perception of presenteeism (the extent Contracting Authority Personnel work when sick or feel obliged to work when sick) and productivity.
- 11.6.2 The Supplier shall also measure the impact of the Services on:
- Reducing Average Working Days Lost (AWDL);
  - Interventions put in place for disabled Contracting Authority Personnel;
  - Interventions relating to each type of Contracting Authority Personnel absence;
  - Support for Contracting Authority Personnel remaining in the workplace; and
  - Support for Contracting Authority Personnel returning to work and whether they have remained in the workplace for a sustained period of time.
- 11.6.3 The Supplier shall undertake quarterly online satisfaction surveys of the Services and shall aim to get a 50% response from Contracting Authority Personnel.
- 11.6.4 The Supplier shall ensure that surveys contain questions relating to all aspects of the Services, including use of the online portals and where appropriate to incorporate measures that are included in Contracting Authority employee surveys, which will be shared with the Supplier.
- 11.6.5 The Supplier shall design and provide such surveys to the Contracting Authority upon request at no additional charge.
- 11.6.6 The Supplier shall provide the Contracting Authority with survey results, including recommendations for Service improvements, identifying trends and any changes to Services where Contracting Authority Personnel satisfaction has not met Contract Authority's agreed targeted results.
- 11.6.7 The Supplier shall agree the content of Contracting Authority Personnel satisfaction surveys in advance with the Contracting Authority, including the target measures to be achieved.
- 11.6.8 The Supplier shall, as a result of the results of the satisfaction survey, produce an action to address and resolve issues highlighted. Timescales for this action will be agreed with the Contracting Authority.

11.6.9 The Supplier shall agree the forms of clinical measures to monitor the effectiveness of the Services, in advance with the Contracting Authority and they may include but not be limited to:

- General Health Questionnaire (GHQ) (versions 12,28,30 & 60) to detect the presence of and/or assess the severity of psychiatric disorders;
- Patient Health Questionnaire (PHQ-9) generally used to monitor the severity of depression symptoms; and
- General Anxiety Disorder (GAD7) self-administered questionnaire used to determine presence and severity of generalised anxiety disorder.

## 11.7 Strategy, Policy and Guidance

11.7.1 The Supplier shall be conversant with all current, proposed and new legislation pertinent to the Services provided.

11.7.2 The Supplier shall provide the Contracting Authority with a written report of proposed and new legislative changes and/or guidance stating how the Services will be impacted and/or where the Services will need to be modified in order to maintain compliance with such changes.

11.7.3 The Supplier shall also ensure that the Contracting Authority is aware of any national medical issues including pandemics.

11.7.4 The Supplier shall work with the Contracting Authority and provide policy and strategy guidance and advice. This shall include a review of internal policies and sharing best practice from across employment sectors and reviewing policies in line with current legislation.

11.7.5 The Supplier shall work with the Contracting Authority to understand any policy changes, which may impact on Service delivery.

11.7.6 The Supplier shall:

- Undertake periodic analysis of the Contracting Authority's absence Data, case information and trends;
- Determine the most appropriate methods of Data collection and related protocols;
- Undertake comprehensive analysis of the Data at business level, occupational group and demographic groups to identify trends, hotspots, best practice and areas for concern;
- Undertake regular benchmarking of absence and trend across employment sectors; and
- Provide recommendations using the Data analysis to highlight potential for Service improvements and mechanisms to reduce absence levels.

11.7.7 The Supplier shall propose changes and/or modifications to the Services in order that the Services address any specific trends and/or issues, including a time plan for implementation.

11.7.8 The Supplier shall work with the Contracting Authority to determine what preventative solutions can be implemented to address organisational attendance issues. This shall include sharing patterns of absence or absence type, trends, hotspots and examples of best practice.

11.7.9 The Supplier shall work with the Contracting Authority to understand any new policy changes, which may impact on Service delivery.

11.7.10 The Supplier shall identify Service trends and shall develop mitigation strategies and/or solutions in conjunction with the Contracting Authority, for example when:

- Referrals increase due to a specific problem identified;
- Service usage patterns indicate the need for further investigation;

- Issues of bullying/intimidation or career/job related stress increase in a specific Contracting Authority location;
- There is a lack of referrals / Contracting Authority Personnel contact from a specific geographical area or business unit; and
- Patterns/or concerns of presenteeism (the extent to which Contracting Authority Personnel work when sick, or feel obliged to work when sick) arise in particular parts of the Contracting Authority's organisation.

## **12 SUSTAINABILITY**

- 12.1 The Supplier acknowledges that the Authority must at all times be seen to be actively promoting Sustainable Development through its environmental, social and economic responsibilities.
- 12.2 The Supplier shall produce a Sustainable Development Policy Statement and Sustainable Development Plan within 6 (six) months of the Commencement Date and every 12 months thereafter.
- 12.3 The Sustainable Development Policy Statement and Sustainable Development Plan must be specific to the Agreement and include all Sub-contractors involved in delivery of the Agreement. The Supplier must obtain the required information from Sub-contractors and then collate and submit as stated above.
- 12.4 In delivering the Agreement, the Supplier shall prepare a Sustainable Development Policy Statement giving, for each organisation involved in delivery of the contract an overarching commitment to:
- dispose of contract waste in a legal manner (i.e. waste is disposed of via a registered waste collector, the Waste Electrical and Electronic Equipment (WEEE) regulations are adhered to where relevant);
  - reduce energy consumption;
  - promote waste management including recycling;
  - promote green or public transport;
  - promote Corporate Social Responsibility (CSR);
  - the Sustainable Development Policy and that of continuous improvement which should be signed and dated by senior management.
- 12.5 In delivering the Agreement, the Supplier shall prepare and deliver a Sustainable Development Plan which should be used to turn the commitment shown in the Sustainable Development Policy into action and which as a minimum, detail how each organisation involved in delivery of the contract will:
- reduce their environmental footprint of this contract through:
    - minimising the use of energy, water and materials;
    - minimising waste and increasing recycling levels;
    - utilising recycled goods within operations;
    - providing efficient low carbon delivery methods;
    - promoting the use of green or public transport.
  - contribute to social sustainability of this Agreement where requested by the Contracting Authority.
  - drive economic sustainability of this Agreement through:
    - supporting job creation both locally and nationally;
    - facilitating opportunities for Minority Owned Businesses and Small and Medium-sized Enterprises.
- 12.6 To aid the Contracting Authority in monitoring the progress of each organisation the following information should also be included in your plan:

- a baseline assessment of current position in terms of waste minimisation, recycling and energy consumption (energy consumption only required if current energy usage is available to organisations);
- annual estimates of the progress of Sustainable Development actions;
- details of how Staff awareness of Sustainability will be increased in line with the Sustainable Development Plan.

12.7 The Supplier acknowledges that the Contracting Authority is committed to assisting people to move from welfare to employment and driving forward improvements in economic, social and environmental well-being.

**Diversity and Equality:**

12.8 The Supplier acknowledges that the Contracting Authority has a responsibility to support and promote wider social sustainability objectives for the benefit of society; and agrees to cooperate with the Contracting Authority to improve life chances for those most disadvantaged and furthest from the labour market.

12.9 The Contracting Authority requires the Supplier to provide a Diversity and Equality Delivery Plan six (6) Months after the Service Commencement, and annually thereafter. The Diversity and Equality Delivery Plan must be specific to the Agreement and include details of all Staff including but not limited to all Sub-contractors involved in the performance of the Suppliers obligations under the Agreement.

12.10 The Diversity and Equality Delivery Plan must include:

- an overview of Contractor and any Sub-contractor's policies and procedures for preventing unlawful discrimination and promoting equality of opportunity in respect of:
  - age;
  - disability;
  - gender reassignment;
  - marriage and civil partnership;
  - pregnancy and maternity;
  - race;
  - religion or belief;
  - sex; and
  - sexual orientation.
- an overview of Contractor and any Sub-contractor's policies and procedures covering:
  - harassment
  - bullying
  - victimisation
  - Staff training and development
- details of the way in which the above policies and procedures are, or will be (and by when), communicated to Staff;
- details of what general diversity and equality related training has been, or will be delivered (and by when), to Staff;
- details of what structure and resources are currently directed towards active promotion of diversity and equality within the Staff used in the performance of the Contractor's obligations under this Contract, or if not currently in place, what will be put in place and by when

12.11 The Contracting Authority will consider and must agree the contents of Diversity and Equality Delivery Plan. Any issues will be raised with the Supplier by the contract manager acting on behalf of the Contracting Authority. If an issue relates to a Sub-contractor, the Contractor must raise and resolve the issue with the Sub-contractor.

**Life Chances through Procurement**

- 12.12 The Supplier acknowledges that the Contracting Authority is supporting the Crown's Life chances and social value agendas by aiming to promote opportunities for groups of persons which the Contracting Authority regards as meriting priority assistance including but not limited to Apprentices, Disabled People, Young People, Older Workers, Ex-Offenders and Black and Minority Ethnic People.
- 12.13 Diversity and Equality, the Crown's social value agenda and DWP Priority Groups will be discussed jointly by the Contracting Authority and the Contractor as an on-going item at Contract review meetings.
- 12.14 The Supplier shall, and shall ensure that its Sub-contractors, take the following action(s) in respect of DWP Priority Groups;
- Apprentices:
    - Make available to potential members of Staff used in the performance of the Contractor's obligations information about the National Apprenticeship Service.
  - Disabled People:
    - Take steps to become a Disability Confident Employer.
    - Make appropriate use of Access to Work to support recruit and retain disabled workers.
    - Provide Employment Experience to Disabled People as members of Staff used in the performance of the Contractor's obligations under the Contract to develop their skills and experience and increase their employability.
  - Employment Experience: Provide Employment Experience to Young People as members of Staff used in the performance of the Contractor's obligations under the Contract to develop their skills and experience and increase their employability for;
    - Young People – Under 25
    - Older Workers – Over 50
    - Ex-Offenders
    - Black and Minority Ethnic People
- 12.15 Employee Vacancies: advertise all vacancies for staff via universal job match in addition to any other recruitment agencies with whom the Supplier advertises such vacancies and any other actions the Supplier takes to recruit Staff.
- 12.16 The Supplier shall provide the Life Chances Workforce Monitoring template duly completed in full in respect of all Staff (including but not limited to all Sub-contractors used in the performance of the Supplier's obligations under the Contract), six (6) Months after the Service Commencement date and annually thereafter.
- 12.17 The Supplier shall complete the Life Chances Workforce Monitoring template inline with the 'Life Chances through Procurement Guidance for DWP Contractors' and the contract definitions.

### **13 QUALITY**

- 13.1 The Supplier should meet all quality standard and requirements as specified in the Occupational Health and Employee Assistance Programme Services Framework (RM 3795).
- 13.2 The Supplier's service must be compliant with the European ICT Accessibility Standards [EN 301 549](#).
- 13.3 The Supplier's online booking tool must be compatible with:
- Screen Readers
  - Screen Magnifiers
  - Speech Recognition
  - Dyslexia Support

## **14 PRICE**

14.1 Prices are to be submitted via the e-Sourcing Suite Appendix E excluding VAT.

## **15 STAFF AND CUSTOMER SERVICE**

### **15.1 Supplier Personnel**

15.1.1 The Supplier shall ensure that all Supplier Personnel are suitably experienced, skilled and/or qualified to deliver the Services for which they are employed.

15.1.2 The Supplier shall ensure that Contracting Authority Personnel understand the Contracting Authority's vision and objectives and will provide excellent customer service to the Contracting Authority throughout the duration of the Contract.

15.1.3 The Contracting Authority requires the Supplier to provide sufficient level of resource throughout the duration of the provision of Occupational Health and Employee Assistance Programme Services as defined in the framework agreement Occupational Health Services, Employee Assistance Programmes and Eye Care Services RM3795 in order to consistently deliver a quality service to all Parties.

15.1.4 The Supplier should be prepared to flex the size and skills of its workforce to cope with increased demand in services. This could include recruitment of additional Clinicians, Assessors and Administrators as required to meet agreed SLA's and to deliver a high quality service at all times including spikes in OH referrals for whatever reason.

### **15.2 Patient Confidentiality and Anonymity**

15.2.1 The Supplier shall ensure that Supplier Personnel are aware of the following:

- Factual, contemporaneous and legible medical records shall be maintained for all users of the Services; and
- Reports produced for Contracting Authority Personnel can be disclosed to that Contracting Authority's Personnel on request in accordance with the Access to Medical Reports Act 1988 and the Access to Health Records Act 1990.

15.2.2 The Supplier shall ensure Supplier Personnel are trained in all applicable law relating to patient confidentiality and the Supplier shall provide evidence of such training on request to the Contracting Authority.

15.2.3 The supplier shall ensure that Supplier Personnel are managed and up-skilled appropriately should a security breach occur.

### **15.3 Occupational Health Personnel Qualifications**

15.3.1 The Supplier shall ensure that Supplier Personnel delivering the Services shall have the following qualifications:

- Clinical staff shall be registered with the relevant regulatory Contracting Authority and shall have annual verification of GMC, NMC, HCPC certification;
- Consultant occupational health physicians shall be a Member or Fellow of the Faculty of Occupational Medicine (MFOM or FFOM), or can demonstrate they are in the process of accreditation;
- Occupational health physicians shall be an Associate of the Faculty of Occupational Medicine (AFOM) and shall hold as a minimum a Diploma in Occupational Medicine (DOccMed). Such Supplier Personnel shall have access to consultant occupational health physicians in order to consult on complex or specialist cases;
- Occupational health advisors shall be a Registered Nurse (RN) with the Nursing Midwifery Council (NMC) and shall hold or can demonstrate they are working towards a degree or post-graduate diploma in Occupational Health

with associated registration on Part 3 of the Register as a Specialist Community Public Health Nurse (OH) (SCPHN/OH);

- HAVS screening shall be carried out by Supplier Personnel who are trained practitioners to the NHS Career framework Level 3 standard (OH Support Worker Level 2);
- All Supplier Personnel who provide immunisation and/or screening shall be a Registered Nurse (RN) with the Nursing Midwifery Council (NMC) and shall hold evidence of having undertaken face to face immunisation training in the last 12 months including basic life support and anaphylaxis (NHS Career framework Level 2 (OH Support Worker Level 1));
- Occupational therapists shall hold a BSc (Hons) in Occupational Therapy or a Masters Degree or Advanced Postgraduate qualification in Occupational Therapy. They shall also be registered with the Health and Care Professions Council (HCPC) and shall hold membership of the British Association of Occupational Therapists; and
- Physiotherapists shall have a BSc in Physiotherapy and shall hold professional registration with the Health and Care Professions Council (HCPC).
- The Supplier shall provide a matrix to show each clinical role, the minimum standard of qualifications they will have and the service lines they are employed to carry out.

### **15.3.2 Employee Assistance Programme Personnel Qualifications:**

15.3.2.1 The Supplier shall be accredited by the British Association for Counselling and

and Psychotherapy (BACP).

15.3.2.2 The Supplier shall be accredited by the Royal Society for Public Health to provide the Contracting Authority with Mental Health First Aider training.

15.3.2.3 The Supplier shall be accredited to provide Mindfulness and Stress Management training to Contracting Authority personnel.

15.3.2.4 In addition to BACP accreditation, Supplier organisations and Supplier Personnel shall hold accreditation from one or more of the following recognised bodies:

- British Psychological Society;
- British Confederation of Psychotherapists;
- British Association for Behavioural and Cognitive Therapies (BABCP);
- UK Council for Psychotherapy (UKCP);
- Health and Care Professionals Council (HCPC);
- Nursing and Midwifery Council (NMC);
- General Medical Council (GMC); and
- COSCA (Counselling & Psychotherapy in Scotland).

15.3.3 The Supplier shall ensure all Supplier Personnel who provide counselling Services shall:

- Have a Diploma in Counselling or equivalent;
- Comply with the BACP Ethical framework for good practice in Counselling and Psychotherapy 2012;
- Have experience of delivering short term counselling;
- Have 450 hours of counselling experience post qualification;

- Undertake regular supervision by a qualified counselling supervisor in line with BACP guidelines;
- Hold membership or accreditation with one or more of the registered bodies listed in section 4.1.7; and
- Ensure therapists delivering outcome based Services meet the minimum level of relevant qualifications and experience required for membership of their appropriate professional bodies (The British Association for Behavioural and Cognitive Psychotherapies, EMDR UK & Ireland Association and the British Association for Counselling and Psychotherapy).

15.3.4 The Supplier shall ensure that Supplier Personnel who provide mediation Services comply with the standards and ethics of the Civil Mediation Council (CMC) and shall have an accredited mediation qualification.

#### 15.4 **Training**

15.4.1 The Supplier shall ensure that all Supplier Personnel undertake Continuing Professional Development (CPD).

15.4.2 The Supplier shall provide adequate supervision and support, where newly qualified Supplier Personnel provide the Services, including a designated qualified mentor.

15.4.3 The Supplier shall ensure all Supplier Personnel who provide Services shall:

- Be appropriately trained in the Contracting Authority's processes and policies;
- Be trained in the Supplier's processes, procedures and policies, including those which have been agreed between the Supplier and the Contracting Authority;
- Be trained in the counselling and advice Services that are offered and/or available and have access to a database of such Services so that Contracting Authority Personnel who use the Services can be triaged appropriately and signposted to the relevant Services; and
- Undergo, at a minimum, annual training, which shall include training on any changes to the above and refresher training, at no cost to the Contracting Authority.

15.4.4 The Supplier shall keep a record of such training and provide evidence of training and/or qualifications on request to the Contracting Authority.

#### 15.5 **Vetting**

15.5.1 The Supplier shall ensure that Supplier Personnel having access to OFFICIAL-SENSITIVE information have undergone basic recruitment checks. Suppliers shall apply the requirements of HMG Baseline Personnel Security Standard (BPSS) for all Supplier Personnel having access to OFFICIAL-SENSITIVE information. Further details and the full requirements of the BPSS can be found at the Gov.UK website at: <https://www.gov.uk/government/publications/security-policy-framework>.

15.5.2 The Supplier shall ensure that all Supplier Personnel, have been security vetted and approved to Disclosure and Barring Service (DBS) relevant standards and/or Disclosure Scotland relevant standards where appropriate. The Supplier shall ensure this is completed prior to the involvement of Supplier Personnel in the delivery of the Services under this Framework Agreement.

15.5.3 The Supplier shall ensure that all Supplier Personnel have appropriate security clearance.

15.5.4 The Supplier shall provide details of its Supplier Personnel security procedures to Contracting Authority.

#### 15.6 **Supply Chain Management**

15.6.1 The Supplier shall note the Government is committed to making sure that small and

medium-sized enterprises (SMEs) have access to Government contract opportunities. Suppliers shall be required to make this Framework Agreement and any Call Off contracts as accessible as possible to ensure that the most appropriate Sub Contractors are part of their supply chain and shall proactively support the Government's SME agenda whilst delivering a quality service and ensuring that value for money is achieved.

- 15.6.2 The Supplier shall proactively encourage SME's to become part of their supply chain to support the Government's SME agenda.
- 15.6.3 The Supplier shall ensure that they exercise due skill and care in the appointment and selection of any Sub Contractors (including associates/partners).
- 15.6.4 The Supplier shall ensure that all Sub Contractors appointed have the technical and professional resource and experience to unreservedly deliver in full all the mandatory Service requirements set out in this Framework Agreement Schedule 2.
- 15.6.5 The Supplier shall be responsible for managing and monitoring the on-going performance of any Sub contractors appointed and ensure they have a process in place to deal with any issues with under and non-performance of appointed Sub contractors. The use of Sub Contractors will not impact on the KPIs and SLAs that the supplier is required to deliver.
- 15.6.6 The Supplier shall formalise relationships with Sub Contractors and manage any Sub Contractors in accordance with Industry Good Practice.
- 15.6.7 The Supplier has an obligation to discuss and agree the appointment of a Sub Contractor with the Contracting Authority, before engaging their services.
- 15.6.8 The Supplier will ensure that all Sub Contractor Personnel have the same qualifications and experience that is required of Supplier Personnel, for the service line they are completing.
- 15.6.9 The Contracting Authority reserves the right to perform additional checks on any sub contractor before they start working on our contract. Should any issues be identified, the supplier will direct the Contracting Authority's requirement to their core personnel or approved Sub Contractors.
- 15.6.10 The Contracting Authority requires the Supplier to provide a sufficient level of resource throughout the duration of this Agreement in order to consistently deliver a quality service.
- 15.6.11 The Supplier shall ensure that all staff assigned to this Agreement have the relevant qualifications and experience to deliver the services required, as defined in the framework agreement (RM3795).
- 15.6.12 The Supplier will provide a customer service function to ensure the resolution of any service issues under this Agreement. The Supplier will provide contact details (email and phone) for this service which will act as the single point of contact for resolving issues with end users.

#### 15.7 **Complaints Process**

- 15.7.1 The Supplier will have in place an efficient system for recording handling and resolving complaints relating to service delivery. This system should allow for the identification and tracking of particular complaints from initiation to resolution. Detail of such complaints and proposed/completed corrective action will be reviewed on a regular basis.
- 15.7.2 The Supplier shall ensure that any issues raised directly by Contracting Authority Personnel are dealt with as a matter of priority.
- 15.7.3 The Supplier shall assist in seeking speedy resolution to resolve the situation, irrespective of where the fault lies. Types of complaints that shall be supported in this way include, but are not limited to:
  - Contracting Authority Personnel complaints relating to delays in booking appointments for Services;
  - Contracting Authority Personnel complaints relating to the availability of

receiving the Services;

- Contracting Authority Personnel complaints relating to any sharing of patient Data;
- Contracting Authority Personnel complaints in relation to the quality of Services received;
- Contracting Authority Personnel complaints in relation to Services not meeting specific needs of individuals e.g. facilities for disabled Contracting Authority Personnel;
- Contracting Authority complaints relating to failure of Service Levels; and
- Contracting Authority complaints in relation to invoicing and billing.

- 15.7.4 The Supplier shall acknowledge complaints made by the Contracting Authority i.e. verbal, formal or informal and written within one (1) Working Day of the details of the complaint being received by the Supplier. Thereafter updates on how the Supplier is proactively working to seek a resolution to the complaint shall be made by the Supplier to the Contracting Authority at intervals of two (2) working days, until a satisfactory resolution has been agreed which is mutually acceptable to both parties.
- 15.7.5 Contracting Authority Personnel can make complaints verbally or in writing. There is no obligation to make a complaint in writing.
- 15.7.6 The Supplier will accept complaints from the Contracting Authority Contract Managers.
- 15.7.7 Complaints that result in a referral needing to be re-submitted for repeat or further action should be fast-tracked for an immediate appointment and not placed back into the standard referral process awaiting allocation. These re-referrals should be resolved quickly and where appropriate with off-line case management.
- 15.7.8 The Contracting Authority should not be re-charged for any part of a re-referral / re-assessment resulting from a complaint.
- 15.7.9 The Supplier shall have in place a robust escalation process to support complaints handling and to ensure effective management and resolution of all complaints received from the Contracting Authority.
- 15.7.10 The Supplier shall provide the Contracting Authority with one consolidated report (per month) for the duration of any Call Off contract, capturing all formal and informal complaints detailed by Contracting Authority Personnel and the Contracting Authority. These reports shall include the date the complaint was received and resolved, complainant contact details, the nature of the complaint and actions agreed and taken to resolve the complaint and any changes to the Services and lessons learnt.
- 15.7.11 The Supplier shall provide the Contracting Authority with a copy of the documents complaints process.
- 15.7.12 At the end of each Service Period, the Supplier will deliver a Customer Service Report to the Contracting Authority for discussion at the following Contract Management Meeting. This report shall include a summary of any issues raised over the period and actions put in place for resolution.
- 15.7.13 To support the assessment of service performance, the Supplier shall design, operate and manage a customer Satisfaction Survey in order to survey end users of the service that have submitted booking requests and/or received fulfilled bookings/orders.
- 15.7.14 The subject matter of Satisfaction Surveys may include:
- the assessment of the Supplier's performance by the end-users against the agreed Key Performance Indicators; and/or

- other suggestions for improvements to the Services/ innovations.
- 15.7.15 The results of these surveys will be discussed quarterly at Contract Management meetings though the frequency of these discussions may increase in the event of performance issues.
- 15.7.16 The Contracting Authority may at any time make use of a mystery shopper service to test the service delivery and quality from the Supplier. This information will then be used to inform performance discussions at regular contract management meetings.
- 15.7.17 The Contracting Authority shall reflect in the Contract Management meeting any aspects of the Supplier's performance of the Services which the responses to the Satisfaction Surveys reasonably suggest are not meeting the Services Description in order to agree remedial actions with the Supplier.

**15.8 Staff Transfer/TUPE**

- 15.8.1 As in accordance with clause 20.2 of the RM3795 Framework Agreement, the Contract that will be established as a result of this Procurement will replace the existing contracts that the Contracting Authority currently has with one incumbent supplier for the delivery of Occupational Health and Employee Assistance Programme Services.
- 15.8.2 For this contract, RM3795 Occupational Health and Employee Assistance Programme Services Framework Lot 1 – Managed Service the Agent considers that TUPE may apply to the Contract awarded as a result of this Procurement on the basis that the activities carried out on behalf of the Contracting Authority are to remain fundamentally the same. There may also be organised groupings of employees dedicated to providing licence acquisition training services in the existing contract that the Contracting Authority currently has in place.
- 15.8.3 It is the responsibility of the Supplier to take their own advice and consider whether TUPE is likely to apply in the particular circumstances of the Contracts that will be established as a result of this Procurement.
- 15.8.4 Please see paragraph 20.2 of the CCS Full Service for Occupational Health Services and Employee Assistance Programmes Framework (RM3795) Specification for further guidance.
- 15.8.5 On the basis that TUPE may apply the Agent has acquired information relating to the employees of the incumbent supplier that have indicated that TUPE may apply. The Agent and the Authority make no representation that the information is complete or accurate, or that the information provides an indication of the resources that will be required to deliver the Services.
- 15.8.6 For Lot 1 Full Service for Occupational Health Services and Employee Assistance Programmes the prices that you submit must incorporate all costs associated with TUPE. No additional costs will be accepted by the Authority other than the prices you submit within Appendix E – Pricing Table as part of your Tender response.
- 15.8.7 Potential Providers shall not at any time make use for their own purpose, or disclose to any person (except as may be required by law), any of the TUPE information provided to them (whether communicated orally, electronically, or in writing). The TUPE information shall be deemed to be strictly confidential and for use solely in connection with the preparation of Tenders and the administration of any Contract established as a result of this Procurement.
- 15.8.8 To receive the TUPE information, you are required to complete the Non-Disclosure Agreement Appendix F and return via the e-Sourcing Suite messaging facility. On receipt of your completed Non-Disclosure Agreement, the Agent will then send you the TUPE information via the e-Sourcing Suite messaging facility.
- 15.8.9 Potential Providers are advised to review Clause 29 and Contract Schedule 11 (Staff Transfer) to review the indemnities that you shall be required to provide and receive. No further indemnities will be given on the award of any Contract under this Procurement. – We need to review this section to ensure we mention the correct clauses in the agreement/T's and C's

## 16 SERVICE LEVELS AND PERFORMANCE

- 16.1 The Contracting Authority will measure the quality of the Supplier's delivery of services through monitoring performance against each of the individual Service Lines as defined in Annex 1.
- 16.2 Not more than once in each contract year the Contracting Authority may, on giving the Supplier at least two months written notice;
- Add and/or replace one or more specific KPIs.
  - Change the Service Credit weighting that applies in respect of one or more specific KPIs.
- 16.3 The Supplier shall not be entitled to object to any changes made by the Contracting Authority in clause 16.2 provided that the principle purpose of the change is to reflect changes in the Contracting Authority's business requirements and/or priorities or to reflect changing industry standards.
1. The performance levels specified are the Minimum Performance required for this Agreement. The Contracting Authority expects that actual performance should exceed or meet these minimum performance levels.
  2. Where performance on any Critical Service Levels [outlined in Annex 1] is below the Minimum Performance a Service Credit will be applied. For the purpose of this contract the reporting period is the calendar month.
  3. Deficits in minimum performance shall be rounded upwards to the nearest whole percentage for the purpose of calculating any service credits due. For example, if performance was 94.3% against a minimum target of 95%, one service credit would be due.
  4. Each Service Credit relates to a specified percentage which is calculated against the overall service charge for the reporting period. Percentages for each critical service line are outlined in Annex 1.
  5. An overall Service Credit cap of 10% for whole reporting period costs will apply to this agreement. Service Level performance that falls below this will be referred to the Crown Commercial Service framework owner for review.
  6. Where performance drops below the required service level on the critical service lines listed below the Supplier shall be required to provide Service Credits to the Contracting Authority.
  7. Service Credits will be calculated at each monthly performance meeting. To avoid delays in processing invoices, any service credits due back to the Contracting Authority are to be included within the invoice for the *following* Service Period  
Example: a Service Credit applied to under-performance 1/4/18–30/4/18 shall be added to the May 2018 Service Period invoice and not the April 2018 one.
  8. The Supplier is required to attend monthly contract management meetings to review service performance on a regular basis. These meetings shall take place on DWP premises in Leeds, unless otherwise stated or agreed to.
  9. Service Level failures, service credits and definitions can be found in Annex 2.
  10. Throughout on-going contract management for the Agreement, the Supplier is required to use the Contracting Authority's e-procurement software Bravo Solution; <https://dwp.bravosolution.co.uk/web/login.shtml>

The Supplier will be required to create/maintain their supplier profile and use the Bravo platform to share information with the Contracting Authority (e.g. Management Information, Diversity Plans, etc.).

11. The Supplier shall provide an exit plan 6 months prior to the end of the contract. This plan shall include as a minimum details as to how the Records will be transitioned to

- a new supplier along with the provision of information regarding the existing processes and procedures, timescales, costs and any other information to enable the service to be tendered. The exit plan should include TUPE information.
12. The Supplier shall take all measures to ensure that a smooth exit transition is effected for the Contracting Authority from their current Contract across to new Contract arrangements under any new Supplier, and that the Supplier shall work collaboratively with any new Supplier appointed during the new Contract Implementation phase.
  13. The Supplier shall transfer all data relating to the Contracting Authority at contract termination (or alternative point requested by the Contracting Authority) to either the incoming Supplier or the Contracting Authority.
  14. The Supplier shall ensure all data is available for transfer to the new Supplier in a common readable format at the point at which the Contracting Authority wishes to transfer the data.
  15. Upon termination or termination (or alternative point requested by the Contracting Authority). The Supplier shall delete all Contracting Authority data in accordance with the Framework terms, providing a Destruction Certificate to the Contracting Authority confirming the data deletion.
  16. At the end of the Agreement all equipment transferred to the Supplier shall remain in the ownership of the Contracting Authority. All physical and digitised records shall remain the property of the Contracting Authority at all times.

## **17 SECURITY REQUIREMENTS**

- 17.1 The Contracting Authority shall be responsible for maintaining the security of the Contracting Authority premises in accordance with its standard security requirements. The Supplier shall comply with all security requirements of the Contracting Authority while on the Contracting Authority premises, and shall ensure that all its staff comply with such requirements.
- 17.2 The Supplier shall ensure that the Security Plan produced fully complies with the Contracting Authority's Security Policy. The Supplier shall comply, and shall procure the compliance of its staff, with the Security Plan and the Security Policy.
- 17.3 The Contracting Authority shall notify the Supplier of any changes or proposed changes to the Security Policy.
- 17.4 **Principles of Security:**
  - 17.4.1 The Contracting Authority places great emphasis on confidentiality, integrity and availability of data and information; and consequently on the security of its premises and that of any Supplier system.
  - 17.4.2 The Supplier shall be responsible for the security of its systems used to deliver the Agreement and shall at all times provide a level of security which;
    - is in accordance with Good Industry Practice and Law;
    - complies with the Security Policy;
    - meets any specific security threats to the Supplier System;
    - complies with ISO/IEC27002 and ISO/IEC27001;
    - meets the requirements of the Cyber Essentials Scheme, unless deemed out of scope for this requirement.
- 17.5 The Supplier shall at all times ensure that the level of security employed in the provision of the Services is appropriate to minimise the following risks:
  - loss of integrity of Contracting Authority Data;
  - loss of confidentiality of Contracting Authority Data;
  - unauthorised access to, use of, or interference with Contracting Authority Data by any person or organisation;
  - unauthorised access to network elements and buildings;

- use of the Supplier System or Services by any third party in order to gain unauthorised access to any computer resource or Contracting Authority Data; and
- loss of availability of Contracting Authority Data due to any failure or compromise of the Services.
- loss of confidentiality, integrity and availability of Contracting Authority Data through Cyber/internet threats.
- The Supplier shall conduct tests of the processes and countermeasures contained in the Security Plan ("Security Tests") on an annual basis or as otherwise agreed by the Parties. The date, timing, content and conduct of such Security Tests shall be agreed in advance with the Contracting Authority.

## **17.6 Security Plan:**

- 17.6.1 The Supplier shall develop, implement and maintain a Security Plan to apply during the Agreement which will be approved by the Contracting Authority, tested, periodically updated and audited.
- 17.6.2 A draft Security Plan provided by the Supplier as part of its bid is set out in Bidder Information Pack.
- 17.6.3 Within twenty (20) Working Days after the Service Commencement date, the Supplier will prepare and deliver to the Contracting Authority for approval the full and final Security Plan which will be based on the draft Security Plan set out in the Bidder Information Pack.
- 17.6.4 If the Security Plan is approved by the Authority it will be adopted immediately. If the Security Plan is not approved by the Contracting Authority the Supplier shall amend it within 10 Working Days of a notice of non-approval from the Contracting Authority and re-submit to the Contracting Authority for approval. The Parties will use all reasonable endeavours to ensure that the approval process takes as little time as possible and in any event no longer than 15 Working Days (or such other period as the Parties may agree in writing) from the date of its first submission to the Contracting Authority.
- 17.6.5 The Security Plan will set out the security measures to be implemented and maintained by the Supplier in relation to all aspects of the Services and all processes associated with the delivery of the Services and shall at all times comply with and specify security measures and procedures which are sufficient to ensure that the Services comply with:
- the provisions of the Agreement;
  - the provisions of this chapter (17) relating to security;
  - ISO/IEC27002 and ISO/IEC27001;
  - the data protection compliance guidance produced by the Contracting Authority.
- 17.6.6 In the event of any inconsistency in the provisions of the above standards, guidance and policies, the Supplier should notify the Contracting Authority of such inconsistency immediately upon becoming aware of the same, and the Contracting Authority shall, as soon as practicable, advise the Supplier which provision the Supplier shall be required to comply with.
- 17.6.7 The Security Plan will be structured in accordance with ISO/IEC27002 and ISO/IEC27001.
- 17.6.8 Where the Security Plan references any document which is not in the possession of the Contracting Authority, a copy of the document will be made available to the Contracting Authority upon request. The Security Plan shall be written in plain English in language which is readily comprehensible to the staff of the Supplier and the Contracting Authority engaged in the Services and shall not reference any other documents which are not either in the possession of the Contracting Authority or otherwise specified in this schedule.

## **17.7 Amendment and Revision:**

- 17.8 The Security Plan will be fully reviewed and updated by the Supplier annually, or from time to time to reflect:
- emerging changes in Good Industry Practice;
  - any change or proposed change to the Supplier ICT System, the Services and/or associated processes;
  - any new perceived or changed threats to the Supplier ICT System.
  - a reasonable request by the Contracting Authority.
  - The Supplier will provide the Contracting Authority with the results of such reviews as soon as reasonably practicable after their completion and amend the Security Plan at no additional cost to the Contracting Authority.
  - Any change or amendment which the Supplier proposes to make to the Security Plan as a result of an Contracting Authority request shall be subject to the change control procedure and shall not be implemented until approved in writing by the Contracting Authority.
- 17.9 Audit and Testing**
- 17.10 The Supplier shall conduct tests of the processes and countermeasures contained in the Security Plan ("Security Tests") on an annual basis or as otherwise agreed by the Contracting Authority. The date, timing, content and conduct of such Security Tests shall be agreed in advance with the Contracting Authority.
- 17.11 The Contracting Authority shall be entitled to send a representative to witness the conduct of the Security Tests. The Supplier shall provide the Contracting Authority with the results of such tests (in a form approved by the Contracting Authority in advance) as soon as practicable after completion of each Security Test.
- 17.12 Without prejudice to any other right of audit or access granted to the Contracting Authority pursuant to this Contract, the Contracting Authority shall be entitled at any time and without giving notice to the Supplier to carry out such tests (including penetration tests) as it may deem necessary in relation to the Security Plan and the Supplier's compliance with and implementation of the Security Plan. The Contracting Authority may notify the Supplier of the results of such tests after completion of each such test. Security Tests shall be designed and implemented so as to minimise the impact on the delivery of the Agreement. If such tests impact adversely on its ability to deliver the Agreement to the agreed Service Levels, the Contractor shall be granted relief against any resultant under-performance for the period of the tests.
- 17.13 Where any Security Test carried out pursuant to paragraphs 4.2 or 4.3 above reveals any actual or potential security failure or weaknesses, the Supplier shall promptly notify the Contracting Authority of any changes to the Security Plan (and the implementation thereof) which the Supplier proposes to make in order to correct such failure or weakness. Subject to the Contracting Authority's approval in accordance with paragraph 3.12, the Supplier shall implement such changes to the Security Plan in accordance with the timetable agreed with the Contracting Authority or, otherwise, as soon as reasonably possible. For the avoidance of doubt, where the change to the Security Plan to address a non-compliance with the Security Policy or security requirements, the change to the Security Plan shall be at no additional cost to the Contracting Authority. For the purposes of this paragraph 17.23, a weakness means a vulnerability in security and a potential security failure means a possible breach of the Security Plan or security requirements.
- 17.14 Compliance with ISO/IEC 27001:**
- 17.15 The Supplier shall carry out such regular security audits as may be required by the British Standards Institute in order to maintain delivery of the Agreement in compliance with security aspects of ISO 27001 and shall promptly provide to the Contracting Authority any associated security audit reports and shall otherwise notify the Contracting Authority of the results of such security audits.
- 17.16 If it is the Contracting Authority's reasonable opinion that compliance with the principles and practices of ISO 27001 is not being achieved by the Supplier, then the

Contracting Authority shall notify the Supplier of the same and give the Supplier a reasonable time (having regard to the extent of any non-compliance and any other relevant circumstances) to become compliant with the principles and practices of ISO 27001. If the Supplier does not become compliant within the required time then the Contracting Authority has the right to obtain an independent audit against these standards in whole or in part.

17.17 If, as a result of any such independent audit as described in paragraph 17.26 the Supplier is found to be non-compliant with the principles and practices of ISO 27001 then the Supplier shall, at its own expense, undertake those actions required in order to achieve the necessary compliance and shall reimburse in full the costs incurred by the Contracting Authority in obtaining such audit.

#### **17.18 Breach of Security**

17.19 Either party shall notify the other immediately upon becoming aware of any Breach of Security including, but not limited to an actual, potential or attempted breach, or threat to, the Security Plan.

17.20 Upon becoming aware of any of the circumstances referred to in paragraph 17.29, the Supplier shall immediately take all reasonable steps necessary to;

- remedy such breach or protect the Supplier ICT System against any such potential or attempted breach or threat; and
- prevent an equivalent breach in the future.

17.21 Such steps shall include any action or changes reasonably required by the Contracting Authority. In the event that such action is taken in response to a breach that is determined by the Contracting Authority acting reasonably not to be covered by the obligations of the Supplier under the Agreement, then the Supplier shall be entitled to refer the matter to the change control procedure.

17.22 As soon as reasonably practicable provide to the Contracting Authority full details (using such reporting mechanism as may be specified by the Contracting Authority from time to time) of such actual, potential or attempted breach and of the steps taken in respect thereof.

### **18 INTELLECTUAL PROPERTY RIGHTS (IPR)**

18.1 See RM3795 Occupational Health Services, Employee Assistance Programmes and Eye Care Services Framework Terms and Conditions regarding IPR. Security, Standards and Policies.

### **19 PAYMENT**

19.1 Payment can only be made following satisfactory delivery of pre-agreed certified products and deliverables.

19.2 Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs. Travel and Subsistence claims can be made if travel is above 5 miles as per the framework agreement. Any travel above 100 miles must gain prior approval from the booker. All travel must be calculated in accordance to the DWP policy found in Annex 4. Invoices must include mileage per trip and not combined.

19.3 These will be audited via DWPs internal processes and using the AA auto route system [HTTP://WWW.THEAA.COM/ROUTE-PLANNER/INDEX.JSP](http://www.theaa.com/route-planner/index.jsp) to confirm mileage is correct.

19.4 The Supplier shall ensure that each invoice contains the following information:

- The date of the invoice;
- A unique invoice number;
- The Service Period to which the relevant Charge(s) relate;
- The correct reference for the Agreement;
- The reference number of the purchase order to which it relates (if any);
- A description of the Services;

- VAT company registration details;
  - Details of any Service Credits or Delay Payments or similar deductions that shall apply to the Charges detailed on the invoice;
  - A contact name and telephone number of a responsible person in the Supplier's finance department in the event of administrative queries; and
  - The banking details for payment to the Supplier via electronic transfer of funds (i.e. name and address of bank, sort code, account name and number).
  - The business unit or Department that the Services apply to (such as CMG, BPDTS or DCMS).
- 19.5 Each invoice shall at all times be accompanied by Supporting Documentation.
- 19.6 The Supporting Document shall be supplied as a Microsoft Excel spread sheet for each Service Period and shall include as a minimum:
- Unique job reference number;
  - Account code;
  - DWP cost centre;
  - Service used
  - Date and time that the service was delivered;
  - Total charge;
  - Service credit outline.
- 19.7 Any assessment by the Contracting Authority as to what constitutes Supporting Documentation shall not be conclusive and the Supplier undertakes to provide any other documentation reasonably required to substantiate an invoice.
- 19.8 All Supplier invoices shall be expressed in sterling or such other currency as shall be permitted by the Contracting Authority in writing.
- 19.9 The Supplier shall submit all invoices and Supporting Documentation as follows:
- A PDF electronic copy of the invoice, that meets the requirements outlined in this document, along with Supporting Documentation, to be sent to the Contracting Authority's Contract Manager for the Agreement.
  - A PDF electronic copy of the invoice, that meets the requirements outlined in this document, along with an Electronic Invoice Feeder File, to be sent to the Contracting Authority's Shared Services Centre for input and processing.
- 19.10 Invoices and Supporting Documentation are to be submitted in arrears, following the end of each Service Period.
- 19.11 DWP will further explore new innovative payment models with the successful bidder e.g., GPC card payments.

## 20. Assistive Technologies

- 20.1 Compliance with the recommended ISO and Web standards should ensure that applications are compatible with Assistive Technologies (AT). There are four main AT used by disabled staff in DWP and we require suppliers to provide evidence of compatibility with these. It is important that support products (e.g. L&D and guidance), are also compatible with all AT.

System	Description
<b>JAWS</b> current version 17.0	A Screen reader and speech synthesiser developed by Freedom Scientific, for use by people who have no sight at all.
<b>Dragon</b> current version 12 (moving to version 14)	A speech recognition tool developed by Nuance, for use by people with physical and motor impairments (including Repetitive Strain Injury). Can also help with dyslexia.
<b>Supernova</b> current version 12.8	A screen magnifier and screen reader developed by Dolphin Systems, for use by people with a range of visual impairments.
<b>Zoomtext</b> current version 10.0.5	A screen magnifier and screen reader developed by AI Squared for use by people with a range of visual impairments.

(moving to version 10.11.7.4)	
<b>Magic</b> current version 13	A screen magnifier and screen reader developed by Freedom. It is a reduced-capability JAWS screenreader with a magnifier similar to those of Supernova and Zoomtext.
Texthelp Current version 11.5	Texthelp Read and Write Gold A specialist package for dyslexia assistance. It has both a screenreader function and voice recognition, but its main features are the phonetic spellchecker, enhanced word prediction software, soundalike and confusable words feature, and verb conjugation checker. All of these are designed to help dyslexics with their particular areas of difficulty. It is made by <a href="#">TextHelp</a>
Kurzweil 1000 Current version 12	A reading and scanning tool which converts printed text into speech. Combined with a desktop CCTV system, this allows people with severe visual impairments to read printed documents. It was developed by <a href="#">Kurzweil Educational Systems</a> .
Winbraille Current version 5 (to be replaced with Duxbury 11.1)	Winbraille is the software necessary to print documents on Braille embossers, so it is only used by people with an embosser.

## 21. LOCATION

21.1.1 The services provided under the Agreement will be required to be delivered across the United Kingdom.

21.1.2 DWP Office Locations information can be found in the Bidder Pack.

**ANNEX 1**

**CRITICAL SERVICE LEVELS AND SERVICE LEVEL FAILURES**

**SERVICE LEVELS FOR OCCUPATIONAL HEALTH SERVICES**

Service Level Performance Criterion	Description	Service Level Performance Measures and Service Credits payable			
		Service Level– Fail RED	Service Level – Warning AMBER	Service Level – Pass GREEN	Service Credit Payable (%)
<b>Online Portal</b>	Online Portal to be available twenty four (24) hours a day, seven (7) days a week, fifty two (52) weeks a year, except for agreed downtime and maintenance which will be agreed with the Contracting Authority at least seventy two (72) hours in advance of such work being carried.  See Appendix B Section 6 <b>[Critical Service Level 1]</b>	<98%	>= 98% and < 100%	100%	<b>2.5%</b>
<b>Telephone Support Services</b>	All telephone support line Services to be available Monday to Friday 08:00 to 18:00, fifty-two (52) weeks a year, or the day/time model the Contracting Authority moves to, within the lifetime of the contract (or as defined by the Contracting Authority) excluding public and bank holidays.  See Appendix B Section 6 <b>[Critical Service Level 2]</b>	< 98%	>= 98% and < 100%	100%	<b>1%</b>
	Occupational Health Physicians and Occupational Health Advisors to be available	< 98%	>= 98% and < 100%	100%	0%

	Monday to Friday 08:00 to 18:00, fifty two (52) weeks a year, or the day/time model the Contracting Authority moves to, within the lifetime of the contract (or as defined by the Contracting Authority) excluding public and bank holidays				
	All calls to be answered within five (5) rings	< 97%	>= 97% and < 98%	>= 98%	0%
	All telephone messages and emails to be responded to within 24 hours	<97%	>= 98% and < 98%	>= 98%	0%
<b>Case Management</b>	Occupational Health Advisor or Occupational Health Physician face to face consultation to be held and report to be provided within 10 working days of Contracting Authority's Personnel referral (including confirmation of appointment to the employee and line manager)	<97%	>= 97% and < 99%	>= 99%	0%
	Occupational Health Advisor telephone consultation to be held and report to be delivered within four (4) working days of Contracting Authority Personnel referral <b>[Critical Service Level 3]</b>	<98%	>= 98% and < 100%	100%	<b>2.5%</b>
	Occupational Health Physician telephone consultation to be held and report to be delivered within seven (7) working days of Contracting Authority Personnel referral	<98%	>= 98% and < 100%	100%	0%

	All written case reports to be right first time (with correct level of information and details)	<98%	>= 98% and < 100%	100%	0%
	Notification to the Contracting Authority of an employee failing to attend appointment within one (1) working day of appointment being missed.	<100%		100%	0%
	On-site Occupational Health professionals to be available at the times agreed, including scheduled replacement Supplier Personnel.	<100%		100%	0%
	File opinion to be delivered to the Contracting Authority within five (5) working days on receipt of request.	<98%	>= 98% and < 100%	100%	0%
	Single case conferences to take place within 5 working days of request of Contracting Authority	<98%	>= 98% and < 100%	100%	0%
	Multiple case conference (including collation of referrals) to take place within ten (10) working days of request	<98%	>= 98% and < 100%	100%	0%
<b>Further Medical Evidence</b>	Further Medical Evidence report requested from a specialist or General Practitioner within two (2) days of the need having been identified by the Supplier	< 100%		100%	0%

<b>Ill Health retirements</b>	Medical opinion to support ill health retirement applications to be delivered within ten (10) working days of request  <b>[Critical Service Level 4]</b>	<97%	>= 97% and < 100%	100%	<b>0.5%</b>
<b>Health Surveillance and Fitness for Task</b>	All health surveillance, monitoring and specialist fit for task assessments and reports to be completed within ten (10) working days of referral.	<97%	>= 97% and < 100%	100%	0%
	All paper based screening or assessments to be completed within three (3) working days of referral	<98%	>= 98% and < 100%	100%	0%
	All surveillance and assessments scheduled on a Contracting Authority's annual plan to be completed on time	<97%	>= 97% and < 99%	>= 99%	0%
<b>Pre-Appointment and Pre-Enrolment Checks</b>	Delivery of report to Contracting Authority following online screening within twenty four (24) hours  <b>[Critical Service Level 5]</b>	<97%	>= 97% and < 99%	>= 99%	<b>0.5%</b>
	Occupational Health Adviser written opinion following online assessment to be delivered to the Contracting Authority within two (2) working days	<98%	>= 98% and < 100%	100%	0%
	Telephone assessment of Contracting Authority Personnel within three (3) working days of request.	<95%	>= 95% and < 99%	>=99%	0%

	Face to face Contracting Authority Personnel assessment within five (5) working days of request.	<95%	>= 95% and < 99%	>=99%	0%
	Written opinion following telephone and face-to-face assessment to be received by Contracting Authority within two (2) working days of the assessment.	<95%	>= 95% and < 99%	>=99%	0%
<b>Physiotherapy</b>	Physiotherapy telephone assessment within four (4) working days of request	<97%	> = 97% and < 99%	>=99%	0%
	Appointment and first face-to-face physiotherapy session to take place within seven (7) calendar days of referral	<97%	> = 97% and < 99%	>=99%	0%
	Report delivered to Contracting Authority within two (2) working days of completion of treatment	<97%	> = 97% and < 99%	>=99%	0%
<b>Assessments</b>	<p>For all Contracting Authority Personnel assessments listed below : ten (10) working days from referral to delivery of report:</p> <ul style="list-style-type: none"> <li>• Workplace / Workstation Assessments for employees considered disabled under the Equality Act 2010</li> <li>• Display Screen Equipment Workstation Assessment</li> <li>• Occupational Therapy</li> <li>• Specialist assessments for sight and hearing</li> </ul>	< 97%	> = 97% and < 99%	> = 99%	<b>2%</b>

	<ul style="list-style-type: none"> <li>• Dyslexia assessment</li> <li>• Specialist assessments for disabled employees</li> <li>• Support Worker assessment</li> </ul> <p><b>[Critical Service Level 6]</b></p>				
<b>Complaints</b>	All customer Complaints to be acknowledged within one (1) Working Day of receipt	< 97%	> = 97% and < 99%	> = 99%	0%
	Customer complaints to be resolved within ten (10) working days	< 97%	> = 97% and < 99%	> = 99%	0%
<b>Customer Satisfaction</b>	All customer satisfaction surveys to meet agreed target measures	< 90%	> = 90% and < 95%	> = 95%	0%
<b>Contract Management</b>	All invoices right first time, provided with supporting Data and received at the agreed times	< 97%	> = 97% and < 99%	> = 99%	0%
	Account management support available Monday to Friday 8am -6pm with responses to queries from the Contracting Authority within one (1) Working Day	< 97%	> = 97% and < 99%	> = 99%	0%
<b>Management Information</b>	Management Information delivered at agreed periods with Contracting Authority See Appendix B section 9 <b>[Critical Service Level 7]</b>	<100%		100%	<b>0.5%</b> <b>[combined with EAP]</b>
	All ad hoc and urgent MI in relation to Freedom of Information requests, Minister's questions and Parliamentary Questions will be provided within the timelines outlined for each	<100%		100%	0%

	request by the Contracting Authority.				
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**BASELINE SERVICE LEVELS FOR EMPLOYEE ASSISTANCE PROGRAMMES:**

Service Level Performance Criterion	Description	Service Level Performance Measure and Service Credit payable			
		Service Level – Fail RED	Service Level – Warning AMBER	Service Level – Pass GREEN	Service Credit Payable (%)
<b>Telephone Support Services</b>	All telephone support line Services to be available twenty four (24) hours a day, seven (7) days a week, three hundred and sixty five (365) days a year  See Appendix B Section 6 <b>[Critical Service Level 8]</b>	< 98%	>= 98% and < 100%	100%	<b>2%</b>
	Urgent or 'red flag' cases will be matched immediately for telephone support	<100%		100%	0%
	All calls to be answered within five (5) rings <b>[Critical Service Level 9]</b>	< 97%	>= 97% and < 98%	>= 98%	<b>0.5%</b>
	Call abandonment rate to be less than two (2)% <b>[Critical Service Level 10]</b>	<97%	>= 98% and < 100%	>= 99%	<b>0.5%</b>
	Call-back to Contracting Authority Personnel by EAP adviser (not including counselling), following initial contact to take place within four (4) hours of first contact or next Working Day if agreed by Contracting Authority Personnel	<98%	>= 98% and < 100%	100%	0%
	Initial call back to Contracting Authority Personnel following triage to take place within two (2) hours	<98%	>= 98% and < 100%	100%	0%

		Service Level Performance Measure and Service Credit payable			
Service Level Performance Criterion	Description	Service Level– Fail RED	Service Level – Warning AMBER	Service Level – Pass GREEN	Service Credit Payable (%)
	All queries not requiring counselling Services to be completed within twenty four (24) hours.	<97%	>= 97% and < 98%	>= 98%	0%
<b>Online Portal</b>	Online Portal to be available twenty four (24) hours a day, seven (7) days a week, three hundred and sixty five (365) days a year a day except for agreed downtime and maintenance which will be agreed with the Contracting Authority at least seventy two (72) hours in advance of such work being carried out. <b>[Critical Service Level 11]</b>	<97%	>= 98% and < 99%	>= 99%	<b>1%</b>
<b>Counselling Services</b>	Counselling Services to be available twenty four (24) hours a day, seven (7) days a week, three hundred and sixty five (365) days a year <b>[Critical Service Level 12]</b>	<100%		100%	<b>1%</b>
	Urgent or red flag cases will have first face to face counselling session offered within twenty four hours of first contact (if need determined)	<100%		100%	0%

		<b>Service Level Performance Measure and Service Credit payable</b>			
<b>Service Level Performance Criterion</b>	<b>Description</b>	<b>Service Level– Fail RED</b>	<b>Service Level – Warning AMBER</b>	<b>Service Level – Pass GREEN</b>	<b>Service Credit Payable (%)</b>
	All counselling appointments (telephone, e-counselling or face to face) to be arranged within 48 hours of first contact	< 98%	>= 98% and < 100%	100%	0%
	Initial counselling session to take place within 5 days of first contact	<97%	>= 98% and < 99%	>= 99%	0%
<b>Trauma and Critical Incident Support</b>	Where critical incident procedures have been invoked, all employees (including those overseas) must have access to designated telephone support within two (2) hours of notification.	< 100%		100%	0%
	A workplace site presence with the appropriate number of skilled Supplier Personnel available within forty eight (48) hours	< 100%		100%	0%
<b>Complaints</b>	All complaints to be acknowledged within one (1) Working Day of receipt	< 97%	> = 97% and < 99%	> = 99%	0%
	All Complaints to be updated at an interval of every two (2) Working Days	< 97%	> = 97% and < 99%	> = 99%	0%

		Service Level Performance Measure and Service Credit payable			
Service Level Performance Criterion	Description	Service Level– Fail RED	Service Level – Warning AMBER	Service Level – Pass GREEN	Service Credit Payable (%)
<b>Customer Satisfaction</b>	All customer satisfaction surveys to meet agreed target measures  <b>[Critical Service Level 13]</b>	< 90%	> = 90% and < 95%	> = 95%	1%
<b>Contract Management</b>	All invoices right first time, provided with supporting data and received at the agreed times	< 97%	> = 97% and < 99%	> = 99%	0%
	Account management support available Monday to Friday 8am -6pm with responses to queries from the Contracting Authority within one (1) Working Day	< 97%	> = 97% and < 99%	> = 99%	0%
<b>Management Information</b>	Management Information delivered at agreed periods with Contracting Authority - See Appendix B section 9  <b>[Critical Service Level combined with CSL 7]</b>	<100%		100%	<b>Combined MI required – See OHS</b>
	All ad hoc and urgent MI in relation to Freedom of Information requests, Minister’s questions and Parliamentary Questions will be provided within the timelines outlined for each request by the Contracting Authority	<100%		100%	0%

## ANNEX 2

### SERVICE CREDITS

#### 1. SERVICE CREDITS: PRINCIPAL POINTS

1.1 The objectives of the Service Levels and Service Credits are to:

- ensure that the Services are of a consistently high quality and meet the requirements of the Customer;
- provide a mechanism whereby the Customer can attain meaningful recognition of inconvenience and/or loss resulting from the Supplier's failure to deliver the level of service for which it has contracted to deliver; and
- Incentivise the Supplier to comply with and to expeditiously remedy any failure to comply with the Service Levels.

1.2 The Supplier shall, at all times, provide the Goods and/or Services in such a manner that the Green Service Levels Performance Measures are achieved.

1.3 If the level of performance of the Supplier of any element of the provision by it of the Services during the Call Off Contract Period is likely to or fails to meet any Service Level Performance Measure the Supplier shall immediately notify the Customer in writing and the Customer may:

- (a) require the Supplier to immediately take all remedial action that is reasonable to mitigate the impact on the Customer and to rectify or prevent the failure of the Service Level Performance Measure from taking place or recurring; and
- (b) if the action taken under paragraph (a) above has not already prevented or remedied the failure of the Service Level Performance Measure the Customer shall be entitled to instruct the Supplier to comply with the Rectification Plan Process; or
- (c) if a Service Level Failure has occurred, deduct from the Call Off Contract Charges the applicable Service Level Credits payable by the Supplier to the Customer or
- (d) if a Critical Service Level Failure has occurred, exercise its right to Compensation for Critical Service Level Failure
- (e) Approval and implementation by the Customer of any Rectification Plan shall not relieve the Supplier of any continuing responsibility to achieve the Service Levels, or remedy any failure to do so, and no estoppels or waiver shall arise from any such Approval and/or implementation by the Customer.

#### 2. SERVICE LEVEL FAILURES

2.1 A "Service Level Failure" shall be when any of the following are reported in a Performance Monitoring Report

2.2 The Supplier's performance of any Critical Service Level is reported as failing to meet the Red Service Level Performance Measure in a given Service Period;

- 2.3 The Supplier's performance of a single Service Level is reported as failing to meet the Red Service Level Performance Measure for that Service Level twice or more in any three (3) consecutive Service Periods;
- 2.4 The Supplier's performance of a single Service Level is reported as failing to meet the Red Service Level Performance Measure for that Service Level four (4) times or more in any twelve (12) consecutive Service Periods; and
- 2.5 The Supplier's performance of a single Service Level is reported as failing to meet the Amber 6Service Level Performance Measure for that Service Level six (6) times or more in any twelve (12) consecutive Service Periods.
- 2.6 The Customer shall use the Performance Monitoring Reports supplied by the Supplier to verify the calculation and accuracy of the Service Credits, if any, applicable to each relevant Reporting Period.
- 2.7 Service Credits will only apply to service failures [as defined in 2.2.1] where the service has been defined as Critical Service Level.
- 2.8 Persistent or regular failure on Service Lines [as defined in 2.2.1] that are not defined as Critical Service Levels will be highlighted to the CCS Framework Manager who will take up in their regular contract review meetings.
- 2.9 **SERVICE LEVEL DEFINITIONS**

Amber Service Level Performance Measure	Shall be the amber service level performance measure as set out against the relevant Service Level Performance Criterion in Annex 1
Critical Service Level	Shall be those Service Level Performance Criteria identified as critical service levels in Annex 1
Critical Service Level Failure	Means a failure to meet a Red Service Level Performance Measure for a Critical Service Level;
Green Service Level Performance Measure	Shall be the green service level performance measure as set out against the relevant Service Level Performance Criterion in Annex 1
Red Service Level Performance Measure	Shall be the red service level performance measure as set out against the relevant Service Level Performance Criterion in Annex 1
Service Level Failure	Has the meaning given to it in clause 2.2.1 of Annex 2
Service Level Performance Criteria	The performance criteria for achieving the Service Levels
Service Level Performance Measure	A Red Service Level Performance Measure, an Amber Service Level Performance Measure or a Green Service Level Performance Measure;
Reporting Period	The Reporting Period is per calendar month i.e., 1 <sup>st</sup> of the month to the last day of the month.

**ANNEX 3  
GLOSSARY**

Contract Manager	means the Supplier's Contract Manager appointed to manager Contracting Authorities Contract
Contracting Authority Personnel	means all employees including volunteers and managers working in the Contracting Authorities (including agencies, Non-Departmental Public Bodies (NDPB's) and Arms Length Bodies (ALB's)) office locations and to those working remotely and in field locations, both in the UK and abroad. This also includes BPDTS and DCMS personnel.
Data	means Data relating to a record which is stored on the Supplier's systems and databases.
Go Live	means an IT System or Service becoming operational.
Referring Manager	authorised representatives of the Contracting Authority for example a line manager.
Supplier Personnel	means the Personnel of the Supplier with whom the Contracting Authorities have entered into a Call Off contract
Treatments	immunisations, vaccinations, inoculations, blood tests and/or medications (together called "Treatments")
Public and Bank Holidays	means all Public and Bank Holidays which are detailed in the link below: <a href="https://www.gov.uk/bank-holidays">https://www.gov.uk/bank-holidays</a>

## ANNEX 4

### TRAVEL AND SUBSISTANCE GUIDANCE

#### DWP Expense Rates and Type

The types of expenses and the rates payable are given at Table 1 below. The rates payable are subject to change.

#### 1.1 Claims for Mobile Phone calls and Internet Use

Costs for mobile telephone calls and Internet use cannot be claimed.

#### 1.2 Public Transport including Rail Travel

On public transport standard class travel must be used. First class travel is strictly prohibited irrespective of the duties undertaken.

The use of Rail, Oyster and other discount cards or schemes is encouraged if evidence is shown that these will save DWP more than their cost.

#### 1.3 Taxis

Taxi fares may be reimbursed for Business Travel where their use is reasonable in the circumstances. Actual fares only can be claimed in the following circumstances:

- Where there is no other suitable method of public transport
- In exceptional and infrequent circumstances where the saving of official time is important
- When heavy luggage has to be handled
- When shared by colleagues and the fare overall is cheaper than public transport

#### 1.4 Air Travel

Claims for domestic air travel are not permitted.

#### 1.5 Private Motor Vehicles

Private Vehicle Use:

DWP aims to reduce mileage travelled in private motor vehicles undertaken by Contractors/Interim Managers/Consultants. When considering the use of a vehicle on official business, Contractors/Interim Managers/Consultants must only use their own vehicle for business journeys when there is no other practicable mode of transport including public transport. Permission must be gained from DWP for each business journey carried out in a private vehicle.

Mileage rates can be claimed as detailed in Table 1.

Car parking fees can be claimed on production of the appropriate documentary evidence. Receipts and tickets should be provided to the appropriate DWP contact. However, DWP will not provide remuneration for travel on Toll Roads.

## 1.6 Overnight Accommodation

### 1.6.1 Hotel

Where it is necessary for Contractors/Interim Managers/Consultants to stay away from their main base location(s) for the performance of the contract then:

- Expenses will only be reimbursed where it is not possible for the Contractor Personnel to stay at their home.

The following two principles must apply to any accommodation booking:

- It must be as close to the traveller's end location as possible and within a 5 mile radius; and
- It must be the most economical option, having taken into account the whole trip cost, such as public transport costs, taxi fares and travelling time.
- Regional maximum limits for claims for overnight hotel accommodation are included at Table 1.

### 1.6.2 Overnight stay with relatives or friends

Where a contractor/interim manager/consultant elects to stay with friends or relatives rather than in a hotel or other commercial establishment, then the Overnight Accommodation rates do not apply. Alternatively the Friends and relatives allowance is payable at a flat rate to cover accommodation.

## 2.1 Table 1

### 2.1.1 Expenses rates

Expense Type	Conditions/Category	Rate as at 1 March 2015
Lodging	Friends and relatives - Nightly	£25.00
Mileage rates (amount per mile)	Higher standard rate (up to 1,000)	£0.45
	Lower standard rate (over 1,000)*	£0.25
	Motor cycle	£0.24

\*Restrictions apply and Business Case is required - see Para 5.5

Regional Limits on Claims for Overnight Hotel Accommodation

Hotel allowance – Upper Limits	(£ per night)
London	£130
Rest of the country (except London)	£80

## ANNEX 5

**Please refer to the Bidder pack for the following documents:**

DSE Guidance for Managers

DWP Attendance Policy

DWP Baseline Personnel Security Standard for Contractors

DWP Life chances through procurement guidance for Contractors

DWP Office Locations – August 2017

DWP Security Plan Template

DWP Security Policy for Contractors

Employee Assistance Programme

Health & Wellbeing Calendar of Activity

Health & Wellbeing in DWP

Health & Wellbeing Roadmap

Health & Wellbeing Stakeholders

Occupational Health Policy

Physio Advice Line

Single Departmental Plan

Working Well Together Wellbeing Wheel

**ANNEX 2: NOT USED**

## CALL OFF SCHEDULE 3: CALL OFF CONTRACT CHARGES, PAYMENT AND INVOICING

### 1. DEFINITIONS

1.1 The following terms used in this Call Off Schedule 3 shall have the following meaning:

<b>"Indexation"</b>	means the adjustment of an amount or sum in accordance with paragraph 11 of this Call Off Schedule 3;
<b>"Indexation Adjustment Date"</b>	has the meaning given to it in paragraph 11.1.1(a) of this Call Off Schedule 3;
<b>"Reimbursable Expenses"</b>	means the reasonable out of pocket travel and subsistence (for example, hotel and food) expenses, properly and necessarily incurred in the performance of the Services, calculated at the rates and in accordance with the Customer's expenses policy current from time to time, but not including: <ul style="list-style-type: none"><li>a) travel expenses incurred as a result of Supplier Personnel travelling to and from their usual place of work, or to and from the premises at which the Services are principally to be performed, unless the Customer otherwise agrees in advance in writing; and</li><li>b) subsistence expenses incurred by Supplier Personnel whilst performing the Services at their usual place of work, or to and from the premises at which the Services are principally to be performed;</li></ul>
<b>"Review Adjustment Date"</b>	has the meaning given to it in paragraph 10.1.2 of this Call Off Schedule 3;
<b>"CPI"</b>	means the <b>Consumer Prices Index</b> as published by the Office of National Statistics ( <a href="http://www.statistics.gov.uk/instantfigures.asp">http://www.statistics.gov.uk/instantfigures.asp</a> ); and
<b>"Supporting Documentation"</b>	means sufficient information in writing to enable the Customer to reasonably to assess whether the Call Off Contract Charges, Reimbursable Expenses and other sums due from the Customer under this Call Off Contract detailed in the information are properly payable.

### 2. GENERAL PROVISIONS

2.1 This Call Off Schedule 3 details:

2.1.1 the Call Off Contract Charges for the Goods and/or the Services under this Call Off Contract; and

- 2.1.2 the payment terms/profile for the Call Off Contract Charges;
- 2.1.3 the invoicing procedure; and
- 2.1.4 the procedure applicable to any adjustments of the Call Off Contract Charges.

### **3. CALL OFF CONTRACT CHARGES**

- 3.1 The Call Off Contract Charges which are applicable to this Call Off Contract are set out in Annex 1 of this Call Off Schedule 3.
- 3.2 The Supplier acknowledges and agrees that:
  - 3.2.1 in accordance with paragraph 2 (General Provisions) of Framework Schedule 3 (Framework Prices and Charging Structure), the Call Off Contract Charges can in no event exceed the Framework Prices set out in Annex 3 to Framework Schedule 3 (Framework Prices and Charging Structure); and
  - 3.2.2 subject to paragraph 8 of this Call Off Schedule 3 (Adjustment of Call Off Contract Charges), the Call Off Contract Charges cannot be increased during the Call Off Contract Period.

### **4. COSTS AND EXPENSES**

- 4.1 Except as expressly set out in paragraph 5 of this Call Off Schedule 3 (Reimbursable Expenses),] the Call Off Contract Charges include all costs and expenses relating to the Goods and/or Services and/or the Supplier's performance of its obligations under this Call Off Contract and no further amounts shall be payable by the Customer to the Supplier in respect of such performance, including in respect of matters such as:
  - 4.1.1 any incidental expenses that the Supplier incurs, including travel, subsistence and lodging, document or report reproduction, shipping, desktop or office equipment costs required by the Supplier Personnel, network or data interchange costs or other telecommunications charges; or
  - 4.1.2 any amount for any services provided or costs incurred by the Supplier prior to the Call Off Commencement Date.

### **5. REIMBURSEABLE EXPENSES**

- 5.1 If the Customer has so specified in the Call Off Order Form, the Supplier shall be entitled to be reimbursed by the Customer for Reimbursable Expenses (in addition to being paid the relevant Call Off Contract Charges under this Call Off Contract), provided that such Reimbursable Expenses are supported by Supporting Documentation. The Customer shall provide a copy of their current expenses policy to the Supplier upon request.

### **6. PAYMENT TERMS/PAYMENT PROFILE**

- 6.1 The payment terms/profile which are applicable to this Call Off Contract are set out in Annex 2 of this Call Off Schedule 3.

### **7. INVOICING PROCEDURE**

- 7.1 The Customer shall pay all sums properly due and payable to the Supplier in cleared funds within thirty (30) days of receipt of a Valid Invoice, submitted to the

address specified by the Customer in paragraph 7.6 of this Call Off Schedule 3 and in accordance with the provisions of this Call Off Contract.

7.2 The Supplier shall ensure that each invoice (whether submitted electronically through a purchase-to-pay (P2P) automated system (or similar) or in a paper form, as the Customer may specify (but, in respect of paper form, subject to paragraph 7.3 below)):

7.2.1 contains:

- (a) all appropriate references, including the unique order reference number set out in the Call Off Order Form; and
- (b) a detailed breakdown of the Delivered Goods and/or Services, including the Milestone(s) (if any) and Deliverable(s) within this Call Off Contract to which the Delivered Goods and/or Services relate, against the applicable due and payable Call Off Contract Charges; and

7.2.2 shows separately:

- (a) any Service Credits due to the Customer; and
- (b) the VAT added to the due and payable Call Off Contract Charges in accordance with Clause 23.2.1 of this Call Off Contract (VAT) and the tax point date relating to the rate of VAT shown; and

7.2.3 is exclusive of any Management Charge (and the Supplier shall not attempt to increase the Call Off Contract Charges or otherwise recover from the Customer as a surcharge the Management Charge levied on it by the Authority); and

7.2.4 it is supported by any other documentation reasonably required by the Customer to substantiate that the invoice is a Valid Invoice.

7.3 If the Customer is a Central Government Body, the Customer's right to request paper form invoicing shall be subject to procurement policy note 11/15 (available at [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/437471/PPN\\_e-invoicing.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/437471/PPN_e-invoicing.pdf)), which sets out the policy in respect of unstructured electronic invoices submitted by the Supplier to the Customer (as may be amended from time to time).

7.4 The Supplier shall accept the Government Procurement Card as a means of payment for the Goods and/or Services where such card is agreed with the Customer to be a suitable means of payment. The Supplier shall be solely liable to pay any merchant fee levied for using the Government Procurement Card and shall not be entitled to recover this charge from the Customer.

7.5 All payments due by one Party to the other shall be made within thirty (30) days of receipt of a Valid Invoice unless otherwise specified in this Call Off Contract, in cleared funds, to such bank or building society account as the recipient Party may from time to time direct.

7.6 The Supplier shall submit invoices directly to the Customer's billing address set out in the Call Off Order Form.

## **8. ADJUSTMENT OF CALL OFF CONTRACT CHARGES**

8.1 The Call Off Contract Charges shall only be varied:

- 8.1.1 due to a Specific Change in Law in relation to which the Parties agree that a change is required to all or part of the Call Off Contract Charges in accordance with Clause 22.2 of this Call Off Contract (Legislative Change);
  - 8.1.2 in accordance with Clause 23.1.4 of this Call Off Contract (Call Off Contract Charges and Payment) where all or part of the Call Off Contract Charges are reduced as a result of a reduction in the Framework Prices;
  - 8.1.3 where all or part of the Call Off Contract Charges are reduced as a result of a review of the Call Off Contract Charges in accordance with Clause 18 of this Call Off Contract (Continuous Improvement);
  - 8.1.4 where all or part of the Call Off Contract Charges are reduced as a result of a review of Call Off Contract Charges in accordance with Clause 25 of this Call Off Contract (Benchmarking);
  - 8.1.5 where all or part of the Call Off Contract Charges are reviewed and reduced in accordance with paragraph 9 of this Call Off Schedule 3;
  - 8.1.6 where a review and increase of Call Off Contract Charges is requested by the Supplier and Approved, in accordance with the provisions of paragraph 10 of this Call Off Schedule 3; or
  - 8.1.7 where Call Off Contract Charges or any component amounts or sums thereof are expressed in this Call Off Schedule 3 as “subject to increase by way of Indexation”, in accordance with the provisions in paragraph 11 of this Call Off Schedule 3.
  - 8.1.8 where the Framework Prices for immunisations, vaccinations and inoculations are amended in accordance with section 6 paragraph 6.1.6 (Adjustment Of The Framework Prices) of Framework Schedule 3 (Framework Prices and Charging Structure).
- 8.2 Subject to paragraphs 8.1.1 to 8.1.5 and 8.1.8 of this Call Off Schedule 3, the Call Off Contract Charges will remain fixed for the number of Contract Years specified in the Call Off Order Form.

## **9. SUPPLIER PERIODIC ASSESSMENT OF CALL OFF CONTRACT CHARGES**

- 9.1 Every six (6) Months during the Call Off Contract Period, the Supplier shall assess the level of the Call Off Contract Charges to consider whether it is able to reduce them.
- 9.2 Such assessments by the Supplier under paragraph 9 of this Call Off Schedule 3 shall be carried out on the dates specified in the Call Off Order Form in each Contract Year (or in the event that such dates do not, in any Contract Year, fall on a Working Day, on the next Working Day following such dates). To the extent that the Supplier is able to decrease all or part of the Call Off Contract Charges it shall promptly notify the Customer in writing and such reduction shall be implemented in accordance with paragraph 12.1.5 of this Call Off Schedule 3 below.

## **10. SUPPLIER REQUEST FOR INCREASE OR DECREASE OF THE CALL OFF CONTRACT CHARGES**

- 10.1 If the Customer has so specified in the Call Off Order Form, the Supplier may request an increase in all or part of the Call Off Contract Charges in accordance with the remaining provisions of this paragraph 10 subject always to:
  - 10.1.1 paragraph 3.2 of this Call Off Schedule 3;

10.1.2 the Supplier's request being submitted in writing at least three (3) Months before the effective date for the proposed increase in the relevant Call Off Contract Charges ("**Review Adjustment Date**") which shall be subject to paragraph 10.2 of this Call Off Schedule 3; and

10.1.3 the Approval of the Customer which shall be granted in the Customer's sole discretion.

10.2 The earliest Review Adjustment Date were the Supplier requests an increase of the Call Off contract charges will be the first (1st) Working Day following the anniversary of the Call Off Commencement Date after the expiry of the period specified in paragraph 8.2 of this Schedule 3 during which the Contract Charges shall remain fixed (and no review under this paragraph 10 is permitted). Thereafter any subsequent increase to any of the Call Off Contract Charges in accordance with this paragraph 10 of this Call Off Schedule 3 shall not occur before the anniversary of the previous Review Adjustment Date during the Call Off Contract Period.

10.3 To make a request for an increase of some or all of the Call Off Contract Charges in accordance with this paragraph 10, the Supplier shall provide the Customer with:

10.3.1 a list of the Call Off Contract Charges it wishes to review;

10.3.2 for each of the Call Off Contract Charges under review, written evidence of the justification for the requested increase including:

- (a) a breakdown of the profit and cost components that comprise the relevant Call Off Contract Charge;
- (b) details of the movement in the different identified cost components of the relevant Call Off Contract Charge;
- (c) reasons for the movement in the different identified cost components of the relevant Call Off Contract Charge;
- (d) evidence that the Supplier has attempted to mitigate against the increase in the relevant cost components; and
- (e) evidence that the Supplier's profit component of the relevant Call Off Contract Charge is no greater than that applying to Call Off Contract Charges using the same pricing mechanism as at the Call Off Commencement Date.

10.4 Where the Supplier has agreed an increase or decrease in the Framework Prices for immunisations, vaccinations and inoculations pursuant to Schedule 3 of the Framework Agreement the Parties agree to vary the Contract Charges in this Call Off Contract to reflect the revised Framework Prices.

## 11. INDEXATION

11.1 Where the Call Off Contract Charges or any component amounts or sums thereof are expressed in this Call Off Schedule 3 as "subject to increase by way of Indexation" the following provisions shall apply:

11.1.1 the relevant adjustment shall:

- (a) be applied on the effective date of the increase in the relevant Call Off Contract Charges by way of Indexation ("**Indexation Adjustment Date**") which shall be subject to paragraph 11.1.2 of this Call Off Schedule 3;

- (b) be determined by multiplying the relevant amount or sum by the percentage increase or changes in the Consumer Price Index published for the twelve (12) Months ended on the 31<sup>st</sup> of January immediately preceding the relevant Indexation Adjustment Date;
- (c) where the published CPI figure at the relevant Indexation Adjustment Date is stated to be a provisional figure or is subsequently amended, that figure shall apply as ultimately confirmed or amended unless the Customer and the Supplier shall agree otherwise;
- (d) if the CPI is no longer published, the Customer and the Supplier shall agree a fair and reasonable adjustment to that index or, if appropriate, shall agree a revised formula that in either event will have substantially the same effect as that specified in this Call Off Schedule 3.

11.1.2 The earliest Indexation Adjustment Date will be the (1st) Working Day following the expiry of the period specified in paragraph 8.2 of this Call Off Schedule 3 during which the Contract Charges shall remain fixed (and no review under this paragraph 11 is permitted). Thereafter any subsequent increase by way of Indexation shall not occur before the anniversary of the previous Indexation Adjustment Date during the Call Off Contract Period;

11.1.3 Except as set out in this paragraph 11 of this Call Off Schedule 3, neither the Call Off Contract Charges nor any other costs, expenses, fees or charges shall be adjusted to take account of any inflation, change to exchange rate, change to interest rate or any other factor or element which might otherwise increase the cost to the Supplier or Sub-Contractors of the performance of their obligations under this Call Off Contract.

## **12. IMPLEMENTATION OF ADJUSTED CALL OFF CONTRACT CHARGES**

12.1 Variations in accordance with the provisions of this Call Off Schedule 3 to all or part the Call Off Contract Charges (as the case may be) shall be made by the Customer to take effect:

- 12.1.1 in accordance with Clause 22.2 of this Call Off Contract (Legislative Change) where an adjustment to the Call Off Contract Charges is made in accordance with paragraph 8.1.1 of this Call Off Schedule 3;
- 12.1.2 in accordance with Clause 23.1.4 of this Call Off Contract (Call Off Contract Charges and Payment) where an adjustment to the Call Off Contract Charges is made in accordance with paragraph 8.1.2 of this Call Off Schedule 3;
- 12.1.3 in accordance with Clause 18 of this Call Off Contract (Continuous Improvement) where an adjustment to the Call Off Contract Charges is made in accordance with paragraph 8.1.3 of this Call Off Schedule 3;
- 12.1.4 in accordance with Clause 25 of this Call Off Contract (Benchmarking) where an adjustment to the Call Off Contract Charges is made in accordance with paragraph 8.1.4 of this Call Off Schedule 3;
- 12.1.5 on the dates specified in the Call Off Order Form where an adjustment to the Call Off Contract Charges is made in accordance with paragraph 8.1.5 of this Call Off Schedule 3;
- 12.1.6 on the Review Adjustment Date where an adjustment to the Call Off Contract Charges is made in accordance with paragraph 8.1.6 of this Call Off Schedule 3;

12.1.7 on the Indexation Adjustment Date where an adjustment to the Call Off Contract Charges is made in accordance with paragraph 8.1.7 of this Call Off Schedule 3;

12.1.8 on 1<sup>st</sup> September and 1<sup>st</sup> March where an adjustment is made in accordance with paragraph 8.1.8 of this Call Off Schedule 3.

and the Parties shall amend the Call Off Contract Charges shown in Annex 1 to this Call Off Schedule 3 to reflect such variations.

**ANNEX 1: CALL OFF CONTRACT CHARGES**

**[REDACTED]**

**OCCUPATIONAL HEALTH**

**[REDACTED]**



**EMPLOYEE ASSISTANCE PROGRAMME**

**[REDACTED]**

**[REDACTED]**

**[REDACTED]**

**[REDACTED]**

**[REDACTED]**

**[REDACTED]**

**[REDACTED]**

[REDACTED]

## **ANNEX 2: PAYMENT TERMS/PROFILE**

### **SEE SCHEDULE 2 SERVICES, ANNEX 1 THE SERVICES SECTION 19.**

- 19.12 Payment can only be made following satisfactory delivery of pre-agreed certified products and deliverables.
- 19.13 Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs. Travel and Subsistence claims can be made if travel is above 5 miles as per the framework agreement. Any travel above 100 miles must gain prior approval from the booker. All travel must be calculated in accordance to the DWP policy found in Annex 4. Invoices must include mileage per trip and not combined.
- 19.14 These will be audited via DWPs internal processes and using the AA auto route system [HTTP://WWW.THEAA.COM/ROUTE-PLANNER/INDEX.JSP](http://www.theaa.com/route-planner/index.jsp) to confirm mileage is correct.
- 19.15 The Supplier shall ensure that each invoice contains the following information:
- The date of the invoice;
  - A unique invoice number;
  - The Service Period to which the relevant Charge(s) relate;
  - The correct reference for the Agreement;
  - The reference number of the purchase order to which it relates (if any);
  - A description of the Services;
  - VAT company registration details;
  - Details of any Service Credits or Delay Payments or similar deductions that shall apply to the Charges detailed on the invoice;
  - A contact name and telephone number of a responsible person in the Supplier's finance department in the event of administrative queries; and
  - The banking details for payment to the Supplier via electronic transfer of funds (i.e. name and address of bank, sort code, account name and number).
  - The business unit or Department that the Services apply to (such as CMG, BPPTS or DCMS).
- 19.16 Each invoice shall at all times be accompanied by Supporting Documentation.
- 19.17 The Supporting Document shall be supplied as a Microsoft Excel spread sheet for each Service Period and shall include as a minimum:
- Unique job reference number;
  - Account code;

- DWP cost centre;
- Service used
- Date and time that the service was delivered;
- Total charge;
- Service credit outline.

19.18 Any assessment by the Contracting Authority as to what constitutes Supporting Documentation shall not be conclusive and the Supplier undertakes to provide any other documentation reasonably required to substantiate an invoice.

19.19 All Supplier invoices shall be expressed in sterling or such other currency as shall be permitted by the Contracting Authority in writing.

19.20 The Supplier shall submit all invoices and Supporting Documentation as follows:

- A PDF electronic copy of the invoice, that meets the requirements outlined in this document, along with Supporting Documentation, to be sent to the Contracting Authority's Contract Manager for the Agreement.
- A PDF electronic copy of the invoice, that meets the requirements outlined in this document, along with an Electronic Invoice Feeder File, to be sent to the Contracting Authority's Shared Services Centre for input and processing.

19.21 Invoices and Supporting Documentation are to be submitted in arrears, following the end of each Service Period.

19.22 DWP will further explore new innovative payment models with the successful bidder e.g., GPC card payments.

## CALL OFF SCHEDULE 4: IMPLEMENTATION PLAN

### 1. INTRODUCTION

1.1 This Call Off Schedule 4 specifies the Implementation Plan in accordance with which the Supplier shall provide the Goods and/or Services.

### 2. IMPLEMENTATION PLAN

2.1 The Implementation Plan is set out below.

2.2 The Milestones to be Achieved are Identified below:

Milestone	Description	Timeframe
1	Contract Signature	Within 1 week of contract award
2	Potential Provider to appoint an Account Manager	Within week 1 of Contract Award
3	Initial set up meeting with the Contracting Authority's OHS/EAP Contract Manager and the Supplier. Set strategy for implementation meetings during 12 week implementation	Within week 1 of Contract Award Within week 1 of Contract Award
4	Develop communication strategy for service commencement	Within 8 weeks of contract award
5	Testing of services on Contracting Authority Systems	Within 4 weeks of contract award
6	Phased testing and rollout of services	Within week 10 of Contract Award
7	Transfer of clinical data and any existing notes relevant to the Contracting Authority Personnel from existing Supplier, including TUPE activities	Within weeks 1-12 Contract Award
8	Service Commencement	Within 12 weeks of Contract Award

**CALL OFF SCHEDULE 5: TESTING  
NOT REQUIRED.**

**ANNEX 1: SATISFACTION CERTIFICATE**

To: [insert name of Supplier]

FROM: [insert name of Customer]

[insert Date: dd/mm/yyyy]

Dear Sirs,

**SATISFACTION CERTIFICATE**

[Deliverable(s)/Milestone(s)]: *[Insert relevant description of the agreed Deliverables/Milestones]*

We refer to the agreement ("**Call Off Contract**") [insert Call Off Contract reference number] relating to the provision of the [insert description of the Goods and/or Services] between the [*insert Customer name*] ("**Customer**") and [*insert Supplier name*] ("**Supplier**") dated [*insert Call Off Commencement Date dd/mm/yyyy*].

The definitions for any capitalised terms in this certificate are as set out in the Call Off Contract.

We confirm that all the [Deliverables/Milestones] relating to [ ] [*insert relevant description of agreed Deliverables/Milestones and/or reference numbers(s) from the Implementation Plan*] have been completed.

Yours faithfully

[insert Name]

[insert Position]

acting on behalf of [insert name of Customer]

## CALL OFF SCHEDULE 6: SERVICE LEVELS, SERVICE CREDITS AND PERFORMANCE MONITORING

### 1. SCOPE

- 1.1 This Call Off Schedule 6 (Service Levels, Service Credits and Performance Monitoring) sets out the Service Levels which the Supplier is required to achieve when providing the Services.
- 1.2 The Contracting Authority will measure the quality of the Supplier's delivery of services through monitoring performance against each of the individual Service Lines as defined in Annex 1.
- 1.3 Not more than once in each contract year the Contracting Authority may, on giving the Supplier at least two months written notice;
- Add and/or replace one or more specific KPIs.
  - Change the Service Credit weighting that applies in respect of one or more specific KPIs.
- 1.4 The Supplier shall not be entitled to object to any changes made by the Contracting Authority in clause 16.2 provided that the principle purpose of the change is to reflect changes in the Contracting Authority's business requirements and/or priorities or to reflect changing industry standards.
- 1.5 The performance levels specified are the Minimum Performance required for this Agreement. The Contracting Authority expects that actual performance should exceed or meet these minimum performance levels.
- 1.6 Where performance on any Critical Service Levels [outlined in Annex 1] is below the Minimum Performance a Service Credit will be applied. For the purpose of this contract the reporting period is the calendar month.
- 1.7 Deficits in minimum performance shall be rounded upwards to the nearest whole percentage for the purpose of calculating any service credits due. For example, if performance was 94.3% against a minimum target of 95%, one service credit would be due.
- 1.8 Each Service Credit relates to a specified percentage which is calculated against the overall service charge for the reporting period. Percentages for each critical service line are outlined in Annex 1.
- 1.9 An overall Service Credit cap of 10% for whole reporting period costs will apply to this agreement. Service Level performance that falls below this will be referred to the Crown Commercial Service framework owner for review.
- 1.10 Where performance drops below the required service level on the critical service lines listed below the Supplier shall be required to provide Service Credits to the Contracting Authority.
- 1.11 Service Credits will be calculated at each monthly performance meeting. To avoid delays in processing invoices, any service credits due back to the Contracting Authority are to be included within the invoice for the *following* Service Period

Example: a Service Credit applied to under-performance 1/4/18–30/4/18 shall be added to the May 2018 Service Period invoice and not the April 2018 one.

- 1.12 The Supplier is required to attend monthly contract management meetings to review service performance on a regular basis. These meetings shall take place on DWP premises in Leeds, unless otherwise stated or agreed to.
- 1.13 Service Level failures, service credits and definitions can be found in Annex 2.
- 1.14 Throughout on-going contract management for the Agreement, the Supplier is required to use the Contracting Authority's e-procurement software Bravo Solution; <https://dwp.bravosolution.co.uk/web/login.shtml>

The Supplier will be required to create/maintain their supplier profile and use the Bravo platform to share information with the Contracting Authority (e.g. Management Information, Diversity Plans, etc.).

- 1.15 The Supplier shall provide an exit plan 6 months prior to the end of the contract. This plan shall include as a minimum details as to how the Records will be transitioned to a new supplier along with the provision of information regarding the existing processes and procedures, timescales, costs and any other information to enable the service to be tendered. The exit plan should include TUPE information.
- 1.16 The Supplier shall take all measures to ensure that a smooth exit transition is effected for the Contracting Authority from their current Contract across to new Contract arrangements under any new Supplier, and that the Supplier shall work collaboratively with any new Supplier appointed during the new Contract Implementation phase.
- 1.17 The Supplier shall transfer all data relating to the Contracting Authority at contract termination (or alternative point requested by the Contracting Authority) to either the incoming Supplier or the Contracting Authority.
- 1.18 The Supplier shall ensure all data is available for transfer to the new Supplier in a common readable format at the point at which the Contracting Authority wishes to transfer the data.
- 1.19 Upon termination or termination (or alternative point requested by the Contracting Authority). The Supplier shall delete all Contracting Authority data in accordance with the Framework terms, providing a Destruction Certificate to the Contracting Authority confirming the data deletion.
- 1.20 At the end of the Agreement all equipment transferred to the Supplier shall remain in the ownership of the Contracting Authority. All physical and digitised records shall remain the property of the Contracting Authority at all times.
- 1.21 This Call Off Schedule 6 comprises:
  - 1.21.1 Part A: Service Levels and Service Credits;
  - 1.21.2 Annex 1 to Part A - Service Levels and Service Credits Table;
  - 1.21.3 Annex 1 to Part B Service Credits – Service Credits, Service Level Failures.
  - 1.21.4 Annex 1 to Part C: Performance Monitoring.

## PART A: SERVICE LEVELS AND SERVICE CREDITS

### 2. GENERAL PROVISIONS

- 2.1 The Supplier shall provide a proactive Call Off Contract manager to ensure that all Service Levels in this Call Off Contract and Key Performance Indicators in the Framework Agreement are achieved to the highest standard throughout, respectively, the Call Off Contract Period and the Framework Period.
- 2.2 The Supplier shall provide a managed service through the provision of a dedicated Call Off Contract manager where required on matters relating to:
- 2.2.1 Supply performance;
  - 2.2.2 Quality of Services;
  - 2.2.3 Customer support;
  - 2.2.4 Complaints handling; and
  - 2.2.5 Accurate and timely invoices.
- 2.3 The Supplier accepts and acknowledges that failure to meet the Service Level Performance Measures set out in the table in Annex 1 to this Part A of this Call Off Schedule 6 will result in Service Credits being issued to Customers.

### 3. PRINCIPAL POINTS

- 3.1 The objectives of the Service Levels and Service Credits are to:
- 3.1.1 ensure that the Goods and/or Services are of a consistently high quality and meet the requirements of the Customer;
  - 3.1.2 provide a mechanism whereby the Customer can attain meaningful recognition of inconvenience and/or loss resulting from the Supplier's failure to deliver the level of service for which it has contracted to deliver; and
  - 3.1.3 incentivise the Supplier to comply with and to expeditiously remedy any failure to comply with the Service Levels.

### 4. SERVICE LEVELS

- 4.1 Annex 1 to this Part A of this Call Off Schedule 6 sets out the Service Levels the performance of which the Parties have agreed to measure.
- 4.2 The Supplier shall monitor its performance of this Call Off Contract by reference to the relevant performance criteria for achieving the Service Levels shown in Annex 1 to this Part A of this Call Off Schedule 6 (the "**Service Level Performance Criteria**") and shall send the Customer a Performance Monitoring Report detailing the level of service which was achieved in accordance with the provisions of Part B (Performance Monitoring) of this Call Off Schedule 6.
- 4.3 The Supplier shall, at all times, provide the Goods and/or Services in such a manner that the Service Levels Performance Measures are achieved.
- 4.4 If the level of performance of the Supplier of any element of the provision by it of the Goods and/or Services during the Call Off Contract Period:
- 4.4.1 is likely to or fails to meet any Service Level Performance Measure or
  - 4.4.2 is likely to cause or causes a Critical Service Failure to occur,

4.4.3 the Supplier shall immediately notify the Customer in writing and the Customer, in its absolute discretion and without prejudice to any other of its rights howsoever arising including under Clause 13 of this Call Off Contract (Service Levels and Service Credits), may:

- (a) require the Supplier to immediately take all remedial action that is reasonable to mitigate the impact on the Customer and to rectify or prevent a Service Level Failure or Critical Service Level Failure from taking place or recurring; and
- (b) if the action taken under paragraph (a) above has not already prevented or remedied the Service Level Failure or Critical Service Level Failure, the Customer shall be entitled to instruct the Supplier to comply with the Rectification Plan Process; or
- (c) if a Service Level Failure has occurred, deduct from the Call Off Contract Charges the applicable Service Level Credits payable by the Supplier to the Customer in accordance with the calculation formula set out in Annex 1 of this Part A of this Call Off Schedule 6; or
- (d) if a Critical Service Level Failure has occurred, exercise its right to Compensation for Critical Service Level Failure in accordance with Clause 14 of this Call Off Contract (Critical Service Level Failure) (including subject, for the avoidance of doubt, the proviso in Clause 14.2.2 of this Call Off Contract in relation to Material Breach).

4.5 Approval and implementation by the Customer of any Rectification Plan shall not relieve the Supplier of any continuing responsibility to achieve the Service Levels, or remedy any failure to do so, and no estoppels or waiver shall arise from any such Approval and/or implementation by the Customer.

## 5. SERVICE CREDITS

5.1 Annex 1 to this Part A of this Call Off Schedule 6 sets out the formula used to calculate a Service Credit payable to the Customer as a result of a Service Level Failure in a given service period which, for the purpose of this Call Off Schedule 6, shall be a recurrent period of **one Month** during the Call Off Contract Period (the “**Service Period**”).

5.2 Annex 1 to this Part A of this Call Off Schedule 6 includes details of each Service Credit available to each Service Level Performance Criterion if the applicable Service Level Performance Measure is not met by the Supplier.

5.3 The Customer shall use the Performance Monitoring Reports supplied by the Supplier under Part B (Performance Monitoring) of this Call Off Schedule 6 to verify the calculation and accuracy of the Service Credits, if any, applicable to each relevant Service Period.

5.4 Service Credits are a reduction of the amounts payable in respect of the Goods and/or Services and do not include VAT. The Supplier shall set-off the value of any Service Credits against the appropriate invoice in accordance with calculation formula in Annex 1 of Part A of this Call Off Schedule 6.

## 6. NATURE OF SERVICE CREDITS

6.1 The Supplier confirms that it has modelled the Service Credits and has taken them into account in setting the level of the Call Off Contract Charges. Both Parties

agree that the Service Credits are a reasonable method of price adjustment to reflect poor performance.

**ANNEX 1 TO PART A: SERVICE LEVELS AND SERVICE CREDITS TABLE**

**SERVICE LEVELS FOR OCCUPATIONAL HEALTH SERVICES**

		<b>Service Level Performance Measures and Service Credits payable</b>			
<b>Service Level Performance Criterion</b>	<b>Description</b>	<b>Service Level– Fail RED</b>	<b>Service Level – Warning AMBER</b>	<b>Service Level – Pass GREEN</b>	<b>Service Credit Payable (%)</b>
<b>Online Portal</b>	<p>Online Portal to be available twenty four (24) hours a day, seven (7) days a week, fifty two (52) weeks a year, except for agreed downtime and maintenance which will be agreed with the Contracting Authority at least seventy two (72) hours in advance of such work being carried.</p> <p>See Appendix B Section 6 <b>[Critical Service Level 1]</b></p>	<98%	>= 98% and < 100%	100%	<b>2.5%</b>
<b>Telephone Support Services</b>	<p>All telephone support line Services to be available Monday to Friday 08:00 to 18:00, fifty-two (52) weeks a year, or the day/time model the Contracting Authority moves to, within the lifetime of the contract (or as defined by the Contracting Authority) excluding public and bank holidays.</p> <p>See Appendix B Section 6 <b>[Critical Service Level 2]</b></p>	< 98%	>= 98% and < 100%	100%	<b>1%</b>
	<p>Occupational Health Physicians and Occupational Health Advisors to be available Monday to Friday 08:00 to 18:00, fifty two (52) weeks a</p>	< 98%	>= 98% and < 100%	100%	0%

	year, or the day/time model the Contracting Authority moves to, within the lifetime of the contract (or as defined by the Contracting Authority) excluding public and bank holidays				
	All calls to be answered within five (5) rings	< 97%	>= 97% and < 98%	>= 98%	0%
	All telephone messages and emails to be responded to within 24 hours	<97%	>= 98% and < 98%	>= 98%	0%
<b>Case Management</b>	Occupational Health Advisor or Occupational Health Physician face to face consultation to be held and report to be provided within 10 working days of Contracting Authority's Personnel referral (including confirmation of appointment to the employee and line manager)	<97%	>= 97% and < 99%	>= 99%	0%
	Occupational Health Advisor telephone consultation to be held and report to be delivered within four (4) working days of Contracting Authority Personnel referral <b>[Critical Service Level 3]</b>	<98%	>= 98% and < 100%	100%	<b>2.5%</b>
	Occupational Health Physician telephone consultation to be held and report to be delivered within seven (7) working days of Contracting Authority Personnel referral	<98%	>= 98% and < 100%	100%	0%

	All written case reports to be right first time (with correct level of information and details)	<98%	>= 98% and < 100%	100%	0%
	Notification to the Contracting Authority of an employee failing to attend appointment within one (1) working day of appointment being missed.	<100%		100%	0%
	On-site Occupational Health professionals to be available at the times agreed, including scheduled replacement Supplier Personnel.	<100%		100%	0%
	File opinion to be delivered to the Contracting Authority within five (5) working days on receipt of request.	<98%	>= 98% and < 100%	100%	0%
	Single case conferences to take place within 5 working days of request of Contracting Authority	<98%	>= 98% and < 100%	100%	0%
	Multiple case conference (including collation of referrals) to take place within ten (10) working days of request	<98%	>= 98% and < 100%	100%	0%
<b>Further Medical Evidence</b>	Further Medical Evidence report requested from a specialist or General Practitioner within two (2) days of the need having been identified by the Supplier	< 100%		100%	0%

<b>Ill Health retirements</b>	Medical opinion to support ill health retirement applications to be delivered within ten (10) working days of request  <b>[Critical Service Level 4]</b>	<97%	>= 97% and < 100%	100%	<b>0.5%</b>
<b>Health Surveillance and Fitness for Task</b>	All health surveillance, monitoring and specialist fit for task assessments and reports to be completed within ten (10) working days of referral.	<97%	>= 97% and < 100%	100%	0%
	All paper based screening or assessments to be completed within three (3) working days of referral	<98%	>= 98% and < 100%	100%	0%
	All surveillance and assessments scheduled on a Contracting Authority's annual plan to be completed on time	<97%	>= 97% and < 99%	>= 99%	0%
<b>Pre-Appointment and Pre-Enrolment Checks</b>	Delivery of report to Contracting Authority following online screening within twenty four (24) hours  <b>[Critical Service Level 5]</b>	<97%	>= 97% and < 99%	>= 99%	<b>0.5%</b>
	Occupational Health Adviser written opinion following online assessment to be delivered to the Contracting Authority within two (2) working days	<98%	>= 98% and < 100%	100%	0%
	Telephone assessment of Contracting Authority Personnel within three (3) working days of request.	<95%	>= 95% and < 99%	>=99%	0%

	Face to face Contracting Authority Personnel assessment within five (5) working days of request.	<95%	>= 95% and < 99%	>=99%	0%
	Written opinion following telephone and face-to-face assessment to be received by Contracting Authority within two (2) working days of the assessment.	<95%	>= 95% and < 99%	>=99%	0%
<b>Physiotherapy</b>	Physiotherapy telephone assessment within four (4) working days of request	<97%	> = 97% and < 99%	>=99%	0%
	Appointment and first face-to-face physiotherapy session to take place within seven (7) calendar days of referral	<97%	> = 97% and < 99%	>=99%	0%
	Report delivered to Contracting Authority within two (2) working days of completion of treatment	<97%	> = 97% and < 99%	>=99%	0%
<b>Assessments</b>	<p>For all Contracting Authority Personnel assessments listed below : ten (10) working days from referral to delivery of report:</p> <ul style="list-style-type: none"> <li>● Workplace / Workstation Assessments for employees considered disabled under the Equality Act 2010</li> <li>● Display Screen Equipment Workstation Assessment</li> <li>● Occupational Therapy</li> <li>● Specialist assessments for sight and hearing</li> </ul>	< 97%	> = 97% and < 99%	> = 99%	<b>2%</b>

	<ul style="list-style-type: none"> <li>• Dyslexia assessment</li> <li>• Specialist assessments for disabled employees</li> <li>• Support Worker assessment</li> </ul> <p><b>[Critical Service Level 6]</b></p>				
<b>Complaints</b>	All customer Complaints to be acknowledged within one (1) Working Day of receipt	< 97%	> = 97% and < 99%	> = 99%	0%
	Customer complaints to be resolved within ten (10) working days	< 97%	> = 97% and < 99%	> = 99%	0%
<b>Customer Satisfaction</b>	All customer satisfaction surveys to meet agreed target measures	< 90%	> = 90% and < 95%	> = 95%	0%
<b>Contract Management</b>	All invoices right first time, provided with supporting Data and received at the agreed times	< 97%	> = 97% and < 99%	> = 99%	0%
	Account management support available Monday to Friday 8am -6pm with responses to queries from the Contracting Authority within one (1) Working Day	< 97%	> = 97% and < 99%	> = 99%	0%
<b>Management Information</b>	Management Information delivered at agreed periods with Contracting Authority See Appendix B section 9 <b>[Critical Service Level 7]</b>	<100%		100%	<b>0.5%</b> <b>[combined with EAP]</b>
	All ad hoc and urgent MI in relation to Freedom of Information requests, Minister's questions and Parliamentary Questions will be provided within the timelines outlined for each	<100%		100%	0%

	request by the Contracting Authority.				
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**BASELINE SERVICE LEVELS FOR EMPLOYEE ASSISTANCE PROGRAMMES:**

Service Level Performance Criterion	Description	Service Level Performance Measure and Service Credit payable			
		Service Level – Fail RED	Service Level – Warning AMBER	Service Level – Pass GREEN	Service Credit Payable (%)
<b>Telephone Support Services</b>	All telephone support line Services to be available twenty four (24) hours a day, seven (7) days a week, three hundred and sixty five (365) days a year  See Appendix B Section 6 <b>[Critical Service Level 8]</b>	< 98%	>= 98% and < 100%	100%	<b>2%</b>
	Urgent or 'red flag' cases will be matched immediately for telephone support	<100%		100%	0%
	All calls to be answered within five (5) rings <b>[Critical Service Level 9]</b>	< 97%	>= 97% and < 98%	>= 98%	<b>0.5%</b>
	Call abandonment rate to be less than two (2)% <b>[Critical Service Level 10]</b>	<97%	>= 98% and < 100%	>= 99%	<b>0.5%</b>
	Call-back to Contracting Authority Personnel by EAP adviser (not including counselling), following initial contact to take place within four (4) hours of first contact or next Working Day if agreed by Contracting	<98%	>= 98% and < 100%	100%	0%

		Service Level Performance Measure and Service Credit payable			
Service Level Performance Criterion	Description	Service Level– Fail RED	Service Level – Warning AMBER	Service Level – Pass GREEN	Service Credit Payable (%)
	Authority Personnel				
	Initial call back to Contracting Authority Personnel following triage to take place within two (2) hours	<98%	>= 98% and < 100%	100%	0%
	All queries not requiring counselling Services to be completed within twenty four (24) hours.	<97%	>= 97% and < 98%	>= 98%	0%
<b>Online Portal</b>	Online Portal to be available twenty four (24) hours a day, seven (7) days a week, three hundred and sixty five (365) days a year a day except for agreed downtime and maintenance which will be agreed with the Contracting Authority at least seventy two (72) hours in advance of such work being carried out. <b>[Critical Service Level 11]</b>	<97%	>= 98% and < 99%	>= 99%	<b>1%</b>
<b>Counselling Services</b>	Counselling Services to be available twenty four (24) hours a day, seven (7) days a week, three hundred and sixty five (365) days a year <b>[Critical Service Level 12]</b>	<100%		100%	<b>1%</b>

		Service Level Performance Measure and Service Credit payable			
Service Level Performance Criterion	Description	Service Level– Fail RED	Service Level – Warning AMBER	Service Level – Pass GREEN	Service Credit Payable (%)
	Urgent or red flag cases will have first face to face counselling session offered within twenty four hours of first contact (if need determined)	<100%		100%	0%
	All counselling appointments (telephone, e-counselling or face to face) to be arranged within 48 hours of first contact	< 98%	>= 98% and < 100%	100%	0%
	Initial counselling session to take place within 5 days of first contact	<97%	>= 98% and < 99%	>= 99%	0%
<b>Trauma and Critical Incident Support</b>	Where critical incident procedures have been invoked, all employees (including those overseas) must have access to designated telephone support within two (2) hours of notification.	< 100%		100%	0%
	A workplace site presence with the appropriate number of skilled Supplier Personnel available within forty eight (48) hours	< 100%		100%	0%
<b>Complaints</b>	All complaints to be acknowledged within one (1) Working Day of receipt	< 97%	> = 97% and < 99%	> = 99%	0%

		Service Level Performance Measure and Service Credit payable			
Service Level Performance Criterion	Description	Service Level– Fail RED	Service Level – Warning AMBER	Service Level – Pass GREEN	Service Credit Payable (%)
	All Complaints to be updated at an interval of every two (2) Working Days	< 97%	> = 97% and < 99%	> = 99%	0%
<b>Customer Satisfaction</b>	All customer satisfaction surveys to meet agreed target measures <b>[Critical Service Level 13]</b>	< 90%	> = 90% and < 95%	> = 95%	<b>1%</b>
<b>Contract Management</b>	All invoices right first time, provided with supporting data and received at the agreed times	< 97%	> = 97% and < 99%	> = 99%	0%
	Account management support available Monday to Friday 8am -6pm with responses to queries from the Contracting Authority within one (1) Working Day	< 97%	> = 97% and < 99%	> = 99%	0%
<b>Management Information</b>	Management Information delivered at agreed periods with Contracting Authority - See Appendix B section 9 <b>[Critical Service Level combined with CSL 7]</b>	<100%		100%	<b>Combined MI required – See OHS</b>
	All ad hoc and urgent MI in relation to Freedom of Information requests, Minister's questions and Parliamentary Questions will be provided within the timelines outlined for each request by the Contracting	<100%		100%	0%

		Service Level Performance Measure and Service Credit payable			
Service Level Performance Criterion	Description	Service Level– Fail RED	Service Level – Warning AMBER	Service Level – Pass GREEN	Service Credit Payable (%)
	Authority				

## ANNEX 1 TO PART B

### SERVICE CREDITS

#### 1. SERVICE CREDITS: PRINCIPAL POINTS

1.1 The objectives of the Service Levels and Service Credits are to:

- ensure that the Services are of a consistently high quality and meet the requirements of the Customer;
- provide a mechanism whereby the Customer can attain meaningful recognition of inconvenience and/or loss resulting from the Supplier's failure to deliver the level of service for which it has contracted to deliver; and
- Incentivise the Supplier to comply with and to expeditiously remedy any failure to comply with the Service Levels.

1.2 The Supplier shall, at all times, provide the Goods and/or Services in such a manner that the Green Service Levels Performance Measures are achieved.

1.3 If the level of performance of the Supplier of any element of the provision by it of the Services during the Call Off Contract Period is likely to or fails to meet any Service Level Performance Measure the Supplier shall immediately notify the Customer in writing and the Customer may:

- (a) require the Supplier to immediately take all remedial action that is reasonable to mitigate the impact on the Customer and to rectify or prevent the failure of the Service Level Performance Measure from taking place or recurring; and
- (b) if the action taken under paragraph (a) above has not already prevented or remedied the failure of the Service Level Performance Measure the Customer shall be entitled to instruct the Supplier to comply with the Rectification Plan Process; or
- (c) if a Service Level Failure has occurred, deduct from the Call Off Contract Charges the applicable Service Level Credits payable by the Supplier to the Customer or
- (d) if a Critical Service Level Failure has occurred, exercise its right to Compensation for Critical Service Level Failure
- (e) Approval and implementation by the Customer of any Rectification Plan shall not relieve the Supplier of any continuing responsibility to achieve the Service Levels, or remedy any failure to do so, and no estoppels or waiver shall arise from any such Approval and/or implementation by the Customer.

#### 2. SERVICE LEVEL FAILURES

2.1 A "Service Level Failure" shall be when any of the following are reported in a Performance Monitoring Report

2.2 The Supplier's performance of any Critical Service Level is reported as failing to meet the Red Service Level Performance Measure in a given Service Period;

- 2.3 The Supplier's performance of a single Service Level is reported as failing to meet the Red Service Level Performance Measure for that Service Level twice or more in any three (3) consecutive Service Periods;
- 2.4 The Supplier's performance of a single Service Level is reported as failing to meet the Red Service Level Performance Measure for that Service Level four (4) times or more in any twelve (12) consecutive Service Periods; and
- 2.5 The Supplier's performance of a single Service Level is reported as failing to meet the Amber 6Service Level Performance Measure for that Service Level six (6) times or more in any twelve (12) consecutive Service Periods.
- 2.6 The Customer shall use the Performance Monitoring Reports supplied by the Supplier to verify the calculation and accuracy of the Service Credits, if any, applicable to each relevant Reporting Period.
- 2.7 Service Credits will only apply to service failures [as defined in 2.2.1] where the service has been defined as Critical Service Level.
- 2.8 Persistent or regular failure on Service Lines [as defined in 2.2.1] that are not defined as Critical Service Levels will be highlighted to the CCS Framework Manager who will take up in their regular contract review meetings.
- 2.9 **SERVICE LEVEL DEFINITIONS**

Amber Service Level Performance Measure	Shall be the amber service level performance measure as set out against the relevant Service Level Performance Criterion in Annex 1
Critical Service Level	Shall be those Service Level Performance Criteria identified as critical service levels in Annex 1
Critical Service Level Failure	Means a failure to meet a Red Service Level Performance Measure for a Critical Service Level;
Green Service Level Performance Measure	Shall be the green service level performance measure as set out against the relevant Service Level Performance Criterion in Annex 1
Red Service Level Performance Measure	Shall be the red service level performance measure as set out against the relevant Service Level Performance Criterion in Annex 1
Service Level Failure	Has the meaning given to it in clause 2.2.1 of Annex 2
Service Level Performance Criteria	The performance criteria for achieving the Service Levels
Service Level Performance Measure	A Red Service Level Performance Measure, an Amber Service Level Performance Measure or a Green Service Level Performance Measure;
Reporting Period	The Reporting Period is per calendar month i.e., 1 <sup>st</sup> of the month to the last day of the month.

## ANNEX 1 TO PART C: PERFORMANCE MONITORING

### 1. PRINCIPAL POINTS

- 1.1 Part B to this Call Off Schedule 6 provides the methodology for monitoring the provision of the Goods and/or Services:
- 1.1.1 to ensure that the Supplier is complying with the Service Levels; and
- 1.1.2 for identifying any failures to achieve Service Levels in the performance of the Supplier and/or provision of the Goods and/or Services ("**Performance Monitoring System**").
- 1.2 Within twenty (20) Working Days of the Call Off Commencement Date the Supplier shall provide the Customer with details of how the process in respect of the monitoring and reporting of Service Levels will operate between the Parties and the Parties will endeavour to agree such process as soon as reasonably possible.

### 2. REPORTING OF SERVICE FAILURES

- 2.1 The Supplier shall report all failures to achieve Service Levels and any Critical Service Level Failure to the Customer in accordance with the processes agreed in paragraph 1.2 of Part B of this Call Off Schedule 6 above.

### 3. PERFORMANCE MONITORING AND PERFORMANCE REVIEW

- 3.1 The Supplier shall provide the Customer with performance monitoring reports ("**Performance Monitoring Reports**") in accordance with the process and timescales agreed pursuant to paragraph 1.2 of Part B of this Call Off Schedule 6 above which shall contain, as a minimum, the following information in respect of the relevant Service Period just ended:
- 3.1.1 for each Service Level, the actual performance achieved over the Service Level for the relevant Service Period;
- 3.1.2 a summary of all failures to achieve Service Levels that occurred during that Service Period;
- 3.1.3 any Critical Service Level Failures and details in relation thereto;
- 3.1.4 for any repeat failures, actions taken to resolve the underlying cause and prevent recurrence;
- 3.1.5 the Service Credits to be applied in respect of the relevant period indicating the failures and Service Levels to which the Service Credits relate; and
- 3.1.6 such other details as the Customer may reasonably require from time to time.
- 3.2 The Parties shall attend meetings to discuss Performance Monitoring Reports ("**Performance Review Meetings**") on a monthly basis (unless otherwise agreed). The Performance Review Meetings will be the forum for the review by the Supplier and the Customer of the Performance Monitoring Reports. The Performance Review Meetings shall (unless otherwise agreed):
- 3.2.1 take place within one (1) week of the Performance Monitoring Reports being issued by the Supplier;
- 3.2.2 take place at such location and time (within normal business hours) as the Customer shall reasonably require unless otherwise agreed in advance;

- 3.2.3 be attended by the Supplier's Representative and the Customer's Representative; and
- 3.2.4 be fully minuted by the Supplier. The prepared minutes will be circulated by the Supplier to all attendees at the relevant meeting and also to the Customer's Representative and any other recipients agreed at the relevant meeting. The minutes of the preceding month's Performance Review Meeting will be agreed and signed by both the Supplier's Representative and the Customer's Representative at each meeting.
- 3.3 The Customer shall be entitled to raise any additional questions and/or request any further information regarding any failure to achieve Service Levels.
- 3.4 The Supplier shall provide to the Customer such supporting documentation as the Customer may reasonably require in order to verify the level of the performance by the Supplier and the calculations of the amount of Service Credits for any specified Service Period.

#### **4. SATISFACTION SURVEYS**

- 4.1 In order to assess the level of performance of the Supplier, the Customer may undertake satisfaction surveys in respect of the Supplier's provision of the Goods and/or Services.
- 4.2 The Customer shall be entitled to notify the Supplier of any aspects of their performance of the provision of the Goods and/or Services which the responses to the Satisfaction Surveys reasonably suggest are not in accordance with this Call Off Contract.
- 4.3 All other suggestions for improvements to the provision of Goods and/or Services shall be dealt with as part of the continuous improvement programme pursuant to Clause 18 of this Call Off Contract (Continuous Improvement).

## CALL OFF SCHEDULE 7: SECURITY

### 1. DEFINITIONS

1.1 In this Call Off Schedule 7, the following definitions shall apply:

**"Breach of Security"**

means the occurrence of:

- a) any unauthorised access to or use of the Goods and/or Services, the Sites and/or any Information and Communication Technology ("ICT"), information or data (including the Confidential Information and the Customer Data) used by the Customer and/or the Supplier in connection with this Call Off Contract; and/or
- b) the loss and/or unauthorised disclosure of any information or data (including the Confidential Information and the Customer Data), including any copies of such information or data, used by the Customer and/or the Supplier in connection with this Call Off Contract,

in either case as more particularly set out in the Security Policy;

### 2. INTRODUCTION

2.1 The purpose of this Call Off Schedule 7 is to ensure a good organisational approach to security under which the specific requirements of this Call Off Contract will be met;

2.2 This Call Off Schedule 7 covers:

- 2.2.1 principles of protective security to be applied in delivering the Goods and/or Services;
- 2.2.2 the creation and maintenance of the Security Management Plan; and
- 2.2.3 obligations in the event of actual or attempted Breaches of Security.

### 3. PRINCIPLES OF SECURITY

3.1 The Supplier acknowledges that the Customer places great emphasis on the reliability of the performance of the Goods and/or Services, confidentiality, integrity and availability of information and consequently on security.

3.2 The Supplier shall be responsible for the effective performance of its security obligations and shall at all times provide a level of security which:

- 3.2.1 is in accordance with the Law and this Call Off Contract;
- 3.2.2 as a minimum demonstrates Good Industry Practice;
- 3.2.3 complies with the Security Policy;
- 3.2.4 meets any specific security threats of immediate relevance to the Goods and/or Services and/or the Customer Data; and
- 3.2.5 complies with the Customer's ICT Policy.

3.3 Subject to Clause 34 of this Call Off Contract (Security and Protection of Information) the references to standards, guidance and policies contained or set out in paragraph 3.2 of this Call Off Schedule 7 shall be deemed to be references to such items as developed and updated and to any successor to or replacement for such standards, guidance and policies, as notified to the Supplier from time to time.

3.4 In the event of any inconsistency in the provisions of the above standards, guidance and policies, the Supplier should notify the Customer's Representative of such inconsistency immediately upon becoming aware of the same, and the Customer's Representative shall, as soon as practicable, advise the Supplier which provision the Supplier shall be required to comply with.

#### **4. SECURITY PLAN**

##### 4.1 Introduction

4.1.1 The Supplier shall develop and maintain a Security Management Plan in accordance with this Call Off Schedule 7. The Supplier shall thereafter comply with its obligations set out in the Security Management Plan.

##### 4.2 Content of the Security Management Plan

4.2.1 The Security Management Plan shall:

- (a) comply with the principles of security set out in paragraph 3 of this Call Off Schedule 7 and any other provisions of this Call Off Contract relevant to security;
- (b) identify the necessary delegated organisational roles defined for those responsible for ensuring it is complied with by the Supplier;
- (c) detail the process for managing any security risks from Sub-Contractors and third parties authorised by the Customer with access to the Goods and/or Services, processes associated with the provision of the Goods and/or Services, the Customer Premises, the Sites and any ICT, Information and data (including the Customer's Confidential Information and the Customer Data) and any system that could directly or indirectly have an impact on that Information, data and/or the Goods and/or Services;
- (d) unless otherwise specified by the Customer in writing, be developed to protect all aspects of the Goods and/or Services and all processes associated with the provision of the Goods and/or Services, including the Customer Premises, the Sites, and any ICT, Information and data (including the Customer's Confidential Information and the Customer Data) to the extent used by the Customer or the Supplier in connection with this Call Off Contract or in connection with any system that could directly or indirectly have an impact on that Information, data and/or the Goods and/or Services;
- (e) set out the security measures to be implemented and maintained by the Supplier in relation to all aspects of the Goods and/or Services and all processes associated with the provision of the Goods and/or Services and shall at all times comply with and specify security measures and procedures

which are sufficient to ensure that the Goods and/or Services comply with the provisions of this Call Off Contract;

- (f) set out the plans for transitioning all security arrangements and responsibilities for the Supplier to meet the full obligations of the security requirements set out in this Call Off Contract and the Security Policy; and
- (g) be written in plain English in language which is readily comprehensible to the staff of the Supplier and the Customer engaged in the provision of the Goods and/or Services and shall only reference documents which are in the possession of the Parties or whose location is otherwise specified in this Call Off Schedule 7.

#### 4.3 Development of the Security Management Plan

4.3.1 Within twenty (20) Working Days after the Call Off Commencement Date (or such other period agreed by the Parties in writing) and in accordance with paragraph 4.4 (Amendment and Revision of the Security Management Plan), the Supplier shall prepare and deliver to the Customer for Approval a fully complete and up to date Security Management Plan which will be based on the draft Security Management Plan.

4.3.2 If the Security Management Plan submitted to the Customer in accordance with paragraph 4.3.1, or any subsequent revision to it in accordance with paragraph 4.4 (Amendment and Revision of the Security Management Plan), is Approved it will be adopted immediately and will replace the previous version of the Security Management Plan and thereafter operated and maintained in accordance with this Call Off Schedule 7. If the Security Management Plan is not Approved, the Supplier shall amend it within ten (10) Working Days or such other period as the Parties may agree in writing of a notice of non-approval from the Customer and re-submit to the Customer for Approval. The parties will use all reasonable endeavours to ensure that the approval process takes as little time as possible and in any event no longer than fifteen (15) Working Days (or such other period as the parties may agree in writing) from the date of its first submission to the Customer. If the Customer does not approve the Security Management Plan following its resubmission, the matter will be resolved in accordance with the Dispute Resolution Procedure.

4.3.3 The Customer shall not unreasonably withhold or delay its decision to Approve or not the Security Management Plan pursuant to paragraph 4.3.2. However a refusal by the Customer to Approve the Security Management Plan on the grounds that it does not comply with the requirements set out in paragraph 4.2 shall be deemed to be reasonable.

4.3.4 Approval by the Customer of the Security Management Plan pursuant to paragraph 4.3.2 of this Call Off Schedule 7 or of any change to the Security Management Plan in accordance with paragraph 4.4 shall not relieve the Supplier of its obligations under this Call Off Schedule 7.

#### 4.4 Amendment and Revision of the Security Management Plan

4.4.1 The Security Management Plan shall be fully reviewed and updated by the Supplier at least annually to reflect:

- (a) emerging changes in Good Industry Practice;
- (b) any change or proposed change to the Goods and/or Services and/or associated processes;

- (c) any change to the Security Policy;
- (d) any new perceived or changed security threats; and
- (e) any reasonable change in requirements requested by the Customer.

4.4.2 The Supplier shall provide the Customer with the results of such reviews as soon as reasonably practicable after their completion and amendment of the Security Management Plan at no additional cost to the Customer. The results of the review shall include, without limitation:

- (a) suggested improvements to the effectiveness of the Security Management Plan;
- (b) updates to the risk assessments; and
- (c) suggested improvements in measuring the effectiveness of controls.

4.4.3 Subject to paragraph 4.4.4, any change or amendment which the Supplier proposes to make to the Security Management Plan (as a result of a review carried out in accordance with paragraph 4.4.1, a request by the Customer or otherwise) shall be subject to the Variation Procedure and shall not be implemented until Approved by the Customer.

4.4.4 The Customer may, where it is reasonable to do so, Approve and require changes or amendments to the Security Management Plan to be implemented on timescales faster than set out in the Variation Procedure but, without prejudice to their effectiveness, all such changes and amendments shall thereafter be subject to the Variation Procedure for the purposes of formalising and documenting the relevant change or amendment for the purposes of this Call Off Contract.

## **5. BREACH OF SECURITY**

5.1 Either party shall notify the other in accordance with the agreed security incident management process (as detailed in the Security Management Plan if one exists) upon becoming aware of any Breach of Security or any potential or attempted Breach of Security.

5.2 Without prejudice to the security incident management process, upon becoming aware of any of the circumstances referred to in paragraph 5.1, the Supplier shall:

5.2.1 immediately take all reasonable steps(which shall include any action or changes reasonably required by the Customer) necessary to:

- (a) minimise the extent of actual or potential harm caused by any Breach of Security;
- (b) remedy such Breach of Security to the extent possible and protect the integrity of the Customer and the provision of the Goods and/or Services to the extent within its control against any such Breach of Security or attempted Breach of Security;
- (c) prevent an equivalent breach in the future exploiting the same root cause failure; and
- (d) as soon as reasonably practicable provide to the Customer, where the Customer so requests, full details (using the reporting mechanism defined by the Security Management Plan if one exists) of the Breach of Security or attempted Breach of

Security, including a root cause analysis where required by the Customer.

- 5.3 In the event that any action is taken in response to a Breach of Security or potential or attempted Breach of Security that demonstrates non-compliance of the Security Management Plan with the Security policy or the requirements of this Call Off Schedule 7, then any required change to the Security Management Plan shall be at no cost to the Customer.

## ANNEX 1: SECURITY POLICY

### Extract Schedule 2 - Services, Annex 1 – The Services, 17 – Security Requirements

- 17.1 The Contracting Authority shall be responsible for maintaining the security of the Contracting Authority premises in accordance with its standard security requirements. The Supplier shall comply with all security requirements of the Contracting Authority while on the Contracting Authority premises, and shall ensure that all its staff comply with such requirements.
- 17.2 The Supplier shall ensure that the Security Plan produced fully complies with the Contracting Authority's Security Policy. The Supplier shall comply, and shall procure the compliance of its staff, with the Security Plan and the Security Policy.
- 17.3 The Contracting Authority shall notify the Supplier of any changes or proposed changes to the Security Policy.
- 17.4 Principles of Security:
- 17.4.1 The Contracting Authority places great emphasis on confidentiality, integrity and availability of data and information; and consequently on the security of its premises and that of any Supplier system.
- 17.4.2 The Supplier shall be responsible for the security of its systems used to deliver the Agreement and shall at all times provide a level of security which;
- is in accordance with Good Industry Practice and Law;
  - complies with the Security Policy;
  - meets any specific security threats to the Supplier System;
  - complies with ISO/IEC27002 and ISO/IEC27001;
  - meets the requirements of the Cyber Essentials Scheme, unless deemed out of scope for this requirement.
- 17.5 The Supplier shall at all times ensure that the level of security employed in the provision of the Services is appropriate to minimise the following risks:
- loss of integrity of Contracting Authority Data;
  - loss of confidentiality of Contracting Authority Data;
  - unauthorised access to, use of, or interference with Contracting Authority Data by any person or organisation;
  - unauthorised access to network elements and buildings;
  - use of the Supplier System or Services by any third party in order to gain unauthorised access to any computer resource or Contracting Authority Data; and
  - loss of availability of Contracting Authority Data due to any failure or compromise of the Services.

- loss of confidentiality, integrity and availability of Contracting Authority Data through Cyber/internet threats.
- The Supplier shall conduct tests of the processes and countermeasures contained in the Security Plan ("Security Tests") on an annual basis or as otherwise agreed by the Parties. The date, timing, content and conduct of such Security Tests shall be agreed in advance with the Contracting Authority.

#### 17.6 Security Plan:

17.6.1 The Supplier shall develop, implement and maintain a Security Plan to apply during the Agreement which will be approved by the Contracting Authority, tested, periodically updated and audited.

17.6.2 A draft Security Plan provided by the Supplier as part of its bid is set out in Bidder Information Pack.

17.6.3 Within twenty (20) Working Days after the Service Commencement date, the Supplier will prepare and deliver to the Contracting Authority for approval the full and final Security Plan which will be based on the draft Security Plan set out in the Bidder Information Pack.

17.6.4 If the Security Plan is approved by the Authority it will be adopted immediately. If the Security Plan is not approved by the Contracting Authority the Supplier shall amend it within 10 Working Days of a notice of non-approval from the Contracting Authority and re-submit to the Contracting Authority for approval. The Parties will use all reasonable endeavours to ensure that the approval process takes as little time as possible and in any event no longer than 15 Working Days (or such other period as the Parties may agree in writing) from the date of its first submission to the Contracting Authority.

17.6.5 The Security Plan will set out the security measures to be implemented and maintained by the Supplier in relation to all aspects of the Services and all processes associated with the delivery of the Services and shall at all times comply with and specify security measures and procedures which are sufficient to ensure that the Services comply with:

- the provisions of the Agreement;
- the provisions of this chapter (17) relating to security;
- ISO/IEC27002 and ISO/IEC27001;
- the data protection compliance guidance produced by the Contracting Authority.

17.6.6 In the event of any inconsistency in the provisions of the above standards, guidance and policies, the Supplier should notify the Contracting Authority of such inconsistency immediately upon becoming aware of the same, and the Contracting Authority shall, as soon as practicable, advise the Supplier which provision the Supplier shall be required to comply with.

17.6.7 The Security Plan will be structured in accordance with ISO/IEC27002 and ISO/IEC27001.

17.6.8 Where the Security Plan references any document which is not in the possession of the Contracting Authority, a copy of the document will be made available to the Contracting Authority upon request. The Security Plan shall be written in plain English in language which is readily comprehensible to the staff of the Supplier and the Contracting Authority engaged in the Services and shall not reference any other documents which are not either in the possession of the Contracting Authority or otherwise specified in this schedule.

17.7 Amendment and Revision:

17.8 The Security Plan will be fully reviewed and updated by the Supplier annually, or from time to time to reflect:

- emerging changes in Good Industry Practice;
- any change or proposed change to the Supplier ICT System, the Services and/or associated processes;
- any new perceived or changed threats to the Supplier ICT System.
- a reasonable request by the Contracting Authority.
- The Supplier will provide the Contracting Authority with the results of such reviews as soon as reasonably practicable after their completion and amend the Security Plan at no additional cost to the Contracting Authority.
- Any change or amendment which the Supplier proposes to make to the Security Plan as a result of an Contracting Authority request shall be subject to the change control procedure and shall not be implemented until approved in writing by the Contracting Authority.

17.9 Audit and Testing

17.10 The Supplier shall conduct tests of the processes and countermeasures contained in the Security Plan ("Security Tests") on an annual basis or as otherwise agreed by the Contracting Authority. The date, timing, content and conduct of such Security Tests shall be agreed in advance with the Contracting Authority.

17.11 The Contracting Authority shall be entitled to send a representative to witness the conduct of the Security Tests. The Supplier shall provide the Contracting Authority with the results of such tests (in a form approved by the Contracting Authority in advance) as soon as practicable after completion of each Security Test.

17.12 Without prejudice to any other right of audit or access granted to the Contracting Authority pursuant to this Contract, the Contracting Authority shall be entitled at any time and without giving notice to the Supplier to carry out such tests (including penetration tests) as it may deem necessary in relation to the Security Plan and the Supplier's compliance with and implementation of the Security Plan. The Contracting Authority may notify the Supplier of the results of such tests after completion of each such test. Security Tests shall be designed and implemented so as to minimise the impact on the delivery of the Agreement. If such tests impact adversely on its ability to deliver the Agreement to the agreed Service Levels, the Contractor shall be granted relief against any resultant under-performance for the period of the tests.

- 17.13 Where any Security Test carried out pursuant to paragraphs 4.2 or 4.3 above reveals any actual or potential security failure or weaknesses, the Supplier shall promptly notify the Contracting Authority of any changes to the Security Plan (and the implementation thereof) which the Supplier proposes to make in order to correct such failure or weakness. Subject to the Contracting Authority's approval in accordance with paragraph 3.12, the Supplier shall implement such changes to the Security Plan in accordance with the timetable agreed with the Contracting Authority or, otherwise, as soon as reasonably possible. For the avoidance of doubt, where the change to the Security Plan to address a non-compliance with the Security Policy or security requirements, the change to the Security Plan shall be at no additional cost to the Contracting Authority. For the purposes of this paragraph 17.23, a weakness means a vulnerability in security and a potential security failure means a possible breach of the Security Plan or security requirements.
- 17.14 Compliance with ISO/IEC 27001:
- 17.15 The Supplier shall carry out such regular security audits as may be required by the British Standards Institute in order to maintain delivery of the Agreement in compliance with security aspects of ISO 27001 and shall promptly provide to the Contracting Authority any associated security audit reports and shall otherwise notify the Contracting Authority of the results of such security audits.
- 17.16 If it is the Contracting Authority's reasonable opinion that compliance with the principles and practices of ISO 27001 is not being achieved by the Supplier, then the Contracting Authority shall notify the Supplier of the same and give the Supplier a reasonable time (having regard to the extent of any non-compliance and any other relevant circumstances) to become compliant with the principles and practices of ISO 27001. If the Supplier does not become compliant within the required time then the Contracting Authority has the right to obtain an independent audit against these standards in whole or in part.
- 17.17 If, as a result of any such independent audit as described in paragraph 17.26 the Supplier is found to be non-compliant with the principles and practices of ISO 27001 then the Supplier shall, at its own expense, undertake those actions required in order to achieve the necessary compliance and shall reimburse in full the costs incurred by the Contracting Authority in obtaining such audit.
- 17.18 Breach of Security
- 17.19 Either party shall notify the other immediately upon becoming aware of any Breach of Security including, but not limited to an actual, potential or attempted breach, or threat to, the Security Plan.
- 17.20 Upon becoming aware of any of the circumstances referred to in paragraph 17.29, the Supplier shall immediately take all reasonable steps necessary to;
- remedy such breach or protect the Supplier ICT System against any such potential or attempted breach or threat; and
  - prevent an equivalent breach in the future.
- 17.21 Such steps shall include any action or changes reasonably required by the Contracting Authority. In the event that such action is taken in response to a breach that is determined by the Contracting Authority acting reasonably not to be covered by the obligations of the Supplier under the Agreement, then

the Supplier shall be entitled to refer the matter to the change control procedure.

17.22 As soon as reasonably practicable provide to the Contracting Authority full details (using such reporting mechanism as may be specified by the Contracting Authority from time to time) of such actual, potential or attempted breach and of the steps taken in respect thereof.

**ANNEX 2: SECURITY MANAGEMENT PLAN  
TO BE COMPLETED BY SUPPLIER**

## CALL OFF SCHEDULE 8: BUSINESS CONTINUITY AND DISASTER RECOVERY

### 1. DEFINITIONS

1.1 In this Call Off Schedule 8, the following definitions shall apply:

" <b>Business Continuity Plan</b> "	has the meaning given to it in paragraph 2.2.1(b) of this Call Off Schedule 8;
" <b>Disaster Recovery Plan</b> "	has the meaning given to it in 2.2.1(c) of this Call Off Schedule 8;
" <b>Disaster Recovery System</b> "	means the system embodied in the processes and procedures for restoring the provision of Goods and/or Services following the occurrence of a disaster;
" <b>Review Report</b> "	has the meaning given to it in paragraph 6.2 of this Call Off Schedule 8;
" <b>Supplier's Proposals</b> "	has the meaning given to it in paragraph 6.2.3 of this Call Off Schedule 8;

### 2. BCDR PLAN

2.1 Within thirty (30) Working Days from the Call Off Implementation Commencement Date the Supplier shall prepare and deliver to the Customer for the Customer's written approval a plan, which shall detail the processes and arrangements that the Supplier shall follow to:

2.1.1 ensure continuity of the business processes and operations supported by the Services following any failure or disruption of any element of the Goods and/or Services; and

2.1.2 the recovery of the Goods and/or Services in the event of a Disaster.

2.2 The BCDR Plan shall:

2.2.1 be divided into three parts:

- (a) Part A which shall set out general principles applicable to the BCDR Plan;
- (b) Part B which shall relate to business continuity (the "**Business Continuity Plan**"); and
- (c) Part C which shall relate to disaster recovery (the "**Disaster Recovery Plan**"); and

2.2.2 unless otherwise required by the Customer in writing, be based upon and be consistent with the provisions of paragraphs 3, 4 and 5.

2.3 Following receipt of the draft BCDR Plan from the Supplier, the Customer shall:

2.3.1 review and comment on the draft BCDR Plan as soon as reasonably practicable; and

2.3.2 notify the Supplier in writing that it approves or rejects the draft BCDR Plan no later than twenty (20) Working Days after the date on which the draft BCDR Plan is first delivered to the Customer.

2.4 If the Customer rejects the draft BCDR Plan:

- 2.4.1 the Customer shall inform the Supplier in writing of its reasons for its rejection; and
- 2.4.2 the Supplier shall then revise the draft BCDR Plan (taking reasonable account of the Customer's comments) and shall re-submit a revised draft BCDR Plan to the Customer for the Customer's approval within twenty (20) Working Days of the date of the Customer's notice of rejection. The provisions of paragraphs 2.3 and 2.4 of this Call Off Schedule 8 shall apply again to any resubmitted draft BCDR Plan, provided that either Party may refer any disputed matters for resolution by the Dispute Resolution Procedure at any time.

### **3. PART A OF THE BCDR PLAN AND GENERAL PRINCIPLES AND REQUIREMENTS**

- 3.1 Part A of the BCDR Plan shall:
- 3.1.1 set out how the business continuity and disaster recovery elements of the BCDR Plan link to each other;
- 3.1.2 provide details of how the invocation of any element of the BCDR Plan may impact upon the operation of the provision of the Goods and/or Services and any goods and/or services provided to the Customer by a Related Supplier;
- 3.1.3 contain an obligation upon the Supplier to liaise with the Customer and (at the Customer's request) any Related Suppliers with respect to issues concerning business continuity and disaster recovery where applicable;
- 3.1.4 detail how the BCDR Plan links and interoperates with any overarching and/or connected disaster recovery or business continuity plan of the Customer and any of its other Related Supplier in each case as notified to the Supplier by the Customer from time to time;
- 3.1.5 contain a communication strategy including details of an incident and problem management service and advice and help desk facility which can be accessed via multi-channels (including but without limitation a web-site (with FAQs), e-mail, phone and fax) for both portable and desk top configurations, where required by the Customer;
- 3.1.6 contain a risk analysis, including:
- (a) failure or disruption scenarios and assessments and estimates of frequency of occurrence;
  - (b) identification of any single points of failure within the provision of Goods and/or Services and processes for managing the risks arising therefrom;
  - (c) identification of risks arising from the interaction of the provision of Goods and/or Services and with the goods and/or services provided by a Related Supplier; and
  - (d) a business impact analysis (detailing the impact on business processes and operations) of different anticipated failures or disruptions;
- 3.1.7 provide for documentation of processes, including business processes, and procedures;
- 3.1.8 set out key contact details (including roles and responsibilities) for the Supplier (and any Sub-Contractors) and for the Customer;
- 3.1.9 identify the procedures for reverting to "normal service";

- 3.1.10 set out method(s) of recovering or updating data collected (or which ought to have been collected) during a failure or disruption to ensure that there is no more than the accepted amount of data loss and to preserve data integrity;
  - 3.1.11 identify the responsibilities (if any) that the Customer has agreed it will assume in the event of the invocation of the BCDR Plan; and
  - 3.1.12 provide for the provision of technical advice and assistance to key contacts at the Customer as notified by the Customer from time to time to inform decisions in support of the Customer's business continuity plans.
- 3.2 The BCDR Plan shall be designed so as to ensure that:
- 3.2.1 the Goods and/or Services are provided in accordance with this Call Off Contract at all times during and after the invocation of the BCDR Plan;
  - 3.2.2 the adverse impact of any Disaster, service failure, or disruption on the operations of the Customer is minimal as far as reasonably possible;
  - 3.2.3 it complies with the relevant provisions of ISO/IEC 27002 and all other industry standards from time to time in force; and
  - 3.2.4 there is a process for the management of disaster recovery testing detailed in the BCDR Plan.
- 3.3 The BCDR Plan shall be upgradeable and sufficiently flexible to support any changes to the Goods and/or Services or to the business processes facilitated by and the business operations supported by the provision of Goods and/or Services.
- 3.4 The Supplier shall not be entitled to any relief from its obligations under the Service Levels or to any increase in the Charges to the extent that a Disaster occurs as a consequence of any breach by the Supplier of this Call Off Contract.

#### 4. BUSINESS CONTINUITY PLAN - PRINCIPLES AND CONTENTS

- 4.1 The Business Continuity Plan shall set out the arrangements that are to be invoked to ensure that the business processes and operations facilitated by the provision of Goods and/or Services remain supported and to ensure continuity of the business operations supported by the Services including, unless the Customer expressly states otherwise in writing:
- 4.1.1 the alternative processes (including business processes), options and responsibilities that may be adopted in the event of a failure in or disruption to the provision of Goods and/or Services; and
  - 4.1.2 the steps to be taken by the Supplier upon resumption of the provision of Goods and/or Services in order to address any prevailing effect of the failure or disruption including a root cause analysis of the failure or disruption.
- 4.2 The Business Continuity Plan shall:
- 4.2.1 address the various possible levels of failures of or disruptions to the provision of Goods and/or Services;
  - 4.2.2 set out the goods and/or services to be provided and the steps to be taken to remedy the different levels of failures of and disruption to the Goods and/or Services (such goods and/or services and steps, the "**Business Continuity Goods and/or Services**");
  - 4.2.3 specify any applicable Service Levels with respect to the provision of the Business Continuity Services and details of any agreed relaxation to the Service

Levels in respect of the provision of other Goods and/or Services during any period of invocation of the Business Continuity Plan; and

- 4.2.4 clearly set out the conditions and/or circumstances under which the Business Continuity Plan is invoked.

## **5. DISASTER RECOVERY PLAN - PRINCIPLES AND CONTENTS**

5.1 The Disaster Recovery Plan shall be designed so as to ensure that upon the occurrence of a Disaster the Supplier ensures continuity of the business operations of the Customer supported by the Services following any Disaster or during any period of service failure or disruption with, as far as reasonably possible, minimal adverse impact.

5.2 The Disaster Recovery Plan shall be invoked only upon the occurrence of a Disaster.

5.3 The Disaster Recovery Plan shall include the following:

- 5.3.1 the technical design and build specification of the Disaster Recovery System;
- 5.3.2 details of the procedures and processes to be put in place by the Supplier in relation to the Disaster Recovery System and the provision of the Disaster Recovery Services and any testing of the same including but not limited to the following:
- (a) data centre and disaster recovery site audits;
  - (b) backup methodology and details of the Supplier's approach to data back-up and data verification;
  - (c) identification of all potential disaster scenarios;
  - (d) risk analysis;
  - (e) documentation of processes and procedures;
  - (f) hardware configuration details;
  - (g) network planning including details of all relevant data networks and communication links;
  - (h) invocation rules;
  - (i) Service recovery procedures; and
  - (j) steps to be taken upon resumption of the provision of Goods and/or Services to address any prevailing effect of the failure or disruption of the provision of Goods and/or Services;
- 5.3.3 any applicable Service Levels with respect to the provision of the Disaster Recovery Services and details of any agreed relaxation to the Service Levels in respect of the provision of other Goods and/or Services during any period of invocation of the Disaster Recovery Plan;
- 5.3.4 details of how the Supplier shall ensure compliance with security standards ensuring that compliance is maintained for any period during which the Disaster Recovery Plan is invoked;
- 5.3.5 access controls to any disaster recovery sites used by the Supplier in relation to its obligations pursuant to this Schedule 8; and
- 5.3.6 testing and management arrangements.

## **6. REVIEW AND AMENDMENT OF THE BCDR PLAN**

- 6.1 The Supplier shall review the BCDR Plan (and the risk analysis on which it is based):
- 6.1.1 on a regular basis and as a minimum once every six (6) months;
  - 6.1.2 within three calendar months of the BCDR Plan (or any part) having been invoked pursuant to paragraph 7; and
  - 6.1.3 where the Customer requests any additional reviews (over and above those provided for in paragraphs 6.1.1 and 6.1.2 of this Call Off Schedule 8) by notifying the Supplier to such effect in writing, whereupon the Supplier shall conduct such reviews in accordance with the Customer's written requirements. Prior to starting its review, the Supplier shall provide an accurate written estimate of the total costs payable by the Customer for the Customer's approval. The costs of both Parties of any such additional reviews shall be met by the Customer except that the Supplier shall not be entitled to charge the Customer for any costs that it may incur above any estimate without the Customer's prior written approval.
- 6.2 Each review of the BCDR Plan pursuant to paragraph 6.1 of this Call off Schedule 8 shall be a review of the procedures and methodologies set out in the BCDR Plan and shall assess their suitability having regard to any change to the Goods and/or Services or any underlying business processes and operations facilitated by or supported by the Services which have taken place since the later of the original approval of the BCDR Plan or the last review of the BCDR Plan and shall also have regard to any occurrence of any event since that date (or the likelihood of any such event taking place in the foreseeable future) which may increase the likelihood of the need to invoke the BCDR Plan. The review shall be completed by the Supplier within the period required by the BCDR Plan or, if no such period is required, within such period as the Customer shall reasonably require. The Supplier shall, within twenty (20) Working Days of the conclusion of each such review of the BCDR Plan, provide to the Customer a report (a "**Review Report**") setting out:
- 6.2.1 the findings of the review;
  - 6.2.2 any changes in the risk profile associated with the provision of Goods and/or Services; and
  - 6.2.3 the Supplier's proposals (the "**Supplier's Proposals**") for addressing any changes in the risk profile and its proposals for amendments to the BCDR Plan following the review detailing the impact (if any and to the extent that the Supplier can reasonably be expected to be aware of the same) that the implementation of such proposals may have on any goods, services or systems provided by a third party.
- 6.3 Following receipt of the Review Report and the Supplier's Proposals, the Customer shall:
- 6.3.1 review and comment on the Review Report and the Supplier's Proposals as soon as reasonably practicable; and
  - 6.3.2 notify the Supplier in writing that it approves or rejects the Review Report and the Supplier's Proposals no later than twenty (20) Working Days after the date on which they are first delivered to the Customer.
- 6.4 If the Customer rejects the Review Report and/or the Supplier's Proposals:
- 6.4.1 the Customer shall inform the Supplier in writing of its reasons for its rejection; and
  - 6.4.2 the Supplier shall then revise the Review Report and/or the Supplier's Proposals as the case may be (taking reasonable account of the Customer's comments and

carrying out any necessary actions in connection with the revision) and shall re-submit a revised Review Report and/or revised Supplier's Proposals to the Customer for the Customer's approval within twenty (20) Working Days of the date of the Customer's notice of rejection. The provisions of paragraphs 6.3 and 6.4 of this Call Off Schedule 8 shall apply again to any resubmitted Review Report and Supplier's Proposals, provided that either Party may refer any disputed matters for resolution by the Dispute Resolution Procedure at any time.

6.5 The Supplier shall as soon as is reasonably practicable after receiving the Customer's approval of the Supplier's Proposals (having regard to the significance of any risks highlighted in the Review Report) effect any change in its practices or procedures necessary so as to give effect to the Supplier's Proposals. Any such change shall be at the Supplier's expense unless it can be reasonably shown that the changes are required because of a material change to the risk profile of the Goods and/or Services.

## **7. TESTING OF THE BCDR PLAN**

7.1 The Supplier shall test the BCDR Plan on a regular basis (and in any event not less than once in every Contract Year). Subject to paragraph 7.2 of this Call Off Schedule 8, the Customer may require the Supplier to conduct additional tests of some or all aspects of the BCDR Plan at any time where the Customer considers it necessary, including where there has been any change to the Goods and/or Services or any underlying business processes, or on the occurrence of any event which may increase the likelihood of the need to implement the BCDR Plan.

7.2 If the Customer requires an additional test of the BCDR Plan, it shall give the Supplier written notice and the Supplier shall conduct the test in accordance with the Customer's requirements and the relevant provisions of the BCDR Plan. The Supplier's costs of the additional test shall be borne by the Customer unless the BCDR Plan fails the additional test in which case the Supplier's costs of that failed test shall be borne by the Supplier.

7.3 The Supplier shall undertake and manage testing of the BCDR Plan in full consultation with the Customer and shall liaise with the Customer in respect of the planning, performance, and review, of each test, and shall comply with the reasonable requirements of the Customer in this regard. Each test shall be carried out under the supervision of the Customer or its nominee.

7.4 The Supplier shall ensure that any use by it or any Sub-Contractor of "live" data in such testing is first approved with the Customer. Copies of live test data used in any such testing shall be (if so required by the Customer) destroyed or returned to the Customer on completion of the test.

7.5 The Supplier shall, within twenty (20) Working Days of the conclusion of each test, provide to the Customer a report setting out:

7.5.1 the outcome of the test;

7.5.2 any failures in the BCDR Plan (including the BCDR Plan's procedures) revealed by the test; and

7.5.3 the Supplier's proposals for remedying any such failures.

7.6 Following each test, the Supplier shall take all measures requested by the Customer, (including requests for the re-testing of the BCDR Plan) to remedy any failures in the BCDR Plan and such remedial activity and re-testing shall be completed by the Supplier, at no additional cost to the Customer, by the date reasonably required by the Customer and set out in such notice.

- 7.7 For the avoidance of doubt, the carrying out of a test of the BCDR Plan (including a test of the BCDR Plan's procedures) shall not relieve the Supplier of any of its obligations under this Call Off Contract.
- 7.8 The Supplier shall also perform a test of the BCDR Plan in the event of any major reconfiguration of the Goods and/or Services or as otherwise reasonably requested by the Customer.

## **8. INVOCATION OF THE BCDR PLAN**

- 8.1 In the event of a complete loss of service or in the event of a Disaster, the Supplier shall immediately invoke the BCDR Plan (and shall inform the Customer promptly of such invocation). In all other instances the Supplier shall invoke or test the BCDR Plan only with the prior consent of the Customer.

## CALL OFF SCHEDULE 9: EXIT MANAGEMENT

### 1. DEFINITIONS

1.1 In this Call Off Schedule 9, the following definitions shall apply:

<b>"Exclusive Assets"</b>	means those Supplier Assets used by the Supplier or a Key Sub-Contractor which are used exclusively in the provision of the Goods and/or Services;
<b>"Exit Information"</b>	has the meaning given to it in paragraph 4.1 of this Call Off Schedule 9;
<b>"Exit Manager"</b>	means the person appointed by each Party pursuant to paragraph 3.4 of this Call Off Schedule 9 for managing the Parties' respective obligations under this Call Off Schedule 9;
<b>"Net Book Value"</b>	means the net book value of the relevant Supplier Asset(s) calculated in accordance with the depreciation policy of the Supplier set out in the letter in the agreed form from the Supplier to the Customer of even date with this Call Off Contract;
<b>"Non-Exclusive Assets"</b>	means those Supplier Assets (if any) which are used by the Supplier or a Key Sub-Contractor in connection with the Goods and/or Services but which are also used by the Supplier or Key Sub-Contractor for other purposes;
<b>"Registers"</b>	means the register and configuration database referred to in paragraphs 3.1.1 and 3.1.2 of this Call Off Schedule 9;
<b>"Termination Assistance"</b>	means the activities to be performed by the Supplier pursuant to the Exit Plan, and any other assistance required by the Customer pursuant to the Termination Assistance Notice;
<b>"Termination Assistance Notice"</b>	has the meaning given to it in paragraph 6.1 of this Call Off Schedule 9;
<b>"Termination Assistance Period"</b>	means in relation to a Termination Assistance Notice, the period specified in the Termination Assistance Notice for which the Supplier is required to provide the Termination Assistance as such period may be extended pursuant to paragraph 6.2 of this Call Off Schedule 9;
<b>"Transferable Assets"</b>	means those of the Exclusive Assets which are capable of legal transfer to the Customer;
<b>"Transferable Contracts"</b>	means the Sub-Contracts, licences for

Supplier Background IPR, Project Specific IPR, licences for Third Party IPR or other agreements which are necessary to enable the Customer or any Replacement Supplier to provide the Goods and/or Services or the Replacement Goods and/or Replacement Services, including in relation to licences all relevant Documentation;

**“Transferring Assets”**

has the meaning given to it in paragraph 9.2.1 of this Call Off Schedule 9;

**"Transferring Contracts"**

has the meaning given to it in paragraph 9.2.3 of this Call Off Schedule 9.

## **2. INTRODUCTION**

2.1 This Call Off Schedule 9 describes provisions that should be included in the Exit Plan, the duties and responsibilities of the Supplier to the Customer leading up to and covering the Call Off Expiry Date and the transfer of service provision to the Customer and/or a Replacement Supplier.

2.2 The objectives of the exit planning and service transfer arrangements are to ensure a smooth transition of the availability of the Goods and/or Services from the Supplier to the Customer and/or a Replacement Supplier at the Call Off Expiry Date.

## **3. OBLIGATIONS DURING THE CALL OFF CONTRACT PERIOD TO FACILITATE EXIT**

3.1 During the Call Off Contract Period, the Supplier shall:

3.1.1 create and maintain a Register of all:

(a) Supplier Assets, detailing their:

(i) make, model and asset number;

(ii) ownership and status as either Exclusive Assets or Non-Exclusive Assets;

(iii) Net Book Value;

(iv) condition and physical location; and

(v) use (including technical specifications); and

(b) Sub-Contracts and other relevant agreements (including relevant software licences, maintenance and support agreements and equipment rental and lease agreements) required for the performance of the Goods and/or Services;

3.1.2 create and maintain a configuration database detailing the technical infrastructure and operating procedures through which the Supplier provides the Goods and/or Services, which shall contain sufficient detail to permit the Customer and/or Replacement Supplier to understand how the Supplier provides the Goods and/or Services and to enable the smooth transition of the Goods and/or Services with the minimum of disruption;

3.1.3 agree the format of the Registers with the Customer as part of the process of agreeing the Exit Plan; and

3.1.4 at all times keep the Registers up to date, in particular in the event that Assets, Sub-Contracts or other relevant agreements are added to or removed from the Goods and/or Services.

3.2 The Supplier shall:

3.2.1 procure that all Exclusive Assets listed in the Registers are clearly marked to identify that they are exclusively used for the provision of the Goods and/or Goods and/or Services under this Call Off Contract; and

3.2.2 (unless otherwise agreed by the Customer in writing) procure that all licences for Third Party IPR and all Sub-Contracts shall be assignable and/or capable of novation at the request of the Customer to the Customer (and/or its nominee) and/or any Replacement Supplier upon the Supplier ceasing to provide the Goods and/or Services (or part of them) without restriction (including any need to obtain any consent or approval) or payment by the Customer.

3.3 Where the Supplier is unable to procure that any Sub-Contract or other agreement referred to in paragraph 3.2.2 of this Call Off Schedule 9 which the Supplier proposes to enter into after the Call Off Commencement Date is assignable and/or capable of novation to the Customer (and/or its nominee) and/or any Replacement Supplier without restriction or payment, the Supplier shall promptly notify the Customer of this and the Parties shall (acting reasonably and without undue delay) discuss the appropriate action to be taken which, where the Customer so directs, may include the Supplier seeking an alternative Sub-Contractor or provider of goods and/or services to which the relevant agreement relates.

3.4 Each Party shall appoint a person for the purposes of managing the Parties' respective obligations under this Call Off Schedule 9 and provide written notification of such appointment to the other Party within three (3) months of the Call Off Commencement Date. The Supplier's Exit Manager shall be responsible for ensuring that the Supplier and its employees, agents and Sub-Contractors comply with this Call Off Schedule 9. The Supplier shall ensure that its Exit Manager has the requisite authority to arrange and procure any resources of the Supplier as are reasonably necessary to enable the Supplier to comply with the requirements set out in this Call Off Schedule 9. The Parties' Exit Managers will liaise with one another in relation to all issues relevant to the termination of this Call Off Contract and all matters connected with this Call Off Schedule 9 and each Party's compliance with it.

#### **4. OBLIGATIONS TO ASSIST ON RE-TENDERING OF GOODS AND/OR SERVICES**

4.1 On reasonable notice at any point during the Call Off Contract Period, the Supplier shall provide to the Customer and/or its potential Replacement Suppliers (subject to the potential Replacement Suppliers entering into reasonable written confidentiality undertakings), the following material and information in order to facilitate the preparation by the Customer of any invitation to tender and/or to facilitate any potential Replacement Suppliers undertaking due diligence:

4.1.1 details of the Service(s);

4.1.2 a copy of the Registers, updated by the Supplier up to the date of delivery of such Registers;

4.1.3 an inventory of Customer Data in the Supplier's possession or control;

4.1.4 details of any key terms of any third party contracts and licences, particularly as regards charges, termination, assignment and novation;

- 4.1.5 a list of on-going and/or threatened disputes in relation to the provision of the Goods and/or Services;
  - 4.1.6 all information relating to Transferring Supplier Employees or those who may be Transferring Supplier Employees' required to be provided by the Supplier under this Call Off Contract such information to include the Staffing Information as defined in Schedule 10 (Staff Transfer); and
  - 4.1.7 such other material and information as the Customer shall reasonably require, (together, the "**Exit Information**").
- 4.2 The Supplier acknowledges that the Customer may disclose the Supplier's Confidential Information to an actual or prospective Replacement Supplier or any third party whom the Customer is considering engaging to the extent that such disclosure is necessary in connection with such engagement (except that the Customer may not under this paragraph 4.2 of this Call Off Schedule 9 disclose any Supplier's Confidential Information which is information relating to the Supplier's or its Sub-Contractors' prices or costs).
- 4.3 The Supplier shall:
- 4.3.1 notify the Customer within five (5) Working Days of any material change to the Exit Information which may adversely impact upon the provision of any Goods and/or Services and shall consult with the Customer regarding such proposed material changes; and
  - 4.3.2 provide complete updates of the Exit Information on an as-requested basis as soon as reasonably practicable and in any event within ten (10) Working Days of a request in writing from the Customer.
- 4.4 The Supplier may charge the Customer for its reasonable additional costs to the extent the Customer requests more than four (4) updates in any six (6) month period.
- 4.5 The Exit Information shall be accurate and complete in all material respects and the level of detail to be provided by the Supplier shall be such as would be reasonably necessary to enable a third party to:
- 4.5.1 prepare an informed offer for those Goods and/or Services; and
  - 4.5.2 not be disadvantaged in any subsequent procurement process compared to the Supplier (if the Supplier is invited to participate).

## **5. EXIT PLAN**

- 5.1 The Supplier shall, within three (3) months after the Call Off Commencement Date, deliver to the Customer an Exit Plan which:
- 5.1.1 sets out the Supplier's proposed methodology for achieving an orderly transition of the Goods and/or Services from the Supplier to the Customer and/or its Replacement Supplier on the expiry or termination of this Call Off Contract;
  - 5.1.2 complies with the requirements set out in paragraph 5.3 of this Call Off Schedule 9;
  - 5.1.3 is otherwise reasonably satisfactory to the Customer.
- 5.2 The Parties shall use reasonable endeavours to agree the contents of the Exit Plan. If the Parties are unable to agree the contents of the Exit Plan within twenty (20) Working Days of its submission, then such Dispute shall be resolved in accordance with the Dispute Resolution Procedure.

- 5.3 Unless otherwise specified by the Customer or Approved, the Exit Plan shall set out, as a minimum:
- 5.3.1 how the Exit Information is obtained;
  - 5.3.2 the management structure to be employed during both transfer and cessation of the Goods and/or Services;
  - 5.3.3 the management structure to be employed during the Termination Assistance Period;
  - 5.3.4 a detailed description of both the transfer and cessation processes, including a timetable;
  - 5.3.5 how the Goods and/or Services will transfer to the Replacement Supplier and/or the Customer, including details of the processes, documentation, data transfer, systems migration, security and the segregation of the Customer's technology components from any technology components operated by the Supplier or its Sub-Contractors (where applicable);
  - 5.3.6 details of contracts (if any) which will be available for transfer to the Customer and/or the Replacement Supplier upon the Call Off Expiry Date together with any reasonable costs required to effect such transfer (and the Supplier agrees that all assets and contracts used by the Supplier in connection with the provision of the Goods and/or Services will be available for such transfer);
  - 5.3.7 proposals for the training of key members of the Replacement Supplier's personnel in connection with the continuation of the provision of the Goods and/or Services following the Call Off Expiry Date charged at rates agreed between the Parties at that time;
  - 5.3.8 proposals for providing the Customer or a Replacement Supplier copies of all documentation:
    - (a) used in the provision of the Goods and/or Services and necessarily required for the continued use thereof, in which the Intellectual Property Rights are owned by the Supplier; and
    - (b) relating to the use and operation of the Goods and/or Services;
  - 5.3.9 proposals for the assignment or novation of the provision of all services, leases, maintenance agreements and support agreements utilised by the Supplier in connection with the performance of the supply of the Goods and/or Services;
  - 5.3.10 proposals for the identification and return of all Customer Property in the possession of and/or control of the Supplier or any third party (including any Sub-Contractor);
  - 5.3.11 proposals for the disposal of any redundant Goods and/or Services and materials;
  - 5.3.12 procedures to:
    - (a) deal with requests made by the Customer and/or a Replacement Supplier for Staffing Information pursuant to Call Off Schedule 10 (Staff Transfer);
    - (b) determine which Supplier Personnel are or are likely to become Transferring Supplier Employees; and
    - (c) identify or develop any measures for the purpose of the Employment Regulations envisaged in respect of Transferring Supplier Employees;

- 5.3.13 how each of the issues set out in this Call Off Schedule 9 will be addressed to facilitate the transition of the Goods and/or Services from the Supplier to the Replacement Supplier and/or the Customer with the aim of ensuring that there is no disruption to or degradation of the Goods and/or Services during the Termination Assistance Period; and
- 5.3.14 proposals for the supply of any other information or assistance reasonably required by the Customer or a Replacement Supplier in order to effect an orderly handover of the provision of the Goods and/or Services.

## 6. TERMINATION ASSISTANCE

- 6.1 The Customer shall be entitled to require the provision of Termination Assistance at any time during the Call Off Contract Period by giving written notice to the Supplier (a "**Termination Assistance Notice**") at least four (4) months prior to the Call Off Expiry Date or as soon as reasonably practicable (but in any event, not later than one (1) month) following the service by either Party of a Termination Notice. The Termination Assistance Notice shall specify:
- 6.1.1 the date from which Termination Assistance is required;
- 6.1.2 the nature of the Termination Assistance required; and
- 6.1.3 the period during which it is anticipated that Termination Assistance will be required, which shall continue no longer than twelve (12) months after the date that the Supplier ceases to provide the Goods and/or Services.
- 6.2 The Customer shall have an option to extend the Termination Assistance Period beyond the period specified in the Termination Assistance Notice provided that such extension shall not extend for more than six (6) months after the date the Supplier ceases to provide the Goods and/or Services or, if applicable, beyond the end of the Termination Assistance Period and provided that it shall notify the Supplier to such effect no later than twenty (20) Working Days prior to the date on which the provision of Termination Assistance is otherwise due to expire. The Customer shall have the right to terminate its requirement for Termination Assistance by serving not less than (20) Working Days' written notice upon the Supplier to such effect.

## 7. TERMINATION ASSISTANCE PERIOD

- 7.1 Throughout the Termination Assistance Period, or such shorter period as the Customer may require, the Supplier shall:
- 7.1.1 continue to provide the Goods and/or Services (as applicable) and, if required by the Customer pursuant to paragraph 6.1 of this Call Off Schedule 9, provide the Termination Assistance;
- 7.1.2 in addition to providing the Goods and/or Services and the Termination Assistance, provide to the Customer any reasonable assistance requested by the Customer to allow the Goods and/or Services to continue without interruption following the termination or expiry of this Call Off Contract and to facilitate the orderly transfer of responsibility for and conduct of the Goods and/or Services to the Customer and/or its Replacement Supplier;
- 7.1.3 use all reasonable endeavours to reallocate resources to provide such assistance as is referred to in paragraph 7.1.2 of this Call Off Schedule 9 without additional costs to the Customer;

- 7.1.4 provide the Goods and/or Services and the Termination Assistance at no detriment to the Service Level Performance Measures, save to the extent that the Parties agree otherwise in accordance with paragraph 7.3; and
- 7.1.5 at the Customer's request and on reasonable notice, deliver up-to-date Registers to the Customer.
- 7.2 Without prejudice to the Supplier's obligations under paragraph 7.1.3 of this Call Off Schedule 9, if it is not possible for the Supplier to reallocate resources to provide such assistance as is referred to in paragraph 7.1.2 of this Call Off Schedule 9 without additional costs to the Customer, any additional costs incurred by the Supplier in providing such reasonable assistance which is not already in the scope of the Termination Assistance or the Exit Plan shall be subject to the Variation Procedure.
- 7.3 If the Supplier demonstrates to the Customer's reasonable satisfaction that transition of the Goods and/or Services and provision of the Termination Assist during the Termination Assistance Period will have a material, unavoidable adverse effect on the Supplier's ability to meet one or more particular Service Level Performance Measure(s), the Parties shall vary the relevant Service Level Performance Measure(s) and/or the applicable Service Credits to take account of such adverse effect.

## **8. TERMINATION OBLIGATIONS**

- 8.1 The Supplier shall comply with all of its obligations contained in the Exit Plan.
- 8.2 Upon termination or expiry (as the case may be) or at the end of the Termination Assistance Period (or earlier if this does not adversely affect the Supplier's performance of the Goods and/or Services and the Termination Assistance and its compliance with the other provisions of this Call Off Schedule 9), the Supplier shall:
- 8.2.1 cease to use the Customer Data;
- 8.2.2 provide the Customer and/or the Replacement Supplier with a complete and uncorrupted version of the Customer Data in electronic form (or such other format as reasonably required by the Customer);
- 8.2.3 erase from any computers, storage devices and storage media that are to be retained by the Supplier after the end of the Termination Assistance Period all Customer Data and promptly certify to the Customer that it has completed such deletion;
- 8.2.4 return to the Customer such of the following as is in the Supplier's possession or control:
- (a) all materials created by the Supplier under this Call Off Contract in which the IPRs are owned by the Customer;
  - (b) any equipment which belongs to the Customer;
  - (c) any items that have been on-charged to the Customer, such as consumables; and
  - (d) all Customer Property issued to the Supplier under Clause 31 of this Call Off Contract (Customer Property). Such Customer Property shall be handed back to the Customer in good working order (allowance shall be made only for reasonable wear and tear);

- (e) any sums prepaid by the Customer in respect of Goods and/or Services not Delivered by the Call Off Expiry Date;
- 8.2.5 vacate any Customer Premises;
- 8.2.6 remove the Supplier Equipment together with any other materials used by the Supplier to supply the Goods and/or Services and shall leave the Sites in a clean, safe and tidy condition. The Supplier is solely responsible for making good any damage to the Sites or any objects contained thereon, other than fair wear and tear, which is caused by the Supplier and/or any Supplier Personnel;
- 8.2.7 provide access during normal working hours to the Customer and/or the Replacement Supplier for up to twelve (12) months after expiry or termination to:
  - (a) such information relating to the Goods and/or Services as remains in the possession or control of the Supplier; and
  - (b) such members of the Supplier Personnel as have been involved in the design, development and provision of the Goods and/or Services and who are still employed by the Supplier, provided that the Customer and/or the Replacement Supplier shall pay the reasonable costs of the Supplier actually incurred in responding to requests for access under this paragraph.
- 8.3 Upon termination or expiry (as the case may be) or at the end of the Termination Assistance Period (or earlier if this does not adversely affect the Supplier's performance of the Goods and/or Services and the Termination Assistance and its compliance with the other provisions of this Call Off Schedule 9), each Party shall return to the other Party (or if requested, destroy or delete) all Confidential Information of the other Party and shall certify that it does not retain the other Party's Confidential Information save to the extent (and for the limited period) that such information needs to be retained by the Party in question for the purposes of providing or receiving any Goods and/or Services or termination services or for statutory compliance purposes.
- 8.4 Except where this Call Off Contract provides otherwise, all licences, leases and authorisations granted by the Customer to the Supplier in relation to the Goods and/or Services shall be terminated with effect from the end of the Termination Assistance Period.

## 9. ASSETS AND SUB-CONTRACTS

- 9.1 Following notice of termination of this Call Off Contract and during the Termination Assistance Period, the Supplier shall not, without the Customer's prior written consent:
  - 9.1.1 terminate, enter into or vary any Sub-Contract;
  - 9.1.2 (subject to normal maintenance requirements) make material modifications to, or dispose of, any existing Supplier Assets or acquire any new Supplier Assets; or
  - 9.1.3 terminate, enter into or vary any licence for software in connection with the provision of Goods and/or Services.
- 9.2 Within twenty (20) Working Days of receipt of the up-to-date Registers provided by the Supplier pursuant to paragraph 7.1.5 of this Call Off Schedule 9, the Customer shall provide written notice to the Supplier setting out:
  - 9.2.1 which, if any, of the Transferable Assets the Customer requires to be transferred to the Customer and/or the Replacement Supplier ("**Transferring Assets**");

- 9.2.2 which, if any, of:
- (a) the Exclusive Assets that are not Transferable Assets; and
  - (b) the Non-Exclusive Assets,
- the Customer and/or the Replacement Supplier requires the continued use of; and
- 9.2.3 which, if any, of Transferable Contracts the Customer requires to be assigned or novated to the Customer and/or the Replacement Supplier (the “**Transferring Contracts**”),
- in order for the Customer and/or its Replacement Supplier to provide the Goods and/or Services from the expiry of the Termination Assistance Period. Where requested by the Customer and/or its Replacement Supplier, the Supplier shall provide all reasonable assistance to the Customer and/or its Replacement Supplier to enable it to determine which Transferable Assets and Transferable Contracts the Customer and/or its Replacement Supplier requires to provide the Goods and/or Services or the Replacement Goods and/or Replacement Services.
- 9.3 With effect from the expiry of the Termination Assistance Period, the Supplier shall sell the Transferring Assets to the Customer and/or its nominated Replacement Supplier for a consideration equal to their Net Book Value, except where the cost of the Transferring Asset has been partially or fully paid for through the Call Off Contract Charges at the Call Off expiry Date, in which case the Customer shall pay the Supplier the Net Book Value of the Transferring Asset less the amount already paid through the Call Off Contract Charges.
- 9.4 Risk in the Transferring Assets shall pass to the Customer or the Replacement Supplier (as appropriate) at the end of the Termination Assistance Period and title to the Transferring Assets shall pass to the Customer or the Replacement Supplier (as appropriate) on payment for the same.
- 9.5 Where the Supplier is notified in accordance with paragraph 9.2.2 of this Call Off Schedule 9 that the Customer and/or the Replacement Supplier requires continued use of any Exclusive Assets that are not Transferable Assets or any Non-Exclusive Assets, the Supplier shall as soon as reasonably practicable:
- 9.5.1 procure a non-exclusive, perpetual, royalty-free licence (or licence on such other terms that have been agreed by the Customer) for the Customer and/or the Replacement Supplier to use such assets (with a right of sub-licence or assignment on the same terms); or failing which
  - 9.5.2 procure a suitable alternative to such assets and the Customer or the Replacement Supplier shall bear the reasonable proven costs of procuring the same.
- 9.6 The Supplier shall as soon as reasonably practicable assign or procure the novation to the Customer and/or the Replacement Supplier of the Transferring Contracts. The Supplier shall execute such documents and provide such other assistance as the Customer reasonably requires to effect this novation or assignment.
- 9.7 The Customer shall:
- 9.7.1 accept assignments from the Supplier or join with the Supplier in procuring a novation of each Transferring Contract; and
  - 9.7.2 once a Transferring Contract is novated or assigned to the Customer and/or the Replacement Supplier, carry out, perform and discharge all the obligations and liabilities created by or arising under that Transferring Contract and exercise its rights

arising under that Transferring Contract, or as applicable, procure that the Replacement Supplier does the same.

9.8 The Supplier shall hold any Transferring Contracts on trust for the Customer until such time as the transfer of the relevant Transferring Contract to the Customer and/or the Replacement Supplier has been effected.

9.9 The Supplier shall indemnify the Customer (and/or the Replacement Supplier, as applicable) against each loss, liability and cost arising out of any claims made by a counterparty to a Transferring Contract which is assigned or novated to the Customer (and/or Replacement Supplier) pursuant to paragraph 9.6 of this Call Off Schedule 9 in relation to any matters arising prior to the date of assignment or novation of such Transferring Contract.

## **10. SUPPLIER PERSONNEL**

10.1 The Customer and Supplier agree and acknowledge that in the event of the Supplier ceasing to provide the Goods and/or Services or part of them for any reason, Call Off Schedule 10 (Staff Transfer) shall apply.

10.2 The Supplier shall not and shall procure that any relevant Sub-Contractor shall not take any step (expressly or implicitly and directly or indirectly by itself or through any other person) without the prior written consent of the Customer to dissuade or discourage any employees engaged in the provision of the Goods and/or Services from transferring their employment to the Customer and/or the Replacement Supplier and/or Replacement Sub-Contractor.

10.3 During the Termination Assistance Period, the Supplier shall and shall procure that any relevant Sub-Contractor shall:

10.3.1 give the Customer and/or the Replacement Supplier and/or Replacement Sub-Contractor reasonable access to the Supplier's personnel and/or their consultation representatives to present the case for transferring their employment to the Customer and/or the Replacement Supplier and/or to discuss or consult on any measures envisaged by the Customer, Replacement Supplier and/or Replacement Sub-Contractor in respect of persons expected to be Transferring Supplier Employees;

10.3.2 co-operate with the Customer and the Replacement Supplier to ensure an effective consultation process and smooth transfer in respect of Transferring Supplier Employees in line with good employee relations and the effective continuity of the Services.

10.4 The Supplier shall immediately notify the Customer or, at the direction of the Customer, the Replacement Supplier of any period of notice given by the Supplier or received from any person referred to in the Staffing Information, regardless of when such notice takes effect.

10.5 The Supplier shall not for a period of twelve (12) months from the date of transfer re-employ or re-engage or entice any employees, suppliers or Sub-Contractors whose employment or engagement is transferred to the Customer and/or the Replacement Supplier except that this paragraph 10.5 shall not apply where an offer is made pursuant to an express right to make such offer under Call Off Schedule 10.1 (Staff Transfer) in respect of a Transferring Supplier Employee not identified in the Supplier's Final Supplier Personnel List.

## **11. CHARGES**

11.1 Except as otherwise expressly specified in this Call Off Contract, the Supplier shall not make any charges for the services provided by the Supplier pursuant to,

and the Customer shall not be obliged to pay for costs incurred by the Supplier in relation to its compliance with, this Call Off Schedule 9 including the preparation and implementation of the Exit Plan, the Termination Assistance and any activities mutually agreed between the Parties to carry on after the expiry of the Termination Assistance Period.

## **12. APPORTIONMENTS**

12.1 All outgoings and expenses (including any remuneration due) and all rents, royalties and other periodical payments receivable in respect of the Transferring Assets and Transferring Contracts shall be apportioned between the Customer and the Supplier and/or the Replacement Supplier and the Supplier (as applicable) as follows:

- 12.1.1 the amounts shall be annualised and divided by 365 to reach a daily rate;
  - 12.1.2 the Customer shall be responsible for (or shall procure that the Replacement Supplier shall be responsible for) or entitled to (as the case may be) that part of the value of the invoice pro rata to the number of complete days following the transfer, multiplied by the daily rate; and
  - 12.1.3 the Supplier shall be responsible for or entitled to (as the case may be) the rest of the invoice.
- 12.2 Each Party shall pay (and/or the Customer shall procure that the Replacement Supplier shall pay) any monies due under paragraph 12.1 of this Call Off Schedule 9 as soon as reasonably practicable.

## CALL OFF SCHEDULE 10: STAFF TRANSFER

### 1. DEFINITIONS

In this Call Off Schedule 10, the following definitions shall apply:

<b>“Admission Agreement”</b>	An admission agreement in the form available on the Civil Service Pensions website immediately prior to the Relevant Transfer Date to be entered into by the Supplier where it agrees to participate in the Schemes in respect of the Services;
<b>“Eligible Employee”</b>	any Fair Deal Employee who at the relevant time is an eligible employee as defined in the Admission Agreement;
<b>“Fair Deal Employees”</b>	those Transferring Customer Employees who are on the Relevant Transfer Date entitled to the protection of New Fair Deal (and, in the event that Part B of this Call Off Schedule 10 applies, any Transferring Former Supplier Employees who originally transferred pursuant to a Relevant Transfer under the Employment Regulations (or the predecessor legislation to the Employment Regulations), from employment with a public sector employer and who were once eligible to participate in the Schemes and who at the Relevant Transfer Date become entitled to the protection of New Fair Deal);
<b>“Former Supplier”</b>	a supplier supplying services to the Customer before the Relevant Transfer Date that are the same as or substantially similar to the Services (or any part of the Services) and shall include any sub-contractor of such supplier (or any sub-contractor of any such sub-contractor);
<b>“New Fair Deal”</b>	the revised Fair Deal position set out in the HM Treasury guidance: <i>“Fair Deal for staff pensions: staff transfer from central government”</i> issued in October 2013 including any amendments to that document immediately prior to the Relevant Transfer Date;
<b>“Notified Sub-Contractor”</b>	a Sub-Contractor identified in the Annex to this Call Off Schedule 10 to whom Transferring Customer Employees and/or Transferring Former Supplier Employees will transfer on a Relevant Transfer Date;
<b>“Replacement Sub-Contractor”</b>	a sub-contractor of the Replacement Supplier to whom Transferring Supplier Employees will transfer on a Service Transfer Date (or any sub-contractor of any such sub-contractor);
<b>“Relevant Transfer”</b>	a transfer of employment to which the Employment Regulations applies;
<b>“Relevant Transfer Date”</b>	in relation to a Relevant Transfer, the date upon which the

Relevant Transfer takes place;

**“Schemes”**

the Principal Civil Service Pension Scheme available to Civil Servants and employees of bodies under Schedule 1 of the Superannuation Act 1972 (and eligible employees of other bodies admitted to participate under a determination under section 25 of the Public Service Pensions Act 2013), as governed by rules adopted by Parliament; the Partnership Pension Account and its (i) Ill health Benefits Scheme and (ii) Death Benefits Scheme; the Civil Service Additional Voluntary Contribution Scheme; and the Designated Stakeholder Pension Scheme and “alpha” introduced under The Public Service (Civil Servants and Others) Pensions Regulations 2014;

**“Service Transfer”**

any transfer of the Services (or any part of the Services), for whatever reason, from the Supplier or any Sub-Contractor to a Replacement Supplier or a Replacement Sub-Contractor;

**“Service Transfer Date”**

the date of a Service Transfer or, if more than one, the date of the relevant Service Transfer as the context requires;

**“Staffing Information”**

in relation to all persons identified on the Supplier's Provisional Supplier Personnel List or Supplier's Final Supplier Personnel List, as the case may be, such information as the Customer may reasonably request (subject to all applicable provisions of the DPA), but including in an anonymised format:

- (a) their ages, dates of commencement of employment or engagement, gender and place of work;
- (b) details of whether they are employed, self employed contractors or consultants, agency workers or otherwise;
- (c) the identity of the employer or relevant contracting party;
- (d) their relevant contractual notice periods and any other terms relating to termination of employment, including redundancy procedures, and redundancy payments;
- (e) their wages, salaries, bonuses and profit sharing arrangements as applicable;
- (f) details of other employment-related benefits, including (without limitation) medical insurance, life assurance, pension or other retirement benefit schemes, share option schemes and company car schedules applicable to them;
- (g) any outstanding or potential contractual, statutory or other liabilities in respect of such individuals

(including in respect of personal injury claims);

- (h) details of any such individuals on long term sickness absence, parental leave, maternity leave or other authorised long term absence;
- (i) copies of all relevant documents and materials relating to such information, including copies of relevant contracts of employment (or relevant standard contracts if applied generally in respect of such employees); and
- (j) any other “employee liability information” as such term is defined in regulation 11 of the Employment Regulations;

**“Supplier’s Final Supplier Personnel List”**

a list provided by the Supplier of all Supplier Personnel who will transfer under the Employment Regulations on the Service Transfer Date;

**“Supplier’s Provisional Supplier Personnel List”**

a list prepared and updated by the Supplier of all Supplier Personnel who are at the date of the list wholly or mainly engaged in or assigned to the provision of the Services or any relevant part of the Services which it is envisaged as at the date of such list will no longer be provided by the Supplier;

**“Transferring Customer Employees”**

those employees of the Customer to whom the Employment Regulations will apply on the Relevant Transfer Date;

**“Transferring Former Supplier Employees”**

in relation to a Former Supplier, those employees of the Former Supplier to whom the Employment Regulations will apply on the Relevant Transfer Date; and

**“Transferring Supplier Employees”**

those employees of the Supplier and/or the Supplier’s Sub-Contractors to whom the Employment Regulations will apply on the Service Transfer Date.

**2. INTERPRETATION**

Where a provision in this Call Off Schedule 10 imposes an obligation on the Supplier to provide an indemnity, undertaking or warranty, the Supplier shall procure that each of its Sub-Contractors shall comply with such obligation and provide such indemnity, undertaking or warranty to the Customer, Former Supplier, Replacement Supplier or Replacement Sub-Contractor, as the case may be.

## **PART A**

### **TRANSFERRING CUSTOMER EMPLOYEES AT COMMENCEMENT OF SERVICES**

#### **1. RELEVANT TRANSFERS**

1.1 The Customer and the Supplier agree that:

1.1.1 the commencement of the provision of the Services or of each relevant part of the Services will be a Relevant Transfer in relation to the Transferring Customer Employees; and

1.1.2 as a result of the operation of the Employment Regulations, the contracts of employment between the Customer and the Transferring Customer Employees (except in relation to any terms disapplied through operation of regulation 10(2) of the Employment Regulations) will have effect on and from the Relevant Transfer Date as if originally made between the Supplier and/or any Notified Sub-Contractor and each such Transferring Customer Employee.

1.2 The Customer shall comply with all its obligations under the Employment Regulations and shall perform and discharge all its obligations in respect of the Transferring Customer Employees in respect of the period arising up to (but not including) the Relevant Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions which in any case are attributable in whole or in part to the period up to (but not including) the Relevant Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between: (i) the Customer; and (ii) the Supplier and/or any Notified Sub-Contractor (as appropriate).

#### **2. CUSTOMER INDEMNITIES**

2.1 Subject to Paragraph 2.2, the Customer shall indemnify the Supplier and any Notified Sub-Contractor against any Employee Liabilities arising from or as a result of:

2.1.1 any act or omission by the Customer in respect of any Transferring Customer Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Customer Employee occurring before the Relevant Transfer Date;

2.1.2 the breach or non-observance by the Customer before the Relevant Transfer Date of:

(a) any collective agreement applicable to the Transferring Customer Employees; and/or

(b) any custom or practice in respect of any Transferring Customer Employees which the Customer is contractually bound to honour;

2.1.3 any claim by any trade union or other body or person representing the Transferring Customer Employees arising from or connected with any failure by the Customer to comply with any legal obligation to such trade union, body or person arising before the Relevant Transfer Date;

2.1.4 any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:

- (a) in relation to any Transferring Customer Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising before the Relevant Transfer Date; and
  - (b) in relation to any employee who is not a Transferring Customer Employee and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Customer to the Supplier and/or any Notified Sub-Contractor as appropriate, to the extent that the proceeding, claim or demand by the HMRC or other statutory authority relates to financial obligations arising before the Relevant Transfer Date.
- 2.1.5 a failure of the Customer to discharge, or procure the discharge of, all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Customer Employees arising before the Relevant Transfer Date;
- 2.1.6 any claim made by or in respect of any person employed or formerly employed by the Customer other than a Transferring Customer Employee for whom it is alleged the Supplier and/or any Notified Sub-Contractor as appropriate may be liable by virtue of the Employment Regulations and/or the Acquired Rights Directive; and
- 2.1.7 any claim made by or in respect of a Transferring Customer Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Customer Employee relating to any act or omission of the Customer in relation to its obligations under regulation 13 of the Employment Regulations, except to the extent that the liability arises from the failure by the Supplier or any Sub-Contractor to comply with regulation 13(4) of the Employment Regulations.
- 2.2 The indemnities in Paragraph 2.1 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Supplier or any Sub-Contractor (whether or not a Notified Sub-Contractor) whether occurring or having its origin before, on or after the Relevant Transfer Date including any Employee Liabilities:
  - 2.2.1 arising out of the resignation of any Transferring Customer Employee before the Relevant Transfer Date on account of substantial detrimental changes to his/her working conditions proposed by the Supplier and/or any Sub-Contractor to occur in the period from (and including) the Relevant Transfer Date; or
  - 2.2.2 arising from the failure by the Supplier or any Sub-Contractor to comply with its obligations under the Employment Regulations.
- 2.3 If any person who is not identified by the Customer as a Transferring Customer Employee claims, or it is determined in relation to any person who is not identified by the Customer as a Transferring Customer Employee, that his/her contract of employment has been transferred from the Customer to the Supplier and/or any Notified Sub-Contractor pursuant to the Employment Regulations or the Acquired Rights Directive then:
  - 2.3.1 the Supplier shall, or shall procure that the Notified Sub-Contractor shall, within 5 Working Days of becoming aware of that fact, give notice in writing to the Customer; and
  - 2.3.2 the Customer may offer (or may procure that a third party may offer) employment to such person within 15 Working Days of receipt of the notification by the Supplier and/or any Notified Sub-Contractor, or take such other reasonable steps as the

Customer considers appropriate to deal with the matter provided always that such steps are in compliance with Law.

- 2.4 If an offer referred to in Paragraph 2.3.2 is accepted, or if the situation has otherwise been resolved by the Customer, the Supplier shall, or shall procure that the Notified Sub-Contractor shall, immediately release the person from his/her employment or alleged employment.
- 2.5 If by the end of the 15 Working Day period specified in Paragraph 2.3.2:
- 2.5.1 no such offer of employment has been made;
- 2.5.2 such offer has been made but not accepted; or
- 2.5.3 the situation has not otherwise been resolved,
- the Supplier and/or any Notified Sub-Contractor may within 5 Working Days give notice to terminate the employment or alleged employment of such person.
- 2.6 Subject to the Supplier and/or any Notified Sub-Contractor acting in accordance with the provisions of Paragraphs 2.3 to 2.5 and in accordance with all applicable proper employment procedures set out in applicable Law, the Customer shall indemnify the Supplier and/or any Notified Sub-Contractor (as appropriate) against all Employee Liabilities arising out of the termination of employment pursuant to the provisions of Paragraph 2.5 provided that the Supplier takes, or procures that the Notified Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities.
- 2.7 The indemnity in Paragraph 2.6:
- 2.7.1 shall not apply to:
- (a) any claim for:
- (i) discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief; or
- (ii) equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees,
- in any case in relation to any alleged act or omission of the Supplier and/or any Sub-Contractor; or
- (b) any claim that the termination of employment was unfair because the Supplier and/or Notified Sub-Contractor neglected to follow a fair dismissal procedure; and
- 2.7.2 shall apply only where the notification referred to in Paragraph 2.3.1 is made by the Supplier and/or any Notified Sub-Contractor (as appropriate) to the Customer within 6 months of the Call Off Commencement Date.
- 2.8 If any such person as is referred to in Paragraph 2.3 is neither re-employed by the Customer nor dismissed by the Supplier and/or any Notified Sub-Contractor within the time scales set out in Paragraph 2.5 such person shall be treated as having transferred to the Supplier and/or any Notified Sub-Contractor and the Supplier shall, or shall procure that the Notified Sub-Contractor shall, comply with such obligations as may be imposed upon it under applicable Law.

### **3. SUPPLIER INDEMNITIES AND OBLIGATIONS**

- 3.1 Subject to Paragraph 3.2 the Supplier shall indemnify the Customer against any Employee Liabilities arising from or as a result of:
- 3.1.1 any act or omission by the Supplier or any Sub-Contractor in respect of any Transferring Customer Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Customer Employee whether occurring before, on or after the Relevant Transfer Date;
  - 3.1.2 the breach or non-observance by the Supplier or any Sub-Contractor on or after the Relevant Transfer Date of:
    - (a) any collective agreement applicable to the Transferring Customer Employees; and/or
    - (b) any custom or practice in respect of any Transferring Customer Employees which the Supplier or any Sub-Contractor is contractually bound to honour;
  - 3.1.3 any claim by any trade union or other body or person representing any Transferring Customer Employees arising from or connected with any failure by the Supplier or any Sub-Contractor to comply with any legal obligation to such trade union, body or person arising on or after the Relevant Transfer Date;
  - 3.1.4 any proposal by the Supplier or a Sub-contractor made before the Relevant Transfer Date to make changes to the terms and conditions of employment or working conditions of any Transferring Customer Employees to their material detriment on or after their transfer to the Supplier or the relevant Sub-Contractor (as the case may be) on the Relevant Transfer Date, or to change the terms and conditions of employment or working conditions of any person who would have been a Transferring Customer Employee but for their resignation (or decision to treat their employment as terminated under regulation 4(9) of the Employment Regulations) before the Relevant Transfer Date as a result of or for a reason connected to such proposed changes;
  - 3.1.5 any statement communicated to or action undertaken by the Supplier or any Sub-Contractor to, or in respect of, any Transferring Customer Employee before the Relevant Transfer Date regarding the Relevant Transfer which has not been agreed in advance with the Customer in writing;
  - 3.1.6 any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:
    - (a) in relation to any Transferring Customer Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on or after the Relevant Transfer Date; and
    - (b) in relation to any employee who is not a Transferring Customer Employee, and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Customer to the Supplier or a Sub-Contractor, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on or after the Relevant Transfer Date;
  - 3.1.7 a failure of the Supplier or any Sub-Contractor to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions

and national insurance contributions relating to the Transferring Customer Employees in respect of the period from (and including) the Relevant Transfer Date;

- 3.1.8 any claim made by or in respect of a Transferring Customer Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Customer Employee relating to any act or omission of the Supplier or any Sub-Contractor in relation to their obligations under regulation 13 of the Employment Regulations, except to the extent that the liability arises from the Customer's failure to comply with its obligations under regulation 13 of the Employment Regulations; and
- 3.1.9 a failure by the Supplier or any Sub-Contractor to comply with its obligations under Paragraph 2.8 above.
- 3.2 The indemnities in Paragraph 3.1 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Customer whether occurring or having its origin before, on or after the Relevant Transfer Date including, without limitation, any Employee Liabilities arising from the Customer's failure to comply with its obligations under the Employment Regulations.
- 3.3 The Supplier shall comply, and shall procure that each Sub-Contractor shall comply, with all its obligations under the Employment Regulations (including its obligation to inform and consult in accordance with regulation 13 of the Employment Regulations) and shall perform and discharge, and shall procure that each Sub-Contractor shall perform and discharge, all its obligations in respect of the Transferring Customer Employees, from (and including) the Relevant Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions and any other sums due under the Admission Agreement which in any case are attributable in whole or in part to the period from and including the Relevant Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between the Customer and the Supplier.

#### **4. INFORMATION**

The Supplier shall, and shall procure that each Sub-Contractor shall, promptly provide to the Customer in writing such information as is necessary to enable the Customer to carry out its duties under regulation 13 of the Employment Regulations. The Customer shall promptly provide to the Supplier and each Notified Sub-Contractor in writing such information as is necessary to enable the Supplier and each Notified Sub-Contractor to carry out their respective duties under regulation 13 of the Employment Regulations.

#### **5. PRINCIPLES OF GOOD EMPLOYMENT PRACTICE**

- 5.1 The Parties agree that the Principles of Good Employment Practice issued by the Cabinet Office in December 2010 apply to the treatment by the Supplier of employees whose employment begins after the Relevant Transfer Date, and the Supplier undertakes to treat such employees in accordance with the provisions of the Principles of Good Employment Practice.
- 5.2 The Supplier shall, and shall procure that each Sub-Contractor shall, comply with any requirement notified to it by the Customer relating to pensions in respect of any Transferring Customer Employee as set down in:
- 5.2.1 the Cabinet Office Statement of Practice on Staff Transfers in the Public Sector of January 2000, revised 2007;

- 5.2.2 HM Treasury's guidance "Staff Transfers from Central Government: A Fair Deal for Staff Pensions of 1999;
  - 5.2.3 HM Treasury's guidance "Fair deal for staff pensions: procurement of Bulk Transfer Agreements and Related Issues" of June 2004; and/or
  - 5.2.4 the New Fair Deal.
- 5.3 Any changes embodied in any statement of practice, paper or other guidance that replaces any of the documentation referred to in Paragraphs 5.1 or 5.2 shall be agreed in accordance with the Variation Procedure.

## **6. PENSIONS**

The Supplier shall, and/or shall procure that each of its Sub-Contractors shall, comply with the pensions provisions in the following Annex.

## **ANNEX TO PART A: PENSIONS**

### **1. PARTICIPATION**

- 1.1 The Supplier undertakes to enter into the Admission Agreement.
- 1.2 The Supplier and the Customer:
  - 1.2.1 undertake to do all such things and execute any documents (including the Admission Agreement) as may be required to enable the Supplier to participate in the Schemes in respect of the Fair Deal Employees;
  - 1.2.2 agree that the arrangements under paragraph 1.1 of this Annex include the body responsible for the Schemes notifying the Customer if the Supplier breaches any obligations it has under the Admission Agreement;
  - 1.2.3 agree, notwithstanding Paragraph 1.2.2 of this Annex, the Supplier shall notify the Customer in the event that it breaches any obligations it has under the Admission Agreement and when it intends to remedy such breaches; and
  - 1.2.4 agree that the Customer may terminate this Call Off Contract in the event that the Supplier breaches the Admission Agreement:
    - (a) and that breach is not capable of being remedied; or
    - (b) where such breach is capable of being remedied, the Supplier fails to remedy such breach within a reasonable time and in any event within 28 days of a notice from the Customer giving particulars of the breach and requiring the Supplier to remedy it.
- 1.3 The Supplier shall bear its own costs and all costs that the Customer reasonably incurs in connection with the negotiation, preparation and execution of documents to facilitate the Supplier participating in the Schemes including without limitation current civil service pensions administrator on-boarding costs.

### **2. FUTURE SERVICE BENEFITS**

- 2.1 The Supplier shall procure that the Fair Deal Employees, shall be either admitted into, or offered continued membership of, the relevant section of the Schemes that they currently contribute to, or were eligible to join immediately prior to the Relevant Transfer Date and the Supplier shall procure that the Fair Deal Employees continue to accrue benefits in accordance with the provisions governing the relevant section of Schemes for service from (and including) the Relevant Transfer Date.
- 2.2 The Supplier undertakes that should it cease to participate in the Schemes for whatever reason at a time when it has Eligible Employees, that it will, at no extra cost to the Customer, provide to any Fair Deal Employee who immediately prior to such cessation remained an Eligible Employee with access to an occupational pension scheme certified by the Government Actuary's Department or any actuary nominated by the Customer in accordance with relevant guidance produced by the Government Actuary's Department as providing benefits which are broadly comparable to those provided by the Schemes on the date the Eligible Employees ceased to participate in the Schemes.
- 2.3 The Parties acknowledge that the Civil Service Compensation Scheme and the Civil Service Injury Benefit Scheme (established pursuant to section 1 of the Superannuation Act 1972) are not covered by the protection of New Fair Deal.

### **3. FUNDING**

- 3.1 The Supplier undertakes to pay to the Schemes all such amounts as are due under the Admission Agreement and shall deduct and pay to the Schemes such employee contributions as are required by the Schemes.
- 3.2 The Supplier shall indemnify and keep indemnified the Customer on demand against any claim by, payment to, or loss incurred by, the Schemes in respect of the failure to account to the Schemes for payments received and the non-payment or the late payment of any sum payable by the Supplier to or in respect of the Schemes.

#### **4. PROVISION OF INFORMATION**

The Supplier and the Customer respectively undertake to each other:

- 4.1 to provide all information which the other Party may reasonably request concerning matters referred to in this Annex and set out in the Admission Agreement, and to supply the information as expeditiously as possible; and
- 4.2 not to issue any announcements to the Fair Deal Employees prior to the Relevant Transfer Date concerning the matters stated in this Annex without the consent in writing of the other Party (not to be unreasonably withheld or delayed).

#### **5. INDEMNITY**

The Supplier undertakes to the Customer to indemnify and keep indemnified the Customer on demand from and against all and any Losses whatsoever arising out of or in connection with any liability towards the Fair Deal Employees arising in respect of service on or after the Relevant Transfer Date which relate to the payment of benefits under and/or participation in an occupational pension scheme (within the meaning provided for in section 1 of the Pension Schemes Act 1993) or the Schemes.

#### **6. EMPLOYER OBLIGATION**

The Supplier shall comply with the requirements of Part 1 of the Pensions Act 2008, section 258 of the Pensions Act 2004 and the Transfer of Employment (Pension Protection) Regulations 2005 for all transferring staff.

#### **7. SUBSEQUENT TRANSFERS**

The Supplier shall:

- 7.1 not adversely affect pension rights accrued by any Fair Deal Employee in the period ending on the Service Transfer Date;
- 7.2 provide all such co-operation and assistance as the Schemes and the Replacement Supplier and/or the Customer may reasonably require to enable the Replacement Supplier to participate in the Schemes in respect of any Eligible Employee and to give effect to any transfer of accrued rights required as part of participation under New Fair Deal; and
- 7.3 for the applicable period either:
  - 7.3.1 after notice (for whatever reason) is given, in accordance with the other provisions of this Call Off Contract, to terminate the Agreement or any part of the Services; or
  - 7.3.2 after the date which is two (2) years prior to the date of expiry of this Call Off Contract,

ensure that no change is made to pension, retirement and death benefits provided for or in respect of any person who will transfer to the Replacement Supplier or the Customer, no category of earnings which were not previously pensionable are made pensionable and the contributions (if any) payable by such employees are not reduced without (in any case) the prior approval of the Customer (such approval not to be unreasonably withheld). Save that this subparagraph shall not apply to any change made as a consequence of participation in an Admission Agreement.

## **8. BULK TRANSFER**

- 8.1 Where the Supplier has set up a broadly comparable pension scheme in accordance with the provisions of paragraph 2.2 above of this Annex, the Supplier agrees to:
- 8.1.1 fully fund any such broadly comparable pension scheme in accordance with the funding requirements set by that broadly comparable pension scheme's actuary or by the Government Actuary's Department;
  - 8.1.2 instruct any such broadly comparable pension scheme's actuary to, and to provide all such co-operation and assistance in respect of any such broadly comparable pension scheme as the Replacement Supplier and/or the Customer may reasonably require, to enable the Replacement Supplier to participate in the Schemes in respect of any Fair Deal Employee that remain eligible for New Fair Deal protection following a Service Transfer;
  - 8.1.3 allow, in respect of any Fair Deal Employee that remains eligible for New Fair Deal protection, following a Service Transfer, the bulk transfer of past service from any such broadly comparable pension scheme into the Schemes on a day for day service basis and to give effect to any transfer of accrued rights required as part of participation under New Fair Deal, for the avoidance of doubt should the amount offered by the broadly comparable pension scheme be less than the amount required by the Schemes to fund day for day service ("the Shortfall"), the Supplier agrees to pay the Shortfall to the Schemes; and
  - 8.1.4 indemnify the Customer on demand for any failure to pay the Shortfall as required under Paragraph 8.1.3 above.

## **PART B**

### **TRANSFERRING FORMER SUPPLIER EMPLOYEES AT COMMENCEMENT OF SERVICES**

#### **1. RELEVANT TRANSFERS**

1.1 The Customer and the Supplier agree that:

1.1.1 the commencement of the provision of the Services or of any relevant part of the Services will be a Relevant Transfer in relation to the Transferring Former Supplier Employees; and

1.1.2 as a result of the operation of the Employment Regulations, the contracts of employment between each Former Supplier and the Transferring Former Supplier Employees (except in relation to any terms disapplied through the operation of regulation 10(2) of the Employment Regulations) shall have effect on and from the Relevant Transfer Date as if originally made between the Supplier and/or Notified Sub-Contractor and each such Transferring Former Supplier Employee.

1.2 Subject to Paragraph 6, the Customer shall procure that each Former Supplier shall comply with all its obligations under the Employment Regulations and shall perform and discharge all its obligations in respect of all the Transferring Former Supplier Employees in respect of the period up to (but not including) the Relevant Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions which in any case are attributable in whole or in part in respect of the period up to (but not including) the Relevant Transfer Date) and the Supplier shall make, and the Customer shall procure that each Former Supplier makes, any necessary apportionments in respect of any periodic payments.

#### **2. FORMER SUPPLIER INDEMNITIES**

2.1 Subject to Paragraphs 2.2 and 6, the Customer shall procure that each Former Supplier shall indemnify the Supplier and any Notified Sub-Contractor against any Employee Liabilities arising from or as a result of:

2.1.1 any act or omission by the Former Supplier in respect of any Transferring Former Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Former Supplier Employee arising before the Relevant Transfer Date;

2.1.2 the breach or non-observance by the Former Supplier arising before the Relevant Transfer Date of:

(a) any collective agreement applicable to the Transferring Former Supplier Employees; and/or

(b) any custom or practice in respect of any Transferring Former Supplier Employees which the Former Supplier is contractually bound to honour;

2.1.3 any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:

(a) in relation to any Transferring Former Supplier Employee, to the extent that the proceeding, claim or demand by HMRC or other

- statutory authority relates to financial obligations arising before the Relevant Transfer Date; and
- (b) in relation to any employee who is not a Transferring Former Supplier Employee and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Former Supplier to the Supplier and/or any Notified Sub-Contractor as appropriate, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations in respect of the period to (but excluding) the Relevant Transfer Date;
- 2.1.4 a failure of the Former Supplier to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Former Supplier Employees in respect of the period to (but excluding) the Relevant Transfer Date;
- 2.1.5 any claim made by or in respect of any person employed or formerly employed by the Former Supplier other than a Transferring Former Supplier Employee for whom it is alleged the Supplier and/or any Notified Sub-Contractor as appropriate may be liable by virtue of this Call Off Contract and/or the Employment Regulations and/or the Acquired Rights Directive; and
- 2.1.6 any claim made by or in respect of a Transferring Former Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Former Supplier Employee relating to any act or omission of the Former Supplier in relation to its obligations under regulation 13 of the Employment Regulations, except to the extent that the liability arises from the failure by the Supplier or any Sub-Contractor to comply with regulation 13(4) of the Employment Regulations.
- 2.2 The indemnities in Paragraph 2.1 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Supplier or any Sub-Contractor whether occurring or having its origin before, on or after the Relevant Transfer Date including, without limitation, any Employee Liabilities:
- 2.2.1 arising out of the resignation of any Transferring Former Supplier Employee before the Relevant Transfer Date on account of substantial detrimental changes to his/her working conditions proposed by the Supplier or any Sub-Contractor to occur in the period from (and including) the Relevant Transfer Date; or
- 2.2.2 arising from the failure by the Supplier and/or any Sub-Contractor to comply with its obligations under the Employment Regulations.
- 2.3 If any person who is not identified by the Customer as a Transferring Former Supplier Employee claims, or it is determined in relation to any person who is not identified by the Customer as a Transferring Former Supplier Employee, that his/her contract of employment has been transferred from a Former Supplier to the Supplier and/or any Notified Sub-Contractor pursuant to the Employment Regulations or the Acquired Rights Directive then:
- 2.3.1 the Supplier shall, or shall procure that the Notified Sub-Contractor shall, within 5 Working Days of becoming aware of that fact, give notice in writing to the Customer and, where required by the Customer, to the Former Supplier; and
- 2.3.2 the Former Supplier may offer (or may procure that a third party may offer) employment to such person within 15 Working Days of the notification by the Supplier and/or the Notified Sub-Contractor or take such other reasonable steps as the

Former Supplier considers appropriate to deal with the matter provided always that such steps are in compliance with applicable Law.

- 2.4 If an offer referred to in Paragraph 2.3.2 is accepted, or if the situation has otherwise been resolved by the Former Supplier and/or the Customer, the Supplier shall, or shall procure that the Notified Sub-Contractor shall, immediately release the person from his/her employment or alleged employment.
- 2.5 If by the end of the 15 Working Day period specified in Paragraph 2.3.2:
  - 2.5.1 no such offer of employment has been made;
  - 2.5.2 such offer has been made but not accepted; or
  - 2.5.3 the situation has not otherwise been resolved,  
the Supplier and/or any Notified Sub-Contractor may within 5 Working Days give notice to terminate the employment or alleged employment of such person.
- 2.6 Subject to the Supplier and/or any Notified Sub-Contractor acting in accordance with the provisions of Paragraphs 2.3 to 2.5 and in accordance with all applicable proper employment procedures set out in Law, the Customer shall procure that the Former Supplier indemnifies the Supplier and/or any Notified Sub-Contractor (as appropriate) against all Employee Liabilities arising out of the termination of employment pursuant to the provisions of Paragraph 2.5 provided that the Supplier takes, or shall procure that the Notified Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities.
- 2.7 The indemnity in Paragraph 2.6:
  - 2.7.1 shall not apply to:
    - (a) any claim for:
      - (i) discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief; or
      - (ii) equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees,  
in any case in relation to any alleged act or omission of the Supplier and/or any Sub-Contractor; or
    - (b) any claim that the termination of employment was unfair because the Supplier and/or Notified Sub-Contractor neglected to follow a fair dismissal procedure; and
  - 2.7.2 shall apply only where the notification referred to in Paragraph 2.3.1 is made by the Supplier and/or any Notified Sub-Contractor (as appropriate) to the Customer and, if applicable, the Former Supplier, within 6 months of the Call Off Commencement Date.
- 2.8 If any such person as is described in Paragraph 2.3 is neither re-employed by the Former Supplier nor dismissed by the Supplier and/or any Notified Sub-Contractor within the time scales set out in Paragraph 2.5, such person shall be treated as having transferred to the Supplier or Notified Sub-Contractor and the Supplier shall, or shall procure that the Notified Sub-Contractor shall, comply with such obligations as may be imposed upon it under the Law.

### **3. SUPPLIER INDEMNITIES AND OBLIGATIONS**

- 3.1 Subject to Paragraph 3.2, the Supplier shall indemnify the Customer and/or the Former Supplier against any Employee Liabilities arising from or as a result of:
- 3.1.1 any act or omission by the Supplier or any Sub-Contractor in respect of any Transferring Former Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Former Supplier Employee whether occurring before, on or after the Relevant Transfer Date;
  - 3.1.2 the breach or non-observance by the Supplier or any Sub-Contractor on or after the Relevant Transfer Date of:
    - (a) any collective agreement applicable to the Transferring Former Supplier Employee; and/or
    - (b) any custom or practice in respect of any Transferring Former Supplier Employees which the Supplier or any Sub-Contractor is contractually bound to honour;
  - 3.1.3 any claim by any trade union or other body or person representing any Transferring Former Supplier Employees arising from or connected with any failure by the Supplier or a Sub-Contractor to comply with any legal obligation to such trade union, body or person arising on or after the Relevant Transfer Date;
  - 3.1.4 any proposal by the Supplier or a Sub-Contractor prior to the Relevant Transfer Date to make changes to the terms and conditions of employment or working conditions of any Transferring Former Supplier Employees to their material detriment on or after their transfer to the Supplier or a Sub-Contractor (as the case may be) on the Relevant Transfer Date, or to change the terms and conditions of employment or working conditions of any person who would have been a Transferring Former Supplier Employee but for their resignation (or decision to treat their employment as terminated under regulation 4(9) of the Employment Regulations) before the Relevant Transfer Date as a result of or for a reason connected to such proposed changes;
  - 3.1.5 any statement communicated to or action undertaken by the Supplier or a Sub-Contractor to, or in respect of, any Transferring Former Supplier Employee before the Relevant Transfer Date regarding the Relevant Transfer which has not been agreed in advance with the Customer and/or the Former Supplier in writing;
  - 3.1.6 any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:
    - (a) in relation to any Transferring Former Supplier Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on or after the Relevant Transfer Date; and
    - (b) in relation to any employee who is not a Transferring Former Supplier Employee, and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Former Supplier to the Supplier or a Sub-Contractor, to the extent that the proceeding, claim or demand by the HMRC or other statutory authority relates to financial obligations arising on or after the Relevant Transfer Date;
  - 3.1.7 a failure of the Supplier or any Sub-Contractor to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Former Supplier Employees in respect of the period from (and including) the Relevant Transfer Date;

- 3.1.8 any claim made by or in respect of a Transferring Former Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Former Supplier Employee relating to any act or omission of the Supplier or any Sub-Contractor in relation to obligations under regulation 13 of the Employment Regulations, except to the extent that the liability arises from the Former Supplier's failure to comply with its obligations under regulation 13 of the Employment Regulations; and
- 3.1.9 a failure by the Supplier or any Sub-Contractor to comply with its obligations under Paragraph 2.8 above.
- 3.2 The indemnities in Paragraph 3.1 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Former Supplier whether occurring or having its origin before, on or after the Relevant Transfer Date including, without limitation, any Employee Liabilities arising from the Former Supplier's failure to comply with its obligations under the Employment Regulations.
- 3.3 The Supplier shall comply, and shall procure that each Sub-Contractor shall comply, with all its obligations under the Employment Regulations (including without limitation its obligation to inform and consult in accordance with regulation 13 of the Employment Regulations) and shall perform and discharge, and shall procure that each Sub-Contractor shall perform and discharge, all its obligations in respect of all the Transferring Former Supplier Employees, on and from the Relevant Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions and any other sums due under the Admission Agreement which in any case are attributable in whole or in part to the period from (and including) the Relevant Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between the Supplier and the Former Supplier.

#### **4. INFORMATION**

The Supplier shall, and shall procure that each Sub-Contractor shall, promptly provide to the Customer and/or at the Customer's direction, the Former Supplier, in writing such information as is necessary to enable the Customer and/or the Former Supplier to carry out their respective duties under regulation 13 of the Employment Regulations. Subject to Paragraph 6, the Customer shall procure that the Former Supplier shall promptly provide to the Supplier and each Notified Sub-Contractor in writing such information as is necessary to enable the Supplier and each Notified Sub-Contractor to carry out their respective duties under regulation 13 of the Employment Regulations.

#### **5. PRINCIPLES OF GOOD EMPLOYMENT PRACTICE**

- 5.1 The Supplier shall, and shall procure that each Sub-Contractor shall, comply with any requirement notified to it by the Customer relating to pensions in respect of any Transferring Former Supplier Employee as set down in:
- 5.1.1 the Cabinet Office Statement of Practice on Staff Transfers in the Public Sector of January 2000, revised 2007;
- 5.1.2 HM Treasury's guidance "Staff Transfers from Central Government: A Fair Deal for Staff Pensions of 1999;
- 5.1.3 HM Treasury's guidance: "Fair deal for staff pensions: procurement of Bulk Transfer Agreements and Related Issues" of June 2004; and/or

5.1.4 the New Fair Deal.

5.2 Any changes embodied in any statement of practice, paper or other guidance that replaces any of the documentation referred to in Paragraph 5.1 shall be agreed in accordance with the Variation Procedure.

## **6. PROCUREMENT OBLIGATIONS**

Notwithstanding any other provisions of this Part B, where in this Part B the Customer accepts an obligation to procure that a Former Supplier does or does not do something, such obligation shall be limited so that it extends only to the extent that the Customer's contract with the Former Supplier contains a contractual right in that regard which the Customer may enforce, or otherwise so that it requires only that the Customer must use reasonable endeavours to procure that the Former Supplier does or does not act accordingly.

## **7. PENSIONS**

The Supplier shall, and shall procure that each Sub-Contractor shall, comply with the pensions provisions in the following Annex.

## **ANNEX TO PART B: PENSIONS**

### **1. PARTICIPATION**

- 1.1 The Supplier undertakes to enter into the Admission Agreement.
- 1.2 The Supplier and the Customer:
  - 1.2.1 undertake to do all such things and execute any documents (including the Admission Agreement) as may be required to enable the Supplier to participate in the Schemes in respect of the Fair Deal Employees;
  - 1.2.2 agree that the arrangements under paragraph 1.1 of this Annex include the body responsible for the Schemes notifying the Customer if the Supplier breaches any obligations it has under the Admission Agreement;
  - 1.2.3 agree, notwithstanding Paragraph 1.2.2 of this Annex, the Supplier shall notify the Customer in the event that it breaches any obligations it has under the Admission Agreement and when it intends to remedy such breaches; and
  - 1.2.4 agree that the Customer may terminate this Call Off Contract for material default in the event that the Supplier breaches the Admission Agreement:
    - (a) and that breach is not capable of being remedied; or
    - (b) where such breach is capable of being remedied, the Supplier fails to remedy such breach within a reasonable time and in any event within 28 days of a notice from the Customer giving particulars of the breach and requiring the Supplier to remedy it.
- 1.3 The Supplier shall bear its own costs and all costs that the Customer reasonably incurs in connection with the negotiation, preparation and execution of documents to facilitate the Supplier participating in the Schemes including without limitation current civil service pensions administrator on-boarding costs.

### **2. FUTURE SERVICE BENEFITS**

- 2.1 If the Supplier is rejoining the Schemes for the first time, the Supplier shall procure that the Fair Deal Employees shall be either admitted to or offered continued membership of the relevant section of the Schemes that they became eligible to join on the Relevant Transfer Date and shall continue to accrue or accrue benefits in accordance with the provisions governing the relevant section of the Schemes for service from (and including) the Relevant Transfer Date.
- 2.2 If staff have already been readmitted to the Schemes, the Supplier shall procure that the Fair Deal Employees, shall be either admitted into, or offered continued membership of, the relevant section of the Schemes that they currently contribute to, or were eligible to join immediately prior to the Relevant Transfer Date and the Supplier shall procure that the Fair Deal Employees continue to accrue benefits in accordance with the provisions governing the relevant section of the Schemes for service from (and including) the Relevant Transfer Date.
- 2.3 The Supplier undertakes that should it cease to participate in the Schemes for whatever reason at a time when it has Eligible Employees, that it will, at no extra cost to the Customer, provide to any Fair Deal Employee who immediately prior to such cessation remained an Eligible Employee with access to an occupational pension scheme certified by the Government Actuary's Department or any actuary nominated by the Customer in accordance with relevant guidance produced by the Government Actuary's Department as providing benefits which are broadly

comparable to those provided by the Schemes on the date the Eligible Employees ceased to participate in the Schemes.

- 2.4 The Parties acknowledge that the Civil Service Compensation Scheme and the Civil Service Injury Benefit Scheme (established pursuant to section 1 of the Superannuation Act 1972) are not covered by the protection of New Fair Deal.

### **3. FUNDING**

3.1 The Supplier undertakes to pay to the Schemes all such amounts as are due under the Admission Agreement and shall deduct and pay to the Schemes such employee contributions as are required by the Schemes.

3.2 The Supplier shall indemnify and keep indemnified the Customer on demand against any claim by, payment to, or loss incurred by the Schemes in respect of the failure to account to the Schemes for payments received and the non-payment or the late payment of any sum payable by the Supplier to or in respect of the Schemes.

### **4. PROVISION OF INFORMATION**

The Supplier and the Customer respectively undertake to each other:

4.1 to provide all information which the other Party may reasonably request concerning matters (i) referred to in this Annex and (ii) set out in the Admission Agreement, and to supply the information as expeditiously as possible; and

4.2 not to issue any announcements to the Fair Deal Employees prior to the Relevant Transfer Date concerning the matters stated in this Annex without the consent in writing of the other Party (not to be unreasonably withheld or delayed).

### **5. INDEMNITY**

The Supplier undertakes to the Customer to indemnify and keep indemnified the Customer on demand from and against all and any Losses whatsoever arising out of or in connection with any liability towards the Fair Deal Employees arising in respect of service on or after the Relevant Transfer Date which relate to the payment of benefits under and/or participation in an occupational pension scheme (within the meaning provided for in section 1 of the Pension Schemes Act 1993) or the Schemes.

### **6. EMPLOYER OBLIGATION**

The Supplier shall comply with the requirements of the Pensions Act 2008, section 258 of the Pensions Act 2004 and the Transfer of Employment (Pension Protection) Regulations 2005 for all transferring staff.

### **7. SUBSEQUENT TRANSFERS**

The Supplier shall:

7.1 not adversely affect pension rights accrued by any Fair Deal Employee in the period ending on the Service Transfer Date;

7.2 provide all such co-operation and assistance as the Schemes and the Replacement Supplier and/or the Customer may reasonably require to enable the Replacement Supplier to participate in the Schemes in respect of any Eligible

Employee and to give effect to any transfer of accrued rights required as part of participation under the New Fair Deal; and

7.3 for the applicable period either

7.3.1 after notice (for whatever reason) is given, in accordance with the other provisions of this Call Off Contract, to terminate the Agreement or any part of the Services; or

7.3.2 after the date which is two (2) years prior to the date of expiry of this Call Off Contract,

ensure that no change is made to pension, retirement and death benefits provided for or in respect of any person who will transfer to the Replacement Supplier or the Customer, no category of earnings which were not previously pensionable are made pensionable and the contributions (if any) payable by such employees are not reduced without (in any case) the prior approval of the Customer (such approval not to be unreasonably withheld). Save that this subparagraph shall not apply to any change made as a consequence of participation in an Admission Agreement.

## **8. BULK TRANSFER**

8.1 Where the Supplier has set up a broadly comparable pension scheme in accordance with the provisions of paragraph 2.2 above of this Annex, the Supplier agrees to:

8.1.1 fully fund any such broadly comparable pension scheme in accordance with the funding requirements set by that broadly comparable pension scheme's actuary or by the Government Actuary's Department;

8.1.2 instruct any such broadly comparable pension scheme's actuary to, and to provide all such co-operation and assistance in respect of any such broadly comparable pension scheme as the Replacement Supplier and/or the Customer may reasonably require, to enable the Replacement Supplier to participate in the Schemes in respect of any Fair Deal Employee that remain eligible for New Fair Deal protection following a Service Transfer;

8.1.3 allow, in respect of any Fair Deal Employee that remains eligible for New Fair Deal protection, following a Service Transfer, the bulk transfer of past service from any such broadly comparable pension scheme into the Schemes on a day for day service basis and to give effect to any transfer of accrued rights required as part of participation under New Fair Deal, for the avoidance of doubt should the amount offered by the broadly comparable pension scheme be less than the amount required by the Schemes to fund day for day service ("the Shortfall"), the Supplier agrees to pay the Shortfall to the Schemes; and

8.1.4 indemnify the Customer on demand for any failure to pay the Shortfall as required under Paragraph 8.1.3 above.

## **PART C**

### **NO TRANSFER OF EMPLOYEES AT COMMENCEMENT OF SERVICES**

#### **1. PROCEDURE IN THE EVENT OF TRANSFER**

- 1.1 The Customer and the Supplier agree that the commencement of the provision of the Services or of any part of the Services will not be a Relevant Transfer in relation to any employees of the Customer and/or any Former Supplier.
- 1.2 If any employee of the Customer and/or a Former Supplier claims, or it is determined in relation to any employee of the Customer and/or a Former Supplier, that his/her contract of employment has been transferred from the Customer and/or the Former Supplier to the Supplier and/or any Sub-Contractor pursuant to the Employment Regulations or the Acquired Rights Directive then:
- 1.2.1 the Supplier shall, and shall procure that the relevant Sub-Contractor shall, within five (5) Working Days of becoming aware of that fact, give notice in writing to the Customer and, where required by the Customer, give notice to the Former Supplier; and
- 1.2.2 the Customer and/or the Former Supplier may offer (or may procure that a third party may offer) employment to such person within fifteen (15) Working Days of the notification by the Supplier or the Sub-Contractor (as appropriate) or take such other reasonable steps as the Customer or Former Supplier (as the case may be) considers appropriate to deal with the matter provided always that such steps are in compliance with applicable Law.
- 1.3 If an offer referred to in Paragraph 1.2.2 is accepted (or if the situation has otherwise been resolved by the Customer and/or the Former Supplier), the Supplier shall, or shall procure that the Sub-Contractor shall, immediately release the person from his/her employment or alleged employment.
- 1.4 If by the end of the fifteen (15) Working Day period specified in Paragraph 1.2.2:
- 1.4.1 no such offer of employment has been made;
- 1.4.2 such offer has been made but not accepted; or
- 1.4.3 the situation has not otherwise been resolved,
- the Supplier and/or the Sub-Contractor may within five (5) Working Days give notice to terminate the employment or alleged employment of such person.

#### **2. INDEMNITIES**

- 2.1 Subject to the Supplier and/or the relevant Sub-Contractor acting in accordance with the provisions of Paragraphs 1.2 to 1.4 and in accordance with all applicable employment procedures set out in applicable Law and subject also to Paragraph 2.4, the Customer shall:
- 2.1.1 indemnify the Supplier and/or the relevant Sub-Contractor against all Employee Liabilities arising out of the termination of the employment of any employees of the Customer referred to in Paragraph 1.2 made pursuant to the provisions of Paragraph 1.4 provided that the Supplier takes, or shall procure that the Notified Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities; and
- 2.1.2 subject to paragraph 3, procure that the Former Supplier indemnifies the Supplier and/or any Notified Sub-Contractor against all Employee Liabilities arising out of termination of the employment of the employees of the Former Supplier referred to in

Paragraph 1.2 made pursuant to the provisions of Paragraph 1.4 provided that the Supplier takes, or shall procure that the relevant Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities.

2.2 If any such person as is described in Paragraph 1.2 is neither re-employed by the Customer and/or the Former Supplier as appropriate nor dismissed by the Supplier and/or any Sub-Contractor within the fifteen (15) Working Day period referred to in Paragraph 1.4 such person shall be treated as having transferred to the Supplier and/or the Sub-Contractor (as appropriate) and the Supplier shall, or shall procure that the Sub-Contractor shall, comply with such obligations as may be imposed upon it under Law.

2.3 Where any person remains employed by the Supplier and/or any Sub-Contractor pursuant to Paragraph 2.2, all Employee Liabilities in relation to such employee shall remain with the Supplier and/or the Sub-Contractor and the Supplier shall indemnify the Customer and any Former Supplier, and shall procure that the Sub-Contractor shall indemnify the Customer and any Former Supplier, against any Employee Liabilities that either of them may incur in respect of any such employees of the Supplier and/or employees of the Sub-Contractor.

2.4 The indemnities in Paragraph 2.1:

2.4.1 shall not apply to:

(a) any claim for:

- (i) discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief; or
- (ii) equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees,

in any case in relation to any alleged act or omission of the Supplier and/or any Sub-Contractor; or

(b) any claim that the termination of employment was unfair because the Supplier and/or any Sub-Contractor neglected to follow a fair dismissal procedure; and

2.4.2 shall apply only where the notification referred to in Paragraph 1.2.1 is made by the Supplier and/or any Sub-Contractor to the Customer and, if applicable, Former Supplier within 6 months of the Call Off Commencement Date.

### **3. PROCUREMENT OBLIGATIONS**

Where in this Part C the Customer accepts an obligation to procure that a Former Supplier does or does not do something, such obligation shall be limited so that it extends only to the extent that the Customer's contract with the Former Supplier contains a contractual right in that regard which the Customer may enforce, or otherwise so that it requires only that the Customer must use reasonable endeavours to procure that the Former Supplier does or does not act accordingly.

## PART D

### EMPLOYMENT EXIT PROVISIONS

#### 1. PRE-SERVICE TRANSFER OBLIGATIONS

- 1.1 The Supplier agrees that within twenty (20) Working Days of the earliest of:
- 1.1.1 receipt of a notification from the Customer of a Service Transfer or intended Service Transfer;
  - 1.1.2 receipt of the giving of notice of early termination or any Partial Termination of this Call Off Contract;
  - 1.1.3 the date which is twelve (12) months before the end of the Term; and
  - 1.1.4 receipt of a written request of the Customer at any time (provided that the Customer shall only be entitled to make one such request in any six (6) month period),  
it shall provide in a suitably anonymised format so as to comply with the DPA, the Supplier's Provisional Supplier Personnel List, together with the Staffing Information in relation to the Supplier's Provisional Supplier Personnel List and it shall provide an updated Supplier's Provisional Supplier Personnel List at such intervals as are reasonably requested by the Customer.
- 1.2 At least thirty (30) Working Days prior to the Service Transfer Date, the Supplier shall provide to the Customer or at the direction of the Customer to any Replacement Supplier and/or any Replacement Sub-Contractor:
- 1.2.1 the Supplier's Final Supplier Personnel List, which shall identify which of the Supplier Personnel are Transferring Supplier Employees; and
  - 1.2.2 the Staffing Information in relation to the Supplier's Final Supplier Personnel List (insofar as such information has not previously been provided).
- 1.3 The Customer shall be permitted to use and disclose information provided by the Supplier under Paragraphs 1.1 and 1.2 for the purpose of informing any prospective Replacement Supplier and/or Replacement Sub-Contractor.
- 1.4 The Supplier warrants, for the benefit of the Customer, any Replacement Supplier, and any Replacement Sub-Contractor that all information provided pursuant to Paragraphs 1.1 and 1.2 shall be true and accurate in all material respects at the time of providing the information.
- 1.5 From the date of the earliest event referred to in Paragraph 1.1, the Supplier agrees, that it shall not, and agrees to procure that each Sub-Contractor shall not, assign any person to the provision of the Services who is not listed on the Supplier's Provisional Supplier Personnel List and shall not without the approval of the Customer (not to be unreasonably withheld or delayed):
- 1.5.1 replace or re-deploy any Supplier Personnel listed on the Supplier Provisional Supplier Personnel List other than where any replacement is of equivalent grade, skills, experience and expertise and is employed on the same terms and conditions of employment as the person he/she replaces;
  - 1.5.2 make, promise, propose, permit or implement any material changes to the terms and conditions of employment of the Supplier Personnel (including any payments connected with the termination of employment);

- 1.5.3 increase the proportion of working time spent on the Services (or the relevant part of the Services) by any of the Supplier Personnel save for fulfilling assignments and projects previously scheduled and agreed;
- 1.5.4 introduce any new contractual or customary practice concerning the making of any lump sum payment on the termination of employment of any employees listed on the Supplier's Provisional Supplier Personnel List;
- 1.5.5 increase or reduce the total number of employees so engaged, or deploy any other person to perform the Services (or the relevant part of the Services); or
- 1.5.6 terminate or give notice to terminate the employment or contracts of any persons on the Supplier's Provisional Supplier Personnel List save by due disciplinary process,
  - and shall promptly notify, and procure that each Sub-Contractor shall promptly notify, the Customer or, at the direction of the Customer, any Replacement Supplier and any Replacement Sub-Contractor of any notice to terminate employment given by the Supplier or relevant Sub-Contractor or received from any persons listed on the Supplier's Provisional Supplier Personnel List regardless of when such notice takes effect.
- 1.6 During the Term, the Supplier shall provide, and shall procure that each Sub-Contractor shall provide, to the Customer any information the Customer may reasonably require relating to the manner in which Services are organised, which shall include:
  - 1.6.1 the numbers of employees engaged in providing the Services;
  - 1.6.2 the percentage of time spent by each employee engaged in providing the Services;
  - 1.6.3 the extent to which each employee qualifies for membership of any of the Schemes or any broadly comparable scheme set up pursuant to the provisions of paragraph 2.2 of the Annex (Pensions) to Part A of this Call Off Schedule 10 or paragraph 2.3 of the Annex (Pensions) to Part B of this Call Off Schedule 10 (as appropriate); and
  - 1.6.4 a description of the nature of the work undertaken by each employee by location.
- 1.7 The Supplier shall provide, and shall procure that each Sub-Contractor shall provide, all reasonable cooperation and assistance to the Customer, any Replacement Supplier and/or any Replacement Sub-Contractor to ensure the smooth transfer of the Transferring Supplier Employees on the Service Transfer Date including providing sufficient information in advance of the Service Transfer Date to ensure that all necessary payroll arrangements can be made to enable the Transferring Supplier Employees to be paid as appropriate. Without prejudice to the generality of the foregoing, within five (5) Working Days following the Service Transfer Date, the Supplier shall provide, and shall procure that each Sub-Contractor shall provide, to the Customer or, at the direction of the Customer, to any Replacement Supplier and/or any Replacement Sub-Contractor (as appropriate), in respect of each person on the Supplier's Final Supplier Personnel List who is a Transferring Supplier Employee:
  - 1.7.1 the most recent month's copy pay slip data;
  - 1.7.2 details of cumulative pay for tax and pension purposes;
  - 1.7.3 details of cumulative tax paid;
  - 1.7.4 tax code;

- 1.7.5 details of any voluntary deductions from pay; and
- 1.7.6 bank/building society account details for payroll purposes.

## **2. EMPLOYMENT REGULATIONS EXIT PROVISIONS**

- 2.1 The Customer and the Supplier acknowledge that subsequent to the commencement of the provision of the Services, the identity of the provider of the Services (or any part of the Services) may change (whether as a result of termination or Partial Termination of this Call Off Contract or otherwise) resulting in the Services being undertaken by a Replacement Supplier and/or a Replacement Sub-Contractor. Such change in the identity of the Supplier of such Services may constitute a Relevant Transfer to which the Employment Regulations and/or the Acquired Rights Directive will apply. The Customer and the Supplier further agree that, as a result of the operation of the Employment Regulations, where a Relevant Transfer occurs, the contracts of employment between the Supplier and the Transferring Supplier Employees (except in relation to any contract terms disapplied through operation of regulation 10(2) of the Employment Regulations) will have effect on and from the Service Transfer Date as if originally made between the Replacement Supplier and/or a Replacement Sub-Contractor (as the case may be) and each such Transferring Supplier Employee.
- 2.2 The Supplier shall, and shall procure that each Sub-Contractor shall, comply with all its obligations in respect of the Transferring Supplier Employees arising under the Employment Regulations in respect of the period up to (but not including) the Service Transfer Date and shall perform and discharge, and procure that each Sub-Contractor shall perform and discharge, all its obligations in respect of all the Transferring Supplier Employees arising in respect of the period up to (and including) the Service Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions and all such sums due as a result of any Fair Deal Employees' participation in the Schemes which in any case are attributable in whole or in part to the period ending on (and including) the Service Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between: (i) the Supplier and/or the Sub-Contractor (as appropriate); and (ii) the Replacement Supplier and/or Replacement Sub-Contractor.
- 2.3 Subject to Paragraph 2.4, where a Relevant Transfer occurs the Supplier shall indemnify the Customer and/or the Replacement Supplier and/or any Replacement Sub-Contractor against any Employee Liabilities arising from or as a result of:
  - 2.3.1 any act or omission of the Supplier or any Sub-Contractor in respect of any Transferring Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Supplier Employee whether occurring before, on or after the Service Transfer Date;
  - 2.3.2 the breach or non-observance by the Supplier or any Sub-Contractor occurring on or before the Service Transfer Date of:
    - (a) any collective agreement applicable to the Transferring Supplier Employees; and/or
    - (b) any other custom or practice with a trade union or staff association in respect of any Transferring Supplier Employees which the Supplier or any Sub-Contractor is contractually bound to honour;

- 2.3.3 any claim by any trade union or other body or person representing any Transferring Supplier Employees arising from or connected with any failure by the Supplier or a Sub-Contractor to comply with any legal obligation to such trade union, body or person arising on or before the Service Transfer Date;
- 2.3.4 any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:
- (a) in relation to any Transferring Supplier Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on and before the Service Transfer Date; and
  - (b) in relation to any employee who is not identified in the Supplier's Final Supplier Personnel List, and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Supplier to the Customer and/or Replacement Supplier and/or any Replacement Sub-Contractor, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on or before the Service Transfer Date;
- 2.3.5 a failure of the Supplier or any Sub-Contractor to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Supplier Employees in respect of the period up to (and including) the Service Transfer Date);
- 2.3.6 any claim made by or in respect of any person employed or formerly employed by the Supplier or any Sub-Contractor other than a Transferring Supplier Employee identified in the Supplier's Final Supplier Personnel List for whom it is alleged the Customer and/or the Replacement Supplier and/or any Replacement Sub-Contractor may be liable by virtue of this Call Off Contract and/or the Employment Regulations and/or the Acquired Rights Directive; and
- 2.3.7 any claim made by or in respect of a Transferring Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Supplier Employee relating to any act or omission of the Supplier or any Sub-Contractor in relation to its obligations under regulation 13 of the Employment Regulations, except to the extent that the liability arises from the failure by the Customer and/or Replacement Supplier to comply with regulation 13(4) of the Employment Regulations.
- 2.4 The indemnities in Paragraph 2.3 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Replacement Supplier and/or any Replacement Sub-Contractor whether occurring or having its origin before, on or after the Service Transfer Date, including any Employee Liabilities:
- 2.4.1 arising out of the resignation of any Transferring Supplier Employee before the Service Transfer Date on account of substantial detrimental changes to his/her working conditions proposed by the Replacement Supplier and/or any Replacement Sub-Contractor to occur in the period on or after the Service Transfer Date; or
  - 2.4.2 arising from the Replacement Supplier's failure, and/or Replacement Sub-Contractor's failure, to comply with its obligations under the Employment Regulations.

- 2.5 If any person who is not identified in the Supplier's Final Supplier Personnel List claims, or it is determined in relation to any person who is not identified in the Supplier's Final Supplier Personnel List that his/her contract of employment has been transferred from the Supplier or any Sub-Contractor to the Replacement Supplier and/or Replacement Sub-Contractor pursuant to the Employment Regulations or the Acquired Rights Directive, then:
- 2.5.1 the Customer shall procure that the Replacement Supplier shall, or any Replacement Sub-Contractor shall, within five (5) Working Days of becoming aware of that fact, give notice in writing to the Supplier; and
- 2.5.2 the Supplier may offer (or may procure that a Sub-Contractor may offer) employment to such person within fifteen (15) Working Days of the notification by the Replacement Supplier and/or any and/or Replacement Sub-Contractor or take such other reasonable steps as it considers appropriate to deal with the matter provided always that such steps are in compliance with Law.
- 2.6 If such offer is accepted, or if the situation has otherwise been resolved by the Supplier or a Sub-Contractor, the Customer shall procure that the Replacement Supplier shall, or procure that the Replacement Sub-Contractor shall, immediately release or procure the release of the person from his/her employment or alleged employment.
- 2.7 If after the fifteen (15) Working Day period specified in Paragraph 2.5.2 has elapsed:
- 2.7.1 no such offer of employment has been made;
- 2.7.2 such offer has been made but not accepted; or
- 2.7.3 the situation has not otherwise been resolved
- the Replacement Supplier and/or Replacement Sub-Contractor, as appropriate may within five (5) Working Days give notice to terminate the employment or alleged employment of such person.
- 2.8 Subject to the Replacement Supplier and/or Replacement Sub-Contractor acting in accordance with the provisions of Paragraphs 2.5 to 2.7, and in accordance with all applicable proper employment procedures set out in applicable Law, the Supplier shall indemnify the Replacement Supplier and/or Replacement Sub-Contractor against all Employee Liabilities arising out of the termination of employment pursuant to the provisions of Paragraph 2.7 provided that the Replacement Supplier takes, or shall procure that the Replacement Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities.
- 2.9 The indemnity in Paragraph 2.8:
- 2.9.1 shall not apply to:
- (a) any claim for:
- (i) discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief; or
- (ii) equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees,
- in any case in relation to any alleged act or omission of the Replacement Supplier and/or Replacement Sub-Contractor;
- or

- (b) any claim that the termination of employment was unfair because the Replacement Supplier and/or Replacement Sub-Contractor neglected to follow a fair dismissal procedure; and
- 2.9.2 shall apply only where the notification referred to in Paragraph 2.5.1 is made by the Replacement Supplier and/or Replacement Sub-Contractor to the Supplier within six (6) months of the Service Transfer Date.
- 2.10 If any such person as is described in Paragraph 2.5 is neither re-employed by the Supplier or any Sub-Contractor nor dismissed by the Replacement Supplier and/or Replacement Sub-Contractor within the time scales set out in Paragraphs 2.5 to 2.7, such person shall be treated as a Transferring Supplier Employee.
- 2.11 The Supplier shall comply, and shall procure that each Sub-Contractor shall comply, with all its obligations under the Employment Regulations and shall perform and discharge, and shall procure that each Sub-Contractor shall perform and discharge, all its obligations in respect of any person identified in the Supplier's Final Supplier Personnel List before and on the Service Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions and such sums due as a result of any Fair Deal Employees' participation in the Schemes and any requirement to set up a broadly comparable pension scheme which in any case are attributable in whole or in part in respect of the period up to (and including) the Service Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between:
  - 2.11.1 the Supplier and/or any Sub-Contractor; and
  - 2.11.2 the Replacement Supplier and/or the Replacement Sub-Contractor.
- 2.12 The Supplier shall, and shall procure that each Sub-Contractor shall, promptly provide to the Customer and any Replacement Supplier and/or Replacement Sub-Contractor, in writing such information as is necessary to enable the Customer, the Replacement Supplier and/or Replacement Sub-Contractor to carry out their respective duties under regulation 13 of the Employment Regulations. The Customer shall procure that the Replacement Supplier and/or Replacement Sub-Contractor, shall promptly provide to the Supplier and each Sub-Contractor in writing such information as is necessary to enable the Supplier and each Sub-Contractor to carry out their respective duties under regulation 13 of the Employment Regulations.
- 2.13 Subject to Paragraph 2.14, where a Relevant Transfer occurs the Customer shall procure that the Replacement Supplier indemnifies the Supplier on its own behalf and on behalf of any Replacement Sub-Contractor and its sub-contractors against any Employee Liabilities arising from or as a result of:
  - 2.13.1 any act or omission of the Replacement Supplier and/or Replacement Sub-Contractor in respect of any Transferring Supplier Employee identified in the Supplier's Final Supplier Personnel List or any appropriate employee representative (as defined in the Employment Regulations) of any such Transferring Supplier Employee;
  - 2.13.2 the breach or non-observance by the Replacement Supplier and/or Replacement Sub-Contractor on or after the Service Transfer Date of:
    - (a) any collective agreement applicable to the Transferring Supplier Employees identified in the Supplier's Final Supplier Personnel List; and/or

- (b) any custom or practice in respect of any Transferring Supplier Employees identified in the Supplier's Final Supplier Personnel List which the Replacement Supplier and/or Replacement Sub-Contractor is contractually bound to honour;
- 2.13.3 any claim by any trade union or other body or person representing any Transferring Supplier Employees identified in the Supplier's Final Supplier Personnel List arising from or connected with any failure by the Replacement Supplier and/or Replacement Sub-Contractor to comply with any legal obligation to such trade union, body or person arising on or after the Service Transfer Date;
- 2.13.4 any proposal by the Replacement Supplier and/or Replacement Sub-Contractor to change the terms and conditions of employment or working conditions of any Transferring Supplier Employees identified in the Supplier's Final Supplier Personnel List on or after their transfer to the Replacement Supplier or Replacement Sub-Contractor (as the case may be) on the Service Transfer Date, or to change the terms and conditions of employment or working conditions of any person identified in the Supplier's Final Supplier Personnel List who would have been a Transferring Supplier Employee but for their resignation (or decision to treat their employment as terminated under regulation 4(9) of the Employment Regulations) before the Service Transfer Date as a result of or for a reason connected to such proposed changes;
- 2.13.5 any statement communicated to or action undertaken by the Replacement Supplier or Replacement Sub-Contractor to, or in respect of, any Transferring Supplier Employee identified in the Supplier's Final Supplier Personnel List on or before the Service Transfer Date regarding the Relevant Transfer which has not been agreed in advance with the Supplier in writing;
- 2.13.6 any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:
  - (a) in relation to any Transferring Supplier Employee identified in the Supplier's Final Supplier Personnel List, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising after the Service Transfer Date; and
  - (b) in relation to any employee who is not a Transferring Supplier Employee identified in the Supplier's Final Supplier Personnel List, and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Supplier or Sub-Contractor, to the Replacement Supplier or Replacement Sub-Contractor to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising after the Service Transfer Date;
- 2.13.7 a failure of the Replacement Supplier or Replacement Sub-Contractor to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Supplier Employees identified in the Supplier's Final Supplier Personnel List in respect of the period from (and including) the Service Transfer Date; and
- 2.13.8 any claim made by or in respect of a Transferring Supplier Employee identified in the Supplier's Final Supplier Personnel List or any appropriate employee representative (as defined in the Employment Regulations) of any such Transferring Supplier Employee relating to any act or omission of the Replacement Supplier or

Replacement Sub-Contractor in relation to obligations under regulation 13 of the Employment Regulations.

2.14 The indemnities in Paragraph 2.13 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Supplier and/or any Sub-Contractor (as applicable) whether occurring or having its origin before, on or after the Service Transfer Date, including any Employee Liabilities arising from the failure by the Supplier and/or any Sub-Contractor (as applicable) to comply with its obligations under the Employment Regulations.

## ANNEX TO SCHEDULE 10: LIST OF NOTIFIED SUB-CONTRACTORS



Q3 Information.doc

People Asset Management are not proposing to use any sub-contractors. See embedded document above for confirmation.

## CALL OFF SCHEDULE 11: DISPUTE RESOLUTION PROCEDURE

### 1. DEFINITIONS

1.1 In this Call Off Schedule 11, the following definitions shall apply:

<b>"CEDR"</b>	the Centre for Effective Dispute Resolution of International Dispute Resolution Centre, 70 Fleet Street, London, EC4Y 1EU;
<b>"Counter Notice"</b>	has the meaning given to it in paragraph 6.2 of this Call Off Schedule 11;
<b>"Exception"</b>	a deviation of project tolerances in accordance with PRINCE2 methodology in respect of this Call Off Contract or in the supply of the Goods and/or Services;
<b>"Expert"</b>	the person appointed by the Parties in accordance with paragraph 5.2 of this Call Off Schedule 11;
<b>"Extraordinary Meeting"</b>	a meeting, attended in person or over a conference call, held by the Parties in an attempt to resolve the Dispute in good faith in accordance with paragraphs 2.5 and 2.6 of this Call Off Schedule 11;
<b>"Mediator"</b>	the independent third party appointed in accordance with paragraph 4.2 of this Call Off Schedule 11; and
<b>"Senior Officers"</b>	are senior officials of the Customer and Supplier that have been instructed by the Customer Representative and Supplier Representative respectively to resolve the Dispute by commercial negotiation.

### 2. INTRODUCTION

2.1 The Parties shall seek to resolve a Dispute:

- 2.1.1 first in good faith (as prescribed in paragraphs 2.4 to 2.8 of this Call Off Schedule 11);
- 2.1.2 where the Dispute has not been resolved by good faith, the Parties shall attempt to resolve the Dispute by commercial negotiation (as prescribed in paragraph 3 of this Call Off Schedule 11);
- 2.1.3 where the Dispute has not been resolved in good faith and commercial negotiation has been unsuccessful in resolving the Dispute, then either Party may serve a Dispute Notice and shall attempt to resolve the Dispute through mediation (as prescribed in paragraph 4 of this Call Off Schedule 11); and
- 2.1.4 if mediation is not agreed by the Parties, the Parties may proceed to arbitration (as prescribed in paragraph 6 of this Call Off Schedule 11) or litigation (in accordance with Clause 57 of this Call Off Contract (Governing Law and Jurisdiction)).

2.2 Specific issues may be referred to Expert Determination (as prescribed in paragraph 5 of this Call Off Schedule 11) where specified under the provisions of

this Call Off Contract and may also be referred to Expert Determination where otherwise appropriate as specified in paragraph 5 of this Call Off Schedule 11.

2.3 Save in relation to paragraph 4.5, the Parties shall bear their own legal costs in resolving Disputes under this Call Off Schedule 11.

#### Good faith discussions

2.4 Pursuant to paragraph 2.1.1 of this Call Off Schedule 11, if any Dispute arises the Customer Representative and the Supplier Representative shall attempt first to resolve the Dispute in good faith, which may include (without limitation) either Party holding an Extraordinary Meeting.

2.5 Either Party may hold an Extraordinary Meeting by serving written notice. The written notice must give the receiving party at least five (5) Working Days notice of when the Extraordinary Meeting is to take place.

2.6 The Customer Representative and Supplier Representative shall attend the Extraordinary Meeting. The key personnel of the Parties may also attend the Extraordinary Meeting.

2.7 The representatives of the Parties attending the Extraordinary Meeting shall use their best endeavours to resolve the Dispute.

2.8 If the Dispute is not resolved at the Extraordinary Meeting then the Parties may attempt to hold additional Extraordinary Meetings in an attempt to resolve the Dispute. If the Extraordinary Meetings are unsuccessful in resolving the Dispute or the Dispute has not been resolved through good faith discussions thirty (30) Working Days from when they first started, the Parties shall attempt to resolve the Dispute by commercial negotiation.

### **3. COMMERCIAL NEGOTIATIONS**

3.1 Where the Parties have been unable to resolve the Dispute in good faith under paragraphs 2.4 to 2.8 of this Call Off Schedule 11, pursuant to paragraph 2.1.2 the Customer and the Supplier shall use reasonable endeavours to resolve the Dispute by discussion between Senior Officers.

3.2 Senior Officers shall resolve the Dispute as soon as possible and in any event thirty (30) Working Days from the date Parties agree good faith discussions were deemed unsuccessful.

3.3 If Senior Officers:

3.3.1 are of the reasonable opinion that the resolution of a Dispute by commercial negotiation, or the continuance of commercial negotiations, will not result in an appropriate solution; or

3.3.2 fail to resolve the Dispute in the timelines under paragraph 3.2 of this Call Off Schedule 11,

commercial negotiations shall be deemed unsuccessful and either Party may serve a Dispute Notice in accordance with paragraphs 3.4 and 3.5 of this Call Off Schedule 11.

#### Dispute Notice

3.4 The Dispute Notice shall set out:

3.4.1 the material particulars of the Dispute;

3.4.2 the reasons why the Party serving the Dispute Notice believes that the Dispute has arisen; and

3.4.3 if the Party serving the Dispute Notice believes that the Dispute should be dealt with under the Expedited Dispute Timetable as set out in paragraph 7 of this Call Off Schedule 11, the reason why.

3.5 Unless agreed otherwise in writing, the Parties shall continue to comply with their respective obligations under this Call Off Contract regardless of the nature of the Dispute and notwithstanding the referral of the Dispute to the Dispute Resolution Procedure.

#### **4. MEDIATION**

4.1 Pursuant to paragraph 2.1.3 of this Call Off Schedule 11, if a Dispute Notice is served, the Parties shall attempt to resolve the Dispute by way of mediation. The Parties may follow the CEDR's Model Mediation Procedure which is current at the time the Dispute Notice is served (or such other version as the Parties may agree) or a mediation procedure that is agreed between the Parties.

4.2 If the Parties are unable to agree on the joint appointment of a Mediator within thirty (30) Working Days from service of the Dispute Notice then either Party may apply to CEDR to nominate the Mediator.

4.3 If neither Party applies to CEDR to nominate the Mediator or an application to CEDR is unsuccessful under paragraph 4.2 of this Call Off Schedule 11, either Party may proceed to:

4.3.1 hold further discussions between Senior Officers; or

4.3.2 an Expert determination, as prescribed in paragraph 5 of this Call Off Schedule 11; or

4.3.3 arbitration, as prescribed in paragraph 6 of this Call Off Schedule 11; or

4.3.4 litigation in accordance with Clause 57 of this Call Off Contract (Governing Law and Jurisdiction).

4.4 If the Parties are unable to reach a settlement in the negotiations at the mediation, and only if the Parties so request and the Mediator agrees, the Mediator shall produce for the Parties a non-binding recommendation on terms of settlement. This shall not attempt to anticipate what a court might order but shall set out what the Mediator suggests are appropriate settlement terms in all of the circumstances.

4.5 Any settlement reached in the mediation shall not be legally binding until it has been reduced to writing and signed by, or on behalf of, the Parties (in accordance with the Variation Procedure where appropriate). The Mediator shall assist the Parties in recording the outcome of the mediation.

4.6 The costs of any mediation procedure used to resolve the Dispute under this paragraph 4 of this Call Off Schedule 11 shall be shared equally between the Parties.

#### **5. EXPERT DETERMINATION**

5.1 If a Dispute relates to any aspect of the technology underlying the provision of the Goods and/or Services or otherwise relates to a technical matter of an accounting or financing nature (as the Parties may agree), either Party may request (such request shall not be unreasonably withheld or delayed by the Parties) by written notice to the other that the Dispute is referred to an Expert for determination.

- 5.2 The Expert shall be appointed by agreement in writing between the Parties, but in the event of a failure to agree within ten (10) Working Days, or if the person appointed is unable or unwilling to act, the Expert shall be appointed on the instructions of the relevant professional body.
- 5.3 The Expert shall act on the following basis:
- 5.3.1 he/she shall act as an expert and not as an arbitrator and shall act fairly and impartially;
- 5.3.2 the Expert's determination shall (in the absence of a material failure to follow the agreed procedures) be final and binding on the Parties;
- 5.3.3 the Expert shall decide the procedure to be followed in the determination and shall be requested to make his/her determination within thirty (30) Working Days of his appointment or as soon as reasonably practicable thereafter and the Parties shall assist and provide the documentation that the Expert requires for the purpose of the determination;
- 5.3.4 any amount payable by one Party to another as a result of the Expert's determination shall be due and payable within twenty (20) Working Days of the Expert's determination being notified to the Parties;
- 5.3.5 the process shall be conducted in private and shall be confidential; and
- 5.3.6 the Expert shall determine how and by whom the costs of the determination, including his/her fees and expenses, are to be paid.

## 6. ARBITRATION

- 6.1 Either of the Parties may, at any time before court proceedings are commenced and after the Parties have attempted to resolve the Dispute in good faith, by commercial negotiation, mediation and Expert determination (if applicable), refer the Dispute to arbitration in accordance with the provisions of paragraph 6.4 of this Call Off Schedule 11.
- 6.2 Before the Supplier commences court proceedings or arbitration, it shall serve written notice on the Customer of its intentions and the Customer shall have fifteen (15) Working Days following receipt of such notice to serve a reply (a "**Counter Notice**") on the Supplier requiring the Dispute to be referred to and resolved by arbitration in accordance with paragraph 6.4 of this Call Off Schedule 11 or be subject to the jurisdiction of the courts in accordance with Clause 57 of this Call Off Contract (Governing Law and Jurisdiction). The Supplier shall not commence any court proceedings or arbitration until the expiry of such fifteen (15) Working Day period.
- 6.3 If:
- 6.3.1 the Counter Notice requires the Dispute to be referred to arbitration, the provisions of paragraph 6.4 of this Call Off Schedule 11 shall apply;
- 6.3.2 the Counter Notice requires the Dispute to be subject to the exclusive jurisdiction of the courts in accordance with Clause 61 of this Call Off Contract (Governing Law and Jurisdiction), the Dispute shall be so referred to the courts and the Supplier shall not commence arbitration proceedings;
- 6.3.3 the Customer does not serve a Counter Notice within the fifteen (15) Working Days period referred to in paragraph 6.2 of this Call Off Schedule 11, the Supplier may either commence arbitration proceedings in accordance with paragraph 6.4 of this Call Off Schedule 11 or commence court proceedings in the courts in accordance

with Clause 57 of this Call Off Contract (Governing Law and Jurisdiction) which shall (in those circumstances) have exclusive jurisdiction.

6.4 In the event that any arbitration proceedings are commenced pursuant to paragraphs 6.1 to 6.3 of this Call Off Schedule 11, the Parties hereby confirm that:

- 6.4.1 all disputes, issues or claims arising out of or in connection with this Call Off Contract (including as to its existence, validity or performance) shall be referred to and finally resolved by arbitration under the Rules of the London Court of International Arbitration (“**LCIA**”) (subject to paragraphs and 6.4.6 of this Call Off Schedule 11);
- 6.4.2 the arbitration shall be administered by the LCIA;
- 6.4.3 the LCIA procedural rules in force at the date that the Dispute was referred to arbitration shall be applied and are deemed to be incorporated by reference into this Call Off Contract and the decision of the arbitrator shall be binding on the Parties in the absence of any material failure to comply with such rules;
- 6.4.4 if the Parties fail to agree the appointment of the arbitrator within ten (10) days from the date on which arbitration proceedings are commenced or if the person appointed is unable or unwilling to act, the arbitrator shall be appointed by the LCIA;
- 6.4.5 the arbitration proceedings shall take place in London and in the English language; and
- 6.4.6 the seat of the arbitration shall be London.

## **7. EXPEDITED DISPUTE TIMETABLE**

- 7.1 In exceptional circumstances where the use of the times in this Call Off Schedule 11 would be considered unreasonable by the Parties, including (by way of example) where one Party would be materially disadvantaged by a delay in resolving the Dispute, the Parties may agree to use the Expedited Dispute Timetable. If the Parties are unable to reach agreement on whether to use of the Expedited Dispute Timetable within five (5) Working Days of the issue of the Dispute Notice, the use of the Expedited Dispute Timetable shall be at the sole discretion of the Customer.
- 7.2 If the use of the Expedited Dispute Timetable is determined in accordance with paragraph 7.1 of this Call Off Schedule 11 or is otherwise specified under the provisions of this Call Off Contract, then the following periods of time shall apply in lieu of the time periods specified in the applicable paragraphs of this Call Off Schedule 11:
  - 7.2.1 in paragraph 2.8, fourteen (14) Working Days;
  - 7.2.2 in paragraph 3.2, ten (10) Working Days;
  - 7.2.3 in paragraph 4.2, ten (10) Working Days;
  - 7.2.4 in paragraph 5.2, five (5) Working Days; and
  - 7.2.5 in paragraph 6.2, ten (10) Working Days.
- 7.3 If at any point it becomes clear that an applicable deadline under paragraph 7.2 of this Call Off Schedule 11 cannot be met or has passed, the Parties may (but shall be under no obligation to) agree in writing to extend the relevant deadline.
- 7.4 If, pursuant to paragraph 7.2 of this Call Off Schedule 11, the Parties fail to agree within two (2) Working Days after the relevant deadline has passed, the Customer may set a revised deadline provided that it is no less than five (5) Working Days

before the end of the period of time specified in the applicable paragraphs under paragraph 7.2 (or no less than two (2) Working Days in the case of Paragraph 5.2 of this Call Off Schedule 11).

- 7.5 Any agreed extension under paragraph 7.2 of this Call Off Schedule 11 shall have the effect of delaying the start of the subsequent stages by the period agreed in the extension. If the Customer fails to set such a revised deadline then the use of the Expedited Dispute Timetable shall cease and the normal time periods shall apply from that point onwards.

## **8. URGENT RELIEF**

8.1 Either Party may at any time take proceedings or seek remedies before any court or tribunal of competent jurisdiction:

- 8.1.1 for interim or interlocutory remedies in relation to this Call Off Contract or infringement by the other Party of that Party's Intellectual Property Rights; or
- 8.1.2 where compliance with paragraph [2.1] of this Call Off Schedule 11 and/or referring the Dispute to mediation may leave insufficient time for that Party to commence proceedings before the expiry of the limitation period; or
- 8.1.3 if the Parties fail to resolve the Dispute following good faith discussions and commercial negotiations and mediation (where applicable) is unsuccessful within 60 working days or such period as may be agreed by the Parties then any Dispute between the Parties may be referred to the Courts.

**CALL OFF SCHEDULE 12: VARIATION FORM**

No of Call Off Order Form being varied:

.....

Variation Form No:

.....

BETWEEN:

[insert name of Customer] ("**the Customer**")

and

[insert name of Supplier] ("**the Supplier**")

1. This Call Off Contract is varied as follows:

***[Refer to Clause 22.1 and insert details of the Variation]***

- 2.

3. Words and expressions in this Variation shall have the meanings given to them in this Call Off Contract.

4. This Call Off Contract, including any previous Variations, shall remain effective and unaltered except as amended by this Variation.

Signed by an authorised signatory for and on behalf of the Customer

Signature

Date

Name (in  
Capitals)

Address

Signed by an authorised signatory to sign for and on behalf of the Supplier

Signature

Date

Name (in  
Capitals)

Address

### **CALL OFF SCHEDULE 13: TRANSPARENCY REPORTS**

- 1.1 Within three (3) months from the Call Off Commencement Date or the date so specified by the Customer in the Call Off Order Form the Supplier shall provide to the Customer for Approval (the Customer's decision to approve or not shall not be unreasonably withheld or delayed) draft Transparency Reports consistent with the content and format requirements in Annex 1 below.
- 1.2 If the Customer rejects any proposed Transparency Report, the Supplier shall submit a revised version of the relevant report for further Approval by the Customer within five (5) days of receipt of any notice of rejection, taking account of any recommendations for revision and improvement to the report provided by the Customer. If the Parties fail to agree on a draft Transparency Report the Customer shall determine what should be included.
- 1.3 The Supplier shall provide accurate and up-to-date versions of each Transparency Report to the Customer at the frequency referred to in Annex 1 of this Call Off Schedule 13 below.
- 1.4 Any disagreement in connection with the preparation and/or approval of Transparency Reports, other than under paragraph 1.2 above in relation to the contents of a Transparency Report, shall be treated as a Dispute.
- 1.5 The requirements in this Call Off Schedule 13 are in addition to any other reporting requirements in this Call Off Contract.

## **ANNEX 1: LIST OF TRANSPARENCY REPORTS**

Transparency reports are to be published within 90 days of contract award. This is in line with Crown Commercial Service Ops procedure. These reports will be agreed with the supplier and the contracting authority before release

**CALL OFF SCHEDULE 14: ALTERNATIVE AND/OR ADDITIONAL CLAUSES**

**NOT USED**

**CALL OFF SCHEDULE 15: CALL OFF TENDER**

[REDACTED]

Clarification Questions and Answers