

**Contract No. 1.11.4.3941. Covid Transmission – University of Sheffield**

To Be Quoted on All Correspondence



**CONTRACT**

**between**

**THE HEALTH AND SAFETY EXECUTIVE**

**and**

**UNIVERSITY OF SHEFFIELD**

**for**

**COVID TRANSMISSION**

## CONTENTS

Clause	Clause No.
General Conditions	1
Entire Agreement	2
Statement of Service Requirements	3
Management of the Contract	4
Duration	5
Costs	6
IR35 – Intermediaries Legislation	7
Tax Status	8
Invoicing and Payments	9
Deliverables	10
Intellectual Property	11
Access to HSE Premises	12
Confidentiality	13
Publication	14
Transparency	15
Variation	16
Governing Law	17
Termination	18
Signatories	
<b>Schedules and Annexes</b>	
Schedule A	Statement of Service Requirement
Schedule B	APHA Proposal
Schedule C	HSE Standard Terms and Conditions
Schedule D	Processing Personal Data and Data Subjects
Schedule E	Cost Breakdown

**Contract No. 1.11.4.3941. Covid Transmission – University of Sheffield**

Annex 1      Contact List

**Contract No. 1.11.4.3941. Covid Transmission – University of Sheffield**

This Contract is made between:

The **HEALTH AND SAFETY EXECUTIVE** (acting as part of the Crown) of Redgrave Court, Merton Road, Bootle, Merseyside, L20 7HS (hereinafter called 'the HSE' of the one part) and

**UNIVERSITY OF SHEFFIELD**, incorporated by Royal Charter (company registration number RC000667) of Firth Court Western Bank, Sheffield, S10 2TN (hereinafter 'the Contractor' of the other part), in accordance with the details, terms and conditions stated herein.

**WHEREAS**

The contractor was selected to contribute to delivery of COVID Transmission

**1 GENERAL CONDITIONS**

- 1.1 This Contract will be subject to the HSE Standard Terms and Conditions of Contract for the Provision of Services, attached as Schedule C. However, where any conflict exists between the clauses in this Contract and the Terms and Conditions at Schedule C, then the clauses in this Contract will prevail. The Clauses in this Contract and the Terms and Conditions at Schedule C will also govern all Purchase Orders placed against this Contract.

**2 ENTIRE AGREEMENT**

- 2.1 This Contract constitutes the entire agreement and understanding between the parties concerning the subject matter hereof and supercedes all prior agreements, both oral and written, representations, statements, negotiations and undertakings.

**3 STATEMENT OF SERVICE REQUIREMENTS**

- 3.1 The Contractor will carry out on behalf of the HSE a Statement of Services (hereinafter called the "Services") as detailed in Schedule A to this Contract, along with their proposal, as detailed in Schedule B to this Contract.
- 3.2 The Contractor shall organise and conduct the entire Services in consultation with HSE where appropriate, and provide all necessary resources of personnel, materials, Services and equipment, except for such resources that may be provided by HSE at its discretion.
- 3.3 No undertaking shall be deemed to have been made by HSE in respect of the total quantities or values of the Services to be ordered pursuant to this contract and the Contractor acknowledges and agrees that it has not entered into this contract on the basis of any such undertaking.

#### 4 MANAGEMENT OF THE CONTRACT

- 4.1 The HSE Contract Manager who will be responsible for liaison and certifying completion of the provision and overall management of the Services is identified at Annex 1.
- 4.2 The Services will be monitored by the Contract Manager who will also evaluate the provision on completion.
- 4.3 In all cases, both parties will work within the agreed timescales/constraints and costs outlined at the beginning of the commission.

#### 5 DURATION

- 5.1 The Services shall be deemed to have commenced on **1<sup>st</sup> August 2021** and shall be completed by **31<sup>st</sup> March 2022**.
- 5.2 Any option to extend will be dependent on further funding and an agreed Schedule of Works. Any term of extension will be agreed by both parties once confirmation of funding is received.

**Commented [RvE1]:** An extension may be required as the contract negotiations have delayed some recruitment- can the draft be amended to reflect ability for no cost extension should it be required.

#### 6 COSTS

- 6.1 The total funding to be paid by HSE to the Contractor for the Services shall not exceed **£169,679**, inclusive of VAT.
- 6.2 A full breakdown of costs can be found at Schedule E.
- 6.3 The Contractor is required to produce a monthly progress report as per the template provided by the Portfolio Management Office.
- 6.4 Any additional costs will be agreed in advance with the HSE Contract Manager and subject to clause 16 Variation to Contract.

#### 7 IR35 – INTERMEDIARIES LEGISLATION

- 7.1 HSE has undertaken an IR35 assessment of this engagement, and the HMRC online assessment tool determined that IR35 does not apply to this engagement.

#### 8 TAX STATUS

- 8.1 Where the Contractor, or its staff, is liable to be taxed in the UK in respect of consideration received under this contract, it shall at all times comply with the Income Tax (Earnings and Pensions) Act 2003 (ITEPA) and all other statutes and regulations relating to income tax in respect of that consideration.
- 8.2 Where the Contractor, or its staff, is liable to National Insurance Contributions (NICs) in respect of consideration received under this contract, it shall at all times comply with the Social Security Contributions and Benefits Act 1992

**Contract No. 1.11.4.3941. Covid Transmission – University of Sheffield**

(SSCBA) and all other statutes and regulations relating to NICs in respect of that consideration.

8.3 HSE may, at any time request that the Contractor provides information which demonstrates how it, or its staff, complies with Clauses 8.1 and 8.2 above or why those Clauses do not apply to it.

8.4 A request under Clause 8.3 above must specify the information which the Contractor, or its staff, must provide and the period within which that information must be provided.

8.5 HSE may terminate this contract if

a) in the case of a request mentioned in Clause 8.3 above-

(i) The Contractor, or its staff, fails to provide information in response to the request within a reasonable time, or

(ii) The Contractor, or its staff, provides information which is inadequate to demonstrate either how it complies with Clauses 8.1 and 8.2 above or why those Clauses do not apply to it;

b) in the case of a request mentioned in Clause 8.4 above, The Contractor, or its staff, fails to provide the specified information within the specified period; or

c) it receives information which demonstrates that, at any time when Clauses 8.1 and 8.2 apply the Contractor, or its staff, is not complying with those Clauses.

8.6 HSE may supply any information which it receives under Clause 8.3 to the Commissioners of Her Majesty's Revenue and Customs for the purposes of the collection and management of revenue for which they are responsible.

## **9 INVOICING AND PAYMENTS**

9.1 All invoices raised must include the relevant Purchase Order number which will be issued by HSE Procurement Unit. Failure to include the Purchase Order Number may delay payment. Invoices should be submitted electronically in PDF format to [APinvoices-HAS-U@gov.sscl.com](mailto:APinvoices-HAS-U@gov.sscl.com)

9.2 Invoices should also include details of work satisfactorily carried out and any VAT properly chargeable.

9.3 HSE shall make payment of agreed costs, in arrears, within 30 days of the acceptance of the invoice. All payments will be paid in accordance with Clause C2 of HSE Terms & Conditions, attached as Schedule C.

9.4 The Contractor shall send a copy invoice along with details of any work satisfactory carried out to the HSE Contract Manager identified at Annex 1.

**Contract No. 1.11.4.3941. Covid Transmission – University of Sheffield**

- 9.5 Please note it is extremely important that your invoice is laid out as per the HSE Purchase Order, i.e. Line Numbering and Description. In doing this, you will prevent the invoice being rejected by SSCL.

**10 DELIVERABLES**

- 10.1 The Contractor shall provide the following Themes and Objectives as detailed in Schedule A (Statement of Service Requirements) and APHA's proposal attached as Schedule B:-

- **Theme 5** – Mechanism of Transmission.

**11 INTELLECTUAL PROPERTY**

- 11.1 Your attention is drawn to clauses E8 within Schedule C of the attached standard terms and conditions.

**12 ACCESS TO HSE PREMISES**

- 12.1 It shall be the Contractor's responsibility to ensure that, where access to HSE Premises or HSE confidential information is necessary, personnel engaged in the performance of this Contract shall have undergone pre-employment checks covering identity, the last three years employment history, nationality and immigration status and criminal record for unspent convictions. Such checks shall meet the requirements of HMG Baseline Security Standard.

- 12.2 HSE reserves the right, at its sole discretion, but on a reasonable basis, to carry out audits and spot checks at any time during the Contract Period to satisfy itself that the checks have been carried out. Guidance on pre-employment checks may be found at <http://www.cabinetoffice.gov.uk/sites/default/files/resources/hmg-personnel-security-controls.pdf>

**13 CONFIDENTIALITY**

- 13.1 The Contractor shall not at any time divulge any information or material acquired during the performance of this Contract to any third party without prior permission in writing of the Executive, except where required in the course of any legal proceedings.
- 13.2 The Contractor shall keep documents and other materials produced or acquired in the course of the contract in accordance with The Criminal Procedure and Investigations Act 1996 (CPIA).
- 13.3 HSE may disclose the Confidential Information of the Contractor:
- (a) on a confidential basis to any Central Government Body for any proper purpose of the Authority or of the relevant Central Government Body;

- (b) to Parliament and Parliamentary Committees or if required by any Parliamentary reporting requirement;
- (c) to the extent that the Authority (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 13.3(a) (including any benchmarking organisation) for any purpose relating to or connected with this Contract;
- (e) on a confidential basis for the purpose of the exercise of its rights under this Contract; or
- (f) on a confidential basis to a proposed Successor Body in connection with any assignment, novation or disposal of any of its rights, obligations or liabilities under this Contract,

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

#### **14 PUBLICATION**

- 14.1 The parties acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of this Contract is not Confidential Information. HSE shall be responsible for determining in its absolute discretion whether any of the content of the Contract is exempt from disclosure in accordance with the provisions of the FOIA.
- 14.2 Notwithstanding any other term of this Contract, the Contractor hereby gives his consent for HSE to publish the Contract in its entirety, including from time to time agreed changes to the Contract, to the general public.
- 14.3 HSE may consult with the Contractor to inform its decision regarding any redactions but HSE shall have the final decision in its absolute discretion.
- 14.4 The Contractor shall assist and co-operate with HSE to enable HSE to publish this Contract.



## 15 TRANSPARENCY

- 15.1 The Government has set out the need for greater transparency across its operations to enable the public to hold public bodies and politicians to account. This includes commitments relating to public expenditure, intended to help achieve better value for money. HSE is obliged to publish documents for contracts with a value over £10,000.
- 15.2 In addition, you should be aware that if you are awarded a new contract with a value of over £10,000, the resulting contract comprising of Specification, Terms and Conditions and Associated Schedules (including the winning bid) will be published.
- 15.3 By exception, requests for redaction will be subject to the public interest test and redaction will only be agreed where the public interest in withholding the information outweighs the public interest in disclosure. You must identify / reference the relevant text, show clear justification for redaction and detail the appropriate section of the Freedom of Information Act 2000 (for example, Sections 40, 41, 43) on which the redaction request is sought.

## 16 VARIATION TO CONTRACT

- 16.1 Except where expressly stated in this contract, no change, amendment or modification shall be effective unless in writing and signed by the duly authorised representatives of both parties.
- 16.2 Any agreed changes to the Contract or Schedule A (Statement of Service Requirement) will be in the form of a Contract Change Note (CCN), which will be raised and issued by the HSE Procurement Unit.

## 17 GOVERNING LAW

- 17.1 This Contract shall be governed by and interpreted in accordance with English law and the Parties submit to the exclusive jurisdiction of the courts of England and Wales.

## 18 TERMINATION

- 18.1 This Contract may be terminated by either party by giving one months written notice. In the event of termination by HSE, the Contractor shall be provided with any re-imbusement of costs, actually and reasonably incurred, up to the date of termination, subject to the limit specified in Clause 6 above.

## 19 ELECTRONIC COUNTERPARTS

- 19.1 This Agreement may be executed in any number of counterparts, each of which when executed (and delivered or transmitted by electronic means), will constitute one original, and photocop, electronic or other copies shall have the same effect for all purposes as an ink signed original. Each party hereto consents to be bound by photocopy signatures of such party's representative

Commented [RvE2]: Added for logistical ease

Formatted: Font: Bold

Formatted: Font: Bold

**Contract No. 1.11.4.3941. Covid Transmission – University of Sheffield**

hereto. No counterpart will be effective until each party has executed at least one counterpart.

As Witnessed at the Hands of the Parties

**Contract No. 1.11.4.3941. Covid Transmission – University of Sheffield**

## **SIGNATORIES**

IN WITNESS WHEREOF THIS CONTRACT HAS BEEN AGREED :

Signature \_\_\_\_\_

Name in Capitals \_\_\_\_\_

Position \_\_\_\_\_

Date \_\_\_\_\_

Duly authorised to sign on behalf of

### **UNIVERSITY OF SHEFFIELD**

Firth Court, Western Bank, Sheffield, S10 2TN

Signature \_\_\_\_\_

Name in Capitals \_\_\_\_\_

Position \_\_\_\_\_

Date \_\_\_\_\_

Duly authorised to sign on behalf of the

### **HEALTH AND SAFETY EXECUTIVE**

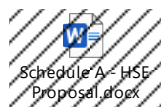
Procurement Unit, Building 2.3, Redgrave Court, Merton Road, Bootle,  
Merseyside L20 7HS

Contract No. 1.11.4.3941. Covid Transmission – University of Sheffield

Schedule A

## STATEMENT OF SERVICE REQUIREMENT

The Contractor shall undertake the following Statement of Service titled **Project Milestones 2021/2022**, and referenced **1.11.4.3941. – National Covid Project – Project Milestones 2021/2022**



**Contract No. 1.11.4.3941. Covid Transmission – University of Sheffield**

**Schedule B**

## **PROPOSAL**

The Contractor shall undertake HSE's Statement of Service titled Mechanisms of Transmission, as per their proposal detailed in the document below.



University of  
Sheffield.pdf

**Contract No. 1.11.4.3941. Covid Transmission – University of Sheffield**

**Schedule C**

**HSE STANDARD TERMS AND CONDITIONS OF CONTRACT FOR  
THE PROVISION OF SERVICES**

Please see the attached document containing the HSE Standard Terms and Conditions of Contract for the Provision of Services



HSE's Terms and  
Conditions for the P

Schedule D

## SCHEDULE OF PROCESSING PERSONAL DATA AND DATA SUBJECTS

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

1. The contact details of the Controller's Data Protection Officer are Sean Egan, 0203 028 3547, [sean.egan@hse.gov.uk](mailto:sean.egan@hse.gov.uk)
2. The contact details of the Processor's Data Protection Officer are Luke Thompson, 0114 2221117, [dataprotection@sheffield.ac.uk](mailto:dataprotection@sheffield.ac.uk)
3. Processor shall comply with any further written instructions with respect to processing by the Controller.
4. Any such further instructions shall be incorporated into this Schedule.

Description	Details
Identity of the Controller and Processor	The Parties acknowledge that for the purpose of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor in accordance with Clause 1.1
Subject matter of the processing	<p>Study consists of questionnaires, interviews with business owners and employees, and CO2 monitoring in the business.</p> <p>The questionnaires and interviews do not require personal identifying information. In order to conduct the research email addresses and contact information will need to be collected.</p>
Duration of the Processing	6 <sup>th</sup> Sept 2021 – 31 <sup>st</sup> March 2022
Nature and purposes of the processing	<p>During the questionnaire email addresses will be collected to enter participants to the prize draw (given as an incentive for participation) and to invite them to participate in follow up research.</p> <p>Participants will be redirected to a separate questionnaire to enter in their email address, so that data and email addresses are kept separate. Participants will be asked to provide a self-generated unique code when completing the questionnaire, to allow for matching up of data at follow up if relevant. Email addresses will be accessible only to the University research team via password protected Qualtrics accounts.</p> <p>For the interviews and CO2 monitoring email addresses and/or other contact details of potential participants will be stored in a password protected file accessible to the University research team for the purposes of inviting participants to participate in the research, scheduling data collection, and following up with any</p>

**Contract No. 1.11.4.3941. Covid Transmission – University of Sheffield**

Description	Details
	<p>outcomes as relevant. For participants recruited directly through Business Sheffield), email addresses and/or contact details of potential participants will be stored in line with their own existing protocols</p> <p>Recordings of the semi-structured interviews will be made on a digital voice recorder, and transferred to a shared google drive folder accessible to the University research team, as soon as practicable after recording. Recordings will be sent to the professional transcriber (e.g., <a href="https://www.universitytranscriptions.co.uk/">https://www.universitytranscriptions.co.uk/</a>) via a web based SSL secure server upload or directly shared within google drive, and transcriptions returned via email in a password protected document. The University research team will make a reasonable effort to then remove potentially identifying information from transcriptions, so that data is anonymous for the purposes of sharing with partner organisations (Sheffield City Council, Health and Safety Executive), storing on open-access platforms, and including in reports or publications.</p>
Type of Personal Data	Email addresses and other contact details of study participants.
Categories of Data Subject	Members of the public.
<p>Plan for return and destruction of the data once the processing is complete</p> <p>UNLESS requirement under union or member state law to preserve that type of data</p>	<p>Email addresses of participants who have won the prize draw (questionnaire) or who received remuneration for their participation (interviews and CO2 monitoring) will be stored securely in digital or paper form by the Departmental/University finance teams for 7 years, in case of a financial audit.</p> <p>All other email addresses will be destroyed at the end of the project once processing is complete.</p>



**Contract No. 1.11.4.3941. Covid Transmission – University of Sheffield**

**Schedule E**

### **SCHEDULE OF BREAKDOWN OF COSTS**

Listed below is a full breakdowns of costs against the deliverables laid out in HSE's Statement of Service.



Schedule E Uni of  
Sheffield\_.xlsx



University of  
Sheffield - Annexe C

Annex 1

**CONTACT LIST**

HSE Contacts	Contractor Contacts
<b>Contractual Queries</b>	
<p><del>Val Mabbott</del>  <del>Procurement Manager</del>  <del>Health &amp; Safety Executive</del>  <del>Procurement Unit</del>  <del>Building 2.3 Redgrave Court</del>  <del>Merton Road</del>  <del>Bootle</del>  <del>Merseyside L20 7HS</del></p> <p><del>e-mail : val.mabbott@hse.gov.uk</del></p>	<p><del>Kirsty Lindley</del>  <del>Head of Research Grant Operations</del>  <del>University of Sheffield</del>  <del>Firth Court</del>  <del>Western Bank</del>  <del>Sheffield</del>  <del>S10 2TN</del></p> <p><del>Tel : 01144 2221464</del>  <del>e-mail : ri-contracts@sheffield.ac.uk</del></p>
<b>Contract Managers / Technical Queries</b>	
<p><del>Dean Ali</del>  <del>Health &amp; Safety Executive</del>  <del>Buxton</del>  <del>Derbyshire</del>  <del>SK17 9JN</del>  <del>—</del>  <del>Tel : 0203 028 1893</del>  <del>e-mail : dean.ali@hse.gov.uk</del></p>	<p><del>Abigail Hathway</del>  <del>Senior Lecturer</del>  <del>University of Sheffield</del>  <del>Firth Court</del>  <del>Western Bank</del>  <del>Sheffield</del>  <del>S10 2TN</del></p> <p><del>Tel: 07854711412</del>  <del>e-mail : a.hathway@sheffield.ac.uk</del></p>
<b>Communication</b>	
<p><del>Dean Ali</del>  <del>Health &amp; Safety Executive</del>  <del>Buxton</del>  <del>Derbyshire</del>  <del>SK17 9JN</del>  <del>-</del>  <del>Tel : 0203 028 1893</del>  <del>e-mail : dean.ali@hse.gov.uk</del></p>	<p><del>Chris Drew</del>  <del>Research Hub Manager</del>  <del>University of Sheffield</del>  <del>Firth Court</del>  <del>Western Bank</del>  <del>Sheffield</del>  <del>S10 2TN</del></p> <p><del>Tel: 0114 2227723</del>  <del>e-mail : civil-research@sheffield.ac.uk</del></p>

Field Code Changed

Field Code Changed

Formatted: Normal

Field Code Changed

Field Code Changed