



Ministry
of Justice

LVPS

Buyer Contract

Service Designer Case Study

KTA Research & Consulting LLP
30 Durnsford Avenue
London
SW19 8BH

15th August 2024
Ref: con_24199

Dear Sir/Madam,

Award of Buyer Contract under LVPS
Service Designer Case Study

I am writing to inform you that **The Secretary of State for Justice** (the “**Buyer**”) proposes to make an award of a contract to you to provide the Deliverables on the terms set out in this letter (the “**Buyer Contract**”). The Buyer Contract will be created by the Supplier emailing the Buyer to accept the offer of the Buyer Contract in accordance with the instructions in this letter.

This award is made under the CCS Low Value Purchase System, which is a system established by the Crown Commercial Service under Part 4 of the Public Contracts Regulations 2015 for suppliers who are able to provide goods and/or services where the value of the contract is below the relevant thresholds for Part 2 of the Public Contracts Regulations 2015 to apply (“**LVPS**”).

The Buyer Contract

The Buyer Contract shall be as follows:

1. The Supplier shall supply the Deliverables on the terms set out in this letter and the contract conditions specified in Annex A to this letter (the “**Conditions**”);
2. The Charges for the Deliverables are specified in Part 2 of Annex F;
3. Any special terms set out in Annex B to this letter apply to the Buyer Contract (each a “**Special Term**”);
4. No other Supplier terms are part of the Buyer Contract. That includes any terms written in the email accepting the offer of the Buyer Contract or presented at the time of delivery;
5. If any of the Conditions conflict with any of the terms of this letter or with any Special Term, the terms of this letter or the relevant Special Term prevails. If any of the Special Terms conflict with any of the terms of this letter, the relevant Special Term prevails.

The Term shall begin on the date the contract is signed and the Expiry Date shall be **31/03/2025** unless it is otherwise extended or terminated in accordance with the terms and conditions of the Buyer Contract. If the Buyer and the Supplier enter into the Buyer Contract, the Buyer and the Supplier will, each at their own expense, do all acts and things necessary or desirable to give effect to the Buyer Contract.

Accepting the offer of the Buyer Contract

Signed for and on behalf of The Secretary of State for Justice	
Name:	
Job Title:	
Signature:	

We accept the terms set out in this letter and its **Annexes**, including the Conditions.

Signed for and on behalf of KTA Research & Consulting LLP	
Name:	
Job Title:	
Signature:	

Contract management information

In order to make the Buyer Contract operate properly, you will need the information set out in Annex C to this letter.

If you accept the Buyer Contract, please provide the following information once you have signed:

- a) Commercially Sensitive Information (not applicable or insert your Commercially Sensitive Information)
- b) Supplier Address for notices (if different to the Supplier's Registered Address)
- c) Supplier's account for payment of Charges

If you have any queries, please contact me at **[REDACTED]**

Yours faithfully,

[REDACTED]

Annex A Conditions

1. DEFINITIONS USED IN THE BUYER CONTRACT

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

"Buyer"	means the person identified in the letterhead of the Letter
"Buyer Cause"	any breach of the obligations of the Buyer or any other default, act, omission, negligence or statement of the Buyer, of its employees, servants, agents in connection with or in relation to the subject-matter of the Buyer Contract and in respect of which the Buyer is liable to the Supplier;
"Buyer Contract"	has the meaning given to it in the Letter;
"CCS"	the Minister for the Cabinet Office as represented by Crown Commercial Service, which is an executive agency and operates as a trading fund of the Cabinet Office, whose offices are located at 9th Floor, The Capital, Old Hall Street, Liverpool L3 9PP;
"Central Government Body"	means a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics: Government Department; Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal); Non-Ministerial Department; or Executive Agency
"Charges"	means the charges specified in Part 2 of Annex F and which in aggregate shall in no circumstances exceed the thresholds set out in regulation 5 of the Regulations;
"Commercially Sensitive Information"	the Confidential Information listed in the email of acceptance comprising of commercially sensitive information relating to the Supplier, its intellectual property rights or its business or which the Supplier has indicated to the Buyer that, if disclosed by the Buyer, would cause the Supplier significant commercial disadvantage or material financial loss;
"Confidential Information"	means all information, whether written or oral (however recorded), provided by the disclosing Party to the receiving Party and which (i) is known by the receiving Party to be confidential; (ii) is marked as or stated to be confidential; or (iii) ought reasonably to be considered by the receiving Party to be confidential;
"Controller"	has the meaning given to it in the UK GDPR;
"Data Loss Event"	any event that results, or may result, in unauthorised access to Personal Data held by the Processor under this Agreement, and/or actual or potential loss and/or destruction of Personal Data in breach of this Agreement, including any Personal Data Breach.
"Data Protection Impact Assessment"	an assessment by the Controller carried out in accordance with Section 3 of the UK GDPR and sections 64 and 65 of the DPA 2018.;
"Data Protection Legislation"	(i) all applicable UK law relating to the processing of personal data and privacy, including but not limited to the UK GDPR, and the Data Protection Act 2018 to the extent that it relates to processing of personal data and privacy; and (ii) (to the extent that it may be applicable) the EU GDPR). The UK GDPR and EU GDPR are defined in section 3 of the Data Protection Act 2018;
"Data Protection Officer"	has the meaning given to it in the UK GDPR;
"Data Subject"	has the meaning given to it in the UK GDPR;

"Data Subject Access Request"	a request made by, or on behalf of, a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation to access their Personal Data;
"Deliver"	means hand over the Deliverables to the Buyer at the address and on the date specified in Annex C, which shall include unloading and any other specific arrangements agreed in any Special Term. "Delivered" , "Deliveries" and "Delivery" shall be construed accordingly;
"Deliverables"	Offered Deliverables that are ordered under the Buyer Contract and described in Part 1 of Annex F;
"DOTAS"	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;
"DPA 2018"	Data Protection Act 2018
"Electronic Invoice"	an invoice which has been issued, transmitted and received in a structured electronic format which allows for its automatic and electronic processing and which complies with (a) the European standard and (b) any of the syntaxes published in Commission Implementing Decision (EU) 2017/1870
"Existing IPR"	any and all intellectual property rights that are owned by or licensed to either Party and which have been developed independently of the Buyer Contract (whether prior to the date of the Buyer Contract or otherwise)
"Expiry Date"	means the date for expiry of the Buyer Contract as set out in the Letter;
"FOIA"	means the Freedom of Information Act 2000 together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government department in relation to such legislation;
"Force Majeure Event"	any event, occurrence, circumstance, matter or cause affecting the performance by either the Buyer or the Supplier of its obligations arising from 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 the Buyer Contract and which are not attributable to any wilful act, neglect or failure to take reasonable preventative action by the affected Party, including: a) riots, civil commotion, war or armed conflict; b) acts of terrorism; c) acts of a Central Government Body, local government or regulatory bodies; d) fire, flood, storm or earthquake or other natural disaster, but excluding any industrial dispute relating to the Supplier, the Supplier Staff, or any other failure in the Supplier or the subcontractor's supply chain;
"General Anti-Abuse Rule"	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;
"Goods"	means the goods to be supplied by the Supplier to the Buyer under the Buyer Contract;
"Good Industry Practice"	standards, practices, methods and procedures conforming to the Law and the exercise of the degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged within the relevant industry or business sector;
"Government Data"	<p>a) the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any electronic, magnetic, optical or tangible media, including any of the Buyer's confidential information, and which: i) are supplied to the Supplier by or on behalf of the Buyer; or ii) the Supplier is required to generate, process, store or transmit pursuant to the Buyer Contract; or</p> <p>b) any Personal Data for which the Buyer is the Data Controller;</p>
"Halifax Abuse Principle"	the principle explained in the CJEU Case C-255/02 Halifax and others;
"Independent Control"	where a Controller has provided Personal Data to another Party which is not a Processor or a Joint Controller because the recipient itself determines the purposes and means of Processing but does so separately from the Controller providing it with Personal Data and "Independent Controller" shall be construed accordingly;
"Information"	has the meaning given under section 84 of the FOIA;
"Information Commissioner"	the UK's independent authority which deals with ensuring information relating to rights in the public interest and data privacy for individuals is met, whilst promoting openness by public bodies;
"Insolvency Event"	<p>in respect of a person:</p> <p>a) if that person is insolvent;</p> <p>b) if an order is made or a resolution is passed for the winding up of the person (other than voluntarily for the purpose of solvent amalgamation or reconstruction);</p> <p>c) if an administrator or administrative receiver is appointed in respect of the whole or any part of the persons assets or business;</p> <p>d) if the person makes any composition with its creditors or takes or suffers any similar or analogous action to any of the actions detailed in this definition as a result of debt in any jurisdiction;</p>
"IR35"	<p>the off-payroll rules requiring individuals who work through their company pay the same tax and National Insurance contributions as an employee which can be found online at:</p> <p>https://www.gov.uk/guidance/ir35-find-out-if-it-applies;</p>
"Joint Controller Agreement"	the agreement (if any) entered into between the Buyer and the Supplier substantially in the form set out in Appendix 2 of Annex D;
"Joint Control"	where two or more Controllers jointly determine the purposes and means of Processing and "Joint Controller" shall be construed accordingly;
"Law"	any law, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, regulation, order, regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements with which the relevant Party is bound to comply;
"Law Enforcement Processing"	processing under Part 3 of the DPA 2018;

"Letter"	the letter from the Buyer to the Supplier offering to enter into the Buyer Contract;
"Losses"	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;
"LVPS"	has the meaning given to it in the Letter
"LVPS Contract"	the contract between CCS and the Supplier for the admission of the Supplier to the LVPS pursuant to which the Supplier makes the Offered Deliverables available for sale under this Buyer Contract;
"Maximum Liability Amount"	the amount specified in Annex C of the Letter;
"Minimum Warranty Period"	the minimum period for which the Supplier warrants the Deliverables specified in Annex C of Letter;
"New IPR"	all intellectual property rights in any materials created or developed by or on behalf of the Supplier pursuant to the Buyer Contract but shall not include the Supplier's Existing IPR;
"Occasion of Tax Non-Compliance"	<p>where:</p> <p>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:</p> <p>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;</p> <p>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 the DOTAS or any equivalent or similar regime in any jurisdiction; and/or</p> <p>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 first day of the Term or to a civil penalty for fraud or evasion;</p>
"Offered Deliverables"	Goods and/or Services which meet the description of the service heading relating to the Deliverables and the location of the Deliverables as detailed in the LVPS;
"Party"	the Supplier or the Buyer (as appropriate) and "Parties" shall mean both of them;
"Personal Data"	has the meaning given to it in the UK GDPR;
"Personal Data Breach"	has the meaning given to it in the UK GDPR;
"Processing"	has the meaning given to it in the UK GDPR;
"Processor"	has the meaning given to it in the UK GDPR;
"Processor Personnel"	all directors, officers, employees, agents, consultants and suppliers of the Processor and/or of any Sub-processor engaged in the performance of its obligations under the Buyer Contract;
"Prohibited Acts"	<p>a) to directly or indirectly offer, promise or give any person working for or engaged by the Buyer or any other public body a financial or other advantage to:</p> <p>i) induce that person to perform improperly a relevant function or activity; or</p>

	<p>ii) reward that person for improper performance of a relevant function or activity;</p> <p>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 the Buyer Contract; or</p> <p>c) committing any offence:</p> <p>i) under the Bribery Act 2010 (or any legislation repealed or revoked by such Act); or</p> <p>ii) under legislation or common law concerning fraudulent acts; or</p> <p>iii) defrauding, attempting to defraud or conspiring to defraud the Buyer or other public body; or</p> <p>d) 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;</p>
"Protective Measures"	appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it;
"Purchase Order Number"	means the Buyer's unique number relating to the order for Deliverables to be supplied by the Supplier to the Buyer in accordance with the terms of the Buyer Contract;
"Recall"	a request by the Supplier to return Goods to the Supplier or the manufacturer after the discovery of safety issues or defects (including defects in the right intellectual property rights) that might endanger health or hinder performance;
"Relevant Requirements"	applicable Law relating to bribery, corruption and fraud, including the Bribery Act 2010 and any guidance issued by the Secretary of State pursuant to section 9 of the Bribery Act 2010;
"Relevant Tax Authority"	HMRC, or, if applicable, the tax authority in the jurisdiction in which the Supplier is established;
"Regulations"	the Public Contracts Regulations 2015 and/or the Public Contracts (Scotland) Regulations 2015 (as the context requires) as amended from time to time;
"Request for Information"	has the meaning set out in the FOIA or the Environmental Information Regulations 2004 as relevant (where the meaning set out for the term "request" shall apply);
"Services"	means the services to be supplied by the Supplier to the Buyer under the Buyer Contract;
"Special Term"	any special term specified in Annex B to the Letter;
"Staff Vetting Procedures"	means vetting procedures that accord with good industry practice or, where applicable, the Buyer's procedures for the vetting of personnel as provided to the Supplier from time to time;
"Suitability Assessment Questionnaire"	The questionnaire completed by the Supplier as part of its application for inclusion in the LVPS, as set out at Annex E;

"Subprocessor"	any third Party appointed to process Personal Data on behalf of the Processor related to the Buyer Contract;
"Supplier Staff"	all directors, officers, employees, agents, consultants and contractors of the Supplier and/or of any subcontractor engaged in the performance of the Supplier's obligations under the Buyer Contract;
"Supplier"	means the person named as Supplier in the Letter;
"Term"	means the period from the start date of the Buyer Contract identified in paragraph 6 of the Letter to the Expiry Date as such period may be extended in accordance with paragraph 6 of the Letter or terminated in accordance with the terms and conditions of the Buyer Contract;
"Transparency Information"	the content of the Buyer Contract, including any changes to the Buyer 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 Buyer; and (ii) Commercially Sensitive Information;
"UK GDPR"	the UK General Data Protection Regulation;
"VAT"	means value added tax in accordance with the provisions of the Value Added Tax Act 1994;
"Workers"	any one of the Supplier Staff which the Buyer, in its reasonable opinion, considers is an individual to which Procurement Policy Note 08/15 (Tax Arrangements of Public Appointees) (https://www.gov.uk/government/publications/procurement-policy-note-0815-tax-arrangements-of-appointees) applies in respect of the Deliverables;
Working Day"	means a day (other than a Saturday or Sunday) on which banks are open for business in the City of London.

2. UNDERSTANDING THE BUYER CONTRACT

2.1. In the Buyer Contract, unless the context otherwise requires:

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

3. HOW THE BUYER CONTRACT WORKS

- 3.1. Any Special Terms that the Buyer has included in Annex B supplement or change these Conditions.
- 3.2. This Buyer Contract is a separate contract from the LVPS Contract and survives the termination of the LVPS Contract.
- 3.3. The Supplier acknowledges it has all the information required to perform its obligations under the Buyer Contract before entering into the Buyer Contract. When information is provided by the Buyer no warranty of its accuracy is given to the Supplier.
- 3.4. The Supplier will not be excused from any obligation, or be entitled to additional Charges because it failed to either:
 - a) verify the accuracy of any information provided to the Supplier by or on behalf of the Buyer prior to the first day of the Term; or
 - b) properly perform its own adequate checks.
- 3.5. The Buyer will not be liable for errors, omissions or misrepresentation of any information.
- 3.6. The Supplier warrants and represents all statements made and documents submitted as part of the procurement of Deliverables are and remain true and accurate.
- 3.7. The Buyer and the Supplier acknowledge and agree that the Buyer awarded this Buyer Contract to the Supplier pursuant to Part 4 of the Regulations and that as such the value of this Buyer Contract, including any form of option, any renewal and any modifications, shall be less than the relevant threshold mentioned in Regulation 5 of the Regulations.

4. WHAT NEEDS TO BE DELIVERED

- 4.1. All Deliverables;
 - a) the Supplier must provide Deliverables:
 - i) in accordance with the Offered Deliverables;
 - ii) to a professional standard;
 - iii) using reasonable skill and care;
 - iv) using Good Industry Practice;
 - v) using its own policies, processes and internal quality control measures as long as they do not conflict with the Buyer Contract;
 - vi) on the dates agreed; and
 - vii) that comply with all Law.
 - b) the Supplier must provide Deliverables with a warranty of at least the Minimum Warranty Period (or longer where the Supplier offers a longer warranty period to its Buyers) from Delivery against all obvious defects;
 - c) the Supplier must assign all third party warranties and indemnities covering the Deliverables for the Buyer's benefit.
- 4.2. Goods clauses
 - a) all Goods delivered must be new, or as new if recycled, unused and of recent origin;
 - b) all manufacturer warranties covering the Goods must be assignable to the Buyer on request and for free;
 - c) the Supplier transfers ownership of the Goods on completion of Delivery or payment for those Goods, whichever is earlier;

- d) risk in the Goods transfers to the Buyer on Delivery of the Goods, but remains with the Supplier if the Buyer notices damage following Delivery and lets the Supplier know within three Working Days of Delivery;
- e) the Supplier warrants that it has full and unrestricted ownership of the Goods at the time of transfer of ownership;
- f) the Supplier must Deliver the Goods on the date and to the specified location during the Buyer's working hours;
- g) the Supplier must provide sufficient packaging for the Goods to reach the point of Delivery safely and undamaged;
- h) all Deliveries must have a delivery note attached that specifies the order number, type and quantity of Goods;
- i) the Supplier must provide all tools, information and instructions the Buyer needs to make use of the Goods;
- j) the Supplier must indemnify the Buyer against the costs of any Recall of the Goods and will give notice of actual or anticipated action about the Recall of the Goods;
- k) the Buyer can cancel any order or part order of Goods which has not been Delivered. If the Buyer gives less than 14 days' notice then it will pay the Supplier's reasonable and proven costs already incurred on the cancelled order as long as the Supplier takes all reasonable steps to minimise these costs;
- l) the Supplier must at its own cost repair, replace, refund or substitute (at the Buyer's option and request) any Goods that the Buyer rejects because they do not conform with clause 4.2. If the Supplier does not do this it will pay the Buyer's costs including repair or re-supply by a third party.

4.3. Services clauses

- a) late Delivery of the Services will be a default of the Buyer Contract;
- b) the Supplier must co-operate with the Buyer and third party suppliers on all aspects connected with the Delivery of the Services and ensure that Supplier Staff comply with any reasonable instructions;
- c) the Supplier must at its own risk and expense provide all equipment required to Deliver the Services;
- d) the Supplier must allocate sufficient resources and appropriate expertise to the Buyer Contract;
- e) the Supplier must take all reasonable care to ensure performance does not disrupt the Buyer's operations, employees or other contractors;
- f) the Supplier must ensure all Services, and anything used to Deliver the Services, are of good quality and free from defects;
- g) the Buyer is entitled to withhold payment for partially or undelivered Services, but doing so does not stop it from using its other rights under the Buyer Contract.

5. PRICING AND PAYMENTS

5.1. In exchange for the Deliverables, the Supplier shall be entitled to invoice the Buyer for the Charges. The Supplier shall raise invoices promptly and in any event within 90 days from when the Charges are due.

5.2. All Charges:

- a) exclude VAT, which is payable on provision of a valid VAT invoice;
- b) include all costs connected with the supply of Deliverables.

5.3. The Buyer must pay the Supplier the Charges within 30 days of receipt by the Buyer of a valid, undisputed invoice, in cleared funds to the Supplier's account stated in the email accepting the Buyer Contract.

5.4. A Supplier invoice is only valid if it:

- a) includes all appropriate references including the Purchase Order Number and other details reasonably requested by the Buyer;
- b) includes a detailed breakdown of Deliverables which have been Delivered (if any); and
- c) does not include any Management Charge (the Supplier must not charge the Buyer in any way for the Management Charge).

5.5. The Buyer must accept and process for payment an undisputed Electronic Invoice received from the Supplier.

5.6. The Buyer may retain or set-off payment of any amount owed to it by the Supplier if notice and reasons are provided.

5.7. The Supplier must ensure that all subcontractors are paid, in full, within 30 days of receipt of a valid, undisputed invoice. If this does not happen, the Buyer can publish the details of the late payment or non-payment.

5.8. The Supplier has no right of set-off, counterclaim, discount or abatement unless they are ordered to do so by a court.

6. THE BUYER'S OBLIGATIONS TO THE SUPPLIER

6.1. If the Supplier fails to comply with the Buyer Contract as a result of a Buyer Cause:

- a) the Buyer cannot terminate the Buyer Contract under clause 11;
- b) the Supplier is entitled to reasonable and proven additional expenses and to relief from liability under this Buyer Contract;
- c) the Supplier is entitled to additional time needed to Deliver the Deliverables; and
- d) the Supplier cannot suspend the ongoing supply of Deliverables.

6.2. Clause 6.1 only applies if the Supplier:

- a) gives notice to the Buyer within 10 Working Days of becoming aware;
- b) demonstrates that the failure would not have occurred but for the Buyer Cause; and
- c) mitigated the impact of the Buyer Cause.

7. RECORD KEEPING AND REPORTING

- 7.1. The Supplier must ensure that suitably qualified representatives attend progress meetings with the Buyer and provide progress reports when specified in Annex C to the Letter.
- 7.2. The Supplier must keep and maintain full and accurate records and accounts on everything to do with the Buyer Contract:
 - a) during the term of the Buyer Contract;
 - b) for seven years after the date of expiry or termination of the Buyer Contract; and
 - c) in accordance with UK GDPR
- 7.3. The Buyer or an auditor can audit the Supplier.
- 7.4. The Supplier must allow any auditor appointed by the Buyer access to their premises to verify all contract accounts and records of everything to do with the Buyer Contract and provide copies for the audit.
- 7.5. The Supplier must provide information to the auditor and reasonable co-operation at their request.
- 7.6. Where the audit of the Supplier is carried out by an auditor, the auditor shall be entitled to share any information obtained during the audit with the Buyer.
- 7.7. If the Supplier is not providing any of the Deliverables, or is unable to provide them, it must immediately:
 - a) tell the Buyer and give reasons;
 - b) propose corrective action; and
 - c) provide a deadline for completing the corrective action.
- 7.8. If the Buyer, acting reasonably, is concerned as to the financial stability of the Supplier such that it may impact on the continued performance of the Buyer Contract then the Buyer may:
 - a) require that the Supplier provide to the Buyer (for its approval) a plan setting out how the Supplier will ensure continued performance of the Buyer Contract and the Supplier will make changes to such plan as reasonably required by the Buyer and once it is agreed then the Supplier shall act in accordance with such plan and report to the Buyer on demand; and
 - b) if the Supplier fails to provide a plan or fails to agree any changes which are requested by the Buyer or fails to implement or provide updates on progress with the plan, terminate the Buyer Contract immediately for material breach (or on such date as the Buyer notifies).

8. SUPPLIER STAFF

- 8.1. The Supplier Staff involved in the performance of the Buyer Contract must:

- a) be appropriately trained and qualified;
 - b) be vetted using Good Industry Practice and in accordance with the Staff Vetting Procedures; and
 - c) comply with all conduct requirements when on the Buyer's premises.
- 8.2. Where a Buyer decides one of the Supplier's Staff is not suitable to work on the Buyer Contract, the Supplier must replace them with a suitably qualified alternative.
- 8.3. If requested, the Supplier must replace any person whose acts or omissions have caused the Supplier to breach clause 26.
- 8.4. The Supplier must provide a list of Supplier Staff needing to access the Buyer's premises and say why access is required.
- 8.5. The Supplier indemnifies the Buyer against all claims brought by any person employed by the Supplier caused by an act or omission of the Supplier or any Supplier Staff.
- 8.6. The Supplier shall use those persons nominated in the email of acceptance (if any) to provide the Deliverables and shall not remove or replace any of them unless:
- a) requested to do so by the Buyer (not to be unreasonably withheld or delayed);
 - b) the person concerned resigns, retires or dies or is on maternity or long-term sick leave; or
 - c) the person's employment or contractual arrangement with the Supplier or any subcontractor is terminated for material breach of contract by the employee.

9. RIGHTS AND PROTECTION

- 9.1. The Supplier warrants and represents that:
- a) it has full capacity and authority to enter into and to perform the Buyer Contract;
 - b) the Buyer Contract is executed by its authorised representative;
 - c) it is a legally valid and existing organisation incorporated in the place it was formed;
 - d) there are no known legal or regulatory actions or investigations before any court, administrative body or arbitration tribunal pending or threatened against it or its affiliates that might affect its ability to perform the Buyer Contract;
 - e) it maintains all necessary rights, authorisations, licences and consents to perform its obligations under the Buyer Contract;
 - f) it does not have any contractual obligations which are likely to have a material adverse effect on its ability to perform the Buyer Contract; and
 - g) it is not impacted by an Insolvency Event.
- 9.2. The warranties and representations in clauses 3.6 and 9.1 are repeated each time the Supplier provides Deliverables under the Buyer Contract.

9.3. The Supplier indemnifies the Buyer against each of the following:

- a) wilful misconduct of the Supplier, any of its subcontractor and/or Supplier Staff that impacts the Buyer Contract; and
- b) non-payment by the Supplier of any tax or National Insurance.

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

10. INTELLECTUAL PROPERTY RIGHTS (IPRS)

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

- a) receive and use the Deliverables; and
- b) use the New IPR.

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

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

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

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

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

- a) obtain for the Buyer the rights in clauses 10.1 and 10.2 without infringing any third party intellectual property rights; or
- b) replace or modify the relevant item with substitutes that do not infringe intellectual property rights without adversely affecting the functionality or performance of the Deliverables.

10.7. In spite of any other provisions of the Buyer Contract and for the avoidance of doubt, award of the Buyer Contract by the Buyer and placement of any contract task under it does not constitute an authorisation by the Crown under Sections 55 and 56 of the Patents Act 1977 or Section 12 of the Registered Designs Act 1949. The Supplier acknowledges that any authorisation by the Buyer under its statutory powers must be expressly provided in writing with reference to the acts authorised.

11. ENDING THE CONTRACT

11.1. Ending the Buyer Contract without a reason:

- a) the Buyer has the right to terminate the Buyer Contract at any time without reason or liability by giving the Supplier not less than 30 days' written notice.

11.2. When the Buyer can end the Buyer Contract:

- a) if any of the following events happen, the Buyer has the right to immediately terminate the Buyer Contract by issuing a termination notice in writing to the Supplier:
 - i. there is a Supplier Insolvency Event;
 - ii. if the Supplier is in breach of any obligation which is capable of remedy, and that breach is not remedied within 30 days of the Supplier receiving notice specifying the breach and requiring it to be remedied;
 - iii. there is any material breach of the Buyer Contract;
 - iv. there is a material default of any Joint Controller Agreement relating to the Buyer Contract;
 - v. there is a breach of clauses 3.6, 3.7, 10, 14, 15, 26 or 31;
 - vi. if the Supplier repeatedly breaches the Buyer Contract in a way to reasonably justify the opinion that its conduct is inconsistent with it having the intention or ability to give effect to the terms and conditions of the Buyer Contract;
 - vii. there's a change of control (within the meaning of section 450 of the Corporation Tax Act 2010) of the Supplier which is not pre-approved by the Buyer in writing;
 - viii. if the Buyer discovers that the Supplier was in one of the situations set out in Section 2 of the Suitability Assessment Questionnaire at the time the Buyer Contract was awarded or is in breach of clause 26.1 of this Contract; or
 - ix. the Supplier or its affiliates embarrass or bring the Buyer into disrepute or diminish the public trust in them.
- b) if any of the following non-fault based events happen, the Buyer has the right to immediately terminate the Buyer Contract:
 - i. there is a change to the Buyer Contract which cannot be agreed using clause 24 or resolved using clause 33; or
 - ii. if there is a declaration of ineffectiveness in respect of any change to the Buyer Contract.

11.3. When the Supplier can end the Buyer Contract:

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

11.4. What happens if the Buyer Contract ends

- a) where a Party terminates the Buyer Contract under any of clauses 11.1, 11.2(a), 11.2(b), 11.3, 20.2, 23.4 or 31.3 all of the following apply:
 - i. the Buyer's payment obligations under the terminated Buyer Contract stop immediately;
 - ii. accumulated rights of the Parties are not affected;
 - iii. the Supplier must promptly repay to the Buyer any and all Charges the Buyer has paid in advance in respect of Deliverables not provided by the Supplier as at the termination date;
 - iv. the Supplier must promptly delete or return the Government Data except where required to retain copies by Law;

- v. the Supplier must promptly return any of the Buyer's property provided under the Buyer Contract;
 - vi. the Supplier must, at no cost to the Buyer, give all reasonable assistance to the Buyer and any incoming supplier and co-operate fully in the handover and re-procurement;
- b) in addition to the consequences of termination listed in clause 11.4(a), where the Buyer terminates the Buyer Contract under clause 11.2(a), the Supplier is responsible for the Buyer's reasonable costs of procuring replacement Deliverables for the rest of the term of the Buyer Contract;
 - c) in addition to the consequences of termination listed in clause 11.4(a), if either the Buyer terminates the Buyer Contract under clause 11.1 or the Supplier terminates the Buyer Contract under either of clauses 11.3 or 23.4;
 - i. the Buyer must promptly pay all outstanding Charges incurred to the Supplier; and
 - ii. the Buyer must pay the Supplier reasonable committed and unavoidable Losses as long as the Supplier provides a fully itemised and costed schedule with evidence - the maximum value of this payment is limited to the total sum payable to the Supplier if the Buyer Contract had not been terminated.
 - d) in addition to the consequences of termination listed in clause 11.4(a), where a Party terminates under clause 20.2 each Party must cover its own Losses.
 - e) the following clauses survive the termination of the Buyer Contract: 7, 8.5, 10, 12, 14, 15, 16, 17, 18, 33, 34 and any clauses which are expressly or by implication intended to continue.
- 11.5. Partially ending and suspending the Buyer Contract;
- a) where the Buyer has the right to terminate the Buyer Contract it can terminate or suspend (for any period), all or part of it. If the Buyer suspends the Buyer Contract it can provide the Deliverables itself or buy them from a third party;
 - b) the Buyer can only partially terminate or suspend the Buyer Contract if the remaining parts of it can still be used to effectively deliver the intended purpose;
 - c) the Parties must agree (in accordance with clause 24) any necessary variation required by clause 11.5, but the Supplier may not either:
 - i. reject the variation;
 - ii. increase the Charges, except where the right to partial termination is under clause 11.1;
 - d) the Buyer can still use other rights available, or subsequently available to it if it acts on its rights under clause 11.5.

12. HOW MUCH YOU CAN BE HELD RESPONSIBLE FOR

- 12.1. Each Party's total aggregate liability under or in connection with the Buyer Contract (whether in tort, contract or otherwise) is no more than the higher of the Maximum Liability Amount or 150% of the Charges paid or payable to the Supplier.
- 12.2. No Party is liable to the other for:
 - a) any indirect Losses; or

- b) loss of profits, turnover, savings, business opportunities or damage to goodwill (in each case whether direct or indirect).
- 12.3. In spite of clause 12.1, neither Party limits or excludes any of the following:
- a) its liability for death or personal injury caused by its negligence, or that of its employees, agents or subcontractors;
 - b) its liability for bribery or fraud or fraudulent misrepresentation by it or its employees;
 - c) any liability that cannot be excluded or limited by Law; or
 - d) its liability to the extent it arises as a result of a default by the Supplier, any fine or penalty incurred by the Buyer pursuant to Law and any costs incurred by the Buyer in defending any proceedings which result in such fine or penalty.
- 12.4. Each Party must use all reasonable endeavours to mitigate any Loss or damage which it suffers under or in connection with the Buyer Contract, including any indemnities.
- 12.5. If more than one Supplier is party to the Buyer Contract, each Supplier Party is jointly and severally liable for their obligations under the Buyer Contract.

13. OBEYING THE LAW

- 13.1. The Supplier must, in connection with provision of the Deliverables, use reasonable endeavours to:
- a) comply and procure that its subcontractors comply with the Supplier Code of Conduct appearing at (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/646497/2017-09-13_Official_Sensitive_Supplier_Code_of_Conduct_September_2017.pdf) and such other corporate social responsibility requirements as the Buyer may notify to the Supplier from time to time;
 - b) support the Buyer in fulfilling its Public Sector Equality duty under S149 of the Equality Act 2010;
 - c) not use nor allow its subcontractors to use modern slavery, child labour or inhumane treatment;
 - d) meet the applicable Government Buying Standards applicable to Deliverables which can be found online at: <https://www.gov.uk/government/collections/sustainable-procurement-the-government-buying-standards-gbs>

14. DATA PROTECTION

- 14.1. The Supplier must process Personal Data and ensure that Supplier Staff process Personal Data only in accordance with Annex D of the Letter.
- 14.2. The Supplier must not remove any ownership or security notices in or relating to the Government Data.
- 14.3. The Supplier must make accessible back-ups of all Government Data, stored in an agreed off-site location and send the Buyer copies every six months.
- 14.4. The Supplier must ensure that any Supplier system holding any Government Data, including back-up data, is a secure system that complies with the security requirements specified in writing by the Buyer.

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

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

- a) tell the Supplier to restore or get restored Government Data as soon as practical but no later than five Working Days from the date that the Buyer receives notice, or the Supplier finds out about the issue, whichever is earlier; and/or
- b) restore the Government Data itself or using a third party.

14.7. The Supplier must pay each Party's reasonable costs of complying with clause 14.6 unless the Buyer is at fault.

14.8. The Supplier:

- a) must provide the Buyer with all Government Data in an agreed open format within 10 Working Days of a written request;
- b) must have documented processes to guarantee prompt availability of Government Data if the Supplier stops trading;
- c) must securely destroy all Storage Media that has held Government Data at the end of life of that media using Good Industry Practice;
- d) securely erase all Government Data and any copies it holds when asked to do so by the Buyer unless required by Law to retain it; and
- e) indemnifies the Buyer against any and all Losses incurred if the Supplier breaches clause 14 and any Data Protection Legislation.

14.9. In the event that, following the end of the UK's transition period for exit from the EU, CCS determines in its absolute discretion that any of the Standard Contractual Clauses for data transfers issued by the European Commission from time to time applies to any Processing under or in connection with this Buyer Contract, at its own expense, each Party shall do everything necessary to give full effect to the relevant Standard Contractual Clauses as part of this Buyer Contract.

15. WHAT YOU MUST KEEP CONFIDENTIAL

15.1. Each Party must:

- a) keep all Confidential Information it receives confidential and secure;
- b) except as expressly set out in clauses 15.2 to 15.4 or elsewhere in the Buyer Contract, not disclose, use or exploit the disclosing Party's Confidential Information without the disclosing Party's prior written consent; and
- c) immediately notify the disclosing Party if it suspects unauthorised access, copying, use or disclosure of the Confidential Information.

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

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

- b) if the recipient Party already had the information without obligation of confidentiality before it was disclosed by the disclosing Party;
- c) if the information was given to it by a third party without obligation of confidentiality;
- d) if the information was in the public domain at the time of the disclosure;
- e) if the information was independently developed without access to the disclosing Party's Confidential Information;
- f) on a confidential basis, to its auditors;
- g) on a confidential basis, to its professional advisers on a need-to-know basis; or
- h) to the Serious Fraud Office where the recipient Party has reasonable grounds to believe that the disclosing Party is involved in activity that may be a criminal offence under the Bribery Act 2010.

15.3. In spite of clause 15.1, the Supplier may disclose Confidential Information on a confidential basis to Supplier Staff on a need-to-know basis to allow the Supplier to meet its obligations under the Buyer Contract. The Supplier Staff must enter into a direct confidentiality agreement with the Buyer at its request.

15.4. In spite of clause 15.1, the Buyer may disclose Confidential Information in any of the following cases:

- a) on a confidential basis to the employees, agents, consultants and contractors of the Buyer;
- b) on a confidential basis to any other Central Government Body, any successor body to a Central Government Body or any company that the Buyer transfers or proposes to transfer all or any part of its business to;
- c) if the Buyer (acting reasonably) considers disclosure necessary or appropriate to carry out its public functions;
- d) where requested by Parliament; or
- e) under clauses 5.8 and 16.

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

15.6. Transparency Information is not Confidential Information.

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

16. WHEN YOU CAN SHARE INFORMATION

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

16.2. Within five (5) Working Days of the Buyer's request the Supplier must give the Buyer full co-operation and information needed so the Buyer can:

- a) publish the Transparency Information;

- b) comply with any Freedom of Information Act (FOIA) request; and/or
 - c) comply with any Environmental Information Regulations (EIR) request.
- 16.3. The Buyer may talk to the Supplier to help it decide whether to publish information under clause 16. However, the extent, content and format of the disclosure is the Buyer's decision, in its absolute discretion.

17. INVALID PARTS OF THE CONTRACT

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

18. NO OTHER TERMS APPLY

The provisions incorporated into the Buyer Contract are the entire agreement between the Parties. The Buyer Contract replaces all previous statements, agreements and any course of dealings made between the Parties, whether written or oral, in relation to its subject matter. No other provisions apply.

19. OTHER PEOPLE'S RIGHTS IN A CONTRACT

No third parties may use the Contracts (Rights of Third Parties) Act 1999 ("CRTPA") to enforce any term of the Buyer Contract unless stated (referring to CRTPA) in the Buyer Contract. This does not affect third party rights and remedies that exist independently from CRTPA.

20. CIRCUMSTANCES BEYOND YOUR CONTROL

- 20.1. Any Party affected by a Force Majeure Event is excused from performing its obligations under the Buyer Contract while the inability to perform continues, if it both:
- a) provides written notice to the other Party; and
 - b) uses all reasonable measures practical to reduce the impact of the Force Majeure Event.
- 20.2. Either Party can partially or fully terminate the Buyer Contract if the provision of the Deliverables is materially affected by a Force Majeure Event which lasts for 90 days continuously.

21. RELATIONSHIPS CREATED BY THE CONTRACT

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

22. GIVING UP CONTRACT RIGHTS

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

23. TRANSFERRING RESPONSIBILITIES

- 23.1. The Supplier cannot assign, novate or transfer the Buyer Contract or any part of the Buyer Contract without the Buyer's written consent.
- 23.2. The Buyer can assign, novate or transfer its Buyer Contract or any part of it to any Central Government Body, public or private sector body which performs the functions of the Buyer.

- 23.3. When the Buyer uses its rights under clause 23.2 the Supplier must enter into a novation agreement in the form that the Buyer specifies.
- 23.4. The Supplier can terminate the Buyer Contract if it is novated under clause 23.2 to a private sector body that is experiencing an Insolvency Event.
- 23.5. The Supplier remains responsible for all acts and omissions of the Supplier Staff as if they were its own.
- 23.6. If the Buyer asks the Supplier for details about subcontractors, the Supplier must provide details of subcontractors at all levels of the supply chain including:
- a) their name;
 - b) the scope of their appointment; and
 - c) the duration of their appointment.

24. CHANGING THE CONTRACT

- 24.1. Either Party can request a variation to the Buyer Contract which is only effective if agreed in writing and signed by both Parties. The Buyer is not required to accept a variation request made by the Supplier.
- 24.2. For 101(5) of the Regulations, if the Court declares any variation to the Buyer Contract ineffective, the Parties agree that their mutual rights and obligations will be regulated by the terms of the Buyer Contract as they existed immediately prior to that variation and as if the Parties had never entered into that variation.

25. HOW TO COMMUNICATE ABOUT THE CONTRACT

- 25.1. All notices under the Buyer Contract must be in writing and are considered effective on the Working Day of delivery as long as they are delivered before 5:00pm on a Working Day. Otherwise the notice is effective on the next Working Day. An email is effective at 9:00am on the first Working Day after sending unless an error message is received.
- 25.2. Notices to the Buyer or Supplier must be sent to their address in the Letter or in the email of acceptance, respectively.
- 25.3. This clause does not apply to the service of legal proceedings or any documents in any legal action, arbitration or dispute resolution.

26. PREVENTING FRAUD, BRIBERY AND CORRUPTION

- 26.1. The Supplier must not during the Term:
- a) commit a Prohibited Act or any other criminal offence referred to in Section 2 of the Suitability Assessment Questionnaire; or
 - b) do or allow anything which would cause the Buyer, including any of its employees, consultants, contractors, subcontractors or agents to breach any of the Relevant Requirements or incur any liability under them.
- 26.2. The Supplier must during the Term:
- a) create, maintain and enforce adequate policies and procedures to ensure it complies with the Relevant Requirements to prevent a Prohibited Act and require its subcontractors to do the same;

- b) keep full records to show it has complied with its obligations under clause 26 and give copies to the Buyer on request; and
 - c) if required by the Buyer, within 20 Working Days of the first day of the Term, and then annually, certify in writing to the Buyer, that they have complied with clause 26, including compliance of Supplier Staff, and provide reasonable supporting evidence of this on request, including its policies and procedures.
- 26.3. The Supplier must immediately notify the Buyer if it becomes aware of any breach of clauses 26.1 or 26.2 or has any reason to think that it, or any of the Supplier Staff, has either:
- a) been investigated or prosecuted for an alleged Prohibited Act;
 - b) been debarred, suspended, proposed for suspension or debarment, or is otherwise ineligible to take part in procurement programmes or contracts because of a Prohibited Act by any government department or agency;
 - c) received a request or demand for any undue financial or other advantage of any kind related to the Buyer Contract; or
 - d) suspected that any person or Party directly or indirectly related to the Buyer Contract has committed or attempted to commit a Prohibited Act.
- 26.4. If the Supplier notifies the Buyer as required by clause 26.3, the Supplier must respond promptly to their further enquiries, co-operate with any investigation and allow the audit of any books, records and relevant documentation.
- 26.5. In any notice the Supplier gives under clause 26.3 it must specify the:
- a) Prohibited Act;
 - b) identity of the Party who it thinks has committed the Prohibited Act; and
 - c) action it has decided to take.

27. EQUALITY, DIVERSITY AND HUMAN RIGHTS

- 27.1. The Supplier must follow all applicable equality law when they perform their obligations under the Buyer Contract, including:
- a) protections against discrimination on the grounds of race, sex, gender reassignment, religion or belief, disability, sexual orientation, pregnancy, maternity, age or otherwise; and
 - b) any other requirements and instructions which the Buyer reasonably imposes related to equality Law.
- 27.2. The Supplier must take all necessary steps, and inform the Buyer of the steps taken, to prevent anything that is considered to be unlawful discrimination by any court or tribunal, or the Equality and Human Rights Commission (or any successor organisation) when working on the Buyer Contract.

28. HEALTH AND SAFETY

- 28.1. The Supplier must perform its obligations meeting the requirements of:
- a) all applicable Law regarding health and safety; and

- b) the Buyer's current health and safety policy while at the Buyer's premises, as provided to the Supplier.
- 28.2. The Supplier and the Buyer must as soon as possible notify the other of any health and safety incidents or material hazards they are aware of at the Buyer premises that relate to the performance of the Buyer Contract.

29. ENVIRONMENT

- 29.1. When working at the Buyer's premises, the Supplier must perform its obligations under the Buyer's current Environmental Policy, which the Buyer must provide.
- 29.2. The Supplier must ensure that Supplier Staff are aware of the Buyer's Environmental Policy.

30. TAX

- 30.1. The Supplier must not breach any tax or social security obligations and must enter into a binding agreement to pay any late contributions due, including where applicable, any interest or any fines. The Buyer cannot terminate the Buyer Contract where the Supplier has not paid a minor tax or social security contribution.
- 30.2. Where the Supplier or any Supplier Staff are liable to be taxed or to pay National Insurance contributions in the UK relating to payment received under the Buyer Contract, the Supplier must both:
- a) comply with the Income Tax (Earnings and Pensions) Act 2003 and all other statutes and regulations relating to income tax, the Social Security Contributions and Benefits Act 1992 (including IR35) and National Insurance contributions; and
 - b) indemnify the Buyer against any Income Tax, National Insurance and social security contributions and any other liability, deduction, contribution, assessment or claim arising from or made during or after the Term in connection with the provision of the Deliverables by the Supplier or any of the Supplier Staff.
- 30.3. If any of the Supplier Staff are Workers who receive payment relating to the Deliverables, then the Supplier must ensure that its contract with the Worker contains the following requirements:
- a) the Buyer may, at any time during the Term, request that the Worker provides information which demonstrates they comply with clause 30.2, or why those requirements do not apply, the Buyer can specify the information the Worker must provide and the deadline for responding;
 - b) the Worker's contract may be terminated at the Buyer's request if the Worker fails to provide the information requested by the Buyer within the time specified by the Buyer;
 - c) the Worker's contract may be terminated at the Buyer's request if the Worker provides information which the Buyer considers is not good enough to demonstrate how it complies with clause 30.2 or confirms that the Worker is not complying with those requirements; and
 - d) the Buyer may supply any information they receive from the Worker to HMRC for revenue collection and management.

31. CONFLICT OF INTEREST

- 31.1. The Supplier must take action to ensure that neither the Supplier nor the Supplier Staff are placed in the position of an actual or potential conflict between the financial or personal

duties of the Supplier or the Supplier Staff and the duties owed to the Buyer under the Buyer Contract, in the reasonable opinion of the Buyer (a "Conflict of Interest").

31.2. The Supplier must promptly notify and provide details to the Buyer if a Conflict of Interest happens or is expected to happen.

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

32. REPORTING A BREACH OF THE CONTRACT

32.1. As soon as it is aware of it the Supplier and Supplier Staff must report to the Buyer any actual or suspected breach of Law, clause 13 or clauses 26 to 31.

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

33. RESOLVING DISPUTES

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

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

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

- a) determine the dispute;
- b) grant interim remedies; and
- c) grant any other provisional or protective relief.

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

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

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

34. WHICH LAW APPLIES

34.1. This Buyer Contract and any claim, dispute or difference (whether contractual or non-contractual) arising out of, or connected to it, are governed by English law.

Annex B – NOT USED

Special Terms

Annex C

Contract Management Information

PAYMENT

The Buyer (including its various departments, agencies and arm's-length bodies) uses Basware eMarketplace to transmit purchase orders and receive invoices electronically. Supplier guidance on registration, receiving purchase orders and submitting invoices using Basware has been provided at the end of this Annex C.

Where Basware cannot be used invoices should be sent, quoting a valid purchase order number (PO Number), to:

Ministry of Justice
PO Box 743
Newport
Gwent
NP10 8FZ

[REDACTED]

Within 10 Working Days of receipt of your countersigned copy of this letter, we will send you a unique PO Number. You must be in receipt of a valid PO Number before submitting an invoice.

To avoid delay in payment it is important that the invoice is compliant and that it includes a valid PO Number, PO Number item number (if applicable) and the details (name and telephone number) of your Buyer contact (i.e. Contract Manager). Non-compliant invoices will be sent back to you, which may lead to a delay in payment.

If you have a query regarding an outstanding payment please contact our Accounts Payable section by email to the **[REDACTED]**

DATE AND ADDRESS FOR DELIVERY:

Date of delivery: The duration of the contract period.

Address of delivery:

HMP Exeter, 30 New N Rd, Exeter EX4 4EX

BUYER'S ADDRESS FOR NOTICES:

For the attention of the Contract Manager for con_24199
MoJ Commercial & Contract Management Directorate(CCMD)
3.19, 10 South Colonnade, Canary Wharf London E14 4PU

Email: **[REDACTED]**

BUYER'S AUTHORISED REPRESENTATIVE:

Name: **[REDACTED]**

Role: **[REDACTED]**

Email address: **[REDACTED]**

Address: **[REDACTED]**

PROCEDURES AND POLICIES

The Buyer may require the Supplier to ensure that any person employed in the delivery of the Deliverables has undertaken a Disclosure and Barring Service check.

The Supplier shall ensure that no person who discloses that he/she has a conviction that is relevant to the nature of the Buyer Contract, relevant to the work of the Buyer, or is of a type otherwise advised by the Buyer (each such conviction a "Relevant Conviction"), or is found by the Supplier to have a Relevant Conviction (whether as a result of a police check, a Disclosure and Barring Service check or otherwise) is employed or engaged in the provision of any part of the Deliverables.

MINIMUM WARRANTY PERIOD

The duration of the contract period.

MAXIMUM LIABILITY AMOUNT

The value of the contract.

BASWARE SUPPLIER GUIDANCE

Guidance found at https://justiceuk.sharepoint.com/:w:/s/P2PSupport/Eeu7M-3ovqBJkjmIMOsZ5KgBWfOI6YoaByijy0pLJK_dZA

Annex D

Processing Data

STATUS OF THE CONTROLLER

1. The Parties acknowledge that for the purposes of the Data Protection Legislation, the nature of the activity carried out by each of them in relation to their respective obligations under the Buyer Contract dictates the status of each party under the Data Protection Act 2018. A Party may act as:
 - a) “Controller” in respect of the other Party who is “Processor”;
 - b) “Processor” in respect of the other Party who is “Controller”;
 - c) “Joint Controller” with the other Party;
 - d) “Independent Controller” of the Personal Data where the other Party is also “Controller”

in respect of certain Personal Data under a Buyer Contract and shall specify in Appendix 1 (*Processing Personal Data*) which scenario they think shall apply in each situation.

WHERE ONE PARTY IS CONTROLLER AND THE OTHER PARTY ITS PROCESSOR

2. Where a Party is a Processor, the only Processing that it is authorised to do is listed in Appendix 1 (*Processing Personal Data*) by the Controller.
3. The Processor shall notify the Controller immediately if it considers that any of the Controller’s instructions infringe the Data Protection Legislation.
4. The Processor shall provide all reasonable assistance to the Controller in the preparation of any Data Protection Impact Assessment prior to commencing any Processing. Such assistance may, at the discretion of the Controller, include:
 - a) a systematic description of the envisaged Processing and the purpose of the Processing;
 - b) an assessment of the necessity and proportionality of the Processing in relation to the Deliverables;
 - c) an assessment of the risks to the rights and freedoms of Data Subjects; and
 - d) the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data
5. The Processor shall, in relation to any Personal Data Processed in connection with its obligations under the Buyer Contract:
 - a) Process that Personal Data only in accordance with Appendix 1 (*Processing Personal Data*), unless the Processor is required to do otherwise by Law. If it is so required the Processor shall notify the Controller before Processing the Personal Data unless prohibited by Law;
 - b) ensure that it has in place Protective Measures, including in the case of the Supplier the measures set out in clause 14.3 of the Conditions, which the Controller may reasonably reject (but failure to reject shall not amount to approval by the Controller of the adequacy of the Protective Measures) having taken account of the:
 - i. nature of the data to be protected;

- ii. harm that might result from a Personal Data Breach;
 - iii. state of technological development; and
 - iv. cost of implementing any measures;
- c) ensure that:
- i. the Processor Personnel do not Process Personal Data except in accordance with the Buyer Contract (and in particular Appendix 1 (Processing Personal Data));
 - ii. it takes all reasonable steps to ensure the reliability and integrity of any Processor Personnel who have access to the Personal Data and ensure that they:
 - (A) are aware of and comply with the Processor's duties under this Annex D, clauses 14 (Data protection), 15 (What you must keep confidential) and 16 (When you can share information) of the Conditions;
 - (B) are subject to appropriate confidentiality undertakings with the Processor or any Subprocessor;
 - (C) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Controller or as otherwise permitted by the Buyer Contract; and
 - (D) have undergone adequate training in the use, care, protection and handling of Personal Data;
- d) not transfer Personal Data outside of the EU unless the prior written consent of the Controller has been obtained and the following conditions are fulfilled;
- i. the Controller or the Processor has provided appropriate safeguards in relation to the transfer (whether in accordance with UK GDPR Article 46 or LED Article 37) as determined by the Controller;
 - ii. the Data Subject has enforceable rights and effective legal remedies;
 - iii. the Processor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Controller in meeting its obligations); and
 - iv. the Processor complies with any reasonable instructions notified to it in advance by the Controller with respect to the Processing of the Personal Data; and
- e) at the written direction of the Controller, delete or return Personal Data (and any copies of it) to the Controller on termination of the Buyer Contract unless the Processor is required by Law to retain the Personal Data.
6. Subject to paragraph 7 of this Annex D, the Processor shall notify the Controller immediately if in relation to it Processing Personal Data under or in connection with the Buyer Contract it:
- a) receives a Data Subject Access Request (or purported Data Subject Access Request);
 - b) receives a request to rectify, block or erase any Personal Data;
 - c) receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
 - d) receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data Processed under the Buyer Contract;
 - e) receives a request from any third Party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or
 - f) becomes aware of a Personal Data Breach.
7. The Processor's obligation to notify under paragraph 6 of this Annex D shall include the provision of further information to the Controller, as details become available.

8. Taking into account the nature of the Processing, the Processor shall provide the Controller with assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under paragraph 6 of this Annex D (and insofar as possible within the timescales reasonably required by the Controller) including by immediately providing:
 - a) the Controller with full details and copies of the complaint, communication or request;
 - b) such assistance as is reasonably requested by the Controller to enable it to comply with a Data Subject Access Request within the relevant timescales set out in the Data Protection Legislation;
 - c) the Controller, at its request, with any Personal Data it holds in relation to a Data Subject;
 - d) assistance as requested by the Controller following any Personal Data Breach; and/or
 - e) assistance as requested by the Controller with respect to any request from the Information Commissioner's Office, or any consultation by the Controller with the Information Commissioner's Office.
9. The Processor shall maintain complete and accurate records and information to demonstrate its compliance with this Annex D. This requirement does not apply where the Processor employs fewer than 250 staff, unless
 - a) the Controller determines that the Processing is not occasional;
 - b) the Controller determines the Processing includes special categories of data as referred to in Article 9(1) of the UK GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the UK GDPR; or
 - c) the Controller determines that the Processing is likely to result in a risk to the rights and freedoms of Data Subjects.
10. The Processor shall allow for audits of its Data Processing activity by the Controller or the Controller's designated auditor.
11. The Parties shall designate a Data Protection Officer if required by the Data Protection Legislation.
12. Before allowing any Subprocessor to Process any Personal Data related to the Buyer Contract, the Processor must:
 - a) notify the Controller in writing of the intended Subprocessor and Processing;
 - b) obtain the written consent of the Controller;
 - c) enter into a written agreement with the Subprocessor which give effect to the terms set out in this Annex D such that they apply to the Subprocessor; and
 - d) provide the Controller with such information regarding the Subprocessor as the Controller may reasonably require.
13. The Processor shall remain fully liable for all acts or omissions of any of its Subprocessors.
14. The Buyer may, at any time on not less than thirty (30) Working Days' notice, revise this Annex D by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to the Buyer Contract).

15. The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Buyer may on not less than thirty (30) Working Days' notice to the Supplier amend the Buyer Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.

WHERE THE PARTIES ARE JOINT CONTROLLERS OF PERSONAL DATA

16. In the event that the Parties are Joint Controllers in respect of Personal Data under the Buyer Contract, the Parties shall implement paragraphs that are necessary to comply with UK GDPR Article 26 based on the terms set out in Appendix 2 to this Annex D.

INDEPENDENT CONTROLLERS OF PERSONAL DATA

17. With respect to Personal Data provided by one Party to another Party for which each Party acts as Controller but which is not under the Joint Control of the Parties, each Party undertakes to comply with the applicable Data Protection Legislation in respect of their Processing of such Personal Data as Controller.
18. Each Party shall Process the Personal Data in compliance with its obligations under the Data Protection Legislation and not do anything to cause the other Party to be in breach of it.
19. Where a Party has provided Personal Data to the other Party in accordance with paragraph 7 of this Annex D above, the recipient of the Personal Data will provide all such relevant documents and information relating to its data protection policies and procedures as the other Party may reasonably require.
20. The Parties shall be responsible for their own compliance with Articles 13 and 14 UK GDPR in respect of the Processing of Personal Data for the purposes of the Buyer Contract.
21. The Parties shall only provide Personal Data to each other:
 - a) to the extent necessary to perform their respective obligations under the Buyer Contract;
 - b) in compliance with the Data Protection Legislation (including by ensuring all required data privacy information has been given to affected Data Subjects to meet the requirements of Articles 13 and 14 of the UK GDPR); and
 - c) where it has recorded it in Appendix 1 (Processing Personal Data).
22. Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of Processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, each Party shall, with respect to its Processing of Personal Data as Independent Controller, implement and maintain appropriate technical and organisational measures to ensure a level of security appropriate to that risk, including, as appropriate, the measures referred to in Article 32(1)(a), (b), (c) and (d) of the UK GDPR, and the measures shall, at a minimum, comply with the requirements of the Data Protection Legislation, including Article 32 of the UK GDPR.
23. A Party Processing Personal Data for the purposes of the Buyer Contract shall maintain a record of its Processing activities in accordance with Article 30 UK GDPR and shall make the record available to the other Party upon reasonable request.
24. Where a Party receives a request by any Data Subject to exercise any of their rights under the Data Protection Legislation in relation to the Personal Data provided to it by the other Party pursuant to the Buyer Contract ("**Request Recipient**"):

- a) the other Party shall provide any information and/or assistance as reasonably requested by the Request Recipient to help it respond to the request or correspondence, at the cost of the Request Recipient; or
 - b) where the request or correspondence is directed to the other Party and/or relates to that other Party's Processing of the Personal Data, the Request Recipient will:
 - i. promptly, and in any event within five (5) Working Days of receipt of the request or correspondence, inform the other Party that it has received the same and shall forward such request or correspondence to the other Party; and
 - ii. provide any information and/or assistance as reasonably requested by the other Party to help it respond to the request or correspondence in the timeframes specified by Data Protection Legislation.
25. Each Party shall promptly notify the other Party upon it becoming aware of any Personal Data Breach relating to Personal Data provided by the other Party pursuant to the Buyer Contract and shall:
- a) do all such things as reasonably necessary to assist the other Party in mitigating the effects of the Personal Data Breach;
 - b) implement any measures necessary to restore the security of any compromised Personal Data;
 - c) work with the other Party to make any required notifications to the Information Commissioner's Office and affected Data Subjects in accordance with the Data Protection Legislation (including the timeframes set out therein); and
 - d) not do anything which may damage the reputation of the other Party or that Party's relationship with the relevant Data Subjects, save as required by Law.
26. Personal Data provided by one Party to the other Party may be used exclusively to exercise rights and obligations under the Buyer Contract as specified in Appendix 1 (Processing Personal Data).
27. Personal Data shall not be retained or processed for longer than is necessary to perform each Party's respective obligations under the Buyer Contract which is specified in Appendix 1 (Processing Personal Data).
28. Notwithstanding the general application of paragraphs 2 to 15 of this Annex D to Personal Data, where the Supplier is required to exercise its regulatory and/or legal obligations in respect of Personal Data, it shall act as an Independent Controller of Personal Data in accordance with paragraphs 17 to 27 of this Annex D.

Appendix 1 - Processing Personal Data and Data Subjects

This Appendix 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 Appendix shall be with the Buyer at its absolute discretion.

- (a) The contact details of the Buyer's Data Protection Officer are: **[REDACTED]**
- (b) The contact details of the Supplier's Data Protection Officer are: **[REDACTED]**
- (c) The Processor shall comply with any further written instructions with respect to processing by the Controller.
- (d) Any such further instructions shall be incorporated into this Appendix.

Description	Details
Identity of Controller for each Category of Personal Data	<p>The Buyer is Controller and the Supplier is Processor</p> <p>The Parties acknowledge that in accordance with paragraph 2 to paragraph 15 of Annex D and for the purposes of the Data Protection Legislation, the Buyer is the Controller and the Supplier is the Processor of the following Personal Data:</p> <ul style="list-style-type: none"> This project will not involve handling of any personal data. The purpose of data collection will be determined by MoJ, the Controller. The Supplier act as the Processor and therefore be responsible for processing all data collected.
Duration of the Processing	August 2024-March 2025
Nature and purposes of the Processing	<p>The nature and purpose of this data collection is to understand if and how the implementation of a Service Designer at HMP Exeter has created change in the culture of the prison.</p> <p>There will be no personal data collected as part of this prototyping project and all outputs will be anonymised.</p>
Type of Personal Data	This data collection will focus entirely on the experiences of staff at HMP Exeter with no inclusion of personal information types.
Categories of Data Subject	Data subjects will include HMP Exeter staff.

Plan for return and destruction of the data once the Processing is complete	The data will be obtained and retained only for the duration of the project, including the reporting stage. Following the conclusion of data processing, all data will be destroyed.
UNLESS requirement under Union or Member State law to preserve that type of data	

Annex E
Suitability Assessment Questionnaire



KTA LVPS Selection
Questionnaire.pdf

Annex F

Part 1 – Deliverables

Specification

1. Introduction

The Ministry of Justice (MoJ) is a major government department, working to protect and advance the principles of justice and deliver a world-class justice system that works for everyone. Our policy and operational responsibilities are significant, wide-ranging and have implications for some of the most vulnerable people in society. They range from building and maintaining the prisons, youth justice system, and courts estate, developing interventions that reduce reoffending and protect the public, to ensuring children's needs are put first in legal decisions about their care.

The Evaluation and Prototyping Hub (EPH) is a central function established in 2021. Our ambition is to establish a culture where robust and timely evidence on the effectiveness of policies and programmes sits at the heart of policy and operational decisions to improve justice outcomes.

For this project, **we will be testing embedding a service designer within the Senior Leadership Team (SLT) at HMP Exeter** and learning how this model works in practice. This model will give us a more detailed understanding of current problems at HMP Exeter and will enable consideration and implementation of solutions that are cross-cutting (such as innovating processes). Case study research will help us to ascertain **whether embedding a service designer is a solution that shows demand, promise and scalability** in terms of establishing a learning culture in the prison context.

2. Background to the Requirement

Background: This project will support frontline services by providing the required capability to address systemic and enduring issues at HMP Exeter. Exeter has been in Urgent Notification before and haven't been able to sustain improvements made previously.

Intervention: We have embedded a service designer in the Senior Leadership Team (SLT) at HMP Exeter from January 2024 to December 2024 working to the Governor. The service designer will be working for a 12-month period as part of the SLT.

Service designers design the end-to-end journey of a service. A service designer will support the SLT at HMP Exeter by helping them to:

- **Get to know their issue areas** and impacted people in detail.
- **See the bigger picture** of how people, organisations, and institutions are related in an ecosystem that drives outcomes across the prison.

- **Interrogate rationales and root causes** to ensure we're addressing structural problems, not just surface-level issues.
- **Make strategic decisions** about how to move forward.
- **Continuously question and iterate** solutions.
- **Together with the EPH, reflect, report, and disseminate learnings** (throughout) and at the end of the project.

HMP Exeter has undergone an Independent Review of Progress as part of the urgent notification process. This report was made available on the 3rd of January 2024 and identifies areas where little progress has been made. The Governor, Prototyping Lead from EPH and Service Designer will be identifying opportunities and scoping the work plan based on this report. The Service Designer will work in partnership with the relevant members of SLT / middle leaders to deliver identified opportunities.

At the same time, this project provides an opportunity for EPH to test a model of where/how you could embed prototyping in an operational design.

EPH and SLT at HMP Exeter have developed a Theory of Change to test assumptions and embed rapid evidence sprints to test and refine the ways of working throughout this period. This will enable EPH to advise MoJ and its agencies on whether this is a potentially feasible model to scale prototyping across prisons to improve outcomes. **We envisage outputs at the end of the project to be high quality internal analytical report on whether this approach should be continued, trialled at a different location or stopped and include recommendations on further testing requirements.**

Case Study: The plan to evaluate this model will be through a case study. It will involve three prototyping sprints at the end of each phase to capture learning, refine the model and test key parts of the Theory of change (assumptions, activities, outputs and short-term outcomes). The service designer will also keep a weekly diary to capture reflections to provide rich descriptive data.

Hypotheses:

In the **short term**, our hypotheses are that when service design is used:

- operational decisions are based on a deeper understanding of users and staff.
- operational decisions are based on a deeper understanding of real-world feasibility of ideas.
- critical assumptions are identified and tested early so that failure points are identified sooner.
- users and staff feel that their views matter and are listened to.

In the **long term**, our hypotheses are that when service design is used:

- greater success in delivering reliable solutions which reduce the amount of unproductive 're-work'.
- reduce the number of unintended consequences and misaligned incentives between teams.
- it improves the culture within the prison as front-line staff can actively contribute to improvements on the front line.



HMP Exeter ToC.pdf

3. Requirement

Preparatory Stage

- Review the Theory of Change
- Review selected entries from the "Diary of a Service Designer"
- Review HMIP Inspection 16 February 2023

- Review HMIP Independent Review of Progress 13-15 November 2023

Scoping Stage

- Meet with EPH team to discuss the Theory of Change and broader research objectives (for each of the sprints).
- Meet with EPH, Service Designer and the HMP Exeter Governor to scope research questions (linked to Theory of Change), agree requirements for fieldwork and discuss any mitigations to issues that may arise.
- Submit an updated project plan with agreed research questions, fieldwork requirements and a risks and mitigation strategy.
- EPH team / Service Designer will act as the SPOC and arrange interviews, focus group, access, etc.

Fieldwork Stage

- Develop interview, focus group material and agree these with the EPH/Service Designer.
- Develop and agree the analysis framework with the EPH/Service Designer.
- Conduct fieldwork in the form of interviews, focus groups and ad-hoc conversations with participants including staff from all levels, Senior Leadership, the Service Designer and any other relevant stakeholders at HMP Exeter.
- For sprints 1 & 2, fieldwork participants should consist of a mixture of **staff involved in the prototypes / workshops**. For sprint 3, fieldwork participants should consist of a mixture of **staff from working in and across the prison**.
- Organise data using COM-B model (barriers and enablers) and analyse focusing on opportunities for optimisation.
- Present an Early Learning Paper (see Section 8: Outputs for more detail) to EPH team and Service Designer with recommendations for the next quarter.
- Repeat until the final prototyping sprint.

Fieldwork Requirements

For each of the Sprints 1 and 2:

- **1** focus group with Senior Leadership Team
- **2** interviews with operational staff involved in prototypes (e.g., a Custody Manager and Supervising Officer)
- **1** interview with the Service Designer
- **1** interview with the Governor.
- Ad-hoc conversation in the remaining time available with as many staff as possible **involved in the prototypes / working with Service Designer**.

Sprint 3:

- **1** focus group with Senior Leadership Team
- **5** interviews with a prototype lead and a frontline staff member (i.e., each interview will involve 2 individuals: 1 prototyping lead and 1 frontline staff member they worked with).

- 1 interview with the Service Designer
- 1 interview with the Governor.
- Ad-hoc conversation in the remaining time available with as many staff as possible **from across every team working in and across the prison** (regardless of involvement in prototypes).

Delivery Stage

- Share a draft of the Early Learning Paper for comments and agree presentation with EPH/Service Designer.
- After sprints 1 & 2, present an Early Learning Paper (max 2 pages of A4) to EPH and HMP Exeter SLT (including Service Designer). Update the Theory of Change based on learnings.
- After sprint 3, organise and analyse data from all fieldwork from all three sprints.
- Develop the narrative and prepare: a **one-page infographic**, a **report** and an **updated Theory of Change**. Plan for a minimum of 2 rounds of comments and external peer review.
- Present learnings to EPH and HMP Exeter SLT (including Service Designer).
- Optional: Presentation to MoJ internal headquarters.

Overarching Thematic & Comparative Analysis and Assessment

- Analysis of all Service Designer Diary entries, outputs from workshops, diagnoses of problems and prototypes as well as fieldnotes and recordings/transcriptions from fieldwork after each sprint with comparison of all data sources from each sprint.
- Score this model against the 10 key features of a learning culture (see How to do Culture Change document below).



Culture change- how to do it poster.pdf

Sources of data

- Number of ideas collected, not progressed, prototyped, iterated, successful and stopped.
- Number of frontline staff involved in developing / testing a prototype.
- Staff feedback on prototypes / feedback loops established by SLT.
- Qualitative assessment from research.
- Any presentations/diagnosis workshops/co-creation workshops, blogs, articles, and other communications materials.
- Service Designer's weekly "Diary of a Service Designer" with 44 weeks of data.
- Review prototypes (not to assess the prototype but to evidence against the Theory of Change).

4.Aims

Changing culture and understanding culture change is difficult in any context, and especially in our prisons. Understanding if a Service Design role can function in a prison will help us to ascertain whether this is a solution that

shows promise and ability to scale. This is a prototyping exercise meaning that the primary aims are to understand how this is working and optimise this model for the best chance of impact.

To this end, we aim to:

1. Investigate whether there is an increased understanding of conditions needed at HMP Exeter for changes to be lasting.
2. Understand whether the practical feasibility of ideas is being considered and tested.
3. Ascertain whether frontline staff are aware of the service design occurring at HMP Exeter and have had a role in co-creating solutions to the issues that exist at the establishment.
4. Test whether staff from all areas voicing their ideas for improvement is becoming a social norm.
5. Ensure solutions that do not have the desired outcomes are refined or stopped (without blame).
6. Assess the potential of this slightly different way of working and learn if it demonstrates potential to change enduring problems, creates optimism that change is possible (i.e environments are not fixed) and whether those involved are hopeful that longer term change is possible (e.g., readiness for culture change)

5. Target Participant Group

- HMP Exeter Staff at all levels
- HMP Exeter Senior Leadership Team
- Prison Group Director (PGD)

6. Objectives (Measurable Outputs)

The main objectives of this research are to:

1. How did this model **operate**?
 - a. What barriers were encountered?
 - b. What acted as enablers?
 - c. Were these barriers/enablers around opportunity, capability, or motivation? (see COM-B framework)¹
 - d. What was learnt from the operationalisation process? What would be done differently in the future?
2. Is there **demand** for this model?
 - a. Did different groups (i.e. those involved and the wider staff group) perceive value to using this approach? Does the SLT feel this has helped their work?
3. Does this model show **promise**?

¹ Michie, S., van Stralen, M.M. & West, R. The behaviour change wheel: A new method for characterising and designing behaviour change interventions. *Implementation Sci* 6, 42 (2011). <https://doi.org/10.1186/1748-5908-6-42>

- a. Has it helped to solve problems? How?
 - b. Has it helped to create optimism / hopefulness that change is possible? How?
 - c. Did some types of prototypes show more promise than others? Why did some work while others did not?
4. Can this model **scale**?
- a. Has this model worked? If so, what features were critical to success?
 - b. Are there any barriers that it would be difficult to overcome and mean that this model is not feasible?

7. Suggested Approach and Analysis

Rapid analysis of sprint 1 & 2 to discover and present any obvious flaws for the purpose of ongoing optimisation and iteration. This should outline changes that could be implemented immediately to improve (based on initial research intuition). This will be presented as an Early Learning Paper (limited a maximum of 2 pages) outlining the “Top 3-5 learnings and recommendations to improve over the next sprint”.

Thematic analysis of sprint 3 (which will include all data from sprints 1 & 2). Analysis should utilise both the COM-B behaviour change and How to do Culture Change frameworks. This analysis will include all sources of data from Section 3 and should be compiled into a full written report.

Comparative analysis across each sprint should be utilised to explore any trends/improvement over time.

8. Outputs

2 Presentations (after sprints 1 & 2) of learnings and recommendations with a maximum length of 2 pages.
A high quality internal analytical report with key findings/learning to be used by staff (including an updated Theory of Change) with a target length of 25 pages. The output will be for internal use only, but we will expect the quality to be of **a publishable standard**.
An article summarising/on the ‘Diary of a Service Designer’ that could be published. For example, published in the peer reviewed journal Prison Service

9. In Scope, Out of Scope

Scope of this work will be limited to HMP Exeter which is located within England and Wales.

10. Liaison Arrangements

Project management will be via TEAMS. The frequency of meetings with the EPH team for project management purposes is estimated to be 1 per month. Meetings with the EPH team after each sprint (i.e., 1 meeting per sprint = 3) to discuss findings before finalising learning to present to SLT.

The supplier must be prepared, if required, to attend face-to-face meetings in either of the Ministry of Justice's London offices to present final findings to MOJ / HMPPS staff. This may be a virtual webinar. The frequency of in-person meetings and webinars is estimated to amount to 4 (including presentation to: HMP Exeter, Prison Seniors, D&A Leadership and MoJ Academic Series).

Fieldwork is to be conducted at HMP Exeter. Fieldwork is expected to amount to approximately 4 days at HMP Exeter. Fieldwork is expected to require a minimum of 2 researchers per day.

X1 day for sprint 1

X1 day for sprint 2

X2 days for sprint 3

11. Regulatory requirements

Data Protection

All data will be collated and stored in accordance with the Data Protection Act 2018, Freedom of Information Act 2000, the General Data Protection Regulation (Regulation (EU) 2016/679) and Government Economic and Social Research Team. We require people who are specialists in prison culture and culture change. The successful contractor must comply throughout the project with the MoJ data protection policy, as set out in Appendix G and Appendix I.

Tenderers shall demonstrate their processes for dealing with data securely and as a minimum how they will comply with Ministry of Justice data protection policy. Proposals must cover how data will be transported / transferred, handled, analysed and stored including retention schedules.

The successful contractor must ensure that all staff working on the project have had a Baseline Personnel Security Standard (BPSS) check.

Freedom of Information

The Ministry of Justice is committed to open government and to meeting their responsibilities under the Freedom of Information Act 2005. Accordingly, all information submitted to the Department may need to be disclosed in response to a request under the Act. If you consider that any of the information included in your tender is commercially sensitive, please identify it and explain (in broad terms) what harm may result from disclosure if a request is received, and the time period applicable to that sensitivity. You should be aware that, even where you have indicated that information is commercially sensitive, we may still be required to disclose it under the Act if a request is received. Please also note that the receipt of any material marked 'confidential' or equivalent by the Department should not be taken to mean that we accept any duty of confidence by virtue of that marking. If a request is received, we may also be required to disclose details of unsuccessful tenders.

12. Service Levels

We require people who are specialists in conducting research in prisons and culture change in the prison context. We also require expertise in COM-B behaviour change and culture change (“How to do Culture Change”).

13. KPI's

- What KPI's will be used to measure supplier performance and deliverables
- Please note it is a mandatory requirement that at least 1 KPI must refer to the Social Value element as asked in the ITT

N/A

14. Security arrangements for Consultants

- Please note if you require any additional/higher level security requirements

Baseline Personnel Security Standards (of which Disclosure Scotland is a part) are a default requirement in any Research contract. <https://www.gov.uk/government/publications/government-baseline-personnel-security-standard>

Researchers will always be escorted/hosted by MoJ employees. MoJ employees will not be present during any research activity.

15. Timetable (subject to change)

Start date – 10th June 2024

Preparatory and Scoping Phase	Outputs delivered prior to fieldwork <ul style="list-style-type: none">- Updated project plan- Fieldwork materials (consent forms, topic guides, any additional research documents)- An analysis framework for the Early Learning Paper
Sprint 1 Payment Milestone 1 (30%)	Outputs delivered – July 2024 <ul style="list-style-type: none">- 1 day of fieldwork (min 2 researchers) June 2024

	<ul style="list-style-type: none"> - Preparation of Early Learning Paper and presentation of learnings/recommendations - Delivery of presentation of learnings & recommendations to EPH team and Senior Leadership at HMP Exeter (including Service Designer).
Sprint 2 Payment Milestone 2(30%)	Outputs delivered – October 2024 <ul style="list-style-type: none"> - 1 day of fieldwork (min 2 researchers) September 2024 - Preparation of Early Learning Paper and presentation of learnings/recommendations - Delivery of presentation of learnings & recommendations to EPH team and Senior Leadership at HMP Exeter (including Service Designer).
Sprint 3	Outputs delivered – December 2024 <ul style="list-style-type: none"> - 2 days of fieldwork (min 2 researchers)
Overarching Analysis	<ul style="list-style-type: none"> - Analysis framework (incorporating COM-B and How to do Culture Change)
Reporting Payment Milestone 3 (40%)	Outputs delivered – March 2025 <ul style="list-style-type: none"> - Overarching Case Study Report - Infographic - Article

These dates are guidelines only.

16. Budget

The budget for this proposal is estimated at £60, 000.

17. Form of proposal

Bidders should note that there are 4 Quality Criteria which your proposal will be evaluated on, detailed in Section 3.5 'Evaluation Criteria' of Appendix 4 – Bid Response Guidance.

All responses must be submitted in Microsoft Word in Arial font size 11.
Suppliers should provide one proposal document of maximum 2,000 words (excluding references, footnotes, appendices, and costing tables).

The word limit must not be exceeded and any text which is in excess of this limit will not be evaluated.

Your proposal should detail how your approach will meet our requirements as laid out in Appendix 1 - Statement of Requirements. The proposal must include the following:

- Proposed methodology (including data collection techniques, analysis methodology, and ethics)
- Approach to GDPR and data security
- Evidence of expertise working with vulnerable people, researching culture change and using COM-B Framework.
- Evidence of producing accessible Gov.UK reports and example infographic(s)
- A project plan and risk register with relevant mitigations to enable delivery of the project by 31 March 2025
- Details of the personnel to be involved in this project and their relevant experience

18. Any other Key features

Security Requirements

The supplier will need to adhere to the security requirements for each prison visited as part of the project. Any electronic devices required for research purposes (e.g., Dictaphone, laptop) will need approval and clearance from the security department in advance of the visit. Covid-19 rules must also be adhered to. Resource implications for the prisons involved also needs consideration and should be kept to a minimum where possible.

COVID-19 Considerations

Bidders should outline any COVID-19 transmission-related risks to conducting this research. For example, the risks of conducting face-to-face interviews or circulating research materials. This includes:

1. Any potential risks to research staff.
2. Any potential risk to respondents.
3. Listing the potential harms and persons potentially affected.
4. The control measures that will be put in place to manage the risks identified.

Bidders should consider any contingency plans necessary (both in method of data collection, and timings) and build adequate flexibility into their methods design. Any alternative methods proposed

as contingencies must fall within the same total costs. The above should be included in the risk register.

Dependencies

You should indicate if you are reliant on any third party with any information, data or undertaking any of the work specified.

Data collection

Researchers will be expected to clear any data collection tools with HMPPS before engaging in field work and ensure that in all cases the respondent documentation and/or interviewer briefing notes clearly state that the data is being collected for and on behalf of the Department and that no reference is made, implied or otherwise, to the data being used solely by or available only to the Contractor.

Consent arrangements

The Department and the successful contractor shall agree in advance of any survey or interview activity taking place. All participants should be informed of the purpose of the research, that the Contractor is acting on behalf of the Department and that they have the option to refuse to participate (opt out). Contact details should be provided including a contact person at the Department.

19. Outcome

Expected Outcomes

A high quality internal analytical report detailing the feasibility of embedding prototyping methods in policy and operations with a focus on the demand for, promise shown and scalability of this model.

Score this model against the 10 key features of a learning culture (see How to do Culture Change).

Outline recommendations for using a Service Designer to create a learning culture in the prison context.

Escalation Process

Tangible outputs are outlined in Section 8. The Supplier should deliver on these outputs within the specified time frame.

The Authority will agree more precise milestones with the Supplier for each stage of the project.

The project will have an identified MoJ project manager who will be responsible for liaising with the

Supplier and managing the project according to project management e.g., monitoring progress, managing risks, and escalating issues. The Supplier will actively manage risks, seek to mitigate them and develop contingency plans if necessary. The Supplier will be expected to nominate a lead person with overall responsibility for delivery with the same responsibilities for project and risk management.

If any difficulties arise, it is anticipated that the respective MoJ and Supplier project managers should attempt to resolve them. If concerns persist or become more serious, the MoJ will escalate concerns to the project working group, following that the director level joint governance board and seek guidance on the next steps.

20. Exit Strategy

This is time limited piece of work.

The contractor will be expected to disseminate knowledge by presenting final findings to MoJ staff.

Supplier Bid

[REDACTED]

Part 2 – Charges

Breakdown of costs

The total value of this contract will be **£58,910.00 (excluding VAT)**.

[REDACTED]

Payment Milestones

[REDACTED]