**ORDER FORM AND CONTRACT TERMS**

**Crown Commercial Service**

**Order Form and Contract Terms Services**

**Provision of an Online Testing Platform**

**Contract Reference: CCZN21B05**

1

**ORDER FORM AND CONTRACT TERMS**

**PART 1 – ORDER FORM**

**SECTION A**

This Contract Order Form is issued in accordance with the provisions of the Dynamic Purchasing System (DPS) Agreement for the provision of an Online Testing Platformdated 23rd November 2022.

The Supplier agrees to supply the Services specified below on and subject to

the terms of this Contract.

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

|  |  |  |
| --- | --- | --- |
| Order Number |  | **Contract Reference: CCZN21B05**  (The Customer’s purchase order will be confirmed following contract commencement). |
| From |  | The Cabinet Office  **REDACTED TEXT under FOIA Section 40,**  **Personal Information** |
| To |  | Talogy Limited  **REDACTED TEXT under FOIA Section 40,**  **Personal Information** |

|  |  |
| --- | --- |
| 1.1. | Commencement Date: 23rd November 2022 |
| 1.2. | Initial Expiry Date:  **The expiry date of the Initial Period will 3 years after the commencement date of the contract.**  End date of Extension Period **Following this the Contract can be extended by the Customer for a further period of up to 24 months, in 2 x 12-month extensions** |

1. **GOODS AND/OR SERVICES**

|  |  |
| --- | --- |
| 2.1  . | Goods and/or Services required:  In Contract Schedule 2 (Services) |

1. **IMPLEMENTATION PLAN**

|  |  |
| --- | --- |
| 3.1. | Implementation Plan: [To be completed on contract commencement] |

1. **CONTRACT PERFORMANCE**

|  |  |  |
| --- | --- | --- |
| 4.1. |  | Standards  **These are set out in Contract Schedule 2 Annex 1 Annex A - Statement of Requirements and Annex B - OTA Specification** |
| 4.2 |  | Service Levels/Service Credits: In Annex 1 of Part A of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring) |

|  |  |
| --- | --- |
| 4.3 | Critical Service Level Failure: Not applied |
| 4.4 | Performance Monitoring:  In Annex 1 of Part A of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring) |
| 4.5 | Period for providing Rectification Plan:  In Clause [39.2.1(a)](#_heading=h.2olpkfy) of the Contract Terms |

1. **PERSONNEL**

|  |  |  |
| --- | --- | --- |
| 5.1 |  | Key Supplier Personnel:  **REDACTED TEXT under FOIA Section 40,**  **Personal Information** |
| 5.2 |  | Relevant Convictions **In Clause** [**27.2**](#_heading=h.upglbi) **of the Contract Terms:** |

1. **PAYMENT**

|  |  |  |
| --- | --- | --- |
| 6.1 |  | Contract Charges (including any applicable discount(s) and licence charges, but excluding VAT):  **REDACTED TEXT under FOIA Section 43 Commercial Interests.**  **In Annex 1 of Contract Schedule 3 (Contract Charges, Payment and Invoicing).**  **For Information:**  The Implementation Milestone Payment referred to in the table in Schedule 3 Contract Charges - Annex 1 Contract Charges, Section A Implementation, will be payable to the Supplier on completion of this milestone, i.e. within 6 months of commencement of the Contract. |
| 6.2 |  | Payment terms/profile (including method of payment e.g. Government Procurement Card (GPC) or BACS):  **In Annex 2 of Contract Schedule 3 (Contract Charges, Payment and Invoicing)** |
| 6.3 |  | Reimbursable Expenses: Not permitted |
| 6.4 |  | Customer billing address **In paragraph 7.6 of Contract Schedule 3 (Contract Charges, Payment and Invoicing)**: |
|  |  |  |
| 6.5 |  | Contract Charges fixed for In paragraph  [8.2](#_heading=h.1csj400) of Schedule 3 (Contract Charges, Payment and Invoicing)):  **3 Contract Years from the Contract commencement Date and then 2 x 12-month extension periods if the Contract is extended.** |

|  |  |  |
| --- | --- | --- |
| .6 |  | Supplier periodic assessment of Contract Charges **(paragraph** [**9.2**](#_heading=h.2bxgwvm) **of Contract Schedule 3 (Contract Charges, Payment and Invoicing)) will be carried out annually on the anniversary of the commencement date of the Contract on each Contract Year.** |
| 6.7 |  | Supplier request for increase in the Contract Charges (paragraph [10](#_heading=h.r2r73f) of Contract Schedule 3 (Contract Charges, Payment and Invoicing)):  **Not Permitted** |

1. **LIABILITY AND INSURANCE**

|  |  |  |  |
| --- | --- | --- | --- |
| 7.1 |  | Estimated Year 1 Contract Charges: The sum of £1,080,000 excluding VAT. | |
| 7.2 |  | Supplier’s limitation of Liability in Clause [37.2.1](#_heading=h.3qwpj7n) of the Contract Terms;  **In Clause** [**37.2.1**](#_heading=h.3qwpj7n) **of the Contract Terms** | |
| 7.3 |  | Insurance Requirements - in Clause 38 of the Contract Terms. | |
|  |  |  |  |

1. **TERMINATION AND EXIT**

|  |  |  |  |
| --- | --- | --- | --- |
| 8.1 |  | Termination on material Default **(In Clause** [**42.2.1(c)**](#_heading=h.2tq9fhf) **of the Contract Terms):** | |
| 8.2 |  | Termination without cause notice period **In Clause** [**42.7.1**](#_heading=h.1maplo9) **of the Contract Terms:** | |
|  |  |  |  |
| 8.3 |  | Undisputed Sums Limit:  **In Clause** [**43.1.1**](#_heading=h.4jpj0b3) **of the Contract Terms** I | |
| 8.4 |  | Exit Management: In Contract Schedule 9 (Exit Management) | |

1. **SUPPLIER INFORMATION**

|  |  |  |
| --- | --- | --- |
| 9.1 |  | Supplier’s inspection of Sites, Customer Property and Customer Assets:  **Not applicable** |
| 9.2 |  | Commercially Sensitive Information:  **All pricing and functionalities of supplier’s system, any of the supplier’s IP be it technical capabilities or content related.** |

1. **OTHER CONTRACT REQUIREMENTS**

|  |  |  |
| --- | --- | --- |
| 10.1 |  | Recitals in preamble to the Contract Terms:  **Recitals B to E** |
| 10.2 |  | Contract Guarantee (Clause 4 of the Contract Terms):  Not required |

|  |  |
| --- | --- |
| 10.3 | Security:  **As set out in the Schedule 2 Statement of Requirements section 17 to be included on contract award.** |
| 10.4 | ICT Policy: **Not applied** |
| 10.5 | Testing: **In Contract Schedule 5 (Testing)** |
| 10.6 | Business Continuity & Disaster Recovery:  **(In Contract Schedule 8 (Business Disaster Period:**  **For the purpose of the definition of “Disaster” in Contract Schedule 1** Definitions) **the “Disaster Period” shall be one week.** |

|  |  |  |  |
| --- | --- | --- | --- |
| 10.7 |  | | Failure of Supplier Equipment **In Clause**  **32.8 of the Contract Terms** |
| 10.8 |  | | Protection of Customer Data **In Clause**  [**35.2.3**](#_heading=h.38czs75) **of the Contract Terms** |
| 10.9 |  | | Notices **In Clause** [**56.6**](#_heading=h.30tazoa) **of the Contract Terms** |
| 10.10 |  | | Transparency Reports  **In Contract Schedule 13 (Transparency Reports)** |
| 10.11 |  | | Alternative and/or additional provisions (including any Alternative and/or Additional Clauses under Contract Schedule 14):  **Clause 34 Intellectual Property Rights**  **34.1 Allocation of title to IPR**  **Clause 34.1.1(b) is deleted and replaced with the following new Clause 34.1.1(b):**  **(b) the Supplier shall not acquire any right, title or interest in or to the Intellectual Property Rights of the Customer or its licensors, including:**  **(i) the Customer Background IPR;**  **(ii) the Customer Data; and**  **(iii) any test and assessment designs created by the Customer using the Supplier’s platform(s) (but excluding the Supplier Background IPR).** |
| 10.12 | | Contract Tender:  **In Schedule 15 (Contract Tender)** | |

**FORMATION OF CONTRACT**

**BY SIGNING AND RETURNING THIS CONTRACT ORDER FORM (which may be done**

**by electronic means) the Supplier agrees to enter a Contract with the Customer to provide the Goods and/or Services in accordance with the terms of the Contract Order Form and the Contract Terms.**

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

**In accordance with paragraph 6.3 of DPS Schedule 5 (Call for Competition Procedure), the Parties hereby acknowledge and agree that this Contract shall be formed when the Customer acknowledges (which may be done by electronic means) the receipt of the signed copy of the Contract Order Form from the Supplier within two (2) Working Days from such receipt.**

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

|  |  |
| --- | --- |
| Name and Title | REDACTED TEXT under FOIA Section 40,  Personal Information |
| Signature | REDACTED TEXT under FOIA Section 40,  Personal Information |
| Date | 02/12/2022 |

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

|  |  |
| --- | --- |
| Name and Title | REDACTED TEXT under FOIA Section 40,  Personal Information |
| Signature | REDACTED TEXT under FOIA Section 40,  Personal Information |
| Date | 09/12/2022 |

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**PART 2 – CONTRACT TERMS**

**TERMS AND CONDITIONS**

**RECITALS**

1. NOT USED
2. Where recitals B to E have been selected in the Contract Order Form, the Customer has followed the call for competition procedure set out in paragraph

2.1 of DPS Schedule 5 (Call for Competition Procedure) and has awarded this Contract to the Supplier by way of competition.

1. The Customer issued its Statement of Requirements for the provision of the Goods and/or Services on the date specified at paragraph 10.1 of the Contract Order Form*.*

1. In response to the Statement of Requirements the Supplier submitted a Contract Tender to the Customer on the date specified at paragraph 10.1 of the Contract Order form through which it provided to the Customer its solution for providing the Goods and/or Services.
2. On the basis of the Contract Tender, the Customer selected the Supplier to provide the Goods and/or Services to the Customer in accordance with the terms of this Contract.

1. **PRELIMINARIES**

* 1. **DEFINITIONS AND INTERPRETATION**
     1. In this Contract, unless the context otherwise requires, capitalised expressions shall have the meanings set out in Contract Schedule 1 (Definitions) or the relevant Contract Schedule in which that capitalised expression appears.
     2. If a capitalised expression does not have an interpretation in Contract Schedule 1 (Definitions) or relevant Contract Schedule, it shall have the meaning given to it in the DPS Agreement. If no meaning is given to it in the DPS Agreement, it shall, in the first instance, be interpreted in accordance with the common interpretation within the relevant market sector/industry where appropriate. Otherwise, it shall be interpreted in accordance with the dictionary meaning.
     3. In this Contract, unless the context otherwise requires:
        1. the singular includes the plural and vice versa;
        2. reference to a gender includes the other gender and the neuter;
        3. references to a person include an individual, company, body corporate, corporation, unincorporated association, firm, partnership or other legal entity or Crown Body;
        4. a reference to any Law includes a reference to that Law as amended, extended, consolidated or re-enacted from time to time;
        5. the words "**including**", "**other**", "**in particular**", "**for example**" and similar words shall not limit the generality of the preceding words

and shall be construed as if they were immediately followed by the words "**without limitation**";

* + - 1. references to “**writing**” include typing, printing, lithography, photography, display on a screen, electronic and facsimile transmission and other modes of representing or reproducing words in a visible form, and expressions referring to writing shall be construed accordingly;
      2. references to “**representations**” shall be construed as references to present facts, to “**warranties**” as references to present and future facts and to “**undertakings”** as references to obligations under this Contract;
      3. references to “**Clauses**” and “**Contract Schedules**” are, unless otherwise provided, references to the clauses and schedules of this Contract and references in any Contract Schedule to parts, paragraphs, annexes and tables are, unless otherwise provided, references to the parts, paragraphs, annexes and tables of the Contract Schedule in which these references appear; and
      4. the headings in this Contract are for ease of reference only and shall not affect the interpretation or construction of this Contract.
    1. Subject to Clauses [1.5](#_heading=h.3znysh7) and [1.6](#_heading=h.2et92p0) (Definitions and Interpretation), in the event of and only to the extent of any conflict between the Contract Order Form, the Contract Terms and the provisions of the DPS Agreement, the conflict shall be resolved in accordance with the following order of precedence:
       1. the Contract Order Form;
       2. the Call for Competition Contract Terms, except Contract Schedule 15 (Contract Tender);
       3. Contract Schedule 15 (Contract Tender); and
    2. Any permitted changes by the Customer to the Template Contract Terms and the Template Order Form under Clause 5 (Contract Procedure) of the DPS Agreement and DPS Schedule 5 (Call for Competition Procedure) prior to them becoming the Contract Terms and the Contract Order Form which comprise this Contract shall prevail over the DPS Agreement.
    3. Where Contract Schedule 15 (Contract Tender) contain provisions which are more favourable to the Customer in relation to (the rest of) this Contract, such provisions of the Contract Tender shall prevail. The Customer shall in its absolute and sole discretion determine whether any provision in the Contract Tender is more favourable to it in this context.

* 1. **DUE DILIGENCE**
     1. The Supplier acknowledges that:
        1. the Customer has delivered or made available to the Supplier all of the information and documents that the Supplier considers necessary or relevant for the performance of its obligations under this Contract;
        2. it has made its own enquiries to satisfy itself as to the accuracy and adequacy of the Due Diligence Information;
        3. it has raised all relevant due diligence questions with the Customer before the Contract Commencement Date;
        4. it has undertaken all necessary due diligence and has entered into this Contract in reliance on its own due diligence alone; and
        5. it shall not be excused from the performance of any of its obligations under this Contract on the grounds of, nor shall the Supplier be entitled to recover any additional costs or charges, arising as a result of any:
           1. misinterpretation of the requirements of the Customer in the Contract Order Form or elsewhere in this Contract;
           2. failure by the Supplier to satisfy itself as to the accuracy and/or adequacy of the Due Diligence Information; and/or
           3. failure by the Supplier to undertake its own due diligence.

* 1. **REPRESENTATIONS AND WARRANTIES**

* + 1. Each Party represents and warranties that:
       1. it has full capacity and authority to enter into and to perform this Contract;
       2. this Contract is executed by its duly authorised representative;
       3. there are no actions, suits or proceedings or regulatory investigations before any court or administrative body or arbitration tribunal pending or, to its knowledge, threatened against it (or, in the case of the Supplier, any of its Affiliates) that might affect its ability to perform its obligations under this Contract; and
       4. its obligations under this Contract constitute its legal, valid and binding obligations, enforceable in accordance with their respective terms subject to applicable (as the case may be for each Party) bankruptcy, reorganisation, insolvency, moratorium or similar Laws affecting creditors’ rights generally and subject, as to enforceability, to equitable principles of general application (regardless of whether enforcement is sought in a proceeding in equity or Law).
    2. The Supplier represents and warrants that:
       1. it is validly incorporated, organised and subsisting in accordance with the Laws of its place of incorporation;
       2. it has all necessary consents (including, where its procedures so require, the consent of its Parent Company) and regulatory approvals to enter into this Contract;
       3. its execution, delivery and performance of its obligations under this Contract does not and will not constitute a breach of any Law or obligation applicable to it and does not and will not cause or result in a Default under any agreement by which it is bound;
       4. as at the Contract Commencement Date, all written statements and representations in any written submissions made by the Supplier as part of the procurement process, its Tender, Contract Tender and any other documents submitted remain true and

accurate except to the extent that such statements and representations have been superseded or varied by this Contract;

* + - 1. if the Contract Charges payable under this Contract exceed or are likely to exceed five (5) million pounds, as at the Contract Commencement Date it has notified the Customer in writing of any Occasions of Tax Non-Compliance or any litigation that it is involved in connection with any Occasions of Tax Non Compliance;
      2. it has and shall continue to have all necessary rights in and to the Third Party IPR, the Supplier Background IPRs and any other materials made available by the Supplier (and/or any Sub- Contractor) to the Customer which are necessary for the performance of the Supplier’s obligations under this Contract including the receipt of the Goods and/or Services by the Customer;
      3. it shall take all steps, in accordance with Good Industry Practice, to prevent the introduction, creation or propagation of any disruptive elements (including any virus, worms and/or Trojans, spyware or other malware) into systems, data, software or the Customer’s Confidential Information (held in electronic form) owned by or under the control of, or used by, the Customer;
      4. it is not subject to any contractual obligation, compliance with which is likely to have a material adverse effect on its ability to perform its obligations under this Contract;
      5. it is not affected by an Insolvency Event and no proceedings or other steps have been taken and not discharged (nor, to the best of its knowledge, are threatened) for the winding up of the Supplier or for its dissolution or for the appointment of a receiver, administrative receiver, liquidator, manager, administrator or similar officer in relation to any of the Supplier’s assets or revenue; and
      6. for the Contract Period and for a period of twelve (12) Months after the termination or expiry of this Contract, the Supplier shall not employ or offer employment to any staff of the Customer which have been associated with the provision of the Goods and/or Services without Approval or the prior written consent of the Customer which shall not be unreasonably withheld.
    1. Each of the representations and warranties set out in Clauses [3.1](#_heading=h.1t3h5sf) and [3.2](#_heading=h.4d34og8) shall be construed as a separate representation and warranty and shall not be limited or restricted by reference to, or inference from, the terms of any other representation, warranty or any undertaking in this Contract.
    2. If at any time a Party becomes aware that a representation or warranty given by it under Clauses [3.1](#_heading=h.1t3h5sf) and [3.2](#_heading=h.4d34og8) has been breached, is untrue or is misleading, it shall immediately notify the other Party of the relevant occurrence in sufficient detail to enable the other Party to make an accurate assessment of the situation.
    3. For the avoidance of doubt, the fact that any provision within this Contract is expressed as a warranty shall not preclude any right of termination the Customer may have in respect of breach of that provision by the Supplier which constitutes a material Default.
  1. **CONTRACT GUARANTEE**

* + 1. Where the Customer has stipulated in the Contract Order Form that this Contract shall be conditional upon receipt of a Contract Guarantee, then, on or prior to the Contract Commencement Date or on any other date specified by the Customer, the Supplier shall deliver to the Customer:
       1. an executed Contract Guarantee from a Contract Guarantor; and
       2. a certified copy extract of the board minutes and/or resolution of the Contract Guarantor approving the execution of the Contract Guarantee.
    2. The Customer may in its sole discretion at any time agree to waive compliance with the requirement in Clause [4.1](#_heading=h.3rdcrjn) by giving the Supplier notice in writing.

**B. DURATION OF CONTRACT**

* 1. **CONTRACT PERIOD**
     1. This Contract shall take effect on the Contract Commencement Date and the term of this Contract shall be the Contract Period.
     2. Where the Customer has specified a Contract Extension Period in the Contract Order Form, the Customer may extend this Contract for the Contract Extension Period by providing written notice to the Supplier before the end of the Initial Contract Period. The minimum period for the written notice shall be as specified in the Contract Order Form.

**C. CONTRACT PERFORMANCE**

* 1. **IMPLEMENTATION PLAN**
     1. Formation of Implementation Plan
        1. Where an Implementation Plan has not been agreed and included in Contract Schedule 4 (Implementation Plan) on the Contract Commencement Date, but the Customer has specified in the Contract Order Form that the Supplier shall provide a draft Implementation Plan prior to the commencement of the provision of the Goods and/or Services, the Supplier’s draft must contain information at the level of detail necessary to manage the implementation stage effectively and as the Customer may require. The draft Implementation Plan shall take account of all dependencies known to, or which should reasonably be known to, the Supplier.
        2. The Supplier shall submit the draft Implementation Plan to the Customer for Approval (such decision of the Customer to Approve or not shall not be unreasonably delayed or withheld) within such period as specified by the Customer in the Contract Order Form.
        3. The Supplier shall perform each of the Deliverables identified in the Implementation Plan by the applicable date assigned to that Deliverable in the Implementation Plan so as to ensure that each Milestone identified in the Implementation Plan is Achieved on or before its Milestone Date.
        4. The Supplier shall monitor its performance against the Implementation Plan and Milestones (if any) and any other requirements of the Customer as set out in this Contract and report to the Customer on such performance.
     2. **Control of Implementation Plan**
        1. Subject to Clause [6.2.2](#_heading=h.2jxsxqh), the Supplier shall keep the Implementation Plan under review in accordance with the Customer’s instructions and ensure that it is maintained and updated on a regular basis as may be necessary to reflect the then current state of the provision of the Goods and/or Services. The Customer shall have the right to require the Supplier to include any reasonable changes or provisions in each version of the Implementation Plan.
        2. Changes to the Milestones (if any), Milestone Payments (if any) and Delay Payments (if any) shall only be made in accordance with the Variation Procedure and provided that the Supplier shall not attempt to postpone any of the Milestones using the Variation Procedure or otherwise (except in the event of a Customer Cause which affects the Supplier’s ability to achieve a Milestone by the relevant Milestone Date).
        3. Where so specified by the Customer in the Implementation Plan or elsewhere in this Contract, time in relation to compliance with a date, Milestone Date or period shall be of the essence and failure of the Supplier to comply with such date, Milestone Date or period shall be a material Default unless the Parties expressly agree otherwise.
     3. **Rectification of Delay in Implementation**
        1. If the Supplier becomes aware that there is, or there is reasonably likely to be, a Delay under this Contract:
           1. it shall:

notify the Customer as soon as practically possible and no later than within two (2) Working Days from becoming aware of the Delay or anticipated Delay;

include in its notification an explanation of the actual or anticipated impact of the Delay;

comply with the Customer’s instructions in order to address the impact of the Delay or anticipated Delay; and

use all reasonable endeavours to eliminate or mitigate the consequences of any Delay or anticipated Delay; and

* + - * 1. if the Delay or anticipated Delay relates to a Milestone in respect of which a Delay Payment has been specified in the Implementation Plan, Clause [6.4](#_heading=h.3j2qqm3) (Delay Payments) shall apply.
    1. **Delay Payments**
       1. If Delay Payments have been included in the Implementation Plan and a Milestone has not been achieved by the relevant Milestone Date, the Supplier shall pay to the Customer such Delay Payments (calculated as set out by the Customer in the Implementation Plan) and the following provisions shall apply:
          1. the Supplier acknowledges and agrees that any Delay Payment is a price adjustment and not an estimate of the Loss that may be suffered by the Customer as a result of the Supplier’s failure to Achieve the corresponding Milestone;
          2. Delay Payments shall be the Customer's exclusive financial remedy for the Supplier’s failure to Achieve a corresponding Milestone by its Milestone Date except where:

the Customer is otherwise entitled to or does terminate this Contract pursuant to Clause [42](#_heading=h.vgdtq7) (Customer Termination Rights) except Clause

[42.7](#_heading=h.375fbgg) (Termination Without Cause); or

the delay exceeds the number of days (the “**Delay Period Limit**”) specified in Contract Schedule 4 (Implementation Plan) for the purposes of this sub-Clause, commencing on the relevant Milestone Date;

* + - * 1. the Delay Payments will accrue on a daily basis from the relevant Milestone Date and shall continue to accrue until the date when the Milestone is Achieved (unless otherwise specified by the Customer in the Implementation Plan);
        2. no payment or concession to the Supplier by the Customer or other act or omission of the Customer shall in any way affect the rights of the Customer to recover the Delay Payments or be deemed to be a waiver of the right of the Customer to recover any such damages unless such waiver complies with Clause [49](#_heading=h.434ayfz) (Waiver and Cumulative Remedies) and refers specifically to a waiver of the Customer’s rights to claim Delay Payments; and
        3. the Supplier waives absolutely any entitlement to challenge the enforceability in whole or in part of this Clause [6.4.1](#_heading=h.1y810tw) and Delay Payments shall not be subject to or count towards any limitation on liability set out in Clause [37](#_heading=h.4cmhg48) (Liability).

* 1. **GOODS AND/ OR SERVICES**

* + 1. **Provision of the Goods and/or Services**
       1. The Supplier acknowledges and agrees that the Customer relies on the skill and judgement of the Supplier in the provision of the Goods and/or Services and the performance of its obligations under this Contract.
       2. The Supplier shall ensure that the Goods and/or Services:
          1. comply in all respects with the description of the Goods and/or Services in Contract Schedule 2 (Goods and/or Services) or elsewhere in this Contract; and
          2. are supplied in accordance with the provisions of this Contract Tender.
       3. The Supplier shall perform its obligations under this Contract in accordance with:
          1. all applicable Law;
          2. Good Industry Practice;
          3. the Standards;
          4. the Security Policy;
          5. the ICT Policy (if so required by the Customer); and
          6. the Supplier’s own established procedures and practices to the extent the same do not conflict with the requirements of Clau[ses 7.1.3(a)](#_heading=h.qsh70q) to [7.1.3(e)](#_heading=h.3as4poj).
       4. The Supplier shall:
          1. at all times allocate sufficient resources with the appropriate technical expertise to supply the Deliverables and to provide the Goods and/or Services in accordance with this Contract;
          2. subject to Clause [22.1](#_heading=h.xvir7l) (Variation Procedure), obtain, and maintain throughout the duration of this Contract, all the consents, approvals, licences and permissions (statutory, regulatory contractual or otherwise) it may require and which are necessary for the provision of the Goods and/or Services;
          3. ensure that any goods and/or services recommended or otherwise specified by the Supplier for use by the Customer in conjunction with the Deliverables and/or the Goods and/or Services shall enable the Deliverables and/or the Goods and/or the Services to meet the requirements of the Customer;
          4. ensure that the Supplier Assets will be free of all encumbrances (except as agreed in writing with the Customer);
          5. ensure that the Goods and/or Services are fully compatible with any Customer Property or Customer Assets described in Contract Schedule 4 (Implementation Plan) (or elsewhere in this Contract) or otherwise used by the Supplier in connection with this Contract;
          6. minimise any disruption to the Sites, the ICT Environment and/or the Customer's operations when providing the Goods and/or Services;
          7. ensure that any Documentation and training provided by the Supplier to the Customer are comprehensive,

accurate and prepared in accordance with Good Industry Practice;

* + - * 1. co-operate with the Other Suppliers and provide reasonable information (including any Documentation), advice and assistance in connection with the Goods and/or Services to any Other Supplier and, on the Contract Expiry Date for any reason, to enable the timely transition of the supply of the Goods and/or Services (or any of them) to the Customer and/or to any Replacement Supplier;
        2. assign to the Customer, or if it is unable to do so, shall (to the extent it is legally able to do so) hold on trust for the sole benefit of the Customer, all warranties and indemnities provided by third parties or any Sub- Contractor in respect of any Deliverables and/or the Goods and/or Services. Where any such warranties are held on trust, the Supplier shall enforce such warranties in accordance with any reasonable directions that the Customer may notify from time to time to the Supplier;
        3. provide the Customer with such assistance as the Customer may reasonably require during the Contract Period in respect of the supply of the Goods and/or Services;
        4. deliver the Goods and/or Services in a proportionate and efficient manner;
        5. ensure that neither it, nor any of its Affiliates, embarrasses the Customer or otherwise brings the Customer into disrepute by engaging in any act or omission which is reasonably likely to diminish the trust that the public places in the Customer, regardless of whether or not such act or omission is related to the Supplier’s obligations under this Contract; and
        6. gather, collate and provide such information and co- operation as the Customer may reasonably request for the purposes of ascertaining the Supplier’s compliance with its obligations under this Contract.
      1. An obligation on the Supplier to do, or to refrain from doing, any act or thing shall include an obligation upon the Supplier to procure that all Sub-Contractors and Supplier Personnel also do, or refrain from doing, such act or thing.

* 1. **SERVICES**
     1. **General application**
        1. This Clause [8](#_heading=h.49x2ik5) shall apply if any Services have been included in Annex 1 of Contract Schedule 2 (Goods and/or Services).
     2. **Time of Delivery of the Services**
        1. The Supplier shall provide the Services on the date(s) specified in the Contract Order Form (or elsewhere in this Contract) and the Milestone Dates (if any).
     3. **Location and Manner of Delivery of the Services**
        1. Except where otherwise provided in this Contract, the Supplier shall provide the Services to the Customer through the Supplier Personnel at the Sites.
        2. The Customer may inspect and examine the manner in which the Supplier provides the Services at the Sites and, if the Sites are not the Customer Premises, the Customer may carry out such inspection and examination during normal business hours and on reasonable notice.
     4. **Undelivered Services**
        1. In the event that any of the Services are not Delivered in accordance with Clauses [7.1](#_heading=h.3whwml4) (Provision of the Goods and/or Services), [8.2](#_heading=h.2p2csry) (Time of Delivery of the Services) and [8.3](#_heading=h.147n2zr) (Location and Manner of Delivery of the Services) ("**Undelivered Services**"), the Customer, without prejudice to any other rights and remedies of the Customer howsoever arising, shall be entitled to withhold payment of the applicable Contract Charges for the Services that were not so Delivered until such time as the Undelivered Services are Delivered.
        2. The Customer may, at its discretion and without prejudice to any other rights and remedies of the Customer howsoever arising, deem the failure to comply with Clauses [7.1](#_heading=h.3whwml4), (Provision of the Goods and/or Services), [8.2](#_heading=h.2p2csry) (Time of Delivery of the Services) and

[8.3](#_heading=h.147n2zr) (Location and Manner of Delivery of the Services) and meet the relevant Milestone Date (if any) to be a material Default.

* + 1. **Obligation to Remedy Default in the Supply of the Services**
       1. Subject to Clauses [34.9.2](#_heading=h.1vsw3ci) and [34.9.3](#_heading=h.1a346fx) (IPR Indemnity) and without prejudice to any other rights and remedies of the Customer howsoever arising (including under Clauses [8.4.2](#_heading=h.23ckvvd) (Undelivered Services) and [39](#_heading=h.1c1lvlb) (Customer Remedies for Default)), the Supplier shall, where practicable:
          1. remedy any breach of its obligations in Clauses [7](#_heading=h.1ci93xb) and [8](#_heading=h.49x2ik5) within three (3) Working Days of becoming aware of the relevant Default or being notified of the Default by the Customer or within such other time period as may be agreed with the Customer (taking into account the nature of the breach that has occurred); and
          2. meet all the costs of, and incidental to, the performance of such remedial work.
    2. **Continuing Obligation to Provide the Services**
       1. The Supplier shall continue to perform all of its obligations under this Contract and shall not suspend the provision of the Services, notwithstanding:
          1. any withholding or deduction by the Customer of any sum due to the Supplier pursuant to the exercise of a right of the

Customer to such withholding or deduction under this Contract;

* + - * 1. the existence of an unresolved Dispute; and/or
        2. any failure by the Customer to pay any Contract Charges,

unless the Supplier is entitled to terminate this Contract under Clause [43.1](#_heading=h.1zpvhna) (Termination on Customer Cause for Failure to Pay) for failure by the Customer to pay undisputed Contract Charges.

* 1. **GOODS**
     1. **General application**
        1. This Clause [9](#_heading=h.32hioqz) shall apply if any Goods have been included in Annex 2 of Contract Schedule 2 (Goods and/or Services).
     2. **Time of Delivery of the Goods**
        1. The Supplier shall provide the Goods on the date(s) specified in the Contract Order Form (or elsewhere in this Contract) and the Milestone Dates (if any).
        2. Subject to Clause [9.2.3](#_heading=h.1hmsyys) (Time of Delivery of the Goods), where the Goods are delivered by the Supplier, the point of delivery shall be when the Goods are removed from the transporting vehicle and transferred at the Sites. Where the Goods are collected by the Customer, the point of delivery shall be when the Goods are loaded on the Customer's vehicle.
        3. Where the Customer has specified any Installation Works in the Contract Order Form, Delivery shall include installation of the Goods by the Supplier Personnel at the Sites (or at such place as the Customer may reasonably direct) in accordance with Clause [10](#_heading=h.3tbugp1) (Installation Works) and the Contract Order Form.
     3. Location and Manner of Delivery of the Goods
        1. Except where otherwise provided in this Contract, the Supplier shall deliver the Goods to the Customer through the Supplier Personnel at the Sites.
        2. If requested by the Customer prior to Delivery, the Supplier shall provide the Customer with a sample or samples of Goods for evaluation and Approval, at the Supplier’s cost and expense.
        3. The Goods shall be marked, stored, handled and delivered in a proper manner and in accordance with the Customer’s instructions as set out in the Contract Order Form (or elsewhere in this Contract), Good Industry Practice, any applicable Standards and any Law. In particular, the Goods shall be marked with the Order number and the net, gross and tare weights, the name of the contents shall be clearly marked on each container and all containers of hazardous Goods (and all documents relating thereto) shall bear prominent and adequate warnings.
        4. On dispatch of any consignment of the Goods the Supplier shall send the Customer an advice note specifying the means of transport, the place and date of dispatch, the number of packages, their weight and volume together with all other relevant

documentation and information required to be provided under any Laws.

* + - 1. The Customer may inspect and examine the manner in which the Supplier supplies the Goods at the Sites and, if the Sites are not the Customer Premises, the Customer may carry out such inspection and examination during normal business hours and on reasonable notice.
    1. Undelivered Goods
       1. In the event that not all of the Goods are Delivered in accordance with Clauses [7.1](#_heading=h.3whwml4) (Provision of the Goods and/or Services), (Time of Delivery of the Goods) and [9.3](#_heading=h.41mghml) (Location and Manner of Delivery of the Goods) ("**Undelivered Goods**"), the Customer, without prejudice to any other rights and remedies of the Customer howsoever arising, shall be entitled to withhold payment of the applicable Contract Charges for the Goods that were not so Delivered until such time as the Undelivered Goods are Delivered.
       2. The Customer, at its discretion and without prejudice to any other rights and remedies of the Customer howsoever arising deems the failure to comply with Clauses [7.1](#_heading=h.3whwml4) (Provision of the Goods and/or Services). (Time of Delivery of the Goods) and [9.3](#_heading=h.41mghml) (Location and Manner of Delivery of the Goods) and meet the relevant Milestone Date (if any) to be a material Default.
    2. Over-Delivered Goods
       1. The Customer shall be under no obligation to accept or pay for any Goods delivered in excess of the quantity specified in the Contract Order Form (or elsewhere in this Contract) (“**Over- Delivered Goods**”).
       2. If the Customer elects not to accept such Over-Delivered Goods it may, without prejudice to any other rights and remedies of the Customer howsoever arising, give notice in writing to the Supplier to remove them within five (5) Working Days and to refund to the Customer any expenses incurred by the Customer as a result of such Over-Delivered Goods (including but not limited to the costs of moving and storing the Over-Delivered Goods).
       3. If the Supplier fails to comply with the Customer’s notice under Clause [9.5.2](#_heading=h.1v1yuxt), the Customer may dispose of such Over-Delivered Goods and charge the Supplier for the costs of such disposal. The risk in any Over-Delivered Goods shall remain with the Supplier.
    3. Delivery of the Goods by Instalments
       1. Unless expressly agreed to the contrary, the Customer shall not be obliged to accept delivery of the Goods by instalments. If, however, the Customer does specify or agree to delivery by instalments, delivery of any instalment later than the date specified or agreed for its Delivery shall, without prejudice to any other rights or remedies of the Customer howsoever arising, entitle the Customer to terminate the whole or any unfulfilled part of this Contract for material Default without further liability to the Customer.
    4. Risk and Ownership in Relation to the Goods
       1. Without prejudice to any other rights or remedies of the Customer howsoever arising:
          1. risk in the Goods shall pass to the Customer at the time of Delivery; and
          2. ownership of the Goods shall pass to the Customer on the earlier of Delivery of the Goods or payment by the Customer of the Contract Charges;
    5. Responsibility for Damage to or Loss of the Goods
       1. Without prejudice to the Supplier’s other obligations to provide the Goods in accordance with this Contract, the Supplier accepts responsibility for all damage to or loss of the Goods if the:
          1. same is notified in writing to the Supplier within three (3) Working Days of receipt and inspection of the Goods by the Customer; and
          2. Goods have been handled by the Customer in accordance with the Supplier’s instructions.
       2. Where the Supplier accepts responsibility under Clause [9.8.1](#_heading=h.2u6wntf), it shall, at its sole option, replace or repair the Goods (or part thereof) within such time as is reasonable having regard to the circumstances and as agreed with the Customer.
    6. Warranty of the Goods
       1. The Supplier hereby guarantees the Goods for the Warranty Period against faulty materials and workmanship.
       2. If the Customer shall within such Warranty Period or within twenty five (25) Working Days thereafter give notice in writing to the Supplier of any defect in any of the Goods as may have arisen during such Warranty Period under proper and normal use, the Supplier shall (without prejudice to any other rights and remedies of the Customer howsoever arising) promptly remedy such faults or defects (whether by repair or replacement as the Customer shall elect) free of charge.
    7. Obligation to Remedy Default in the Supply of the Goods
       1. Subject to Clauses [34.9.2](#_heading=h.1vsw3ci) and [34.9.3](#_heading=h.1a346fx) (IPR Indemnity) and without prejudice to any other rights and remedies of the Customer howsoever arising (including under Clauses [9.4.2](#_heading=h.vx1227) (Undelivered Goods) and [39](#_heading=h.1c1lvlb) (Customer Remedies for Default)), the Supplier shall, where practicable:
          1. remedy any breach of its obligations in this Clause [9](#_heading=h.32hioqz) within three (3) Working Days of becoming aware of the relevant Default or being notified of the Default by the Customer or within such other time period as may be agreed with the Customer (taking into account the nature of the breach that has occurred); and
          2. meet all the costs of, and incidental to, the performance of such remedial work.
    8. Continuing Obligation to Provide the Goods
       1. The Supplier shall continue to perform all of its obligations under this Contract and shall not suspend the provision of the Goods, notwithstanding:
          1. any withholding or deduction by the Customer of any sum due to the Supplier pursuant to the exercise of a right of the Customer to such withholding or deduction under this Contract*;*
          2. the existence of an unresolved Dispute; and/or
          3. any failure by the Customer to pay any Contract Charges, unless the Supplier is entitled to terminate this Contract under Clause

[43.1](#_heading=h.1zpvhna) (Termination on Customer Cause for Failure to Pay) for failure to pay undisputed Contract Charges.

* 1. **INSTALLATION WORKS**
     1. This Clause [10](#_heading=h.3tbugp1) shall apply if any Goods have been included in Annex 2 of Contract Schedule 2 (Goods and/or Services) and the Customer has specified Installation Works in the Contract Order Form.
     2. Where the Supplier reasonably believes it has completed the Installation Works it shall notify the Customer in writing. Following receipt of such notice, the Customer shall inspect the Installation Works and shall, by giving written notice to the Supplier:
        1. accept the Installation Works, or
        2. reject the Installation Works and provide reasons to the Supplier if, in the Customer’s reasonable opinion, the Installation Works do not meet the requirements set out in the Contract Order Form (or elsewhere in this Contract).
     3. If the Customer rejects the Installation Works in accordance with Clause [10.2](#_heading=h.28h4qwu), the Supplier shall immediately rectify or remedy any defects and if, in the Customer’s reasonable opinion, the Installation Works do not, within five (5) Working Days of such rectification or remedy, meet the requirements set out in the Contract Order Form (or elsewhere in this Contract), the Customer may terminate this Contract for material Default.
     4. The Installation Works shall be deemed to be completed when the Supplier receives a notice issued by the Customer in accordance with Clause [10.2](#_heading=h.28h4qwu). Notwithstanding the acceptance of any Installation Works in accordance with Clause [10.2](#_heading=h.28h4qwu) (Installation Works), the Supplier shall remain solely responsible for ensuring that the Goods and the Installation Works conform to the specification in the Contract Order Form (or elsewhere in this Contract). No rights of estoppel or waiver shall arise as a result of the acceptance by the Customer of the Installation Works.
     5. Throughout the Contract Period, the Supplier shall have at all times all licences, approvals and consents necessary to enable the Supplier and the Supplier Personnel to carry out the Installation Works.

* 1. **STANDARDS AND QUALITY**
     1. The Supplier shall at all times during the Contract Period comply with the Standards and maintain, where applicable, accreditation with the relevant Standards' authorisation body.
     2. Throughout the Contract Period, the Parties shall notify each other of any new or emergent standards which could affect the Supplier’s provision, or the receipt by the Customer, of the Goods and/or Services. The adoption of any such new or emergent standard, or changes to existing Standards (including any specified in the Contract Order Form), shall be agreed in accordance with the Variation Procedure.
     3. Where a new or emergent standard is to be developed or introduced by the Customer, the Supplier shall be responsible for ensuring that the potential impact on the Supplier’s provision, or the Customer’s receipt of the Goods and/or Services is explained to the Customer (within a reasonable timeframe), prior to the implementation of the new or emergent Standard.
     4. Where Standards referenced conflict with each other or with best professional or industry practice adopted after the Contract Commencement Date, then the later Standard or best practice shall be adopted by the Supplier. Any such alteration to any Standard or Standards shall require Approval (and the written consent of the Customer where the relevant Standard or Standards is/are included in DPS Schedule 2 (Goods and/or Services and Key Performance Indicators) and shall be implemented within an agreed timescale.
     5. Where a standard, policy or document is referred to by reference to a hyperlink, then if the hyperlink is changed or no longer provides access to the relevant standard, policy or document, the Supplier shall notify the Customer and the Parties shall agree the impact of such change.

* 1. **TESTING**
     1. This Clause [12](#_heading=h.1mrcu09) shall apply if so specified by the Customer in the Contract Order Form.
     2. The Parties shall comply with any provisions set out in Contract Schedule 5 (Testing).

* 1. **SERVICE LEVELS AND SERVICE CREDITS**
     1. This Clause [13](#_heading=h.46r0co2) shall apply where the Customer has specified Service Levels and Service Credits in the Contract Order Form. Where the Customer has specified Service Levels but not Service Credits, only sub- clauses [13.2](#_heading=h.2lwamvv), [13.3](#_heading=h.111kx3o) and [13.7](#_heading=h.206ipza) shall apply.
     2. When this Clause [13.2](#_heading=h.2lwamvv) applies, the Parties shall also comply with the provisions of Part A (Service Levels and Service Credits) of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring).
     3. The Supplier shall at all times during the Contract Period provide the Goods and/or Services to meet or exceed the Service Level Performance Measure for each Service Level Performance Criterion.
     4. The Supplier acknowledges that any Service Level Failure may have a material adverse impact on the business and operations of the Customer and that it shall entitle the Customer to the rights set out in Part A of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring) including the right to any Service Credits.
     5. The Supplier acknowledges and agrees that any Service Credit is a price adjustment and not an estimate of the Loss that may be suffered by the

Customer as a result of the Supplier’s failure to meet any Service Level Performance Measure.

* + 1. A Service Credit shall be the Customer’s exclusive financial remedy for a Service Level Failure except where:
       1. the Service Level Failure:
          1. exceeds the relevant Service Level Threshold;
          2. has arisen due to a Prohibited Act or wilful Default by the Supplier or any Supplier Personnel; and
          3. results in:

the corruption or loss of any Customer Data (in which case the remedies under Clause [35.2.8](#_heading=h.1nia2ey) (Protection of Customer Data) shall also be available); and/or

the Customer being required to make a compensation payment to one or more third parties; and/or

* + - 1. the Customer is otherwise entitled to or does terminate this Contract pursuant to Clause [42](#_heading=h.vgdtq7) (Customer Termination Rights) except Clause [42.7](#_heading=h.375fbgg) (Termination Without Cause).
    1. Not more than once in each Contract Year, the Customer may, on giving the Supplier at least three (3) Months notice, change the weighting of Service Level Performance Measure in respect of one or more Service Level Performance Criteria and the Supplier shall not be entitled to object to, or increase the Contract Charges as a result of such changes, provided that:
       1. the total number of Service Level Performance Criteria for which the weighting is to be changed does not exceed the number set out, for the purposes of this clause, in the Contract Order Form;
       2. the principal purpose of the change is to reflect changes in the Customer’s business requirements and/or priorities or to reflect changing industry standards; and
       3. there is no change to the Service Credit Cap.

* 1. **CRITICAL SERVICE LEVEL FAILURE**

* + 1. This Clause [14](#_heading=h.2zbgiuw) shall apply if the Customer has specified both Service Credits and Critical Service Level Failure in the Contract Order Form.
    2. On the occurrence of a Critical Service Level Failure:
       1. any Service Credits that would otherwise have accrued during the relevant Service Period shall not accrue; and
       2. the Customer shall (subject to the Service Credit Cap set out in Clause [37.2.1(a)](#_heading=h.261ztfg) (Financial Limits)) be entitled to withhold and retain as compensation for the Critical Service Level Failure a sum equal to any Contract Charges which would otherwise have been

due to the Supplier in respect of that Service Period (“**Compensation for Critical Service Level Failure**"),

provided that the operation of this Clause [14.2](#_heading=h.3ygebqi) shall be without prejudice to the right of the Customer to terminate this Contract and/or to claim damages from the Supplier for material Default as a result of such Critical Service Level Failure.

* + 1. The Supplier:
       1. agrees that the application of Clause [14.2](#_heading=h.3ygebqi) is commercially justifiable where a Critical Service Level Failure occurs; and
       2. acknowledges that it has taken legal advice on the application of Clause [14.2](#_heading=h.3ygebqi) and has had the opportunity to price for that risk when calculating the Contract Charges.

* 1. **BUSINESS CONTINUITY AND DISASTER RECOVERY**
     1. This Clause [15](#_heading=h.sqyw64) shall apply if the Customer has so specified in the Contract Order Form.
     2. The Parties shall comply with the provisions of Contract Schedule 8 (Business Continuity and Disaster Recovery).

* 1. **DISRUPTION**
     1. The Supplier shall take reasonable care to ensure that in the performance of its obligations under this Contract it does not disrupt the operations of the Customer, its employees or any other contractor employed by the Customer.
     2. The Supplier shall immediately inform the Customer of any actual or potential industrial action, whether such action be by the Supplier Personnel or others, which affects or might affect the Supplier’s ability at any time to perform its obligations under this Contract.
     3. In the event of industrial action by the Supplier Personnel, the Supplier shall seek Approval to its proposals for the continuance of the supply of the Goods and/or Services in accordance with its obligations under this Contract.
     4. If the Supplier’s proposals referred to in Clause [16.3](#_heading=h.1rvwp1q) are considered insufficient or unacceptable by the Customer acting reasonably then the Customer may terminate this Contract for material Default.
     5. If the Supplier is temporarily unable to fulfil the requirements of this Contract owing to disruption of normal business solely due to a Customer Cause, then subject to Clause 17 (Supplier Notification of Customer Cause), an appropriate allowance by way of an extension of time will be Approved by the Customer. In addition, the Customer will reimburse any additional expense reasonably incurred by the Supplier as a direct result of such disruption.

* 1. **SUPPLIER NOTIFICATION OF CUSTOMER CAUSE**
     1. Without prejudice to any other obligations of the Supplier in this Contract to notify the Customer in respect of a specific Customer Cause (including the

notice requirements under Clause [43.1.1](#_heading=h.4jpj0b3) (Termination on Customer Cause for Failure to Pay)), the Supplier shall:

* + - 1. notify the Customer as soon as reasonably practicable (and in any event within two (2) Working Days of the Supplier becoming aware) that a Customer Cause has occurred or is reasonably likely to occur, giving details of:
         1. the Customer Cause and its effect, or likely effect, on the Supplier’s ability to meet its obligations under this Contract; and
         2. any steps which the Customer can take to eliminate or mitigate the consequences and impact of such Customer Cause; and
         3. use all reasonable endeavours to eliminate or mitigate the consequences and impact of a Customer Cause, including any Losses that the Supplier may incur and the duration and consequences of any Delay or anticipated Delay.

* 1. **CONTINUOUS IMPROVEMENT**
     1. The Supplier shall have an ongoing obligation throughout the Contract Period to identify new or potential improvements to the provision of the Goods and/or Services in accordance with this Clause [18](#_heading=h.1664s55) with a view to reducing the Customer’s costs (including the Contract Charges) and/or improving the quality and efficiency of the Goods and/or Services and their supply to the Customer. As part of this obligation the Supplier shall identify and report to the Customer once every twelve (12) Months:
        1. the emergence of new and evolving relevant technologies which could improve the ICT Environment and/or the provision of the Goods and/or Services, and those technological advances potentially available to the Supplier and the Customer which the Parties may wish to adopt;
        2. new or potential improvements to the provision of the Goods and/or Services including the quality, responsiveness, procedures, benchmarking methods, likely performance mechanisms and customer support goods and/or services in relation to the Goods and/or Services;
        3. changes in business processes and ways of working that would enable the Goods and/or Services to be provided at lower costs and/or at greater benefits to the Customer; and/or
        4. changes to the ICT Environment, business processes and ways of working that would enable reductions in the total energy consumed annually in the provision of the Goods and/or Services.
     2. The Supplier shall ensure that the information that it provides to the Customer shall be sufficient for the Customer to decide whether any improvement should be implemented. The Supplier shall provide any further information that the Customer requests.
     3. If the Customer wishes to incorporate any improvement identified by the Supplier, the Customer shall request a Variation in accordance with the

Variation Procedure and the Supplier shall implement such Variation at no additional cost to the Customer.

**D. CONTRACT GOVERNANCE**

* 1. **PERFORMANCE MONITORING**
     1. The Supplier shall comply with the monitoring requirements set out in Part B (Performance Monitoring) of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring).

* 1. **REPRESENTATIVES**
     1. Each Party shall have a representative for the duration of this Contract who shall have the authority to act on behalf of their respective Party on the matters set out in, or in connection with, this Contract.
     2. The initial Supplier Representative shall be the person named as such in the Contract Order Form. Any change to the Supplier Representative shall be agreed in accordance with Clause [27](#_heading=h.2fk6b3p) (Supplier Personnel).
     3. If the initial Customer Representative is not specified in the Contract Order Form, the Customer shall notify the Supplier of the identity of the initial Customer Representative within five (5) Working Days of the Contract Commencement Date. The Customer may, by written notice to the Supplier, revoke or amend the authority of the Customer Representative or appoint a new Customer Representative.

* 1. **RECORDS, AUDIT ACCESS AND OPEN BOOK DATA**

* + 1. The Supplier shall keep and maintain for seven (7) years after the Contract Expiry Date (or as long a period as may be agreed between the Parties), full and accurate records and accounts of the operation of this Contract including the Goods and/or Services provided under it, any Sub-Contracts and the amounts paid by the Customer.
    2. The Supplier shall:
       1. keep the records and accounts referred to in Clause [21.1](#_heading=h.1jlao46) in accordance with Good Industry Practice and Law; and
       2. afford any Auditor access to the records and accounts referred to in Clause [21.1](#_heading=h.1jlao46) at the Supplier’s premises and/or provide records and accounts (including copies of the Supplier’s published accounts) or copies of the same, as may be required by any of the Auditors from time to time during the Contract Period and the period specified in Clause [21.1](#_heading=h.1jlao46), in order that the Auditor(s) may carry out an inspection to assess compliance by the Supplier and/or its Sub-Contractors of any of the Supplier’s obligations under this Contract including in order to:
          1. verify the accuracy of the Contract Charges and any other amounts payable by the Customer under this Contract (and proposed or actual variations to them in accordance with this Contract);
          2. verify the costs of the Supplier (including the costs of all Sub-Contractors and any third party suppliers) in

connection with the provision of the Goods and/or Services;

* + - * 1. verify the Open Book Data;
        2. verify the Supplier’s and each Sub-Contractor’s compliance with the applicable Law;
        3. identify or investigate an actual or suspected Prohibited Act, impropriety or accounting mistakes or any breach or threatened breach of security and in these circumstances the Customer shall have no obligation to inform the Supplier of the purpose or objective of its investigations;
        4. identify or investigate any circumstances which may impact upon the financial stability of the Supplier, the DPS Guarantor and/or the Contract Guarantor and/or any Sub-Contractors or their ability to perform the Goods and/or Services;
        5. obtain such information as is necessary to fulfil the Customer’s obligations to supply information for parliamentary, ministerial, judicial or administrative purposes including the supply of information to the Controller and Auditor General;
        6. review any books of account and the internal contract management accounts kept by the Supplier in connection with this Contract;
        7. carry out the Customer’s internal and statutory audits and to prepare, examine and/or certify the Customer's annual and interim reports and accounts;
        8. enable the National Audit Office to carry out an examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Customer has used its resources;
        9. review any Performance Monitoring Reports provided under Part B of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring) and/or other records relating to the Supplier’s performance of the provision of the Goods and/or Services and to verify that these reflect the Supplier’s own internal reports and records;
        10. verify the accuracy and completeness of any information delivered or required by this Contract;
        11. inspect the ICT Environment (or any part of it) and the wider service delivery environment (or any part of it);
        12. review any records created during the design and development of the Supplier System and pre-operational environment such as information relating to Testing;
        13. review the Supplier’s quality management systems (including any quality manuals and procedures);
        14. review the Supplier’s compliance with the Standards;
        15. inspect the Customer Assets, including the Customer's IPRs, equipment and facilities, for the purposes of ensuring that the Customer Assets are secure and that any register of assets is up to date; and/or
        16. review the integrity, confidentiality and security of the Customer Data.
    1. The Customer shall use reasonable endeavours to ensure that the conduct of each audit does not unreasonably disrupt the Supplier or delay the provision of the Goods and/or Services save insofar as the Supplier accepts and acknowledges that control over the conduct of audits carried out by the Auditor(s) is outside of the control of the Customer.
    2. Subject to the Supplier's rights in respect of Confidential Information, the Supplier shall on demand provide the Auditor(s) with all reasonable co- operation and assistance in:
       1. all reasonable information requested by the Customer within the scope of the audit;
       2. reasonable access to sites controlled by the Supplier and to any Supplier Equipment used in the provision of the Goods and/or Services; and
       3. access to the Supplier Personnel.
    3. The Parties agree that they shall bear their own respective costs and expenses incurred in respect of compliance with their obligations under this Clause [21](#_heading=h.34g0dwd), unless the audit reveals a Default by the Supplier in which case the Supplier shall reimburse the Customer for the Customer's reasonable costs incurred in relation to the audit.

* 1. **CHANGE**

* + 1. **Variation Procedure**
       1. Subject to the provisions of this Clause [22](#_heading=h.2iq8gzs) and of Contract Schedule 3 (Contract Charges, Payment and Invoicing), either Party may request a variation to this Contract provided that such variation does not amount to a material change of this Contract within the meaning of the Regulations and the Law. Such a change once implemented is hereinafter called a **"Variation**".
       2. A Party may request a Variation by completing, signing and sending the Variation Form to the other Party giving sufficient information for the receiving Party to assess the extent of the proposed Variation and any additional cost that may be incurred.
       3. Where the Customer has so specified on receipt of a Variation Form from the Supplier, the Supplier shall carry out an impact assessment of the Variation on the Goods and/or Services (the “**Impact Assessment**”). The Impact Assessment shall be completed in good faith and shall include:
          1. details of the impact of the proposed Variation on the Goods and/or Services and the Supplier’s ability to meet its other obligations under this Contract;
          2. details of the cost of implementing the proposed Variation;
          3. details of the ongoing costs required by the proposed Variation when implemented, including any increase or decrease in the Contract Charges, any alteration in the resources and/or expenditure required by either Party and any alteration to the working practices of either Party;
          4. a timetable for the implementation, together with any proposals for the testing of the Variation; and
          5. such other information as the Customer may reasonably request in (or in response to) the Variation request.
       4. The Parties may agree to adjust the time limits specified in the Variation Form to allow for the preparation of the Impact Assessment.
       5. Subject to [22.1.4](#_heading=h.1x0gk37), the receiving Party shall respond to the request within the time limits specified in the Variation Form. Such time limits shall be reasonable and ultimately at the discretion of the Customer having regard to the nature of the Goods and/or Services and the proposed Variation.
       6. In the event that:
          1. the Supplier is unable to agree to or provide the Variation; and/or
          2. the Parties are unable to agree a change to the Contract Charges that may be included in a request of a Variation or response to it as a consequence thereof,

the Customer may:

agree to continue to perform its obligations under this Contract without the Variation; or

terminate this Contract with immediate effect, except where the Supplier has already fulfilled part or all of the provision of the Goods and/or Services in accordance with this Contract or where the Supplier can show evidence of substantial work being carried out to provide the Goods and/or Services under this Contract, and in such a case the Parties shall attempt to agree upon a resolution to the matter. Where a resolution cannot be reached, the matter shall be dealt with under the Dispute Resolution Procedure.

* + - 1. If the Parties agree the Variation, the Supplier shall implement such Variation and be bound by the same provisions so far as is applicable, as though such Variation was stated in this Contract.
    1. **Legislative Change**
       1. The Supplier shall neither be relieved of its obligations under this Contract nor be entitled to an increase in the Contract Charges as the result of a:
          1. General Change in Law;
          2. Specific Change in Law where the effect of that Specific Change in Law on the Goods and/or Services is reasonably foreseeable at the Contract Commencement Date.
       2. If a Specific Change in Law occurs or will occur during the Contract Period (other than as referred to in Clause [22.2.1(b)](#_heading=h.2w5ecyt)), the Supplier shall:
          1. notify the Customer as soon as reasonably practicable of the likely effects of that change including:

whether any Variation is required to the provision of the Goods and/or Services, the Contract Charges or this Contract; and

whether any relief from compliance with the Supplier’s obligations is required, including any obligation to Achieve a Milestone and/or to meet the Service Level Performance Measures; and

* + - * 1. provide to the Customer with evidence:

that the Supplier has minimised any increase in costs or maximised any reduction in costs, including in respect of the costs of its Sub- Contractors;

as to how the Specific Change in Law has affected the cost of providing the Goods and/or Services; and

demonstrating that any expenditure that has been avoided, for example which would have been required under the provisions of Clause [18](#_heading=h.1664s55) (Continuous Improvement), has been taken into account in amending the Contract Charges.

* + - 1. Any change in the Contract Charges or relief from the Supplier’s obligations resulting from a Specific Change in Law (other than as referred to in Clause [22.2.1(b)](#_heading=h.2w5ecyt)) shall be implemented in accordance with the Variation Procedure.

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

* 1. **CONTRACT CHARGES AND PAYMENT**
     1. **Contract Charges**
        1. In consideration of the Supplier carrying out its obligations under this Contract, including the provision of the Goods and/or Services, the Customer shall pay the undisputed Contract Charges in accordance with the pricing and payment profile and the invoicing procedure in Contract Schedule 3 (Contract Charges, Payment and Invoicing).
        2. Except as otherwise provided, each Party shall bear its own costs and expenses incurred in respect of compliance with its obligations under Clauses [12](#_heading=h.1mrcu09) (Testing), [21](#_heading=h.34g0dwd) (Records, Audit Access

and Open Book Data), [35.5](#_heading=h.1f7o1he) (Freedom of Information) and [35.6](#_heading=h.2eclud0) (Protection of Personal Data).

* + - 1. If the Customer fails to pay any undisputed Contract Charges properly invoiced under this Contract, the Supplier shall have the right to charge interest on the overdue amount at the applicable rate under the Late Payment of Commercial Debts (Interest) Act 1998, accruing on a daily basis from the due date up to the date of actual payment, whether before or after judgment.
      2. NOT USED
    1. **VAT**
       1. The Contract Charges are stated exclusive of VAT, which shall be added at the prevailing rate as applicable and paid by the Customer following delivery of a Valid Invoice.
       2. The Supplier shall indemnify the Customer on a continuing basis against any liability, including any interest, penalties or costs incurred, which is levied, demanded or assessed on the Customer at any time (whether before or after the making of a demand pursuant to the indemnity hereunder) in respect of the Supplier’s failure to account for or to pay any VAT relating to payments made to the Supplier under this Contract. Any amounts due under Clause [23.2](#_heading=h.2afmg28) (VAT) shall be paid in cleared funds by the Supplier to the Customer not less than five (5) Working Days before the date upon which the tax or other liability is payable by the Customer.
    2. **Retention and Set Off**
       1. The Customer may retain or set off any amount owed to it by the Supplier against any amount due to the Supplier under this Contract or under any other agreement between the Supplier and the Customer.
       2. If the Customer wishes to exercise its right pursuant to Clause

[23.3.1](#_heading=h.1opuj5n) it shall give notice to the Supplier within thirty (30) days of receipt of the relevant invoice, setting out the Customer’s reasons for retaining or setting off the relevant Contract Charges.

* + - 1. The Supplier shall make any payments due to the Customer without any deduction whether by way of set-off, counterclaim, discount, abatement or otherwise unless the Supplier has obtained a sealed court order requiring an amount equal to such deduction to be paid by the Customer to the Supplier.
    1. **Foreign Currency**
       1. Any requirement of Law to account for the Goods and/or Services in any currency other than Sterling, (or to prepare for such accounting) instead of and/or in addition to Sterling, shall be implemented by the Supplier free of charge to the Customer.
       2. The Customer shall provide all reasonable assistance to facilitate compliance with Clause [23.4.1](#_heading=h.48pi1tg) by the Supplier.
    2. **Income Tax and National Insurance Contributions**
       1. Where the Supplier or any Supplier Personnel are liable to be taxed in the UK or to pay national insurance contributions in

respect of consideration received under this Contract, the Supplier shall:

* + - * 1. at all times comply with the Income Tax (Earnings and Pensions) Act 2003 and all other statutes and regulations relating to income tax, and the Social Security Contributions and Benefits Act 1992 and all other statutes and regulations relating to national insurance contributions, in respect of that consideration; and
        2. indemnify the Customer against any income tax, national insurance and social security contributions and any other liability, deduction, contribution, assessment or claim arising from or made (whether before or after the making of a demand pursuant to the indemnity hereunder) in connection with the provision of the Goods and/or Services by the Supplier or any Supplier Personnel.
      1. In the event that any one of the Supplier Personnel is a Worker as defined in Contract Schedule 1 (Definitions) who receives consideration relating to the Goods and/or Services, then, in addition to its obligations under Clause [23.5.1](#_heading=h.2nusc19), the Supplier shall ensure that its contract with the Worker contains the following requirements:
         1. that the Customer may, at any time during the Contract Period, request that the Worker provides information which demonstrates how the Worker complies with the requirements of Clause [23.5.1](#_heading=h.2nusc19), or why those requirements do not apply to it. In such case, the Customer may specify the information which the Worker must provide and the period within which that information must be provided;
         2. that the Worker’s contract may be terminated at the Customer’s request if:

the Worker fails to provide the information requested by the Customer within the time specified by the Customer under Clause 23.5.2[(a)](#_heading=h.1302m92); and/or

the Worker provides information which the Customer considers is inadequate to demonstrate how the Worker complies with Clause [23.5.1](#_heading=h.2nusc19) or confirms that the Worker is not complying with those requirements; and

* + - * 1. that the Customer may supply any information it receives from the Worker to HMRC for the purpose of the collection and management of revenue for which they are responsible.

* 1. **PROMOTING TAX COMPLIANCE**
     1. This Clause [24](#_heading=h.3mzq4wv) shall apply if the Contract Charges payable under this Contract exceed or are likely to exceed five (5) million pounds during the Contract Period.
     2. If, at any point during the Contract Period, an Occasion of Tax Non- Compliance occurs, the Supplier shall:
        1. notify the Customer in writing of such fact within five (5) Working Days of its occurrence; and
        2. promptly provide to the Customer:
           1. details of the steps that the Supplier is taking to address the Occasion of Tax Non-Compliance and to prevent the same from recurring, together with any mitigating factors that it considers relevant; and
           2. such other information in relation to the Occasion of Tax Non-Compliance as the Customer may reasonably require.
     3. In the event that the Supplier fails to comply with this Clause [24](#_heading=h.3mzq4wv) and/or does not provide details of proposed mitigating factors which in the reasonable opinion of the Customer are acceptable, then the Customer reserves the right to terminate this Contract for material Default.

* 1. **BENCHMARKING**

* + 1. Notwithstanding the Supplier’s obligations under Clause [18](#_heading=h.1664s55) (Continuous Improvement), the Customer shall be entitled to regularly benchmark the Contract Charges and level of performance by the Supplier of the supply of the Goods and/or Services, against other suppliers providing goods and/or services substantially the same as the Goods and/or Services during the Contract Period.
    2. The Customer, acting reasonably, shall be entitled to use any model to determine the achievement of value for money and to carry out the benchmarking evaluation referred to in Clause [25.1](#_heading=h.haapch) above.
    3. The Customer shall be entitled to disclose the results of any benchmarking of the Contract Charges and provision of the Goods and/or Services to the Authority and any Contracting Authority (subject to the Contracting Authority entering into reasonable confidentiality undertakings).
    4. The Supplier shall use all reasonable endeavours and act in good faith to supply information required by the Customer in order to undertake the benchmarking and such information requirements shall be at the discretion of the Customer.
    5. Where, as a consequence of any benchmarking carried out by the Customer, the Customer decides improvements to the Goods and/or Services should be implemented such improvements shall be implemented by way of the Variation Procedure at no additional cost to the Customer.
    6. NOT USED

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

* 1. **KEY PERSONNEL**

* + 1. This Clause [26](#_heading=h.1gf8i83) shall apply where the Customer has specified Key Personnel in the Contract Order Form.
    2. The Contract Order Form lists the key roles (“**Key Roles**”) and names of the persons who the Supplier shall appoint to fill those Key Roles at the Contract Commencement Date.
    3. The Supplier shall ensure that the Key Personnel fulfil the Key Roles at all times during the Contract Period.
    4. The Customer may identify any further roles as being Key Roles and, following agreement to the same by the Supplier, the relevant person selected to fill those Key Roles shall be included on the list of Key Personnel.
    5. The Supplier shall not remove or replace any Key Personnel (including when carrying out its obligations under Contract Schedule 9 (Exit Management) unless:
       1. requested to do so by the Customer;
       2. the person concerned resigns, retires or dies or is on maternity or long-term sick leave;
       3. the person’s employment or contractual arrangement with the Supplier or a Sub-Contractor is terminated for material breach of contract by the employee; or
       4. the Supplier obtains the Customer’s prior written consent (such consent not to be unreasonably withheld or delayed).
    6. The Supplier shall:
       1. notify the Customer promptly of the absence of any Key Personnel (other than for short-term sickness or holidays of two (2) weeks or less, in which case the Supplier shall ensure appropriate temporary cover for that Key Role);
       2. ensure that any Key Role is not vacant for any longer than ten (10) Working Days;
       3. give as much notice as is reasonably practicable of its intention to remove or replace any member of Key Personnel and, except in the cases of death, unexpected ill health or a material breach of the Key Personnel’s employment contract, this will mean at least three (3) Months notice;
       4. ensure that all arrangements for planned changes in Key Personnel provide adequate periods during which incoming and outgoing personnel work together to transfer responsibilities and ensure that such change does not have an adverse impact on the provision of the Goods and/or Services; and
       5. ensure that any replacement for a Key Role:
          1. has a level of qualifications and experience appropriate to the relevant Key Role; and
          2. is fully competent to carry out the tasks assigned to the Key Personnel whom he or she has replaced.
       6. shall and shall procure that any Sub-Contractor shall not remove or replace any Key Personnel during the Contract Period without Approval.
    7. The Customer may require the Supplier to remove any Key Personnel that the Customer considers in any respect unsatisfactory. The Customer shall not be liable for the cost of replacing any Key Personnel.

* 1. **SUPPLIER PERSONNEL**
     1. **Supplier Personnel**
        1. The Supplier shall:
           1. provide a list of the names of all Supplier Personnel requiring admission to Customer Premises, specifying the capacity in which they require admission and giving such other particulars as the Customer may reasonably require;
           2. ensure that all Supplier Personnel:

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

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

obey all lawful instructions and reasonable directions of the Customer (including, if so required by the Customer, the ICT Policy) and provide the Goods and/or Services to the reasonable satisfaction of the Customer; and

comply with all reasonable requirements of the Customer concerning conduct at the Customer Premises, including the security requirements set out in Contract Schedule 7 (Security);

* + - * 1. subject to Contract Schedule 10 (Staff Transfer), retain overall control of the Supplier Personnel at all times so that the Supplier Personnel shall not be deemed to be employees, agents or contractors of the Customer;
        2. be liable at all times for all acts or omissions of Supplier Personnel, so that any act or omission of a member of any Supplier Personnel which results in a Default under this Contract shall be a Default by the Supplier;
        3. use all reasonable endeavours to minimise the number of changes in Supplier Personnel;
        4. replace (temporarily or permanently, as appropriate) any Supplier Personnel as soon as practicable if any Supplier Personnel have been removed or are unavailable for any reason whatsoever;
        5. bear the programme familiarisation and other costs associated with any replacement of any Supplier Personnel; and
        6. procure that the Supplier Personnel shall vacate the Customer Premises immediately upon the Contract Expiry Date.
      1. If the Customer reasonably believes that any of the Supplier Personnel are unsuitable to undertake work in respect of this Contract, it may:
         1. refuse admission to the relevant person(s) to the Customer Premises; and/or
         2. direct the Supplier to end the involvement in the provision of the Goods and/or Services of the relevant person(s).
      2. The decision of the Customer as to whether any person is to be refused access to the Customer Premises shall be final and conclusive.
    1. **Relevant Convictions**
       1. This sub-clause [27.2](#_heading=h.upglbi) shall apply if the Customer has specified Relevant Convictions in the Contract Order Form.
       2. The Supplier shall ensure that no person who discloses that he has a Relevant Conviction, or who is found to have any Relevant Convictions (whether as a result of a police check or through the procedure of the Disclosure and Barring Service (DBS) or otherwise), is employed or engaged in any part of the provision of the Goods and/or Services without Approval.
       3. Notwithstanding Clause [27.2.2](#_heading=h.3ep43zb), for each member of Supplier Personnel who, in providing the Goods and/or Services, has, will have or is likely to have access to children, vulnerable persons or other members of the public to whom the Customer owes a special duty of care, the Supplier shall (and shall procure that the relevant Sub-Contractor shall):
          1. carry out a check with the records held by the Department for Education (DfE);
          2. conduct thorough questioning regarding any Relevant Convictions; and
          3. ensure a police check is completed and such other checks as may be carried out through the Disclosure and Barring Service (DBS),

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

* 1. **STAFF TRANSFER**
     1. This Clause [28](#_heading=h.1tuee74) shall not apply if there are Goods but no Services under this Contract.
     2. The Parties agree that:
        1. where the commencement of the provision of the Services or any part of the Services results in one or more Relevant Transfers, Contract Schedule 10 (Staff Transfer) shall apply as follows:
           1. where the Relevant Transfer involves the transfer of Transferring Customer Employees, Part A of Contract Schedule 10 (Staff Transfer) shall apply;
           2. where the Relevant Transfer involves the transfer of Transferring Former Supplier Employees, Part B of Contract Schedule 10 (Staff Transfer) shall apply;
           3. where the Relevant Transfer involves the transfer of Transferring Customer Employees and Transferring Former Supplier Employees, Parts A and B of Contract Schedule 10 (Staff Transfer) shall apply; and
           4. Part C of Contract Schedule 10 (Staff Transfer) shall not apply;
        2. where commencement of the provision of the Services or a part of the Services does not result in a Relevant Transfer, Part C of Contract Schedule 10 (Staff Transfer) shall apply and Parts A and B of Contract Schedule 10 (Staff Transfer) shall not apply; and
        3. Part D of Contract Schedule 10 (Staff Transfer) shall apply on the expiry or termination of the Services or any part of the Services;
     3. The Supplier shall both during and after the Contract Period indemnify the Customer against all Employee Liabilities that may arise as a result of any claims brought against the Customer by any person where such claim arises from any act or omission of the Supplier or any Supplier Personnel.

* 1. **SUPPLY CHAIN RIGHTS AND PROTECTION**
     1. **Appointment of Sub-Contractors**
        1. The Supplier shall exercise due skill and care in the selection of any Sub-Contractors to ensure that the Supplier is able to:
           1. manage any Sub-Contractors in accordance with Good Industry Practice;
           2. comply with its obligations under this Contract in the Delivery of the Goods and/or Services; and
           3. assign, novate or otherwise transfer to the Customer or any Replacement Supplier any of its rights and/or obligations under each Sub-Contract that relates exclusively to this Contract.
        2. Prior to sub-contacting any of its obligations under this Contract, the Supplier shall notify the Customer and provide the Customer with:
           1. the proposed Sub-Contractor’s name, registered office and company registration number;
           2. the scope of any Goods and/or Services to be provided by the proposed Sub-Contractor; and
           3. where the proposed Sub-Contractor is an Affiliate of the Supplier, evidence that demonstrates to the reasonable satisfaction of the Customer that the proposed Sub- Contract has been agreed on "arm’s-length" terms.
        3. If requested by the Customer within ten (10) Working Days of receipt of the Supplier’s notice issued pursuant to Clause [29.1.2](#_heading=h.2szc72q), the Supplier shall also provide:
           1. a copy of the proposed Sub-Contract; and
           2. any further information reasonably requested by the Customer.
        4. The Customer may, within ten (10) Working Days of receipt of the Supplier’s notice issued pursuant to Clause [29.1.2](#_heading=h.2szc72q) (or, if later, receipt of any further information requested pursuant to Clause [29.1.3](#_heading=h.184mhaj)), object to the appointment of the relevant Sub-Contractor if they consider that:
           1. the appointment of a proposed Sub-Contractor may prejudice the provision of the Goods and/or Services or may be contrary to the interests respectively of the Customer under this Contract;
           2. the proposed Sub-Contractor is unreliable and/or has not provided reliable goods and or reasonable services to its other customers; and/or
           3. the proposed Sub-Contractor employs unfit persons,

in which case, the Supplier shall not proceed with the proposed appointment.

* + - 1. If:
         1. the Customer has not notified the Supplier that it objects to the proposed Sub-Contractor’s appointment by the later of ten (10) Working Days of receipt of:

the Supplier’s notice issued pursuant to Clause [29.1.2](#_heading=h.2szc72q); and

any further information requested by the Customer pursuant to Clause [29.1.3](#_heading=h.184mhaj); and

* + - * 1. the proposed Sub-Contract is not a Key Sub-Contract which shall require the written consent of the Authority and the Customer in accordance with Clause [29.2](#_heading=h.3s49zyc) (Appointment of Key Sub-Contractors).

the Supplier may proceed with the proposed appointment.

* + 1. **Appointment of Key Sub-Contractors**
       1. The Authority and the Customer have consented to the engagement of the Key Sub-Contractors listed in DPS Schedule 7 (Key Sub-Contractors).
       2. Where the Supplier wishes to enter into a new Key Sub-Contract or replace a Key Sub-Contractor, it must obtain the prior written consent of the Authority and the Customer (the decision to consent or otherwise not to be unreasonably withheld or delayed). The Authority and/or the Customer may reasonably withhold its consent to the appointment of a Key Sub-Contractor if any of them considers that:
          1. the appointment of a proposed Key Sub-Contractor may prejudice the provision of the Goods and/or Services or may be contrary to its interests;
          2. the proposed Key Sub-Contractor is unreliable and/or has not provided reliable goods and/or reasonable services to its other customers; and/or
          3. the proposed Key Sub-Contractor employs unfit persons.
       3. Except where the Authority and the Customer have given their prior written consent under Clause [29.2.1](#_heading=h.279ka65), the Supplier shall ensure that each Key Sub-Contract shall include:
          1. provisions which will enable the Supplier to discharge its obligations under this Contract;
          2. a right under CRTPA for the Customer to enforce any provisions under the Key Sub-Contract which confer a benefit upon the Customer;
          3. a provision enabling the Customer to enforce the Key Sub-Contract as if it were the Supplier;
          4. a provision enabling the Supplier to assign, novate or otherwise transfer any of its rights and/or obligations under the Key Sub-Contract to the Customer or any Replacement Supplier;
          5. obligations no less onerous on the Key Sub-Contractor than those imposed on the Supplier under this Contract in respect of:

data protection requirements set out in Clauses

[35.1](#_heading=h.2981zbj) (Security Requirements), [35.2](#_heading=h.odc9jc) (Protection of Customer Data) and [35.6](#_heading=h.2eclud0) (Protection of Personal Data);

FOIA requirements set out in Clause [35.5](#_heading=h.1f7o1he) (Freedom of Information);

the obligation not to embarrass the Customer or otherwise bring the Customer into disrepute set out in Clause [7.1.4(l)](#_heading=h.1pxezwc) (Provision of Goods and/or Services);

the keeping of records in respect of the Goods and/or Services being provided under the Key Sub-Contract, including the maintenance of Open Book Data;

the conduct of audits set out in Clause [21](#_heading=h.34g0dwd) (Records, Audit Access & Open Book Data);

* + - * 1. provisions enabling the Supplier to terminate the Key Sub-Contract on notice on terms no more onerous on the Supplier than those imposed on the Customer under Clauses [42](#_heading=h.vgdtq7) (Customer Termination Rights), [44](#_heading=h.2yutaiw) (Termination by Either Party) and [46](#_heading=h.sabnu4) (Consequences of Expiry or Termination) of this Contract;
        2. a provision restricting the ability of the Key Sub- Contractor to Sub-Contract all or any part of the provision of the Goods and/or Services provided to the Supplier under the Sub-Contract without first seeking the written consent of the Customer;
        3. a provision, where a provision in Contract Schedule 10 (Staff Transfer) imposes an obligation on the Supplier to provide an indemnity, undertaking or warranty, requiring the Key Sub-Contractor to provide such indemnity, undertaking or warranty to the Customer, Former Supplier or the Replacement Supplier as the case may be.
    1. **Supply Chain Protection**
       1. The Supplier shall ensure that all Sub-Contracts contain a provision:
          1. requiring the Supplier to pay any undisputed sums which are due from it to the Sub-Contractor within a specified period not exceeding thirty (30) days from the receipt of a Valid Invoice;
          2. requiring that any invoices submitted by a Sub-Contractor shall be considered and verified by the Supplier in a timely fashion and that undue delay in doing so shall not be sufficient justification for failing to regard an invoice as valid and undisputed;
          3. requiring the Sub-Contractor to include in any Sub- Contract which it in turn awards suitable provisions to impose, as between the parties to that Sub-Contract, requirements to the same effect as those required by sub- clau[ses (a)](#_heading=h.meukdy) and [(b)](#_heading=h.36ei31r) directly above; and
          4. conferring a right to the Customer to publish the Supplier’s compliance with its obligation to pay undisputed invoices within the specified payment period.
       2. The Supplier shall:
          1. pay any undisputed sums which are due from it to a Sub- Contractor within thirty (30) days from the receipt of a Valid Invoice;
          2. include within the Performance Monitoring Reports required under Part B of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring) a summary of its compliance with this Clause [29.3.2](#_heading=h.1ljsd9k) (a), such data to be certified each quarter by a director of the Supplier as being accurate and not misleading.
       3. Any invoices submitted by a Sub-Contractor to the Supplier shall be considered and verified by the Supplier in a timely fashion. Undue delay in doing so shall not be sufficient justification for the Supplier failing to regard an invoice as valid and undisputed.
       4. Notwithstanding any provision of Clauses [35.3](#_heading=h.47hxl2r) (Confidentiality) and [36](#_heading=h.3dhjn8m) (Publicity and Branding) if the Supplier notifies the Customer that the Supplier has failed to pay an undisputed Sub-

Contractor’s invoice within thirty (30) days of receipt, or the Customer otherwise discovers the same, the Customer shall be entitled to publish the details of the late or non-payment (including on government websites and in the press).

* + 1. **Termination of Sub-Contracts**
       1. The Customer may require the Supplier to terminate:
          1. a Sub-Contract where:

the acts or omissions of the relevant Sub- Contractor have caused or materially contributed to the Customer's right of termination pursuant to any of the termination events in Clause [42](#_heading=h.vgdtq7) (Customer Termination Rights) except Clause

[42.7](#_heading=h.375fbgg) (Termination Without Cause); and/or

the relevant Sub-Contractor or its Affiliates embarrassed the Customer or otherwise brought the Customer into disrepute by engaging in any act or omission which is reasonably likely to diminish the trust that the public places in the Customer, regardless of whether or not such act or omission is related to the Sub-Contractor’s obligations in relation to the Goods and/or Services or otherwise; and/or

* + - * 1. a Key Sub-Contract where there is a Change of Control of the relevant Key Sub-Contractor, unless:

the Customer has given its prior written consent to the particular Change of Control, which subsequently takes place as proposed; or

the Customer has not served its notice of objection within six (6) Months of the later of the date the Change of Control took place or the date on which the Customer was given notice of the Change of Control.

* + 1. **Competitive Terms**
       1. If the Customer is able to obtain from any Sub-Contractor or any other third party more favourable commercial terms with respect to the supply of any materials, equipment, software, goods or services used by the Supplier or the Supplier Personnel in the supply of the Goods and/or Services, then the Customer may:
          1. require the Supplier to replace its existing commercial terms with its Sub-Contractor with the more favourable commercial terms obtained by the Customer in respect of the relevant item; or
          2. subject to Clause [29.4](#_heading=h.45jfvxd) (Termination of Sub-Contracts), enter into a direct agreement with that Sub-Contractor or third party in respect of the relevant item.
       2. If the Customer exercises the option pursuant to Clause [29.5.1](#_heading=h.2koq656), then the Contract Charges shall be reduced by an amount that is agreed in accordance with the Variation Procedure.
       3. The Customer's right to enter into a direct agreement for the supply of the relevant items is subject to:
          1. the Customer making the relevant item available to the Supplier where this is necessary for the Supplier to provide the Goods and/or Services; and
          2. any reduction in the Contract Charges taking into account any unavoidable costs payable by the Supplier in respect of the substituted item, including in respect of any licence fees or early termination charges.
    2. **Retention of Legal Obligations**
       1. Notwithstanding the Supplier’s right to Sub-Contract pursuant to Clause [29](#_heading=h.4du1wux) (Supply Chain Rights and Protection), the Supplier shall remain responsible for all acts and omissions of its Sub- Contractors and the acts and omissions of those employed or engaged by the Sub-Contractors as if they were its own.

**G. PROPERTY MATTERS**

* 1. **CUSTOMER PREMISES**
     1. Licence to occupy Customer Premises
        1. Any Customer Premises shall be made available to the Supplier on a non-exclusive licence basis free of charge and shall be used by the Supplier solely for the purpose of performing its obligations under this Contract. The Supplier shall have the use of such Customer Premises as licensee and shall vacate the same immediately upon completion, termination, expiry or abandonment of this Contract and in accordance with Contract Schedule 9 (Exit Management).
        2. The Supplier shall limit access to the Customer Premises to such Supplier Personnel as is necessary to enable it to perform its obligations under this Contract and the Supplier shall co-operate (and ensure that the Supplier Personnel co-operate) with such other persons working concurrently on such Customer Premises as the Customer may reasonably request.
        3. Save in relation to such actions identified by the Supplier in accordance with Clause [2](#_heading=h.tyjcwt) (Due Diligence) and set out in the Contract Order Form (or elsewhere in this Contract), should the Supplier require modifications to the Customer Premises, such modifications shall be subject to Approval and shall be carried out by the Customer at the Supplier’s expense. The Customer shall undertake any modification work which it approves pursuant to this Clause [30.1.3](#_heading=h.1yyy98l) without undue delay. Ownership of such modifications shall rest with the Customer.
        4. The Supplier shall observe and comply with such rules and regulations as may be in force at any time for the use of such Customer Premises and conduct of personnel at the Customer Premises as determined by the Customer, and the Supplier shall pay for the full cost of making good any damage caused by the Supplier Personnel other than fair wear and tear. For the

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

* + - 1. The Parties agree that there is no intention on the part of the Customer to create a tenancy of any nature whatsoever in favour of the Supplier or the Supplier Personnel and that no such tenancy has or shall come into being and, notwithstanding any rights granted pursuant to this Contract, the Customer retains the right at any time to use any Customer Premises in any manner it sees fit.
    1. Security of Customer Premises
       1. The Customer shall be responsible for maintaining the security of the Customer Premises in accordance with the Security Policy. The Supplier shall comply with the Security Policy and any other reasonable security requirements of the Customer while on the Customer Premises.
       2. The Customer shall afford the Supplier upon Approval (the decision to Approve or not will not be unreasonably withheld or delayed) an opportunity to inspect its physical security arrangements.

* 1. **CUSTOMER PROPERTY**
     1. Where the Customer issues Customer Property free of charge to the Supplier such Customer Property shall be and remain the property of the Customer and the Supplier irrevocably licences the Customer and its agents to enter upon any premises of the Supplier during normal business hours on reasonable notice to recover any such Customer Property.
     2. The Supplier shall not in any circumstances have a lien or any other interest on the Customer Property and at all times the Supplier shall possess the Customer Property as fiduciary agent and bailee of the Customer.
     3. The Supplier shall take all reasonable steps to ensure that the title of the Customer to the Customer Property and the exclusion of any such lien or other interest are brought to the notice of all Sub-Contractors and other appropriate persons and shall, at the Customer's request, store the Customer Property separately and securely and ensure that it is clearly identifiable as belonging to the Customer.
     4. The Customer Property shall be deemed to be in good condition when received by or on behalf of the Supplier unless the Supplier notifies the Customer otherwise within five (5) Working Days of receipt.
     5. The Supplier shall maintain the Customer Property in good order and condition (excluding fair wear and tear) and shall use the Customer Property solely in connection with this Contract and for no other purpose without Approval.
     6. The Supplier shall ensure the security of all the Customer Property whilst in its possession, either on the Sites or elsewhere during the supply of the Goods and/or Services, in accordance with the Customer's Security Policy and the Customer’s reasonable security requirements from time to time.
     7. The Supplier shall be liable for all loss of, or damage to the Customer Property, (excluding fair wear and tear), unless such loss or damage was solely caused by a Customer Cause. The Supplier shall inform the

Customer immediately of becoming aware of any defects appearing in or losses or damage occurring to the Customer Property.

* 1. **SUPPLIER EQUIPMENT**
     1. Unless otherwise stated in the Contract Order Form (or elsewhere in this Contract), the Supplier shall provide all the Supplier Equipment necessary for the provision of the Goods and/or Services.
     2. The Supplier shall not deliver any Supplier Equipment nor begin any work on the Customer Premises without obtaining Approval.
     3. The Supplier shall be solely responsible for the cost of carriage of the Supplier Equipment to the Sites and/or any Customer Premises, including its off-loading, removal of all packaging and all other associated costs. Likewise on the Contract Expiry Date the Supplier shall be responsible for the removal of all relevant Supplier Equipment from the Sites and/or any Customer Premises, including the cost of packing, carriage and making good the Sites and/or the Customer Premises following removal.
     4. All the Suppliers property, including Supplier Equipment, shall remain at the sole risk and responsibility of the Supplier, except that the Customer shall be liable for loss of or damage to any of the Supplier’s property located on Customer Premises which is due to the negligent act or omission of the Customer.
     5. Subject to any express provision of the BCDR Plan to the contrary, the loss or destruction for any reason of any Supplier Equipment shall not relieve the Supplier of its obligation to supply the Goods and/or Services in accordance with this Contract, including the Service Level Performance Measures.
     6. The Supplier shall maintain all Supplier Equipment within the Sites and/or the Customer Premises in a safe, serviceable and clean condition.
     7. The Supplier shall, at the Customer's written request, at its own expense and as soon as reasonably practicable:
        1. remove from the Customer Premises any Supplier Equipment or any component part of Supplier Equipment which in the reasonable opinion of the Customer is either hazardous, noxious or not in accordance with this Contract; and
        2. replace such Supplier Equipment or component part of Supplier Equipment with a suitable substitute item of Supplier Equipment.
     8. For the purposes of this Clause [32.8](#_heading=h.1d96cc0), ‘X’ shall be the number of Service Failures, and ‘Y’ shall be the period in months, as respectively specified for ‘X’ and ‘Y’ in the Contract Order Form. If this Clause [32.8](#_heading=h.1d96cc0) has been specified to apply in the Contract Order Form, and there are no values specified for ‘X’ and/or ‘Y’, in default, ‘X’ shall be two (2) and ‘Y’ shall be twelve (12). Where a failure of Supplier Equipment or any component part of Supplier Equipment causes X or more Service Failures in any Y Month period, the Supplier shall notify the Customer in writing and shall, at the Customer’s request (acting reasonably), replace such Supplier Equipment or component part thereof at its own cost with a new item of Supplier Equipment or component part thereof (of the same specification or having the same capability as the Supplier Equipment being replaced).
  2. **MAINTENANCE OF THE ICT ENVIRONMENT**
     1. If specified by the Customer in the Order Form (or elsewhere in this Call Off Contract), the Supplier shall create and maintain a rolling schedule of planned maintenance to the ICT Environment ("**Maintenance Schedule").**
     2. The Supplier shall provide to the Customer a draft Maintenance Schedule for Approval within such period of time and in accordance with any other instructions of the Customer as specified in the Order Form (or elsewhere in this Call Off Contract).
     3. Once the Maintenance Schedule has been Approved, the Supplier shall only undertake such planned maintenance (which shall be known as "**Permitted Maintenance**") in accordance with the Maintenance Schedule.
     4. The Supplier shall give as much notice as is reasonably practicable to the Customer prior to carrying out any emergency maintenance.
     5. The Supplier shall carry out any necessary maintenance (whether Permitted Maintenance or emergency maintenance) where it reasonably suspects that the ICT Environment and/or the Services or any part thereof has or may have developed a fault. Any such maintenance shall be carried out in such a manner and at such times so as to avoid (or where this is not possible so as to minimise) disruption to the ICT Environment and the provision of the Goods and/or Services.

**H. INTELLECTUAL PROPERTY AND INFORMATION**

* 1. **INTELLECTUAL PROPERTY RIGHTS**

* + 1. **Allocation of title to IPR**
       1. Save as expressly granted elsewhere under this Contract:
          1. the Customer shall not acquire any right, title or interest in or to the Intellectual Property Rights of the Supplier or its licensors, including:

the Supplier Background IPR;

the Third Party IPR; and

the Project Specific IPR.

* + - * 1. the Supplier shall not acquire any right, title or interest in or to the Intellectual Property Rights of the Customer or its licensors, including the:

Customer Background IPR; and

Customer Data.

* + - 1. Where either Party acquires, by operation of Law, title to Intellectual Property Rights that is inconsistent with the allocation of title set out in Clause [34.1](#_heading=h.3bj1y38), it shall assign in writing such Intellectual Property Rights as it has acquired to the other Party on the request of the other Party (whenever made).
      2. Neither Party shall have any right to use any of the other Party's names, logos or trade marks on any of its products or services without the other Party's prior written consent.
    1. **Licence granted by the Supplier: Project Specific IPR**
       1. The Supplier hereby grants to the Customer, or shall procure the direct grant to the Customer of, a perpetual, royalty-free, irrevocable, non-exclusive licence to use the Project Specific IPR including but not limited to the right to copy, adapt, publish and distribute such Project Specific IPR.
    2. **Licence granted by the Supplier: Supplier Background IPR**
       1. The Supplier hereby grants to the Customer a perpetual and non- exclusive licence to use the Supplier Background IPR for any purpose relating to the Goods and/or Services (or substantially equivalent goods and/or services) or for any purpose relating to the exercise of the Customer’s (or, if the Customer is a Central Government Body, any other Central Government Body’s) business or function.
       2. At any time during the Contract Period or following the Contract Expiry Date, the Supplier may terminate a licence granted in respect of the Supplier Background IPR under Clause [34.3.1](#_heading=h.14ykbeg) by giving thirty (30) days’ notice in writing (or such other period as agreed by the Parties) if there is a Customer Cause which constitutes a material breach of the terms of [34.3.1](#_heading=h.14ykbeg) which, if the breach is capable of remedy, is not remedied within twenty (20) Working Days after the Supplier gives the Customer written notice specifying the breach and requiring its remedy.
       3. In the event the licence of the Supplier Background IPR is terminated pursuant to Clause [34.3.2](#_heading=h.3oy7u29), the Customer shall:
          1. immediately cease all use of the Supplier Background IPR;
          2. at the discretion of the Supplier, return or destroy documents and other tangible materials that contain any of the Supplier Background IPR, provided that if the Supplier has not made an election within six (6) Months of the termination of the licence, the Customer may destroy the documents and other tangible materials that contain any of the Supplier Background IPR; and
          3. ensure, so far as reasonably practicable, that any Supplier Background IPR that is held in electronic, digital or other machine-readable form ceases to be readily accessible (other than by the information technology staff of the Customer) from any computer, word processor, voicemail system or any other device containing such Supplier Background IPR.
    3. **Customer’s right to sub-license**
       1. The Customer shall be freely entitled to sub-license the rights granted to it pursuant to Clause [34.2.1](#_heading=h.4anzqyu) (Licence granted by the Supplier: Project Specific IPR).
       2. The Customer may sub-license:
          1. the rights granted under Clause [34.3.1](#_heading=h.14ykbeg) (Licence granted by the Supplier: Supplier Background IPR) to a third party (including for the avoidance of doubt, any Replacement Supplier) provided that:

the sub-licence is on terms no broader than those granted to the Customer; and

the sub-licence only authorises the third party to use the rights licensed in Clause [34.3.1](#_heading=h.14ykbeg) (Licence granted by the Supplier: Supplier Background IPR) for purposes relating to the Goods and/or Services (or substantially equivalent goods and/or services) or for any purpose relating to the exercise of the Customer’s (or, if the Customer is a Central Government Body, any other Central Government Body’s) business or function; and

* + - * 1. the rights granted under Clause [34.3.1](#_heading=h.14ykbeg) (Licence granted by the Supplier: Supplier Background IPR) to any Approved Sub-Licensee to the extent necessary to use and/or obtain the benefit of the Project Specific IPR provided that the sub-licence is on terms no broader than those granted to the Customer.
    1. **Customer’s right to assign/novate licences**
       1. The Customer shall be freely entitled to assign, novate or otherwise transfer its rights and obligations under the licence granted to it pursuant to Clause [34.2](#_heading=h.1qoc8b1) (Licence granted by the Supplier: Project Specific IPR).
       2. The Customer may assign, novate or otherwise transfer its rights and obligations under the licence granted pursuant to Clause [34.3](#_heading=h.2pta16n) (Licence granted by the Supplier: Supplier Background IPR) to:
          1. a Central Government Body; or
          2. to any body (including any private sector body) which performs or carries on any of the functions and/or activities that previously had been performed and/or carried on by the Customer.
       3. Where the Customer is a Central Government Body, any change in the legal status of the Customer which means that it ceases to be a Central Government Body shall not affect the validity of any licence granted in Clause [34.2](#_heading=h.1qoc8b1) (Licence granted by the Supplier: Project Specific IPR) and/or Clause [34.3](#_heading=h.2pta16n) (Licence granted by the Supplier: Supplier Background IPR). If the Customer ceases to be a Central Government Body, the successor body to the Customer shall still be entitled to the benefit of the licences granted in Clause [34.2](#_heading=h.1qoc8b1) (Licence granted by the Supplier: Project Specific IPR) and Clause [34.3](#_heading=h.2pta16n) (Licence granted by the Supplier: Supplier Background IPR).
       4. If a licence granted in Clause [34.2](#_heading=h.1qoc8b1) (Licence granted by the Supplier: Project Specific IPR) and/or Clause [34.3](#_heading=h.2pta16n) (Licence

granted by the Supplier: Supplier Background IPR) is novated under Clauses [34.5.1](#_heading=h.243i4a2) and/or [34.5.2](#_heading=h.j8sehv) or there is a change of the Customer’s status pursuant to Clause [34.5.3](#_heading=h.338fx5o) (both such bodies being referred to as the **“Transferee”**), the rights acquired by the Transferee shall not extend beyond those previously enjoyed by the Customer.

* + 1. **Third Party IPR**
       1. The Supplier shall procure that the owners or the authorised licensors of any Third Party IPR grant a direct licence to the Customer on terms at least equivalent to those set out in Clause

[34.3](#_heading=h.2pta16n) (Licence granted by the Supplier: Supplier Background IPR) and Clause [34.5.2](#_heading=h.j8sehv) (Customer’s right to assign/novate licences). If the Supplier cannot obtain for the Customer a licence materially in accordance with the licence terms set out in Clause [34.3](#_heading=h.2pta16n) (Licence granted by the Supplier: Supplier Background IPR) and Clause [34.5.2](#_heading=h.j8sehv) (Customer’s right to assign/novate licences) in respect of any such Third Party IPR, the Supplier shall:

1. notify the Customer in writing giving details of what licence terms can be obtained from the relevant third party and whether there are alternative providers which the Supplier could seek to use; and
2. only use such Third Party IPR if the Customer Approves the terms of the licence from the relevant third party.
   * 1. **Licence granted by the Customer**
        1. The Customer hereby grants to the Supplier a royalty-free, non- exclusive, non-transferable licence during the Contract Period to use the Customer Background IPR and the Customer Data solely to the extent necessary for providing the Goods and/or Services in accordance with this Contract, including (but not limited to) the right to grant sub-licences to Sub-Contractors provided that:
           1. any relevant Sub-Contractor has entered into a confidentiality undertaking with the Supplier on the same terms as set out in Clause [35.3](#_heading=h.47hxl2r) (Confidentiality); and
           2. the Supplier shall not without Approval use the licensed materials for any other purpose or for the benefit of any person other than the Customer.
     2. **Termination of licenses**
        1. Subject to Clause [34.3](#_heading=h.2pta16n) (Licence granted by the Supplier: Supplier Background IPR), all licences granted pursuant to Clause [34](#_heading=h.rjefff) (Intellectual Property Rights) (other than those granted pursuant to Clause [34.6](#_heading=h.1idq7dh) (Third Party IPR) and [34.7](#_heading=h.42ddq1a) (Licence granted by the Customer)) shall survive the Contract Expiry Date.
        2. The Supplier shall, if requested by the Customer in accordance with Contract Schedule 9 (Exit Management), grant (or procure the grant) to the Replacement Supplier of a licence to use any Supplier Background IPR and/or Third Party IPR on terms equivalent to those set out in Clause [34.3](#_heading=h.2pta16n) (Licence granted by the Supplier: Supplier Background IPR) subject to the Replacement

Supplier entering into reasonable confidentiality undertakings with the Supplier.

* + - 1. The licence granted pursuant to Clause [34.7](#_heading=h.42ddq1a) (Licence granted by the Customer) and any sub-licence granted by the Supplier in accordance with Clause [34.7.1](#_heading=h.2hio093) (Licence granted by the Customer) shall terminate automatically on the Contract Expiry Date and the Supplier shall:
         1. immediately cease all use of the Customer Background IPR and the Customer Data (as the case may be);
         2. at the discretion of the Customer, return or destroy documents and other tangible materials that contain any of the Customer Background IPR and the Customer Data, provided that if the Customer has not made an election within six (6) months of the termination of the licence, the Supplier may destroy the documents and other tangible materials that contain any of the Customer Background IPR and the Customer Data (as the case may be); and
         3. ensure, so far as reasonably practicable, that any Customer Background IPR and Customer Data that are held in electronic, digital or other machine-readable form ceases to be readily accessible from any computer, word processor, voicemail system or any other device of the Supplier containing such Customer Background IPR and/or Customer Data.
    1. **IPR Indemnity**
       1. The Supplier shall, during and after the Contract Period, on written demand, indemnify the Customer against all Losses incurred by, awarded against, or agreed to be paid by the Customer (whether before or after the making of the demand pursuant to the indemnity hereunder) arising from an IPR Claim.
       2. If an IPR Claim is made, or the Supplier anticipates that an IPR Claim might be made, the Supplier may, at its own expense and sole option, either:
          1. procure for the Customer the right to continue using the relevant item which is subject to the IPR Claim; or
          2. replace or modify the relevant item with non-infringing substitutes provided that:

the performance and functionality of the replaced or modified item is at least equivalent to the performance and functionality of the original item;

the replaced or modified item does not have an adverse effect on any other Goods and/or Services;

there is no additional cost to the Customer; and

the terms and conditions of this Contract shall apply to the replaced or modified Goods and/or Services.

* + - 1. If the Supplier elects to procure a licence in accordance with Clause [34.9.2(a)](#_heading=h.4fsjm0b) or to modify or replace an item pursuant to Clause [34.9.2(b)](#_heading=h.2uxtw84), but this has not avoided or resolved the IPR Claim, then:

1. the Customer may terminate this Contract by written notice with immediate effect; and
2. without prejudice to the indemnity set out in Clause [34.9.1](#_heading=h.3gnlt4p), the Supplier shall be liable for all reasonable and unavoidable costs of the substitute goods and/or services including the additional costs of procuring, implementing and maintaining the substitute items.
   * 1. **Escrow**
        1. Immediately after the Contract Commencement Date, the Supplier shall enter into a three-party source code escrow agreement (suitable for use with multiple licencees on the standard terms of the chosen escrow agent) with the Customer and escrow agent in respect of the Supplier Background IPR and Project Specific IPR, the escrow agent to be agreed between the parties or by the Customer where agreement cannot be reached.
        2. The Supplier and the Customer shall each execute the escrow agreement promptly following execution of this Contract.
        3. All relevant escrow fees in respect of the escrow agreement shall be payable by the Customer.

* 1. **SECURITY AND PROTECTION OF INFORMATION**

* + 1. **Security Requirements**
       1. The Supplier shall comply with the Security Policy and the requirements of Contract Schedule 7 (Security) including the Security Management Plan (if any) and shall ensure that the Security Management Plan produced by the Supplier fully complies with the Security Policy.
       2. The Customer shall notify the Supplier of any changes or proposed changes to the Security Policy.
       3. If the Supplier believes that a change or proposed change to the Security Policy will have a material and unavoidable cost implication to the provision of the Goods and/or Services it may propose a Variation to the Customer. In doing so, the Supplier must support its request by providing evidence of the cause of any increased costs and the steps that it has taken to mitigate those costs. Any change to the Contract Charges shall then be subject to the Variation Procedure.
       4. Until and/or unless a change to the Contract Charges is agreed by the Customer pursuant to the Variation Procedure the Supplier shall continue to provide the Goods and/or Services in accordance with its existing obligations.
    2. **Protection of Customer Data**
       1. The Supplier shall not delete or remove any proprietary notices contained within or relating to the Customer Data.
       2. The Supplier shall not store, copy, disclose, or use the Customer Data except as necessary for the performance by the Supplier of its obligations under this Contract or as otherwise Approved by the Customer.
       3. To the extent that the Customer Data is held and/or Processed by the Supplier, the Supplier shall supply that Customer Data to the Customer as requested by the Customer and in the format (if any) specified by the Customer in the Contract Order Form and, in any event, as specified by the Customer from time to time in writing.
       4. The Supplier shall take responsibility for preserving the integrity of Customer Data and preventing the corruption or loss of Customer Data.
       5. The Supplier shall perform secure back-ups of all Customer Data and shall ensure that up-to-date back-ups are stored off-site at an Approved location in accordance with any BCDR Plan or otherwise. The Supplier shall ensure that such back-ups are available to the Customer (or to such other person as the Customer may direct) at all times upon request and are delivered to the Customer at no less than six (6) Monthly intervals (or such other intervals as may be agreed in writing between the Parties).
       6. The Supplier shall ensure that any system on which the Supplier holds any Customer Data, including back-up data, is a secure system that complies with the Security Policy and the Security Management Plan (if any).
       7. If at any time the Supplier suspects or has reason to believe that the Customer Data is corrupted, lost or sufficiently degraded in any way for any reason, then the Supplier shall notify the Customer immediately and inform the Customer of the remedial action the Supplier proposes to take.
       8. If the Customer Data is corrupted, lost or sufficiently degraded as a result of a Default so as to be unusable, the Supplier may:
          1. require the Supplier (at the Supplier’s expense) to restore or procure the restoration of Customer Data to the extent and in accordance with the requirements specified in Contract Schedule 8 (Business Continuity and Disaster Recovery) or as otherwise required by the Customer, and the Supplier shall do so as soon as practicable but not later than five (5) Working Days from the date of receipt of the Customer’s notice; and/or
          2. itself restore or procure the restoration of Customer Data, and shall be repaid by the Supplier any reasonable expenses incurred in doing so to the extent and in accordance with the requirements specified in Contract Schedule 8 (Business Continuity and Disaster Recovery) or as otherwise required by the Customer.
    3. **Confidentiality**
       1. For the purposes of Clause [35.3](#_heading=h.47hxl2r), the term **“Disclosing Party”** shall mean a Party which discloses or makes available directly or indirectly its Confidential Information and **“Recipient”** shall mean the Party which receives or obtains directly or indirectly Confidential Information.
       2. Except to the extent set out in Clause [35.3](#_heading=h.47hxl2r) or where disclosure is expressly permitted elsewhere in this Contract, the Recipient shall:
          1. treat the Disclosing Party's Confidential Information as confidential and keep it in secure custody (which is appropriate depending upon the form in which such materials are stored and the nature of the Confidential Information contained in those materials); and
          2. not disclose the Disclosing Party's Confidential Information to any other person except as expressly set out in this Contract or without obtaining the owner's prior written consent;
          3. not use or exploit the Disclosing Party’s Confidential Information in any way except for the purposes anticipated under this Contract; and
          4. immediately notify the Disclosing Party if it suspects or becomes aware of any unauthorised access, copying, use or disclosure in any form of any of the Disclosing Party’s Confidential Information.
       3. The Recipient shall be entitled to disclose the Confidential Information of the Disclosing Party where:
          1. the Recipient is required to disclose the Confidential Information by Law, provided that Clau[se 35.5](#_heading=h.1f7o1he) (Freedom of Information) shall apply to disclosures required under the FOIA or the EIRs;
          2. the need for such disclosure arises out of or in connection with:

any legal challenge or potential legal challenge against the Customer arising out of or in connection with this Contract;

the examination and certification of the Customer's accounts (provided that the disclosure is made on a confidential basis) or for any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Customer is making use of any Goods and/or Services provided under this Contract; or

the conduct of a Central Government Body review in respect of this Contract; or

* + - * 1. the Recipient has reasonable grounds to believe that the Disclosing Party is involved in activity that may constitute

a criminal offence under the Bribery Act 2010 and the disclosure is being made to the Serious Fraud Office.

* + - 1. If the Recipient is required by Law to make a disclosure of Confidential Information, the Recipient shall as soon as reasonably practicable and to the extent permitted by Law notify the Disclosing Party of the full circumstances of the required disclosure including the relevant Law and/or regulatory body requiring such disclosure and the Confidential Information to which such disclosure would apply.
      2. Subject to Clause [35.3.2](#_heading=h.11si5id), the Supplier may only disclose the Confidential Information of the Customer on a confidential basis to:
         1. Supplier Personnel who are directly involved in the provision of the Goods and/or Services and need to know the Confidential Information to enable performance of the Supplier’s obligations under this Contract; and
         2. its professional advisers for the purposes of obtaining advice in relation to this Contract.
      3. Where the Supplier discloses Confidential Information of the Customer pursuant to Clause [35.3.5](#_heading=h.3ls5o66), it shall remain responsible at all times for compliance with the confidentiality obligations set out in this Contract by the persons to whom disclosure has been made.
      4. The Customer may disclose the Confidential Information of the Supplier:
         1. to any Central Government Body on the basis that the information may only be further disclosed to Central Government Bodies;
         2. to the British Parliament and any committees of the British Parliament or if required by any British Parliamentary reporting requirement;
         3. to the extent that the Customer (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions;
         4. on a confidential basis to a professional adviser, consultant, supplier or other person engaged by any of the entities described in Clause [35.3.7(a)](#_heading=h.20xfydz) (including any benchmarking organisation) for any purpose relating to or connected with this Contract;
         5. on a confidential basis for the purpose of the exercise of its rights under this Contract; or
         6. to a proposed transferee, assignee or novatee of, or successor in title to the Customer,

and for the purposes of the foregoing, references to disclosure on a confidential basis shall mean disclosure subject to a confidentiality agreement or arrangement containing terms no less stringent than those placed on the Customer under Clause [35.3](#_heading=h.47hxl2r).

* + - 1. Nothing in Clause [35.3](#_heading=h.47hxl2r) shall prevent a Recipient from using any techniques, ideas or Know-How gained during the performance of this Contract in the course of its normal business to the extent that this use does not result in a disclosure of the Disclosing Party’s Confidential Information or an infringement of Intellectual Property Rights.
      2. In the event that the Supplier fails to comply with Clauses [35.3.2](#_heading=h.11si5id) to [35.3.5](#_heading=h.3ls5o66), the Customer reserves the right to terminate this Contract for material Default.
    1. **Transparency**
       1. The Parties acknowledge and agree that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of this Contract and any Transparency Reports under it is not Confidential Information and shall be made available in accordance with the procurement policy note 13/15 <https://www.gov.uk/government/publications/procurement-policy-note-1315-increasing-the-transparency-of-contract-information>

and the transparency principles referred to therein. The Customer shall determine whether any of the content of this Contract is exempt from disclosure in accordance with the provisions of the FOIA. The Customer may consult with the Supplier to inform its decision regarding any redactions but shall have the final decision in its absolute discretion.

* + - 1. Notwithstanding any other provision of this Contract, the Supplier hereby gives his consent for the Customer to publish this Contract in its entirety (but with any information which is exempt from disclosure in accordance with the provisions of the FOIA redacted), including any changes to this Contract agreed from time to time.
      2. The Supplier shall assist and cooperate with the Customer to enable the Customer to publish this Contract.
    1. **Freedom of Information**
       1. The Supplier acknowledges that the Customer is subject to the requirements of the FOIA and the EIRs. The Supplier shall:
          1. provide all necessary assistance and cooperation as reasonably requested by the Customer to enable the Customer to comply with its Information disclosure obligations under the FOIA and EIRs;
          2. transfer to the Customer all Requests for Information relating to this Contract that it receives as soon as practicable and in any event within two (2) Working Days of receipt;
          3. provide the Customer with a copy of all Information belonging to the Customer requested in the Request for Information which is in its possession or control in the form that the Customer requires within five (5) Working Days (or such other period as the Customer may reasonably specify) of the Customer's request for such Information; and
          4. not respond directly to a Request for Information unless authorised in writing to do so by the Customer.
       2. The Supplier acknowledges that the Customer may be required under the FOIA and EIRs to disclose Information (including Commercially Sensitive Information) without consulting or obtaining consent from the Supplier. The Customer shall take reasonable steps to notify the Supplier of a Request for Information (in accordance with the Secretary of State’s Section 45 Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the FOIA) to the extent that it is permissible and reasonably practical for it to do so but (notwithstanding any other provision in this Contract) the Customer shall be responsible for determining in its absolute discretion whether any Commercially Sensitive Information and/or any other information is exempt from disclosure in accordance with the FOIA and/or the EIRs.
    2. **Protection of Personal Data**
       1. The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and that the Supplier is the Processor. The only processing that the Supplier is authorised to do is listed in Contract Schedule 16 (Authorised Processing Template) by the Customer and may not be determined by the Supplier.
       2. The Supplier shall notify the Customer immediately if it considers that any of the Customer instructions infringe the Data Protection Legislation.
       3. The Supplier shall provide all reasonable assistance to the Customer in the preparation of any Data Protection Impact Assessment prior to commencing any processing. Such assistance may, at the discretion of the Customer include:
          1. a systematic description of the envisaged processing operations and the purpose of the processing;
          2. an assessment of the necessity and proportionality of the processing operations in relation to the Services;
          3. an assessment of the risks to the rights and freedoms of Data Subjects; and
          4. the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.
       4. The Supplier shall, in relation to any Personal Data processed in connection with its obligations under this Contract:
          1. Process that Personal Data only in accordance with Contract Schedule 16 (Authorised Processing Template), unless the Supplier is required to do otherwise by Law. If it is so required the Supplier shall promptly notify the Customer before processing the Personal Data unless prohibited by Law;
          2. ensure that it has in place Protective Measures which have been reviewed and approved by the Customer as appropriate to protect against a Data Loss Event having taken account of the:

nature of the data to be protected;

harm that might result from a Data Loss Event;

state of technological development; and

cost of implementing any measures;

* + - * 1. ensure that:

the Supplier Personnel do not process Personal Data except in accordance with this Contract (and in particular Contract Schedule 16 (Authorised Processing Template));

1. it takes all reasonable steps to ensure the reliability and integrity of any Supplier Personnel who have access to the Personal Data and ensure that they:
   1. are aware of and comply with the Supplier’s duties under this Clause;
   2. are subject to appropriate confidentiality undertakings with the Supplier or any Sub-processor;
   3. are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third Party unless directed in writing to do so by the Customer or as otherwise permitted by this Contract; and
   4. have undergone adequate training in the use, care, protection and handling of Personal Data*;*
      * + 1. not transfer Personal Data outside of the EU unless the prior written consent of the Customer has been obtained and the following conditions are fulfilled:

the Customer or the Supplier has provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or LED Article 37) as determined by the Customer;

the Data Subject has enforceable rights and effective legal remedies;

the Supplier 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 Customer in meeting its obligations); and

the Supplier complies with any reasonable instructions notified to it in advance by the Customer with respect to the processing of the Personal Data;

* + - * 1. at the written direction of the Customer, delete or return Personal Data (and any copies of it) to the Customer on termination of the Contract unless the Supplier is required by Law to retain the Personal Data.
      1. Subject to Clause 35.6.7, the Supplier shall notify the Customer immediately if it:
         1. Receives a Data Subject Access Request (or purported Data Subject Access Request);
         2. receives a request to rectify, block or erase any Personal Data;
         3. receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
         4. receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data processed under this Contract;
         5. 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
         6. becomes aware of a Data Loss Event.
      2. The Supplier’s obligation to notify under Clause 35.6.5 shall include the provision of further information to the Customer in phases, as details become available.
      3. Taking into account the nature of the processing, the Supplier shall provide the Customer with full assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under Clause 35.6.5 (and insofar as possible within the timescales reasonably required by the Customer) including by promptly providing:
      4. the Customer with full details and copies of the complaint, communication or request;
      5. such assistance as is reasonably requested by the Customer to enable the Customer to comply with a Data Subject Access Request within the relevant timescales set out in the Data Protection Legislation;
      6. the Customer, at its request, with any Personal Data it holds in relation to a Data Subject;
      7. assistance as requested by the Customer following any Data Loss Event;
      8. assistance as requested by the Customer with respect to any request from the Information Commissioner’s Office,

or any consultation by the Customer with the Information Commissioner's Office.

* + - 1. The Supplier shall maintain complete and accurate records and information to demonstrate its compliance with this Clause. This requirement does not apply where the Supplier employs fewer than 250 staff, unless:
         1. the Customer determines that the processing is not occasional;
         2. the Customer determines the processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the GDPR; and
         3. the Customer determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects.
      2. The Supplier shall allow for audits of its Data Processing activity by the Customer or the Customer designated auditor.
      3. The Supplier shall designate a Data Protection Officer if required by the Data Protection Legislation.
      4. Before allowing any Sub-processor to process any Personal Data related to this Contract, the Supplier must:
         1. notify the Customer in writing of the intended Sub- processor and processing;
         2. obtain the written consent of the Customer;
         3. enter into a written agreement with the Sub-processor which give effect to the terms set out in this Clause

35.6.11 such that they apply to the Sub-processor; and

* + - * 1. provide the Customer with such information regarding the Sub- processor as the Customer may reasonably require.
      1. The Supplier shall remain fully liable for all acts or omissions of any Sub-processor.
      2. The Supplier may, at any time on not less than 30 Working Days’ notice, revise this Clause by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to this Contract).
      3. The Parties agree to take account of any guidance issued by the Information Commissioner’s Office. The Customer may on not less than 30 Working Days’ notice to the Supplier amend this Contract to ensure that it complies with any guidance issued by the Information Commissioner’s Office.

* 1. **PUBLICITY AND BRANDING**
     1. The Supplier shall not:
        1. make any press announcements or publicise this Contract in any way; or
        2. use the Customer's name or brand in any promotion or marketing or announcement of orders,

without Approval (the decision of the Customer to Approve or not shall not be unreasonably withheld or delayed).

* + 1. Each Party acknowledges to the other that nothing in this Contract either expressly or by implication constitutes an endorsement of any products or services of the other Party (including the Goods and/or Services and Supplier Equipment) and each Party agrees not to conduct itself in such a way as to imply or express any such approval or endorsement.

**I. LIABILITY AND INSURANCE**

* 1. **LIABILITY**

* + 1. Unlimited Liability
       1. Neither Party excludes or limits its liability for:
          1. death or personal injury caused by its negligence, or that of its employees, agents or Sub-Contractors (as applicable);
          2. bribery or Fraud by it or its employees;
          3. breach of any obligation as to title implied by section 12 of the Sale of Goods Act 1979 or section 2 of the Supply of Goods and Services Act 1982; or
          4. any liability to the extent it cannot be excluded or limited by Law.
       2. The Supplier does not exclude or limit its liability in respect of the indemnity in Clauses [34.9](#_heading=h.wnyagw) (IPR Indemnity) and in each case whether before or after the making of a demand pursuant to the indemnity therein.
    2. Financial Limits
       1. Subject to Clau[se 37.1](#_heading=h.2rrrqc1) (Unlimited Liability), the Supplier’s total aggregate liability:
          1. in respect of all:

Service Credits; and

Compensation for Critical Service Level Failure;

incurred in any rolling period of twelve (12) Months shall be subject in aggregate to the Service Credit Cap;

* + - * 1. in respect of all other Losses incurred by the Customer under or in connection with this Contract as a result of Defaults by the Supplier shall in no event exceed:

in relation to any Defaults occurring from the Contract Commencement Date to the end of the first Contract Year, the higher of ten million pounds (£10,000,000) or a sum equal to one hundred and fifty per cent (150%) of the Estimated Year 1 Contract Charges;

in relation to any Defaults occurring in each subsequent Contract Year that commences during the remainder of the Contract Period, the higher of one million pounds (£1,000,000) in each such Contract Year or a sum equal to one hundred and fifty percent (150%) of the Contract Charges payable to the Supplier under this Contract in the previous Contract Year; and

in relation to any Defaults occurring in each Contract Year that commences after the end of the Contract Period, the higher of one million pounds (£1,000,000) in each such Contract Year or a sum equal to one hundred and fifty percent (150%) of the Contract Charges payable to the Supplier under this Contract in the last Contract Year commencing during the Contract Period;

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

* + - 1. Subject to Clauses [37.1](#_heading=h.2rrrqc1) (Unlimited Liability) and [37.2](#_heading=h.16x20ju) (Financial Limits) and without prejudice to its obligation to pay the undisputed Contract Charges as and when they fall due for payment, the Customer's total aggregate liability in respect of all Losses as a result of Customer Causes shall be limited to:
         1. in relation to any Customer Causes occurring from the Contract Commencement Date to the end of the first Contract Year, a sum equal to the Estimated Year 1 Contract Charges;
         2. in relation to any Customer Causes occurring in each subsequent Contract Year that commences during the remainder of the Contract Period, a sum equal to the Contract Charges payable to the Supplier under this Contract in the previous Contract Year; and
         3. in relation to any Customer Causes occurring in each Contract Year that commences after the end of the Contract Period, a sum equal to the Contract Charges payable to the Supplier under this Contract in the last Contract Year commencing during the Contract Period.
    1. Non-recoverable Losses
       1. Subject to Clause [37.1](#_heading=h.2rrrqc1) (Unlimited Liability) neither Party shall be liable to the other Party for any:
          1. indirect, special or consequential Loss;
          2. loss of profits, turnover, savings, business opportunities or damage to goodwill (in each case whether direct or indirect).
    2. Recoverable Losses
       1. Subject to Clause [37.2](#_heading=h.16x20ju) (Financial Limits), and notwithstanding Clause [37.3](#_heading=h.ymfzma) (Non-recoverable Losses), the Supplier acknowledges that the Customer may, amongst other things, recover from the Supplier the following Losses incurred by the Customer to the extent that they arise as a result of a Default by the Supplier:
          1. any additional operational and/or administrative costs and expenses incurred by the Customer, including costs relating to time spent by or on behalf of the Customer in dealing with the consequences of the Default;
          2. any wasted expenditure or charges;
          3. the additional cost of procuring Replacement Goods and/or Services for the remainder of the Contract Period and/or replacement Deliverables, which shall include any incremental costs associated with such Replacement Goods and/or Services and/or replacement Deliverables above those which would have been payable under this Contract;
          4. any compensation or interest paid to a third party by the Customer; and
          5. any fine, penalty or costs incurred by the Customer pursuant to Law.
    3. Miscellaneous
       1. Each Party shall use all reasonable endeavours to mitigate any loss or damage suffered arising out of or in connection with this Contract.
       2. Any Deductions shall not be taken into consideration when calculating the Supplier’s liability under Clause [37.2](#_heading=h.16x20ju) (Financial Limits).
       3. Subject to any rights of the Customer under this Contract (including in respect of an IPR Claim), any claims by a third party where an indemnity is sought by that third party from a Party to this Contract shall be dealt with in accordance with the provisions of DPS Schedule 20 (Conduct of Claims).

* 1. **INSURANCE**
     1. This Clause [38](#_heading=h.3im3ia3) will only apply where specified in the Contract Order Form or elsewhere in this Contract.
     2. Notwithstanding any benefit to the Customer of the policy or policies of insurance referred to in Clause 31 (Insurance) of the DPS Agreement, the Supplier shall effect and maintain such further policy or policies of insurance or extensions to such existing policy or policies of insurance procured under the DPS Agreement in respect of all risks which may be

incurred by the Supplier arising out of its performance of its obligations under this Contract.

* + 1. Without limitation to the generality of Clause [38.2](#_heading=h.1xrdshw) the Supplier shall ensure that it maintains the policy or policies of insurance as stipulated in the Contract Order Form.
    2. The Supplier shall effect and maintain the policy or policies of insurance referred to in Clause [38](#_heading=h.3im3ia3) for six (6) years after the Contract Expiry Date.
    3. The Supplier shall give the Customer, on request, copies of all insurance policies referred to in Clause [38](#_heading=h.3im3ia3) or a broker's verification of insurance to demonstrate that the appropriate cover is in place, together with receipts or other evidence of payment of the latest premiums due under those policies.
    4. If, for whatever reason, the Supplier fails to give effect to and maintain the insurance policies required under Clause [38](#_heading=h.3im3ia3) the Customer may make alternative arrangements to protect its interests and may recover the premium and other costs of such arrangements as a debt due from the Supplier.
    5. The provisions of any insurance or the amount of cover shall not relieve the Supplier of any liability under this Contract. It shall be the responsibility of the Supplier to determine the amount of insurance cover that will be adequate to enable the Supplier to satisfy any liability in relation to the performance of its obligations under this Contract.
    6. The Supplier shall ensure that nothing is done which would entitle the relevant insurer to cancel, rescind or suspend any insurance or cover, or to treat any insurance, cover or claim as voided in whole or part. The Supplier shall use all reasonable endeavours to notify the Customer (subject to third party confidentiality obligations) as soon as practicable when it becomes aware of any relevant fact, circumstance or matter which has caused, or is reasonably likely to provide grounds to, the relevant insurer to give notice to cancel, rescind, suspend or void any insurance, or any cover or claim under any insurance in whole or in part.

**J. REMEDIES AND RELIEF**

* 1. **CUSTOMER REMEDIES FOR DEFAULT**
     1. Remedies
        1. Without prejudice to any other right or remedy of the Customer howsoever arising (including under Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring)) and subject to the exclusive financial remedy provisions in Clauses [13.6](#_heading=h.3l18frh) (Service Levels and Service Credits) and [6.4.1(b)](#_heading=h.4i7ojhp) (Delay Payments), if the Supplier commits any Default of this Contract then the Customer may (whether or not any part of the Goods and/or Services have been Delivered) do any of the following:
           1. at the Customer's option, give the Supplier the opportunity (at the Supplier’s expense) to remedy the Default together with any damage resulting from such Default (where such Default is capable of remedy) or to supply Replacement Goods and/or Services and carry out any other necessary work to ensure that the terms of this

Contract are fulfilled, in accordance with the Customer's instructions;

* + - * 1. carry out, at the Supplier’s expense, any work necessary to make the provision of the Goods and/or Services comply with this Contract;
        2. if the Default is a material Default that is capable of remedy (and for these purposes a material Default may be a single material Default or a number of Defaults or repeated Defaults - whether of the same or different obligations and regardless of whether such Defaults are remedied - which taken together constitute a material Default):

instruct the Supplier to comply with the Rectification Plan Process;

suspend this Contract (whereupon the relevant provisions of Clause [45](#_heading=h.3xzr3ei) (Partial Termination, Suspension and Partial Suspension) shall apply) and step-in to itself supply or procure a third party to supply (in whole or in part) the Goods and/or Services;

without terminating or suspending the whole of this Contract, terminate or suspend this Contract in respect of part of the provision of the Goods and/or Services only (whereupon the relevant provisions of Clause [45](#_heading=h.3xzr3ei) (Partial Termination, Suspension and Partial Suspension) shall apply) and step-in to itself supply or procure a third party to supply (in whole or in part) such part of the Goods and/or Services;

* + - 1. Where the Customer exercises any of its step-in rights under Clauses [39.1.1(c)(ii)](#_heading=h.3abhhcj) or [39.1.1(c)(iii)](#_heading=h.1pgrrkc), the Customer shall have the right to charge the Supplier for and the Supplier shall on demand pay any costs reasonably incurred by the Customer (including any reasonable administration costs) in respect of the supply of any part of the Goods and/or Services by the Customer or a third party and provided that the Customer uses its reasonable endeavours to mitigate any additional expenditure in obtaining Replacement Goods and/or Replacement Goods and/or Services.
    1. Rectification Plan Process
       1. Where the Customer has instructed the Supplier to comply with the Rectification Plan Process pursuant to Clause [39.1.1(c)(i)](#_heading=h.qbtyoq):
          1. the Supplier shall submit a draft Rectification Plan to the Customer for it to review as soon as possible and in any event within 10 (ten) Working Days (or such other period as may be agreed between the Parties) from the date of the Customer’s instructions. The Supplier shall submit a draft Rectification Plan even if the Supplier disputes that it is responsible for the Default giving rise to the Customer’s request for a draft Rectification Plan.
          2. the draft Rectification Plan shall set out:

full details of the Default that has occurred, including a cause analysis;

the actual or anticipated effect of the Default; and

the steps which the Supplier proposes to take to rectify the Default (if applicable) and to prevent such Default from recurring, including timescales for such steps and for the rectification of the Default (where applicable).

* + - 1. The Supplier shall promptly provide to the Customer any further documentation that the Customer requires to assess the Supplier’s root cause analysis. If the Parties do not agree on the root cause set out in the draft Rectification Plan, either Party may refer the matter to be determined by an expert in accordance with paragraph [5](#_heading=h.1w363f7) of Contract Schedule 11 (Dispute Resolution Procedure).
      2. The Customer may reject the draft Rectification Plan by notice to the Supplier if, acting reasonably, it considers that the draft Rectification Plan is inadequate, for example because the draft Rectification Plan:
         1. is insufficiently detailed to be capable of proper evaluation;
         2. will take too long to complete;
         3. will not prevent reoccurrence of the Default; and/or
         4. will rectify the Default but in a manner which is unacceptable to the Customer.
      3. The Customer shall notify the Supplier whether it consents to the draft Rectification Plan as soon as reasonably practicable. If the Customer rejects the draft Rectification Plan, the Customer shall give reasons for its decision and the Supplier shall take the reasons into account in the preparation of a revised Rectification Plan. The Supplier shall submit the revised draft of the Rectification Plan to the Customer for review within five (5) Working Days (or such other period as agreed between the Parties) of the Customer’s notice rejecting the first draft.
      4. If the Customer consents to the Rectification Plan, the Supplier shall immediately start work on the actions set out in the Rectification Plan.

* 1. **SUPPLIER RELIEF DUE TO CUSTOMER CAUSE**

* + 1. If the Supplier has failed to:
       1. Achieve a Milestone by its Milestone Date;
       2. provide the Goods and/or Services in accordance with the Service Levels;
       3. comply with its obligations under this Contract, (each a “Supplier Non-Performance”),

and can demonstrate that the Supplier Non-Performance would not have occurred but for a Customer Cause, then (subject to the Supplier fulfilling its obligations in Clause [17](#_heading=h.2r0uhxc) (Supplier Notification of Customer Cause)):

* + - * 1. the Supplier shall not be treated as being in breach of this Contract to the extent the Supplier can demonstrate that the Supplier Non-Performance was caused by the Customer Cause;
        2. the Customer shall not be entitled to exercise any rights that may arise as a result of that Supplier Non- Performance to terminate this Contract pursuant to Clause [42](#_heading=h.vgdtq7) (Customer Termination Rights) except Clause

[42.7](#_heading=h.375fbgg) (Termination Without Cause);

* + - * 1. where the Supplier Non-Performance constitutes the failure to Achieve a Milestone by its Milestone Date:

the Milestone Date shall be postponed by a period equal to the period of Delay that the Supplier can demonstrate was caused by the Customer Cause;

if the Customer, acting reasonably, considers it appropriate, the Implementation Plan shall be amended to reflect any consequential revisions required to subsequent Milestone Dates resulting from the Customer Cause;

if failure to Achieve a Milestone attracts a Delay Payment, the Supplier shall have no liability to pay any such Delay Payment associated with the Milestone to the extent that the Supplier can demonstrate that such failure was caused by the Customer Cause; and/or

* + - * 1. where the Supplier Non-Performance constitutes a Service Level Failure:

the Supplier shall not be liable to accrue Service Credits;

the Customer shall not be entitled to any Compensation for Critical Service Level Failure pursuant to Clause [14](#_heading=h.2zbgiuw) (Critical Service Level Failure); and

the Supplier shall be entitled to invoice for the Contract Charges for the provision of the relevant Goods and/or Services affected by the Customer Cause,

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

* + 1. In order to claim any of the rights and/or relief referred to in Clause 40.1, the Supplier shall:
       1. comply with its obligations under Clause [17](#_heading=h.2r0uhxc) (Supplier Notification of Customer Cause); and
       2. within ten (10) Working Days of becoming aware that a Customer Cause has caused, or is likely to cause, a Supplier Non- Performance, give the Customer notice (a “**Relief Notice**”) setting out details of:
          1. the Supplier Non-Performance;
          2. the Customer Cause and its effect on the Supplier’s ability to meet its obligations under this Contract; and
          3. the relief claimed by the Supplier.
    2. Following the receipt of a Relief Notice, the Customer shall as soon as reasonably practicable consider the nature of the Supplier Non- Performance and the alleged Customer Cause and whether it agrees with the Supplier’s assessment set out in the Relief Notice as to the effect of the relevant Customer Cause and its entitlement to relief, consulting with the Supplier where necessary.
    3. Without prejudice to Clauses [8.6](#_heading=h.ihv636) (Continuing obligation to provide the Services) and [9.11](#_heading=h.19c6y18) (Continuing obligation to provide the Goods), if a Dispute arises as to:
       1. whether a Supplier Non-Performance would not have occurred but for a Customer Cause; and/or
       2. the nature and/or extent of the relief claimed by the Supplier,

either Party may refer the Dispute to the Dispute Resolution Procedure. Pending the resolution of the Dispute, both Parties shall continue to resolve the causes of, and mitigate the effects of, the Supplier Non-Performance.

* + 1. Any Variation that is required to the Implementation Plan or to the Contract Charges pursuant to Clause [40](#_heading=h.13qzunr) shall be implemented in accordance with the Variation Procedure.

* 1. **FORCE MAJEURE**
     1. Subject to the remainder of Clause [41](#_heading=h.i17xr6) (and, in relation to the Supplier, subject to its compliance with any obligations in Clause [15](#_heading=h.sqyw64) (Business Continuity and Disaster Recovery)), a Party may claim relief under Clause [41](#_heading=h.i17xr6) from liability for failure to meet its obligations under this Contract for as long as and only to the extent that the performance of those obligations is directly affected by a Force Majeure Event. Any failure or delay by the Supplier in performing its obligations under this Contract which results from a failure or delay by an agent, Sub-Contractor or supplier shall be regarded as due to a Force Majeure Event only if that agent, Sub-Contractor or supplier is itself impeded by a Force Majeure Event from complying with an obligation to the Supplier.
     2. The Affected Party shall as soon as reasonably practicable issue a Force Majeure Notice, which shall include details of the Force Majeure Event, its effect on the obligations of the Affected Party and any action the Affected Party proposes to take to mitigate its effect.
     3. If the Supplier is the Affected Party, it shall not be entitled to claim relief under Clause [41](#_heading=h.i17xr6) to the extent that consequences of the relevant Force Majeure Event:
        1. are capable of being mitigated by any of the provision of any Goods and/or Services, including any BCDR Goods and/or Services, but the Supplier has failed to do so; and/or
        2. should have been foreseen and prevented or avoided by a prudent provider of goods and/or services similar to the Goods and/or Services, operating to the standards required by this Contract.
     4. Subject to Clause [41.5](#_heading=h.320vgez), as soon as practicable after the Affected Party issues the Force Majeure Notice, and at regular intervals thereafter, the Parties shall consult in good faith and use reasonable endeavours to agree any steps to be taken and an appropriate timetable in which those steps should be taken, to enable continued provision of the Goods and/or Services affected by the Force Majeure Event.
     5. The Parties shall at all times following the occurrence of a Force Majeure Event and during its subsistence use their respective reasonable endeavours to prevent and mitigate the effects of the Force Majeure Event. Where the Supplier is the Affected Party, it shall take all steps in accordance with Good Industry Practice to overcome or minimise the consequences of the Force Majeure Event.
     6. Where, as a result of a Force Majeure Event:
        1. an Affected Party fails to perform its obligations in accordance with this Contract, then during the continuance of the Force Majeure Event:
           1. the other Party shall not be entitled to exercise any rights to terminate this Contract in whole or in part as a result of such failure unless the provision of the Goods and/or Services is materially impacted by a Force Majeure Event which endures for a continuous period of more than ninety (90) days; and
           2. the Supplier shall not be liable for any Default and the Customer shall not be liable for any Customer Cause arising as a result of such failure;
        2. the Supplier fails to perform its obligations in accordance with this Contract:
           1. the Customer shall not be entitled:

during the continuance of the Force Majeure Event to exercise its step-in rights under Clause [39.1.1(b)](#_heading=h.3w19e94) and [39.1.1(c)](#_heading=h.2b6jogx) (Customer Remedies for Default) as a result of such failure;

to receive Delay Payments pursuant to Clause

[6.4](#_heading=h.3j2qqm3) (Delay Payments) to the extent that the Achievement of any Milestone is affected by the Force Majeure Event; and

to receive Service Credits or withhold and retain any of the Contract Charges as Compensation for Critical Service Level Failure pursuant to Clause [14](#_heading=h.2zbgiuw) (Critical Service Level Failure) to the extent that a Service Level Failure or Critical

Service Level Failure has been caused by the Force Majeure Event; and

* + - * 1. the Supplier shall be entitled to receive payment of the Contract Charges (or a proportional payment of them) only to the extent that the Goods and/or Services (or part of the Goods and/or Services) continue to be provided in accordance with the terms of this Contract during the occurrence of the Force Majeure Event.
    1. The Affected Party shall notify the other Party as soon as practicable after the Force Majeure Event ceases or no longer causes the Affected Party to be unable to comply with its obligations under this Contract.
    2. Relief from liability for the Affected Party under Clause [41](#_heading=h.i17xr6) shall end as soon as the Force Majeure Event no longer causes the Affected Party to be unable to comply with its obligations under this Contract and shall not be dependent on the serving of notice under Clause [41.7](#_heading=h.415t9al).

**K. TERMINATION AND EXIT MANAGEMENT**

* 1. **CUSTOMER TERMINATION RIGHTS**

* + 1. Termination in Relation to Contract Guarantee
       1. Where this Contract is conditional upon the Supplier procuring a Contract Guarantee pursuant to Clause 4 (Contract Guarantee), the Customer may terminate this Contract by issuing a Termination Notice to the Supplier where:
          1. the Contract Guarantor withdraws the Contract Guarantee for any reason whatsoever;
          2. the Contract Guarantor is in breach or anticipatory breach of the Contract Guarantee;
          3. an Insolvency Event occurs in respect of the Contract Guarantor; or
          4. the Contract Guarantee becomes invalid or unenforceable for any reason whatsoever,

and in each case the Contract Guarantee (as applicable) is not replaced by an alternative guarantee agreement acceptable to the Customer; or

* + - * 1. the Supplier fails to provide the documentation required by Clause [4.1](#_heading=h.3rdcrjn) by the date so specified by the Customer.

* + 1. Termination on Material Default
       1. The Customer may terminate this Contract for material Default by issuing a Termination Notice to the Supplier where:
          1. the Supplier commits a Critical Service Level Failure;
          2. the representation and warranty given by the Supplier pursuant to Clause [3.2.5](#_heading=h.2s8eyo1) (Representations and Warranties) is materially untrue or misleading, and the Supplier fails to provide details of proposed mitigating

factors which in the reasonable opinion of the Customer are acceptable;

* + - * 1. as a result of any Defaults, the Customer incurs Losses in any Contract Year which exceed 80% (unless stated differently in the Contract Order Form) of the value of the Supplier’s aggregate annual liability limit for that Contract Year as set out in Clauses [37.2.1(a)](#_heading=h.261ztfg) and [37.2.1(b)](#_heading=h.l7a3n9) (Liability);
        2. the Customer expressly reserves the right to terminate this Contract for material Default, including pursuant to any of the following Clauses: [6.2.3](#_heading=h.z337ya) (Implementation Plan), [8.4.2](#_heading=h.23ckvvd) (Services), [9.4.2](#_heading=h.vx1227) and [9.6.1](#_heading=h.4f1mdlm) (Goods), [10.3](#_heading=h.nmf14n) (Installation Works), [14.1](#_heading=h.1egqt2p) (Critical Service Level Failure),

[16.4](#_heading=h.4bvk7pj) (Disruption), [21.5](#_heading=h.43ky6rz) (Records, Audit Access and Open Book Data), [24](#_heading=h.3mzq4wv) (Promoting Tax Compliance), [35.3.9](#_heading=h.4kx3h1s) (Confidentiality), [51.6.2](#_heading=h.1au1eum) (Prevention of Fraud and Bribery), Paragraph 1.2.4 of the Annex to Part A and Paragraph 1.2.4 of the Annex to Part B of Contract Schedule 10 (Staff Transfer);

* + - * 1. the Supplier commits any material Default of this Contract which is not, in the reasonable opinion of the Customer, capable of remedy; and/or
        2. the Supplier commits a Default, including a material Default, which in the opinion of the Customer is remediable but has not remedied such Default to the satisfaction of the Customer in accordance with the Rectification Plan Process.
      1. For the purpose of Clause [42.2.1](#_heading=h.4ekz59m), a material Default may be a single material Default or a number of Defaults or repeated Defaults (whether of the same or different obligations and regardless of whether such Defaults are remedied) which taken together constitute a material Default.
    1. Termination in Relation to Financial Standing
       1. The Customer may terminate this Contract by issuing a Termination Notice to the Supplier where in the reasonable opinion of the Customer there is a material detrimental change in the financial standing and/or the credit rating of the Supplier which:
          1. adversely impacts on the Supplier’s ability to supply the Goods and/or Services under this Contract; or
          2. could reasonably be expected to have an adverse impact on the Supplier’s ability to supply the Goods and/or Services under this Contract.
    2. Termination on Insolvency
       1. The Customer may terminate this Contract by issuing a Termination Notice to the Supplier where an Insolvency Event affecting the Supplier occurs.
    3. Termination on Change of Control
       1. The Supplier shall notify the Customer immediately in writing and as soon as the Supplier is aware (or ought reasonably to be aware) that it is anticipating, undergoing, undergoes or has undergone a Change of Control and provided such notification does not contravene any Law.
       2. The Supplier shall ensure that any notification made pursuant to Clause [42.5.1](#_heading=h.n5rssn) shall set out full details of the Change of Control including the circumstances suggesting and/or explaining the Change of Control.
       3. The Customer may terminate this Contract by issuing a Termination Notice under Clause [42.5](#_heading=h.280hiku) to the Supplier within six (6) Months of:
          1. being notified in writing that a Change of Control is anticipated or in contemplation or has occurred; or
          2. where no notification has been made, the date that the Customer becomes aware that a Change of Control is anticipated or is in contemplation or has occurred,

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

* + 1. Termination for breach of Regulations
       1. The Customer may terminate this Contract by issuing a Termination Notice to the Supplier on the occurrence of any of the statutory provisos contained in Regulation 73 (1) (a) to (c).
    2. Termination Without Cause
       1. The Customer shall have the right to terminate this Contract at any time by issuing a Termination Notice to the Supplier giving at least thirty (30) Working Days written notice (unless stated differently in the Contract Order Form).
    3. Termination in Relation to DPS Agreement
       1. The Customer may terminate this Contract by issuing a Termination Notice to the Supplier if the DPS Agreement is terminated for any reason whatsoever.
    4. NOT USED
    5. Termination in Relation to Variation
       1. The Customer may terminate this Contract by issuing a Termination Notice to the Supplier for failure of the Parties to agree or the Supplier to implement a Variation in accordance with the Variation Procedure.

* 1. **SUPPLIER TERMINATION RIGHTS**

* + 1. Termination on Customer Cause for Failure to Pay
       1. The Supplier may, by issuing a Termination Notice to the Customer, terminate this Contract if the Customer fails to pay an undisputed sum due to the Supplier under this Contract which in aggregate exceeds an amount equal to one month’s average Contract Charges (unless a different amount has been specified in

the Contract Order Form), for the purposes of this Clause [43.1.1](#_heading=h.4jpj0b3) (the **“Undisputed Sums Limit”**), and the said undisputed sum due remains outstanding for forty (40) Working Days (the **“Undisputed Sums Time Period”**) after the receipt by the Customer of a written notice of non-payment from the Supplier specifying:

* + - * 1. the Customer’s failure to pay; and
        2. the correct overdue and undisputed sum; and
        3. the reasons why the undisputed sum is due; and
        4. the requirement on the Customer to remedy the failure to pay; and

this Contract shall then terminate on the date specified in the Termination Notice (which shall not be less than twenty

(20) Working Days from the date of the issue of the Termination Notice), save that such right of termination shall not apply where the failure to pay is due to the Customer exercising its rights under this Contract including Clause [23.3](#_heading=h.39kk8xu) (Retention and Set Off).

* + - 1. The Supplier shall not suspend the supply of the Goods and/or Services for failure of the Customer to pay undisputed sums of money (whether in whole or in part).

* 1. **TERMINATION BY EITHER PARTY**

* + 1. Termination for continuing Force Majeure Event
       1. Either Party may, by issuing a Termination Notice to the other Party, terminate this Contract in accordance with Clause [41.6.1(a)](#_heading=h.1h65qms) (Force Majeure).

* 1. **PARTIAL TERMINATION, SUSPENSION AND PARTIAL SUSPENSION**

* + 1. Where the Customer has the right to terminate this Contract, the Customer shall be entitled to terminate or suspend all or part of this Contract provided always that, if the Customer elects to terminate or suspend this Contract in part, the parts of this Contract not terminated or suspended can, in the Customer’s reasonable opinion, operate effectively to deliver the intended purpose of the surviving parts of this Contract.
    2. Any suspension of this Contract under Clause [45.1](#_heading=h.2d51dmb) shall be for such period as the Customer may specify and without prejudice to any right of termination which has already accrued, or subsequently accrues, to the Customer.
    3. The Parties shall seek to agree the effect of any Variation necessitated by a partial termination, suspension or partial suspension in accordance with the Variation Procedure, including the effect that the partial termination, suspension or partial suspension may have on the provision of any other Goods and/or Services and the Contract Charges, provided that the Supplier shall not be entitled to:
       1. an increase in the Contract Charges in respect of the provision of the Goods and/or Services that have not been terminated if the partial termination arises due to the exercise of any of the Customer’s termination rights under Clause [42](#_heading=h.vgdtq7) (Customer

Termination Rights) except Clause [42.7](#_heading=h.375fbgg) (Termination Without Cause); and

* + - 1. reject the Variation.

* 1. **CONSEQUENCES OF EXPIRY OR TERMINATION**

* + 1. Consequences of termination under Clauses [42.1](#_heading=h.3fg1ce0) (Termination in Relation to Contract Guarantee), [42.2](#_heading=h.1ulbmlt) (Termination on Material Default), [42.3](#_heading=h.18vjpp8) (Termination in Relation to Financial Standing), [42.8](#_heading=h.46ad4c2) (Termination in Relation to DPS Agreement), [42.9](#_heading=h.2lfnejv) (Termination in Relation to Benchmarking) and [42.10](#_heading=h.10kxoro) (Termination in Relation to Variation)
       1. Where the Customer:
          1. terminates (in whole or in part) this Contract under any of the Clauses referred to in Clause [46.1](#_heading=h.3c9z6hx); and
          2. then makes other arrangements for the supply of the Goods and/or Services,

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

* + 1. Consequences of termination under Clauses [42.7](#_heading=h.375fbgg) (Termination without Cause) and [43.1](#_heading=h.1zpvhna) (Termination on Customer Cause for Failure to Pay)
       1. Where:
          1. the Customer terminates (in whole or in part) this Contract under Clause [42.7](#_heading=h.375fbgg) (Termination without Cause); or
          2. the Supplier terminates this Contract pursuant to Clause

[43.1](#_heading=h.1zpvhna) (Termination on Customer Cause for Failure to Pay),

the Customer shall indemnify the Supplier against any reasonable and proven Losses which would otherwise represent an unavoidable loss by the Supplier by reason of the termination of this Contract, provided that the Supplier takes all reasonable steps to mitigate such Losses. The Supplier shall submit a fully itemised and costed list of such Losses, with supporting evidence including such further evidence as the Customer may require, reasonably and actually incurred by the Supplier as a result of termination under Clause [42.7](#_heading=h.375fbgg) (Termination without Cause).

* + 1. The Customer shall not be liable under Clause [46.2.1](#_heading=h.1rf9gpq) to pay any sum which:
       1. was claimable under insurance held by the Supplier, and the Supplier has failed to make a claim on its insurance, or has failed to make a claim in accordance with the procedural requirements of the insurance policy; or
       2. when added to any sums paid or due to the Supplier under this Contract, exceeds the total sum that would have been payable to the Supplier if this Contract had not been terminated.
  1. Consequences of termination under Clause [44.1](#_heading=h.1e03kqp) (Termination for Continuing Force Majeure Event)
     1. The costs of termination incurred by the Parties shall lie where they fall if either Party terminates or partially terminates this Contract for a continuing Force Majeure Event pursuant to Clause

[44.1](#_heading=h.1e03kqp) (Termination for Continuing Force Majeure Event).

* 1. Consequences of Termination for Any Reason
     1. Save as otherwise expressly provided in this Contract:
        1. termination or expiry of this Contract shall be without prejudice to any rights, remedies or obligations accrued under this Contract prior to termination or expiration and nothing in this Contract shall prejudice the right of either Party to recover any amount outstanding at the time of such termination or expiry; and
        2. termination of this Contract shall not affect the continuing rights, remedies or obligations of the Customer or the Supplier under Clauses [21](#_heading=h.34g0dwd) (Records, Audit Access & Open Book Data), [34](#_heading=h.rjefff) (Intellectual Property Rights),

[35.3](#_heading=h.47hxl2r) (Confidentiality), [35.5](#_heading=h.1f7o1he) (Freedom of Information)

[35.6](#_heading=h.2eclud0) (Protection of Personal Data), [37](#_heading=h.4cmhg48) (Liability), [46](#_heading=h.sabnu4) (Consequences of Expiry or Termination), [52](#_heading=h.3utoxif) (Severance), [54](#_heading=h.1o97atn) (Entire Agreement), [55](#_heading=h.488uthg) (Third Party Rights) [57](#_heading=h.1fyl9w3) (Dispute Resolution) and [58](#_heading=h.3zy8sjw) (Governing Law and Jurisdiction), and the provisions of Contract Schedule 1 (Definitions), Contract Schedule 3 (Contract Charges, Payment and Invoicing), Contract Schedule 9 (Exit Management), Contract Schedule 10 (Staff Transfer), Contract Schedule 11 (Dispute Resolution Procedure) and, without limitation to the foregoing, any other provision of this Contract which expressly or by implication is to be performed or observed notwithstanding termination or expiry shall survive the Contract Expiry Date.

* 1. Exit management
     1. The Parties shall comply with the exit management provisions set out in Contract Schedule 9 (Exit Management).

**L. MISCELLANEOUS AND GOVERNING LAW**

* 1. **COMPLIANCE**
     1. Health and Safety
        1. The Supplier shall perform its obligations under this Contract (including those in relation to the Goods and/or Services) in accordance with:
           1. all applicable Law regarding health and safety; and
           2. the Customer’s health and safety policy (as provided to the Supplier from time to time) whilst at the Customer Premises.
        2. Each Party shall promptly notify the other as soon as possible of any health and safety incidents or material health and safety hazards at the Customer Premises of which it becomes aware and which relate to or arise in connection with the performance of this Contract
        3. While on the Customer Premises, the Supplier shall comply with any health and safety measures implemented by the Customer in respect of Supplier Personnel and other persons working there and any instructions from the Customer on any necessary associated safety measures.
     2. Equality and Diversity
        1. The Supplier shall:
           1. perform its obligations under this Contract (including those in relation to provision of the Goods and/or Services) in accordance with:

all applicable equality Law (whether in relation to race, sex, gender reassignment, religion or belief, disability, sexual orientation, pregnancy, maternity, age or otherwise); and

any other requirements and instructions which the Customer reasonably imposes in connection with any equality obligations imposed on the Customer at any time under applicable equality Law;

* + - * 1. take all necessary steps, and inform the Customer of the steps taken, to prevent unlawful discrimination designated as such by any court or tribunal, or the Equality and Human Rights Commission or (any successor organisation).
    1. Official Secrets Act and Finance Act
       1. The Supplier shall comply with the provisions of:
          1. the Official Secrets Acts 1911 to 1989; and
          2. section 182 of the Finance Act 1989.
    2. Environmental Requirements
       1. The Supplier shall, when working on the Sites, perform its obligations under this Contract in accordance with the Environmental Policy of the Customer.
       2. The Customer shall provide a copy of its written Environmental Policy (if any) to the Supplier upon the Supplier’s written request.

* 1. **ASSIGNMENT AND NOVATION**
     1. The Supplier shall not assign, novate, Sub-Contract or otherwise dispose of or create any trust in relation to any or all of its rights, obligations or liabilities under this Contract or any part of it without Approval.
     2. The Customer may assign, novate or otherwise dispose of any or all of its rights, liabilities and obligations under this Contract or any part thereof to:
        1. any other Contracting Authority; or
        2. any other body established by the Crown or under statute in order substantially to perform any of the functions that had previously been performed by the Customer; or
        3. any private sector body which substantially performs the functions of the Customer,

and the Supplier shall, at the Customer’s request, enter into a novation agreement in such form as the Customer shall reasonably specify in order to enable the Customer to exercise its rights pursuant to this Clause [48.2](#_heading=h.jzpmwk).

* + 1. A change in the legal status of the Customer shall not, subject to Clause

[48.4](#_heading=h.1j4nfs6) affect the validity of this Contract and this Contract shall be binding on any successor body to the Customer.

* + 1. If the Customer assigns, novates or otherwise disposes of any of its rights, obligations or liabilities under this Contract to a private sector body in accordance with Clause [48.2.3](#_heading=h.33zd5kd) (the “**Transferee**” in the rest of this Clause [48.4](#_heading=h.1j4nfs6)) the right of termination of the Customer in Clause [42.4](#_heading=h.3sv78d1) (Termination on Insolvency) shall be available to the Supplier in the event of insolvency of the Transferee (as if the references to Supplier in Clause [42.4](#_heading=h.3sv78d1) (Termination on Insolvency) and to Supplier or DPS Guarantor or Contract Guarantor in the definition of Insolvency Event were references to the Transferee).

* 1. **WAIVER AND CUMULATIVE REMEDIES**
     1. The rights and remedies under this Contract may be waived only by notice in accordance with Clause [56](#_heading=h.12jfdx2) (Notices) and in a manner that expressly states that a waiver is intended. A failure or delay by a Party in ascertaining or exercising a right or remedy provided under this Contract or by Law shall not constitute a waiver of that right or remedy, nor shall it prevent or restrict the further exercise of that right or remedy.
     2. Unless otherwise provided in this Contract, rights and remedies under this Contract are cumulative and do not exclude any rights or remedies provided by Law, in equity or otherwise.

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

* 1. **PREVENTION OF FRAUD AND BRIBERY**
     1. The Supplier represents and warrants that neither it, nor to the best of its knowledge any Supplier Personnel, have at any time prior to the Contract Commencement Date:
        1. committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act; and/or
        2. been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act.
     2. The Supplier shall not during the Contract Period:
        1. commit a Prohibited Act; and/or
        2. do or suffer anything to be done which would cause the Customer or any of the Customer’s employees, consultants, contractors, sub-contractors or agents to contravene any of the Relevant Requirements or otherwise incur any liability in relation to the Relevant Requirements.
     3. The Supplier shall during the Contract Period:
        1. establish, maintain and enforce, and require that its Sub- Contractors establish, maintain and enforce, policies and procedures which are adequate to ensure compliance with the Relevant Requirements and prevent the occurrence of a Prohibited Act;
        2. keep appropriate records of its compliance with its obligations under Clause [51.3.1](#_heading=h.4gjguf0) and make such records available to the Customer on request;
        3. if so required by the Customer, within twenty (20) Working Days of the Contract Commencement Date, and annually thereafter, certify to the Customer in writing that the Supplier and all persons associated with it or its Sub-Contractors or other persons who are supplying the Goods and/or Services in connection with this Contract are compliant with the Relevant Requirements. The Supplier shall provide such supporting evidence of compliance as the Customer may reasonably request; and
        4. have, maintain and where appropriate enforce an anti-bribery policy (which shall be disclosed to the Customer on request) to prevent it and any Supplier Personnel or any person acting on the Supplier's behalf from committing a Prohibited Act.
     4. The Supplier shall immediately notify the Customer in writing if it becomes aware of any breach of Clause [51.1](#_heading=h.3hej1je), or has reason to believe that it has or any of the Supplier Personnel have:
        1. been subject to an investigation or prosecution which relates to an alleged Prohibited Act;
        2. been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act; and/or
        3. received a request or demand for any undue financial or other advantage of any kind in connection with the performance of this Contract or otherwise suspects that any person or Party directly or indirectly connected with this Contract has committed or attempted to commit a Prohibited Act.
     5. If the Supplier makes a notification to the Customer pursuant to Clause [51.4](#_heading=h.2vor4mt), the Supplier shall respond promptly to the Customer's enquiries, co-operate with any investigation, and allow the Customer to audit any books, records and/or any other relevant documentation in accordance with Clause [21](#_heading=h.34g0dwd) (Records, Audit Access and Open Book Data).
     6. If the Supplier breaches Clause [51.3](#_heading=h.1wjtbr7), the Customer may by notice:
        1. require the Supplier to remove from performance of this Contract any Supplier Personnel whose acts or omissions have caused the Supplier’s breach; or
        2. immediately terminate this Contract for material Default.
     7. Any notice served by the Customer under Clause [51.4](#_heading=h.2vor4mt) shall specify the nature of the Prohibited Act, the identity of the Party who the Customer believes has committed the Prohibited Act and the action that the Customer has elected to take (including, where relevant, the date on which this Contract shall terminate).

* 1. **SEVERANCE**

* + 1. If any provision of this Contract (or part of any provision) is held to be void or otherwise unenforceable by any court of competent jurisdiction, such provision (or part) shall to the extent necessary to ensure that the remaining provisions of this Contract are not void or unenforceable be deemed to be deleted and the validity and/or enforceability of the remaining provisions of this Contract shall not be affected.
    2. In the event that any deemed deletion under Clause [52.1](#_heading=h.29yz7q8) is so fundamental as to prevent the accomplishment of the purpose of this Contract or materially alters the balance of risks and rewards in this Contract, either Party may give notice to the other Party requiring the Parties to commence good faith negotiations to amend this Contract so that, as amended, it is valid and enforceable, preserves the balance of risks and rewards in this Contract and, to the extent that is reasonably practicable, achieves the Parties' original commercial intention.
    3. If the Parties are unable to resolve the Dispute arising under Clause [52](#_heading=h.3utoxif) within twenty (20) Working Days of the date of the notice given pursuant to Clause [52.2](#_heading=h.p49hy1), this Contract shall automatically terminate with immediate effect. The costs of termination incurred by the Parties shall lie where they fall if this Contract is terminated pursuant to Clause [52](#_heading=h.3utoxif).

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

* 1. **ENTIRE AGREEMENT**
     1. This Contract and the documents referred to in it constitute the entire agreement between the Parties in respect of the matter and supersede and extinguish all prior negotiations, course of dealings or agreements made between the Parties in relation to its subject matter, whether written or oral.
     2. Neither Party has been given, nor entered into this Contract in reliance on, any warranty, statement, promise or representation other than those expressly set out in this Contract.
     3. Nothing in Clause [54](#_heading=h.1o97atn) shall exclude any liability in respect of misrepresentations made fraudulently.

* 1. **THIRD PARTY RIGHTS**

* + 1. The provisions of paragraphs 2.1 and 2.6 of Part A, paragraphs 2.1, 2.6,

3.1 and 3.3 of Part B, paragraphs 2.1 and 2.3 of Part C and paragraphs and 1.4, 2.3 and 2.8 of Part D of Contract Schedule 10 (Staff Transfer) and the provisions of paragraph [9.9](#_heading=h.2ye626w) of Contract Schedule 9 (Exit Management) (together “**Third Party Provisions**”) confer benefits on persons named in such provisions other than the Parties (each such person a “**Third Party Beneficiary**”) and are intended to be enforceable by Third Parties Beneficiaries by virtue of the CRTPA.

* 1. Subject to Clause [55.1](#_heading=h.2ne53p9), a person who is not a Party to this Contract has no right under the CRTPA to enforce any term of this Contract but this does not affect any right or remedy of any person which exists or is available otherwise than pursuant to that Act.
  2. No Third Party Beneficiary may enforce, or take any step to enforce, any Third Party Provision without the prior written consent of the Customer, which may, if given, be given on and subject to such terms as the Customer may determine.
  3. Any amendments or modifications to this Contract may be made, and any rights created under Clause [55.1](#_heading=h.2ne53p9) may be altered or extinguished, by the Parties without the consent of any Third Party Beneficiary.

* 1. **NOTICES**
     1. Except as otherwise expressly provided within this Contract, any notices sent under this Contract must be in writing. For the purpose of Clause [56](#_heading=h.12jfdx2), an e-mail is accepted as being "in writing".
     2. Subject to Clause [56.3](#_heading=h.21od6so), the following table sets out the method by which notices may be served under this Contract and the respective deemed time and proof of service:

|  |  |  |
| --- | --- | --- |
| Manner of delivery | Deemed time of delivery | Proof of Service |
| Email (Subject to Clauses [56.3](#_heading=h.21od6so) and  [56.4](#_heading=h.gtnh0h)) | 9.00am on the first Working Day after sending | Dispatched as a pdf attachment to an e-mail to the correct e-mail address without any error message |
| Personal delivery | On delivery, provided delivery is between 9.00am and 5.00pm on a Working Day. | Properly addressed and delivered as evidenced by signature of a delivery |

|  |  |  |
| --- | --- | --- |
|  | Otherwise, delivery will occur at 9.00am on the next Working Day | receipt |
| Royal Mail Signed For™ 1st Class or other prepaid, next Working Day service providing proof of delivery | At the time recorded by the delivery service, provided that delivery is between 9.00am and 5.00pm on a Working Day. Otherwise, delivery will occur at 9.00am on the same Working Day (if delivery before 9.00am) or on the next Working Day (if after 5.00pm) | Properly addressed prepaid and delivered as evidenced by signature of a delivery receipt |

* + 1. The following notices may only be served as an attachment to an email if the original notice is then sent to the recipient by personal delivery or Royal Mail Signed For™ 1st Class or other prepaid in the manner set out in the table in Clause [56.2](#_heading=h.3mj2wkv):
       1. any Termination Notice (Clause [42](#_heading=h.vgdtq7) (Customer Termination Rights)),
       2. any notice in respect of:
          1. partial termination, suspension or partial suspension (Clause [45](#_heading=h.3xzr3ei) (Partial Termination, Suspension and Partial Suspension)),
          2. waiver (Clause [49](#_heading=h.434ayfz) (Waiver and Cumulative Remedies))
          3. Default or Customer Cause; and
       3. any Dispute Notice.
    2. Failure to send any original notice by personal delivery or recorded delivery in accordance with Clause [56.3](#_heading=h.21od6so) shall invalidate the service of the related e- mail transmission. The deemed time of delivery of such notice shall be the deemed time of delivery of the original notice sent by personal delivery or Royal Mail Signed For™ 1st Class delivery (as set out in the table in Clause [56.2](#_heading=h.3mj2wkv)) or, if earlier, the time of response or acknowledgement by the other Party to the email attaching the notice.
    3. Clause [56](#_heading=h.12jfdx2) does not apply to the service of any proceedings or other documents in any legal action or, where applicable, any arbitration or other method of dispute resolution (other than the service of a Dispute Notice under the Dispute Resolution Procedure).
    4. For the purposes of Clause [56](#_heading=h.12jfdx2), the address and email address of each Party shall be as specified in the Contract Order Form.

* 1. **DISPUTE RESOLUTION**
     1. The Parties shall resolve Disputes arising out of or in connection with this Contract in accordance with the Dispute Resolution Procedure.
     2. The Supplier shall continue to provide the Goods and/or Services in accordance with the terms of this Contract until a Dispute has been resolved.

* 1. **GOVERNING LAW AND JURISDICTION**
     1. This Contract and any issues, Disputes or claims (whether contractual or non-contractual) arising out of or in connection with it or its subject matter or formation shall be governed by and construed in accordance with the laws of England and Wales.
     2. Subject to Clause [57](#_heading=h.1fyl9w3) (Dispute Resolution) and Contract Schedule 11 (Dispute Resolution Procedure) (including the Customer’s right to refer the Dispute to arbitration), the Parties agree that the courts of England and Wales (unless stated differently in the Contract Order Form) shall have exclusive jurisdiction to settle any Dispute or claim (whether contractual or non-contractual) that arises out of or in connection with this Contract or its subject matter or formation.

**CONTRACT SCHEDULE 1: DEFINITIONS**

1. In accordance with Clause [1](#_heading=h.1fob9te) (Definitions and Interpretation) of this Contract including its recitals the following expressions shall have the following meanings:

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| "Achieve" | means in respect of a Test, to successfully pass such Test without any Test Issues in accordance with the Test Strategy Plan and in respect of a Milestone, the issue of a Satisfaction Certificate in respect of that Milestone and "Achieved", “Achieving” and "Achievement" shall be construed accordingly; |
| "Acquired Rights Directive" | means the European Council Directive 77/187/EEC on the approximation of laws of European member states relating to the safeguarding of employees’ rights in the event of transfers of undertakings, businesses or parts of undertakings or businesses, as amended or re-enacted from time to time; |
| "Additional Clauses" | means the additional Clauses in Contract Schedule 14 (Alternative and/or Additional Clauses) and any other additional Clauses set out in the Contract Order Form or elsewhere in this Contract; |
| "Affected Party" | means the party seeking to claim relief in respect of a Force Majeure Event; |
| "Affiliates" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "Alternative Clauses" | means the alternative Clauses in Contract Schedule 14 (Alternative and/or Additional Clauses) and any other alternative Clauses set out in the Contract Order Form or elsewhere in this Contract; |
| "Approval" | means the prior written consent of the Customer and "Approve" and "Approved" shall be construed accordingly; |
| "Approved Sub- Licensee" | means any of the following:   1. a Central Government Body; 2. any third party providing goods and/or services to a Central Government Body; and/or 3. any body (including any private sector body) which performs or carries on any of the functions and/or activities that previously had been performed and/or carried on by the Customer; |
| "Auditor" | means:   1. the Customer’s internal and external auditors; 2. the Customer’s statutory or regulatory auditors; 3. the Controller and Auditor General, their staff and/or any appointed representatives of the National Audit Office; 4. HM Treasury or the Cabinet Office; |

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| 1. any party formally appointed by the Customer to carry out audit or similar review functions; and 2. successors or assigns of any of the above; | |
| "Authority" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| “BACS” | means the Bankers’ Automated Clearing Services, which is a scheme for the electronic processing of financial transactions within the United Kingdom; |
| "BCDR Plan" | means the plan prepared pursuant to paragraph 2 of Contract Schedule 8 (Business Continuity and Disaster Recovery), as may be amended from time to time; |
| "Business Continuity Goods and/or Services" or "BCDR Goods and/or Services" | has the meaning given to it in paragraph [4.2.2](#_heading=h.48zs1w5) of Contract Schedule 8 (Business Continuity and Disaster Recovery); |
| “Call for Competition Procedure” | means the competition procedure described in paragraph 2 of DPS Schedule 5 (Call for Competition Procedure); |
| “Central Government Body” | has the meaning given to it in DPS Schedule 1 (Definitions); |
| “Change in Law” | means any change in Law which impacts on the supply of the Goods and/or Services and performance of the Contract which comes into force after the Contract Commencement Date; |
| “Change of Control” | has the meaning given to it in DPS Schedule 1 (Definitions); |
| “Charges” | means the charges raised under or in connection with this Contract from time to time, which shall be calculated in a manner that is consistent with the Charging Structure; |
| “Charging Structure” | means the structure to be used in the establishment of the charging model which is applicable to the Contract, which is set out in Contract Schedule 3 (Contract Charges, Payment and Invoicing); |
| “Commercially Sensitive Information” | means the Confidential Information listed in the Contract Order Form (if any) comprising of commercially sensitive information relating to the Supplier, its IPR or its business or which the Supplier has indicated to the Customer that, if disclosed by the Customer, would cause the Supplier significant commercial disadvantage or material financial loss; |
| “Comparable Supply” | means the supply of Goods and/or Services to another customer of the Supplier that are the same or similar to the Goods and/or Services; |
| “Compensation for Critical Service Level Failure” | has the meaning given to it in Clause [14.2.2](#_heading=h.2dlolyb) (Critical Service Level Failure); |
| “Confidential Information” | means the Customer's Confidential Information and/or the Supplier’s Confidential Information, as the context specifies; |
| “Contract” | means this contract between the Customer and the Supplier (entered into pursuant to the provisions of the DPS Agreement), which consists of the terms set out in the Contract Order Form and the Contract Terms; |
| “Contract Charges” | means the prices (inclusive of any Milestone Payments and exclusive of any applicable VAT), payable to the Supplier by the Customer under this Contract, as set out in Annex 1 of Contract Schedule 3 (Contract Charges, Payment and Invoicing), for the full and proper performance by the Supplier of its obligations under this Contract less any Deductions; |
| "Contract Commencement Date" | means the date of commencement of this Contract set out in the Contract Order Form; |
| “Contract Expiry Date” | means:   1. the end date of the Contract Initial Period or any Contract Extension Period; or 2. if this Contract is terminated before the date specified in (a) above, the earlier date of termination of this Contract; |
| “Contract Extension Period” | means such period or periods up to a maximum of the number of years in total as may be specified by the Customer, pursuant to Clause [5.2](#_heading=h.35nkun2) and in the Contract Order Form; |
| “Contract Guarantee” | means a deed of guarantee that may be required under this Contract in favour of the Customer in the form set out in DPS Schedule 13 (Guarantee) granted pursuant to Clause 4 (Contract Guarantee); |
| “Contract Guarantor” | means the person, in the event that a Contract Guarantee is required under this Contract, acceptable to the Customer to give a Contract Guarantee; |
| “Contract Initial Period” | means the initial term of this Contract from the Contract Commencement Date to the end date of the initial term stated in the Contract Order Form; |
| “Contract Order Form” | means the order form applicable to and set out in Part 1 of this Contract; |
| "Contract Period" | means the term of this Contract from the Contract Commencement Date until the Contract Expiry Date; |
| “Contract Schedule” | means a schedule to this Contract; |
| “Contract Tender” | means the tender submitted by the Supplier in response to the Customer’s Statement of Requirements following a Call for Competition Procedure and set out at Contract Schedule 15 (Contract Tender); |
| “Contract Terms” | means the terms applicable to and set out in Part 2 of this Contract; |
| "Contract Year" | means a consecutive period of twelve (12) Months commencing on the Contract Commencement Date or each anniversary thereof; |

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| "Contracting Authority" | means the Authority, the Customer and any other bodies listed in the OJEU Notice; |
| "Control" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| “Controller” | has the meaning given in the GDPR; |
| "Conviction" | means other than for minor road traffic offences, any previous or pending prosecutions, convictions, cautions and binding over orders (including any spent convictions as contemplated by section 1(1) of the Rehabilitation of Offenders Act 1974 by virtue of the exemptions specified in Part II of Schedule 1 of the Rehabilitation of Offenders Act 1974 (Exemptions) Order 1975 (SI 1975/1023) or any replacement or amendment to that Order, or being placed on a list kept pursuant to section 1 of the Protection of Children Act 1999 or being placed on a list kept pursuant to the Safeguarding Vulnerable Groups Act 2006; |
| "Costs" | the following costs (without double recovery) to the extent that they are reasonably and properly incurred by the Supplier in providing the Goods and/or Services:   1. the cost to the Supplier or the Key Sub-Contractor (as the context requires), calculated per Man Day, of engaging the Supplier Personnel, including:    1. base salary paid to the Supplier Personnel;    2. employer’s national insurance contributions;    3. pension contributions;    4. car allowances;    5. any other contractual employment benefits;    6. staff training;    7. work place accommodation;    8. work place IT equipment and tools reasonably necessary to provide the Goods and/or Services (but not including items included within limb (b) below); and    9. reasonable recruitment costs, as agreed with the Customer; 2. costs incurred in respect of those Supplier Assets which are detailed on the Registers and which would be treated as capital costs according to generally accepted accounting principles within the |

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| UK, which shall include the cost to be charged in respect of Supplier Assets by the Supplier to the Customer or (to the extent that risk and title in any Supplier Asset is not held by the Supplier) any cost actually incurred by the Supplier in respect of those Supplier Assets;   1. operational costs which are not included within (a) or (b) above, to the extent that such costs are necessary and properly incurred by the Supplier in the provision of the Goods and/or Services; 2. Reimbursable Expenses to the extent these have been specified as allowable in the Contract Order Form and are incurred in delivering any Goods and/or Services where the Contract Charges for those Goods and/or Services are to be calculated on a fixed price or firm price pricing mechanism (as set out in Contract Schedule 3 (Contract Prices and Charging Structure);   but excluding:   1. Overhead; 2. financing or similar costs; 3. maintenance and support costs to the extent that these relate to maintenance and/or support Goods and/or Services provided beyond the Contract Period whether in relation to Supplier Assets or otherwise; 4. taxation; 5. fines and penalties; 6. amounts payable under Clause [25](#_heading=h.2250f4o)   (Benchmarking); and   1. non-cash items (including depreciation, amortisation, impairments and movements in provisions); | |
| "Critical Service Level Failure" | means any instance of critical service level failure specified in the Contract Order Form; |
| "Crown" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "Crown Body" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "CRTPA" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "Customer" | means the customer(s) identified in the Contract Order Form; |
| "Customer Assets" | means the Customer’s infrastructure, data, software, materials, assets, equipment or other property owned by and/or licensed or leased to the Customer and which is or may be used in connection with the provision of the |

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| Goods and/or Services; | |
| "Customer Background IPR" | means:   1. IPRs owned by the Customer before the Contract Commencement Date, including IPRs contained in any of the Customer's Know-How, documentation, software, processes and procedures; 2. IPRs created by the Customer independently of this Contract; and/or 3. Crown copyright which is not available to the Supplier otherwise than under this Contract; |
| "Customer Cause" | means any breach of the obligations of the Customer or any other default, act, omission, negligence or statement of the Customer, of its employees, servants, agents in connection with or in relation to the subject-matter of this Contract and in respect of which the Customer is liable to the Supplier; |
| "Customer Data" | means:   1. the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any electronic, magnetic, optical or tangible media, including any Customer’s Confidential Information, and which:    1. are supplied to the Supplier by or on behalf of the Customer; or    2. the Supplier is required to generate, process, store or transmit pursuant to this Contract; or 2. any Personal Data for which the Customer is the Data Controller; |
| "Customer Premises" | means premises owned, controlled or occupied by the Customer which are made available for use by the Supplier or its Sub-Contractors for the provision of the Goods and/or Services (or any of them); |
| "Customer Property" | means the property, other than real property and IPR, including any equipment issued or made available to the Supplier by the Customer in connection with this Contract; |
| "Customer Representative" | means the representative appointed by the Customer from time to time in relation to this Contract; |
| "Customer Responsibilities" | means the responsibilities of the Customer set out in Contract Schedule 4 (Implementation Plan) and any other responsibilities of the Customer in the Contract Order Form or agreed in writing between the Parties from time to time in connection with this Contract; |
| "Customer's Confidential Information" | means:  a) all Personal Data and any information, however it is conveyed, that relates to the business, affairs, developments, property rights, trade secrets, |

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| Know-How and IPR of the Customer (including all Customer Background IPR and Project Specific IPR);   1. any other information clearly designated as being confidential (whether or not it is marked "confidential") or which ought reasonably be considered confidential which comes (or has come) to the Customer’s attention or into the Customer’s possession in connection with this Contract; and 2. information derived from any of the above; | |
| "Data Controller" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| “Data Loss Event” | means 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 Processor" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| “Data Protection Impact Assessment” | means an assessment by the Controller of the impact of the envisaged processing on the protection of Personal Data; |
| "Data Protection Legislation" | means:   1. the GDPR, the LED and any applicable national implementing Laws as amended from time to time; 2. the DPA to the extent that it relates to processing of personal data and privacy; 3. all applicable Law about the processing of personal data and privacy. |
| “Data Protection Officer” | has the meaning given in the GDPR; |
| "Data Subject Access Request" | means 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; |
| “Deductions" | means all Service Credits, Delay Payments or any other deduction which the Customer is paid or is payable under this Contract; |
| "Default" | means any breach of the obligations of the Supplier (including but not limited to including abandonment of this Contract in breach of its terms) or any other default (including material Default), act, omission, negligence or statement of the Supplier, of its Sub-Contractors or any Supplier Personnel howsoever arising in connection with or in relation to the subject-matter of this Contract and in respect of which the Supplier is liable to the Customer; |
| "Delay" | means:   1. a delay in the Achievement of a Milestone by its Milestone Date; or 2. a delay in the design, development, testing or implementation of a Deliverable by the relevant date set out in the Implementation Plan; |
| "Delay Payments" | means the amounts payable by the Supplier to the Customer in respect of a delay in respect of a Milestone as specified in the Implementation Plan; |

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| “Delay Period Limit” | shall be the number of days specified in Contract Schedule 4 (Implementation Plan) for the purposes of Clause [6.4.1(b)(ii)](#_heading=h.2xcytpi); |
| "Deliverable" | means an item or feature in the supply of the Goods and/or Services delivered or to be delivered by the Supplier at or before a Milestone Date listed in the Implementation Plan (if any) or at any other stage during the performance of this Contract; |
| "Delivery" | means delivery in accordance with the terms of this Contract as confirmed by the issue by the Customer of a Satisfaction Certificate in respect of the relevant Milestone thereof (if any) or otherwise in accordance with this Contract and accepted by the Customer and "Deliver" and "Delivered" shall be construed accordingly; |
| "Disaster" | means the occurrence of one or more events which, either separately or cumulatively, mean that the Goods and/or Services, or a material part thereof will be unavailable (or could reasonably be anticipated to be unavailable) for the period specified in the Contract Order Form (for the purposes of this definition the “Disaster Period”); |
| "Disaster Recovery Goods and/or Services" | means the Goods and/or Services embodied in the processes and procedures for restoring the provision of Goods and/or Services following the occurrence of a Disaster, as detailed further in Contract Schedule 8 (Business Continuity and Disaster Recovery); |
| "Disclosing Party" | has the meaning given to it in Clause [35.3.1](#_heading=h.2mn7vak) (Confidentiality); |
| "Dispute" | means any dispute, difference or question of interpretation arising out of or in connection with this Contract, including any dispute, difference or question of interpretation relating to the Goods and/or Services, failure to agree in accordance with the Variation Procedure or any matter where this Contract directs the Parties to resolve an issue by reference to the Dispute Resolution Procedure; |
| "Dispute Notice" | means a written notice served by one Party on the other stating that the Party serving the notice believes that there is a Dispute; |
| "Dispute Resolution Procedure" | means the dispute resolution procedure set out in Contract Schedule 11 (Dispute Resolution Procedure); |
| "Documentation" | means all documentation as:   1. is required to be supplied by the Supplier to the Customer under this Contract; 2. would reasonably be required by a competent third party capable of Good Industry Practice contracted by the Customer to develop, configure, build, deploy, run, maintain, upgrade and test the individual systems that provide the Goods and/or Services; 3. is required by the Supplier in order to provide the Goods and/or Services; and/or 4. has been or shall be generated for the purpose of providing the Goods and/or Services; |

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| "DOTAS" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| “DPA” | means the Data Protection Act 2018 as amended from time to time; |
| “DPS Agreement” | means the DPS Agreement between the Authority and the Supplier referred to in the Contract Order Form; |
| “DPS Commencement Date” | means the date of commencement of the DPS Agreement as stated in the Contract Schedule 1 (Definitions); |
| “DPS Period” | means the period from the DPS Commencement Date until the termination of the DPS Agreement; |
| “DPS Schedule” | means a schedule to the DPS Agreement; |
| "Due Diligence Information" | means any information supplied to the Supplier by or on behalf of the Customer prior to the Contract Commencement Date; |
| "Employee Liabilities" | means all claims, actions, proceedings, orders, demands, complaints, investigations (save for any claims for personal injury which are covered by insurance) and any award, compensation, damages, tribunal awards, fine, loss, order, penalty, disbursement, payment made by way of settlement and costs, expenses and legal costs reasonably incurred in connection with a claim or investigation including in relation to the following:   1. redundancy payments including contractual or enhanced redundancy costs, termination costs and notice payments; 2. unfair, wrongful or constructive dismissal compensation; 3. compensation for discrimination on grounds of sex, race, disability, age, religion or belief, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation or claims for equal pay; 4. compensation for less favourable treatment of part- time workers or fixed term employees; 5. outstanding debts and unlawful deduction of wages including any PAYE and National Insurance Contributions in relation to payments made by the Customer or the Replacement Supplier to a Transferring Supplier Employee which would have been payable by the Supplier or the Sub- Contractor if such payment should have been made prior to the Service Transfer Date; 6. claims whether in tort, contract or statute or otherwise; 7. any investigation by the Equality and Human Rights Commission or other enforcement, regulatory or supervisory body and of implementing any requirements which may arise from such investigation; |

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| "Employment Regulations" | means the Transfer of Undertakings (Protection of Employment) Regulations 2006 (SI 2006/246) as amended or replaced or any other Regulations implementing the Acquired Rights Directive; |
| "Environmental Information Regulations or EIRs" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "Environmental Policy" | means to conserve energy, water, wood, paper and other resources, reduce waste and phase out the use of ozone depleting substances and minimise the release of greenhouse gases, volatile organic compounds and other substances damaging to health and the environment, including any written environmental policy of the Customer; |
| "Estimated Year 1 Contract Charges" | means the sum in pounds estimated by the Customer to be payable by it to the Supplier as the total aggregate Contract Charges from the Contract Commencement Date until the end of the first Contract Year stipulated in the Contract Order Form; |
| “Exit Plan” | means the exit plan described in paragraph 5 of Contract Schedule 9 (Exit Management); |
| "Expedited Dispute Timetable" | means the timetable set out in paragraph [5](#_heading=h.1w363f7) of Contract Schedule 11 (Dispute Resolution Procedure); |
| "FOIA" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "Force Majeure Event" | means any event, occurrence, circumstance, matter or cause affecting the performance by either the Customer or the Supplier of its obligations arising from:   1. acts, events, omissions, happenings or non- happenings beyond the reasonable control of the Affected Party which prevent or materially delay the Affected Party from performing its obligations under this Contract; 2. riots, civil commotion, war or armed conflict, acts of terrorism, nuclear, biological or chemical warfare; 3. acts of the Crown, local government or Regulatory Bodies; 4. fire, flood or any disaster; and 5. an industrial dispute affecting a third party for which a substitute third party is not reasonably available but excluding:    1. any industrial dispute relating to the Supplier, the Supplier Personnel (including any subsets of them) or any other failure in the Supplier or the Sub-Contractor's supply chain; and |

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| 1. any event, occurrence, circumstance, matter or cause which is attributable to the wilful act, neglect or failure to take reasonable precautions against it by the Party concerned; and 2. any failure of delay caused by a lack of funds; | |
| "Force Majeure Notice" | means a written notice served by the Affected Party on the other Party stating that the Affected Party believes that there is a Force Majeure Event; |
| "Former Supplier" | means a supplier supplying the goods and/or Services to the Customer before the Relevant Transfer Date that are the same as or substantially similar to the Goods and/or Services (or any part of the Goods and/or Services) and shall include any sub-contractor of such supplier (or any sub-contractor of any such sub-contractor); |
| "Fraud" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "General Anti-Abuse Rule" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "General Change in Law" | means a Change in Law where the change is of a general legislative nature (including taxation or duties of any sort affecting the Supplier) or which affects or relates to a Comparable Supply; |
| “GDPR” | means the General Data Protection Regulation (Regulation (EU) 2016/679); |
| "Good Industry Practice" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "Goods" | means the goods to be provided by the Supplier to the Customer as specified in Annex 2 of Contract Schedule 2 (Goods and and/or Services); |
| "Government" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| “Government Procurement Card” | means the Government’s preferred method of purchasing and payment for low value goods or services https:/[/www.gov.uk/government/publications/government](http://www.gov.uk/government/publications/government)-procurement-card--2; |

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| "Halifax Abuse Principle" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "HMRC" | means Her Majesty’s Revenue and Customs; |
| "Holding Company" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "ICT Environment"  "ICT Policy" | the Customer System and the Supplier System.  means the Customer's policy in respect of information and communications technology, referred to in the Contract Order Form, which is in force as at the Contract Commencement Date (a copy of which has been supplied to the Supplier), as updated from time to time in accordance with the Variation Procedure; |
| "Impact Assessment" | has the meaning given to it in Clause [22.1.3](#_heading=h.3hv69ve) (Variation Procedure); |
| "Implementation Plan" | means the plan set out in the Contract Schedule 4 (Implementation Plan); |
| "Information" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "Installation Works" | means all works which the Supplier is to carry out at the beginning of the Contract Period to install the Goods in accordance with the Contract Order Form; |
| "Insolvency Event" | means, in respect of the Supplier or DPS Guarantor or Contract Guarantor (as applicable):   1. a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or of any other composition scheme or arrangement with, or assignment for the benefit of, its creditors; or 2. a shareholders' meeting is convened for the purpose of considering a resolution that it be wound up or a resolution for its winding-up is passed (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation); or 3. a petition is presented for its winding up (which is not dismissed within fourteen (14) Working Days of its service) or an application is made for the appointment of a provisional liquidator or a creditors' meeting is convened pursuant to section 98 of the Insolvency Act 1986; or 4. a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets; or 5. an application order is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given; or |

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| 1. it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986; or 2. being a "small company" within the meaning of section 382(3) of the Companies Act 2006, a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or 3. where the Supplier or DPS Guarantor or Contract Guarantor is an individual or partnership, any event analogous to those listed in limbs (a) to (g) (inclusive) occurs in relation to that individual or partnership; or 4. any event analogous to those listed in limbs (a) to   (h) (inclusive) occurs under the law of any other jurisdiction; | |
| "Intellectual Property Rights" or "IPR" | means   1. copyright, rights related to or affording protection similar to copyright, rights in databases, patents and rights in inventions, semi-conductor topography rights, trade marks, rights in internet domain names and website addresses and other rights in trade or business names, designs, Know- How, trade secrets and other rights in Confidential Information; 2. applications for registration, and the right to apply for registration, for any of the rights listed at (a) that are capable of being registered in any country or jurisdiction; and 3. all other rights having equivalent or similar effect in any country or jurisdiction; |
| "IPR Claim" | means any claim of infringement or alleged infringement (including the defence of such infringement or alleged infringement) of any IPR, used to provide the Goods and/or Services or as otherwise provided and/or licensed by the Supplier (or to which the Supplier has provided access) to the Customer in the fulfilment of its obligations under this Contract; |
| "Key Performance Indicators" or "KPIs" | means the performance measurements and targets in respect of the Supplier's performance of the DPS Agreement set out in Part B of DPS Schedule 2 (Goods and/or Services and Key Performance Indicators); |
| "Key Personnel" | means the individuals (if any) identified as such in the Contract Order Form; |
| "Key Role(s) " | has the meaning given to it in Clause [26.1](#_heading=h.40ew0vw) (Key Personnel); |
| "Key Sub-Contract" | means each Sub-Contract with a Key Sub-Contractor; |
| "Key Sub-Contractor" | means any Sub-Contractor:  a) nominated as part of the Selection Questionnaire (SQ); |

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| 1. which, in the opinion of the Authority and the Customer, performs (or would perform if appointed) a critical role in the provision of all or any part of the Goods and/or Services; and/or 2. with a Sub-Contract with a contract value which at the time of appointment exceeds (or would exceed if appointed) 10% of the aggregate Contract Charges forecast to be payable under this Contract; | |
| "Know-How" | means all ideas, concepts, schemes, information, knowledge, techniques, methodology, and anything else in the nature of know-how relating to the Goods and/or Services but excluding know-how already in the other Party’s possession before the Contract Commencement Date; |
| "Law" | means any law, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of Section 2 of the European Communities Act 1972, regulation, order, regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements with which the Supplier is bound to comply; |
| “LED” | means the Law Enforcement Directive (Directive (EU) 2016/680); |
| "Losses" | means all losses, liabilities, damages, costs, expenses (including legal fees), disbursements, costs of investigation, litigation, settlement, judgment, interest and penalties whether arising in contract, tort (including negligence), breach of statutory duty, misrepresentation or otherwise and “Loss” shall be interpreted accordingly; |
| "Man Day" | means 7.5 Man Hours, whether or not such hours are worked consecutively and whether or not they are worked on the same day; |
| "Man Hours" | means the hours spent by the Supplier Personnel properly working on the provision of the Goods and/or Services including time spent travelling (other than to and from the Supplier's offices, or to and from the Sites) but excluding lunch breaks; |
| "Milestone" | means an event or task described in the Implementation Plan which, if applicable, must be completed by the relevant Milestone Date; |
| "Milestone Date" | means the target date set out against the relevant Milestone in the Implementation Plan by which the Milestone must be Achieved; |
| "Milestone Payment" | means a payment identified in the Implementation Plan to be made following the issue of a Satisfaction Certificate in respect of Achievement of the relevant Milestone; |

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| "Month" | means a calendar month and "Monthly" shall be interpreted accordingly; |
| "Occasion of Tax Non-Compliance" | means:   1. 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:    1. 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;    2. the failure of an avoidance scheme which the Supplier was involved in, and which was, or should have been, notified to a Relevant Tax Authority under DOTAS or any equivalent or similar regime in any jurisdiction; and/or 2. 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 Contract Commencement Date or to a civil penalty for fraud or evasion; |
| "Open Book Data " | means complete and accurate financial and non-financial information which is sufficient to enable the Customer to verify the Contract Charges already paid or payable and Contract Charges forecast to be paid during the remainder of this Contract, including details and all assumptions relating to:   1. the Supplier's Costs broken down against each Good and/or Service and/or Deliverable, including actual capital expenditure (including capital replacement costs) and the unit cost and total actual costs of all goods and/or services; 2. operating expenditure relating to the provision of the Goods and/or Services including an analysis showing:    1. the unit costs and quantity of Goods and any other consumables and bought-in goods and/or services;    2. manpower resources broken down into the number and grade/role of all Supplier Personnel (free of any contingency) together with a list of agreed rates against each manpower grade; |

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| 1. a list of Costs underpinning those rates for each manpower grade, being the agreed rate less the Supplier’s Profit Margin; and 2. Reimbursable Expenses, if allowed under the Contract Order Form; 3. Overheads; 4. all interest, expenses and any other third party financing costs incurred in relation to the provision of the Goods and/or Services; 5. the Supplier Profit achieved over the Contract Period and on an annual basis; 6. confirmation that all methods of Cost apportionment and Overhead allocation are consistent with and not more onerous than such methods applied generally by the Supplier; 7. an explanation of the type and value of risk and contingencies associated with the provision of the Goods and/or Services, including the amount of money attributed to each risk and/or contingency; and 8. the actual Costs profile for each Service Period. | |
| "Order" | means the order for the provision of the Goods and/or Services placed by the Customer with the Supplier in accordance with the DPS Agreement and under the terms of this Contract; |
| "Other Supplier" | means any supplier to the Customer (other than the Supplier) which is notified to the Supplier from time to time and/or of which the Supplier should have been aware; |
| "Over-Delivered Goods" | has the meaning given to it in Clause [9.5.1](#_heading=h.3fwokq0) (Over- Delivered Goods); |
| "Overhead" | means those amounts which are intended to recover a proportion of the Supplier’s or the Key Sub-Contractor’s (as the context requires) indirect corporate costs (including financing, marketing, advertising, research and development and insurance costs and any fines or penalties) but excluding allowable indirect costs apportioned to facilities and administration in the provision of Supplier Personnel and accordingly included within limb (a) of the definition of “Costs”; |
| "Parent Company" | means any company which is the ultimate Holding Company of the Supplier and which is either responsible directly or indirectly for the business activities of the Supplier or which is engaged by the same or similar business to the Supplier. The term "Holding or Parent Company" shall have the meaning ascribed by the Companies Act 2006 or any statutory re-enactment or amendment thereto; |

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| "Party" | means the Customer or the Supplier and "Parties" shall mean both of them; |
| "Performance Monitoring System" | has the meaning given to it in paragraph [1.1.2](#_heading=h.28reqzj) in Part B of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring); |
| "Performance Monitoring Reports" | has the meaning given to it in paragraph [3.1](#_heading=h.37wcjv5) of Part B of Schedule 6 (Service Level, Service Credit and Performance Monitoring); |
| "Personal Data" | has the meaning given to it in the GDPR; |
| “Personal Data Breach” | has the meaning given to it in the GDPR; |
| "PQQ Response" | means, where the DPS Agreement has been awarded under the Restricted Procedure, the response submitted by the Supplier to the Pre-Qualification Questionnaire issued by the Authority, and the expressions “Restricted Procedure” and “Pre-Qualification Questionnaire” shall have the meaning given to them in the Regulations; |
| “Processor” | has the meaning given in the GDPR; |
| "Prohibited Act" | means any of the following:   1. to directly or indirectly offer, promise or give any person working for or engaged by the Customer and/or the Authority or other Contracting Authority or any other public body a financial or other advantage to:    1. induce that person to perform improperly a relevant function or activity; or    2. reward that person for improper performance of a relevant function or activity; 2. 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 this Agreement; 3. committing any offence:    1. under the Bribery Act 2010 (or any legislation repealed or revoked by such Act); or    2. under legislation or common law concerning fraudulent acts; or    3. defrauding, attempting to defraud or conspiring to defraud the Customer; or    4. any activity, practice or conduct which would constitute one of the offences listed under (c) above if such activity, practice or conduct had been carried out in the UK; |
| "Project Specific IPR" | means:  a) Intellectual Property Rights in items created by the |

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| Supplier (or by a third party on behalf of the Supplier) specifically for the purposes of this Contract and updates and amendments of these items including (but not limited to) database schema; and/or  b) IPR in or arising as a result of the performance of the Supplier’s obligations under this Contract and all updates and amendments to the same;  but shall not include the Supplier Background IPR; | |
| “Protective Measures” | means 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; |
| "Recipient" | has the meaning given to it in Clause [35.3.1](#_heading=h.2mn7vak) (Confidentiality); |
| "Rectification Plan" | means the rectification plan pursuant to the Rectification Plan Process; |
| "Rectification Plan Process" | means the process set out in Clause [39.2](#_heading=h.49gfa85) (Rectification Plan Process); |
| "Registers" | has the meaning given to in Contract Schedule 9 (Exit Management); |
| "Regulations" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "Reimbursable Expenses" | has the meaning given to it in Contract Schedule 3 (Contract Charges, Payment and Invoicing); |
| "Related Supplier" | means any person who provides goods and/or services to the Customer which are related to the Goods and/or Services from time to time; |
| "Relevant Conviction" | means a Conviction that is relevant to the nature of the Goods and/or Services to be provided or as specified in the Contract Order Form; |
| "Relevant Requirements" | means all applicable Law relating to bribery, corruption and fraud, including the Bribery Act 2010 and any guidance issued by the Secretary of State for Justice pursuant to section 9 of the Bribery Act 2010; |
| "Relevant Tax Authority" | means HMRC, or, if applicable, the tax authority in the jurisdiction in which the Supplier is established; |
| "Relevant Transfer" | means a transfer of employment to which the Employment Regulations applies; |
| "Relevant Transfer Date" | means, in relation to a Relevant Transfer, the date upon which the Relevant Transfer takes place; |
| "Relief Notice" | has the meaning given to it in Clause [40.2.2](#_heading=h.22vxnjd) (Supplier |

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| Relief Due to Customer Cause); | |
| "Replacement Goods" | means any goods which are substantially similar to any of the Goods and which the Customer receives in substitution for any of the Goods following the Contract Expiry Date, whether those goods are provided by the Customer internally and/or by any third party; |
| "Replacement Services" | means any services which are substantially similar to any of the Services and which the Customer receives in substitution for any of the Services following the Contract Expiry Date, whether those services are provided by the Customer internally and/or by any third party; |
| "Replacement Sub- Contractor" | means a sub-contractor of the Replacement Supplier to whom Transferring Supplier Employees will transfer on a Service Transfer Date (or any sub-contractor of any such sub-contractor); |
| "Replacement Supplier" | means any third party provider of Replacement Goods and/or Services appointed by or at the direction of the Customer from time to time or where the Customer is providing Replacement Goods and/or Services for its own account, shall also include the Customer; |
| "Request for Information" | means a request for information or an apparent request relating to this Contract or the provision of the Goods and/or Services or an apparent request for such information under the FOIA or the EIRs; |
| "Restricted Countries" | has the meaning given to it in Clause [35.6.5](#_heading=h.thw4kt) (Protection of Personal Data); |
| "Satisfaction Certificate" | means the certificate materially in the form of the document contained in Contract Schedule 5 (Testing) granted by the Customer when the Supplier has Achieved a Milestone or a Test; |
| "Security Management Plan" | means the Supplier’s security management plan prepared pursuant to paragraph [4](#_heading=h.3qg2avn) of Contract Schedule 7 (Security) a draft of which has been provided by the Supplier to the Customer in accordance with paragraph [4](#_heading=h.3qg2avn) of Contract Schedule 7 (Security) and as updated from time to time; |
| "Security Policy" | means the Customer's security policy, referred to in the Contract Order Form, in force as at the Contract Commencement Date (a copy of which has been supplied to the Supplier), as updated from time to time and notified to the Supplier; |
| "Security Policy Framework” | the current HMG Security Policy DPS that can be found at <https://www.gov.uk/government/collections/government-security#security-policy-framework> |
| "Service Credit Cap" | has the meaning given to it in the Contract Order Form; |
| "Service Credits" | means any service credits specified in Annex 1 to Part A of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring) being payable by the Supplier to the Customer in respect of any failure by the |

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| Supplier to meet one or more Service Levels; | |
| "Service Failure" | means an unplanned failure and interruption to the provision of the Goods and/or Services, reduction in the quality of the provision of the Goods and/or Services or event which could affect the provision of the Goods and/or Services in the future; |
| "Service Level Failure" | means a failure to meet the Service Level Performance Measure in respect of a Service Level Performance Criterion; |
| "Service Level Performance Criteria" | has the meaning given to it in paragraph [4.2](#_heading=h.1vc8v0i) of Part A of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring); |
| "Service Level Performance Measure" | shall be as set out against the relevant Service Level Performance Criterion in Annex 1 of Part A of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring); |
| "Service Level Threshold" | shall be as set out against the relevant Service Level Performance Criterion in Annex 1 of Part A of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring); |
| "Service Levels" | means any service levels applicable to the provision of the Goods and/or Services under this Contract specified in Annex 1 to Part A of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring); |
| "Service Period" | has the meaning given to in paragraph [5.1](#_heading=h.2uh6nw4) of Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring); |
| "Service Transfer" | means any transfer of the Goods and/or Services (or any part of the Goods and/or Services), for whatever reason, from the Supplier or any Sub-Contractor to a Replacement Supplier or a Replacement Sub- Contractor; |
| "Service Transfer Date" | means the date of a Service Transfer; |
| "Services" | means the services to be provided by the Supplier to the Customer as referred to in Annex 1 of Contract Schedule 2 (Goods and/or Services); |
| "Sites" | means any premises (including the Customer Premises, the Supplier’s premises or third party premises) from, to or at which:   1. the Goods and/or Services are (or are to be) provided; or 2. the Supplier manages, organises or otherwise directs the provision or the use of the Goods and/or Services. |
| "Specific Change in Law" | means a Change in Law that relates specifically to the business of the Customer and which would not affect a |

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| Comparable Supply; | |
| "Staffing Information" | has the meaning given to it in Contract Schedule 10 (Staff Transfer); |
| "Standards" | means any:   1. standards published by BSI British Standards, the National Standards Body of the United Kingdom, the International Organisation for Standardisation or other reputable or equivalent bodies (and their successor bodies) that a skilled and experienced operator in the same type of industry or business sector as the Supplier would reasonably and ordinarily be expected to comply with; 2. standards detailed in the specification in DPS Schedule 2 (Goods and/or Services and Key Performance Indicators); 3. standards detailed by the Customer in the Contract Order Form or agreed between the Parties from time to time; 4. relevant Government codes of practice and guidance applicable from time to time. |
| “Statement of Requirements” | means a statement issued by the Customer detailing its requirements in respect of Goods and/or Services issued in accordance with the Call for Competition Procedure; |
| "Sub-Contract" | means any contract or agreement (or proposed contract or agreement), other than this Contract or the DPS Agreement, pursuant to which a third party:   1. provides the Goods and/or Services (or any part of them); 2. provides facilities or services necessary for the provision of the Goods and/or Services (or any part of them); and/or 3. is responsible for the management, direction or control of the provision of the Goods and/or Services (or any part of them); |
| "Sub-Contractor" | means any person other than the Supplier, who is a party to a Sub-Contract and the servants or agents of that person; |
| “Sub-processor” | any third party associated to process Personal Data on behalf of the Supplier related to this agreement; |
| "Supplier" | means the person, firm or company with whom the Customer enters into this Contract as identified in the Contract Order Form; |
| "Supplier Assets" | means all assets and rights used by the Supplier to provide the Goods and/or Services in accordance with this Contract but excluding the Customer Assets; |
| "Supplier | means the person, firm or company with whom the Customer  enters into this Call Off Contract as identified in the Order Form; |

enters into this Call Off Contract as identified in the Order

Form;

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| Background IPR" | 1. Intellectual Property Rights owned by the Supplier before the Contract Commencement Date, for example those subsisting in the Supplier’s standard development tools, program components or standard code used in computer programming or in physical or electronic media containing the Supplier’s Know-How or generic business methodologies; and/or 2. Intellectual Property Rights created by the Supplier independently of this Contract, |
| "Supplier Equipment" | means the Supplier’s hardware, computer and telecoms devices, equipment, plant, materials and such other items supplied and used by the Supplier (but not hired, leased or loaned from the Customer) in the performance of its obligations under this Contract; |
| "Supplier Non- Performance" | has the meaning given to it in Clau[se 40.1](#_heading=h.3nqndbk) (Supplier Relief Due to Customer Cause); |
| "Supplier Personnel" | means all directors, officers, employees, agents, consultants and contractors of the Supplier and/or of any Sub-Contractor engaged in the performance of the Supplier’s obligations under this Contract; |
| "Supplier Profit" | means, in relation to a period or a Milestone (as the context requires), the difference between the total Contract Charges (in nominal cash flow terms but excluding any Deductions) and total Costs (in nominal cash flow terms) for the relevant period or in relation to the relevant Milestone; |
| "Supplier Profit Margin" | means, in relation to a period or a Milestone (as the context requires), the Supplier Profit for the relevant period or in relation to the relevant Milestone divided by the total Contract Charges over the same period or in relation to the relevant Milestone and expressed as a percentage; |
| "Supplier Representative" | means the representative appointed by the Supplier named in the Contract Order Form; |
| "Supplier’s Confidential Information" | means   1. any information, however it is conveyed, that relates to the business, affairs, developments, IPR of the Supplier (including the Supplier Background IPR) trade secrets, Know-How, and/or personnel of the Supplier; 2. any other information clearly designated as being confidential (whether or not it is marked as "confidential") or which ought reasonably to be considered to be confidential and which comes (or has come) to the Supplier’s attention or into the Supplier’s possession in connection with this Contract; 3. information derived from any of the above. |

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| "Template Order Form" | means the Template Order Form in Annex 1 of DPS Schedule 4 (Template Order Form and Template Contract Terms); |
| "Template Contract Terms" | means the template terms and conditions in Annex 2 of DPS Schedule 4 (Template Order Form and Template Contract Terms); |
| "Tender" | means the tender submitted by the Supplier to the Authority and annexed to or referred to in Contract Schedule 15; |
| "Termination Notice" | means a written notice of termination given by one Party to the other, notifying the Party receiving the notice of the intention of the Party giving the notice to terminate this Contract on a specified date and setting out the grounds for termination; |
| "Test Issue" | means any variance or non-conformity of the Goods and/or Services or Deliverables from their requirements as set out in the Contract; |
| "Test Plan" | means a plan:   1. for the Testing of the Deliverables; and 2. setting out other agreed criteria related to the achievement of Milestones,   as described further in paragraph 4 of Contract Schedule 5 (Testing); |
| "Test Strategy" | means a strategy for the conduct of Testing as described further in paragraph 3 of Contract Schedule 5 (Testing); |
| "Tests and Testing" | means any tests required to be carried out pursuant to this Contract as set out in the Test Plan or elsewhere in this Contract and “Tested” shall be construed accordingly; |
| "Third Party IPR" | means Intellectual Property Rights owned by a third party which is or will be used by the Supplier for the purpose of providing the Goods and/or Services; |
| “Transferring Customer Employees” | those employees of the Customer to whom the Employment Regulations will apply on the Relevant Transfer Date; |
| “Transferring Former Supplier Employees” | in relation to a Former Supplier, those employees of the Former Supplier to whom the Employment Regulations will apply on the Relevant Transfer Date; |
| "Transferring Supplier Employees" | means those employees of the Supplier and/or the Supplier’s Sub-Contractors to whom the Employment Regulations will apply on the Service Transfer Date. |
| “Transparency Reports” | means those reports identified in Contract Schedule 13 from time to time; |
| "Undelivered Goods" | has the meaning given to it in Clause [9.4.1](#_heading=h.2grqrue) (Goods); |
| "Undelivered Goods and/or Services" | has the meaning given to it in Clause [8.4.1](#_heading=h.3o7alnk) (Goods and/or Services); |
| "Undisputed Sums Time Period"  MAKDBWIFBIRBGIE | has the meaning given to it in Clause [43.1.1](#_heading=h.4jpj0b3) (Termination on Customer Cause for Failure to Pay); |

“**Management Levy”** means the sum payable by the Supplier to the Authority

being an amount equal to 1 per cent (1%) of all Charges for the Goods and/or Services invoiced to the Contracting Authorities by the Supplier (net of VAT) in each Month throughout the Dynamic Purchasing System Period and thereafter until the expiry or earlier termination of all Contracts entered pursuant to this Dynamic Purchasing System Agreement;

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| "Valid Invoice" | means an invoice issued by the Supplier to the Customer that complies with the invoicing procedure in paragraph [7](#_heading=h.ly7c1y) (Invoicing Procedure) of Contract Schedule 3 (Contract Charges, Payment and Invoicing); |
| "Variation" | has the meaning given to it in Clause [22.1](#_heading=h.xvir7l) (Variation Procedure); |
| "Variation Form" | means the form set out in Contract Schedule 12 (Variation Form); |
| "Variation Procedure" | means the procedure set out in Clause [22.1](#_heading=h.xvir7l) (Variation Procedure); |
| "VAT" | has the meaning given to it in DPS Schedule 1 (Definitions); |
| "Warranty Period" | means, in relation to any Goods, the warranty period specified in the Template Order Form; |
| “Worker” | means any one of the Supplier Personnel which the Customer, in its reasonable opinion, considers is an individual to which Procurement Policy Note 08/15 (Tax Arrangements of Public Appointees) [https://www.gov.uk/government/publications/procuremen](https://www.gov.uk/government/publications/procurement-policy-note-0815-tax-arrangements-of-appointees) [t-policy-note-0815-tax-arrangements-of-appointees](https://www.gov.uk/government/publications/procurement-policy-note-0815-tax-arrangements-of-appointees) |
| "Working Day" | means any day other than a Saturday or Sunday or public holiday in England and Wales unless specified otherwise by Parties in this Contract. |

**CONTRACT SCHEDULE 2: GOODS AND/OR SERVICES**

1. **INTRODUCTION**
   1. This Contract Schedule 2 specifies the:
      1. Services to be provided under this Contract, in Annex 1; and
      2. Goods to be provided under this Contract, in Annex 2.

**ANNEX 1**

**ANNEX A**

**THE SERVICES**

**Statement of Requirements**

1. **PURPOSE**
   1. Government Business Services (GBS) brings together back office services across government, and supports the Civil Service with high volume HR and finance processes, aligned to the Government's modernisation agenda.
   2. As part of this, GBS commissions the provision of online psychometric tests and assessments (referred to hereafter as online tests) for recruitment and employee assessment across Civil Service departments. Currently, GBS offers twenty online tests for general recruitment, employee-based talent scheme selection and graduate recruitment. In 2020-21 there were over one million test completions across all online tests.
   3. A strategic decision was taken in 2017 to replace the use of externally procured proprietary online tests hosted on supplier platforms with Civil Service developed and built online tests within an externally procured self-authoring and hosting platform. This requires the procurement of a test hosting platform that allows independent access to the client’s users via self-built tests and assessments on the platform instead of this work being handed to the Supplier to do.
   4. GBS has a roadmap of tests and assessments to develop and launch to live. These include new computer adaptive tests (using fully IRT methods) as well as classical test models, dichotomous and polytomous classic and CAT tests, ability, SJT and personality-based types, et cetera. As is clear, such tests will incorporate a range of assessment methods, domains and testing types.
   5. The strategic goals for online tests are, in no priority order, as follows:
      1. Widen choice and availability of tests and assessments for managers (including hiring managers) to enable more precise assessment of skills, particularly in relation to use of the [Success Profiles Framework](https://www.gov.uk/government/publications/success-profiles) and professions and functions selection requirements
      2. Strengthen and increase the diversity and quality of the pipeline into jobs to create [a more effective Civil Service that is more representative of the UK society](https://www.gov.uk/government/publications/civil-service-diversity-and-inclusion-strategy-2022-to-2025) that we serve at all levels
      3. Raise the quality of assessment of employees through in-house test development
      4. Reduced costs to serve through de-duplication and greater efficiencies
      5. Improved and more accessible user experience
      6. Increased assessment process efficiencies through use of automated online tests
      7. Broadened access to online tests and assessments across the Civil Service.
      8. More engaging assessment process reducing loss of prospective candidates and disaffection of assessed employees
2. **BACKGROUND TO THE CONTRACTING AUTHORITY**
   1. Government Business Services (GBS), which includes Government Shared Services (GSS), is leading the Shared Services Strategy for Government. The strategy offers a real-life roadmap to more streamlined services for civil servants, a reduction in bureaucracy, modern systems that are easy and quick to use, lower costs, and better value for money.
   2. GBS is a large business unit within the Cabinet Office. It provides centralised back-office functions and system leadership for central government, comprising Shared Services, the Government Recruitment Service (GRS), Pensions Delivery, and associated platforms. It provides high volume, expert services directly and indirectly, and works with a range of partners. Ultimately, our job is to enable streamlining of processes and systems to make the lives of 450,000 civil servants easier.
   3. In the delivery of its business, GBS works closely with Civil Service Human Resources (CSHR). CSHR provides a source of expertise on people, policies, processes and recruitment campaigns. We support the government workforce and help departments and professions to build a modern, effective Civil Service.
   4. Centrally, the HR function manages expert services and offers guidance in areas including pay and reward, talent management, employment policies, strategic workforce planning, and learning and development.
   5. CSHR’s ambition is to transform the Civil Service’s future workforce. This starts with delivering an effective HR service and getting basic people processes right.
   6. Transforming our back-office functions will make a real difference to civil servants, and reduce the burden of wasteful and repetitive administrative tasks, meaning they can focus on their jobs, and delivering for citizens.
   7. We work to the [Government reform priorities](https://www.gov.uk/government/organisations/modernisation-and-reform), including the Declaration on Government Reform, ensuring that our teams can respond to the government’s current and future challenges.
   8. We will have the best people leading and working in government to deliver better outcomes for citizens. We will modernise the operation of government, and be more disciplined in prioritising and evaluating what we do. We will act together, as one government team, to deliver for citizens.
   9. Occupational Psychology Service (OPS):
   10. OPS is an expert team committed to embedding best practice occupational psychology insights and solutions to support the future of the Civil Service. We are a combination of deep specialist occupational psychologists, psychometricians and digital experts. We work to Ministerial priorities, collaborate with departments, functions and professions to develop and deliver high quality, customer-focused occupational psychology-based solutions.
   11. This includes providing online testing and assessment used in recruitment and across the entire employee lifecycle.
   12. **BACKGROUND TO REQUIREMENT**
   13. The Authority tendered the current provision in November 2018 to March 2019 via an open competition which resulted in a contract being placed for the Term 3rd April 2019 to 2nd April 2023. We (the Authority) are now planning a re-procurement exercise in appropriate timescales to allow us to transition to contractual arrangements with an anticipated contract start date of October 2022.The Authority are looking to award a maximum contract term of 5 years, which will consist of an initial term of 3 years, followed by up to 2 x12 month extensions.
3. **DEFINITIONS**

Technical Definitions can be found in Document - Annex 1.

1. **SCOPE OF REQUIREMENT** 
   1. The requirement is to provide a platform for the Authority to self-author, assemble and deliver into live use online tests and assessments as per the requirements listed in section 5. The platform will be provided as software-as-a-service including the support to manage and maintain the platform.
   2. The platform will be used by the Authority’s representatives to deliver online tests and assessments to large volumes of test takers. These representatives shall be Authority staff as well as any delegated users (Civil Servants and others should the provision of assessment administration be outsourced to a third party). Links to these can be found here: <https://www.gov.uk/government/organisations> <https://www.legislation.gov.uk/uksi/2015/102/schedule/1/made> <https://civilservicecommission.independent.gov.uk/recruitment/ndpb-accreditation/> The Supplier will be responsible for ensuring the platform is stable and its performance can handle the expected and forecasted usage volumes. It must also scale efficiently to meet fluctuations of volume of usage.
   3. The Supplier will also provide adequate documentation and training (initial and throughout the life of the contract) to enable the Authority and its representatives to use the platform efficiently.
   4. Aside from during the initial implementation phase, test content and its creation will be the sole responsibility of the Authority (off-the-shelf proprietary online tests and supplier test building\* is out of scope). \*Except where the building requires software development by the Supplier, or relates to point 4.5 below.
   5. After contract award, the Authority may require the Supplier to present plans in which the Supplier rebuilds the current suite of online tests into its own Platform during the initial implementation phase. The rebuilding must deliver the same functionality and user experience as is the case in the current platform. This is an option that the Authority may exercise or not and as such is not an evaluated component of bids. These plans will not be evaluated as part of the tender evaluation process.
   6. In the event that the Supplier is using sub-contractors in delivering the requirements, the Authority requires the Supplier act as a Prime Contractor and enter into contractual agreements with any sub-contractors which will mirror the contractual obligations of the Contract between the Authority and the Contractor.
      1. In the event of 4.6 above the Authority will require direct contact with any sub-contractors as and when required in delivering the requirements of the Contract.
2. **THE REQUIREMENT**
   1. Please refer to Attachment 3a – OTA Specification to view the full requirements.
      1. Requirement Group 1 items which are not marked as implementation activity must be available for use within 45 days of contract award and with a maximum of 240-person hours of development effort across the whole group.
      2. Requirement Group 2 requirements must be available for use six months after contract is awarded.
      3. Desirable requirements do not need to be confirmed as available at any time, but are in-scope for this contract.
   2. Current tests types and builds that must be supported (as per requirement 1.22 in the Attachment 3a OTA Requirements) are in the table below.
   3. All tests operate raw score to normative conversions.

**Standard Civil Service Tests**

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| Test (with practice test link, for illustrative purposes) | Types of items | Number of items stored | Type of test |
| [Civil Service Verbal Test](https://eubusiness.panpowered.com/Civil_Service_Practice/CSVT_practice) | Aptitude;  Stem and item;  True, false, cannot say response options;  Untimed | 571 items  0 stems | Aptitude;  CAT IRT |
| [Civil Service Numerical Test](https://eubusiness.panpowered.com/Civil_Service_Practice/CSNT_practice) | Aptitude;  Stem and item;  Correct and distractor responses;  Untimed | 438 items  0 stems | Aptitude;  CAT IRT |
| [Civil Service Judgement Test](https://csr.apolloassessment.adc.uk.com/assessment/v2/openlink/csr/practice-bsl) | Preference statements using a Likert scale;  Stem (narrative or video) and item using a Likert scale (counterproductive through to effective);  Untimed  Built and served dynamically using testlets | 788 items  197 stems | Preferences;  SJT |
| [Civil Service Management Judgement Test](https://eubusiness.panpowered.com/Civil_Service_Practice/CSMJT_practice) | Stem (narrative or video) and item;  Most/least response options;  Untimed | 92 items  46 stems | SJT |
| [Civil Service Work Strengths Test](https://eubusiness.panpowered.com/Civil_Service_Practice/Work_Strengths_practice) (2 levels) | Preference statements using a Likert scale;  Stem (narrative or video) and item using a Likert scale (counterproductive through to effective);  Most/least response options;  Untimed | 197 items  48 stems  x2 (both levels same) | Preferences; SJT |
| [Customer Service Skills Test](https://eubusiness.panpowered.com/Civil_Service_Practice/Customer_Service_Skills_Practice_Test) | Stem (audio or video) and item;  Correct and distractor responses;  Branching design;  Stem (narrative or video) and item using a Likert scale (counterproductive through to effective);  Timed/untimed | 248 items  79 stems | SJT;  Skills |
| [Casework Skills Test](https://eubusiness.panpowered.com/Civil_Service_Practice/Case_Work_Skills_Practice_Test) | Stem and constructed response or correct/distractor responses;  Stem (narrative or video) and item using a Likert scale (counterproductive through to effective);  Timed/untimed | 163 items  39 stems | SJT;  Skills |

**Fast Stream Tests**

|  |  |  |  |
| --- | --- | --- | --- |
| Test (with practice test link, for illustrative purposes) | Types of items | Number of items stored | Type of test |
| Work Style Questionnaire Part 1 | 4 likert scale items per page (7 responses, very strongly disagree to very strongly agree) followed by rating which of 4 is most and least desirable;  Untimed | 84 items  0 stems | Preferences |
| SJT Interpersonal Skills | Stem (video) and 4 items (rate effectiveness of actions, counterproductive to effective);  Untimed | 28 items  7 stems | SJT |
| SJT Thinking Skills | Stem and 4 items (rate effectiveness of actions, counterproductive through to effective);  Untimed | 48 items  12 stems | SJT |
| Work Style Questionnaire Part 2 | 4 likert scale items per page (7 responses, very strongly disagree to very strongly agree) followed by rating which of 4 is most and least desirable;  Untimed | 72 items  0 stems | Preferences |
| Case Study Assessment | Scenario containing information (video and text); stem and 2 items (most and least desirable responses);  Untimed | 22 items  11 stems | Preferences; SJT |
| Learning Assessment | Scenario containing information (video and text); stem and likert scale items (counterproductive to effective);  Untimed | 100 items  25 stems | SJT |

* 1. The Civil Service Judgement Test[[1]](#footnote-1) (CSJT) is: item banked linear test, using polytomous and dichotomous response formats. The requirement is for the capability to deliver a test of this kind, according to the following general features (as per Attachment 3a - Specification):
     1. a range of discretely functioning testlets can be created in the test platform
     2. the ATS (as well as manual selection from within the test platform, if we choose) can call for and serve up links for users to access a tailored single-functional test that is dynamically created made up of one or more of the identified testlets called for by the ATS
     3. fully flexible scoring rubrics are able to be created in the test platform that enable combining scores across testlet
  2. The platform will provide the ability to deliver a range of psychometric tests and assessment exercises that are self-authored by Authority representatives. Where the platform provides test/assessment templates these are also available and treated for pricing purposes as a “test” (See Attachment 4 - Pricing Matrix).
  3. The platform has separate live and UAT environments in which tests and assessments can be self-authored, delivered and used by the Authority. Only tests completed in live will be priced and chargeable under the contract (see Attachment 4 - Pricing Matrix). Tests in live that are not completed or are partially completed will not be charged separately. Neither shall there be a separate charge for practice tests, item/test trialling and test norming. Supplier charges for these usages should be subsumed in the charge made for live full test completions. Estimates of the volume of these activities is provided in Attachment 4 - Pricing Matrix.
  4. Aside from continuous improvements commitments made by the Supplier, the Supplier shall provide the Authority on request with access to psychological and psychometric research and analysis support and advice in relation to its platform, item types, scoring approaches, etcetera on an ad hoc, chargeable basis, as per Attachment 4 Pricing Matrix Section D. 5% of our budget spend is likely to be dedicated to research.

1. **KEY MILESTONES AND DELIVERABLES**
   1. The Supplier should note the following project milestones that the Authority will measure the quality of delivery against unless otherwise agreed with the Authority.
   2. The following Contract milestones/deliverables shall apply:

|  |  |
| --- | --- |
| Essential milestones and deliverables | |
| Timeframe | Milestone / Description |
| Within two weeks of contract award | Kick off meeting and Implementation workshop  The authority, the test platform provider and the ATS provider (including all relevant parties from any sub-contractors) shall meet to agree plans for the implementation, including agreement on technical principles and approaches, EG API calls. |
| Within four weeks of contract award | Integration architecture document  The test platform provider will deliver a document setting out how the technical architecture for the integration will work and how it will be built, to be agreed by the authority and the ATS provider. |
| Within five weeks of contract award | Establish UAT environments  UAT environments that can be used for the work detailed above should be made available to all relevant parties by this date to begin work. |
| Within 45 calendar days of contract award | Requirement Group 1 requirements must be available for use with a maximum of 240-person hours of development effort. |
| Within six months of contract award | Integration with ATS completed, tested and fully functional  The integration with the ATS must be in a state where it is ready to go live across the full suite of products no later than this date, and earlier is desired. This includes successful completion of acceptance testing. This date is when the system will begin to be used on live vacancies. |
| Further milestones and deliverables if rebuilding of tests is required (not evaluated) | |
| Within two weeks of contract award | Initial Test Build implementation planning session - within two weeks of contract award (The authority and the test platform provider (including all relevant parties from any subcontractors) shall meet to agree plans for rebuilding the current suite of tests into the new platform. |
| Within five months of contract award | All tests built on new platform  The current suite of tests should all be built and functioning on the new platform by this date in order to begin acceptance testing prior to launch. |

1. **IMPLEMENTATION**
   1. The Supplier shall provide a clear implementation plan and roadmap with milestones and dates to be agreed with the Authority. Where any development, configuration or customisation is required to meet any specified requirements (other than desirable ones) these must be clearly itemised together with effort and delivery dates. All requirements needed for launch must be able to be delivered in full in time for launch, and this must be demonstrated in the implementation plan. The implementation deliverables are:
      1. Platform set up for use by the Authority
      2. Customisation of the Platform/test templates/item templates/workflows
      3. Integration with our two ATS systems and data warehouse
      4. Management information and invoicing set up
      5. Adhere to and provide security, disaster recovery and business continuity plans
      6. A clear process for making change requests
      7. Account management, support/maintenance and exit plans

* 1. The implementation plan will be evaluated as part of the tender process.
  2. The Supplier shall have a robust process for reviewing, estimating and planning changes required to the service (such as configuration or feature changes).
  3. The Supplier must have the skills and expertise available to support and maintain the service to the agreed service levels and requirements.
  4. The Supplier shall use appropriate delivery approaches to ensure effective service implementation and support to expected quality standards.
  5. The Supplier shall have a clear process for assessing and reviewing the quality of the service changes/improvements and processes to show that they are better meeting the Authority’s needs.
  6. The Supplier shall have a robust pipeline for introducing new features and improvements without disrupting the live service.
  7. Rebuild of the current suite of online tests. After contract award, the Supplier may be required to provide details for how it will build the current suite of online tests (including practice tests) into its platform should the Authority choose to exercise this option. Information about the current products will be supplied but access to the current platform will not be possible. The Supplier will be required to provide costs for the rebuild as part of their proposed statement of works. The rebuild plan and costing proposal will be reviewed by the Contracting Authority and discussed with the supplier to refine and clarify the approach. The Authority reserves the right to not accept the rebuild proposal, and may undertake this activity internally with their own departmental resources; or, procure further resource under separate contractual arrangements.

1. **AUTHORITY’S RESPONSIBILITIES**
   1. The Authority shall be responsible for developing, trialling and assembling test content on the platform. The Supplier (through training, documentation and contact) shall support the Authority in doing so effectively.
   2. The Authority shall maintain a small service team responsible for the managing of the service from the Authority side. They will also provide subject matter expertise, such as knowledge of end-users, user research, understanding of government digital standards and patterns.
   3. The Authority shall support the Supplier on integrating their service with the Recruitment Platform for Government (RPG) applicant tracking system (ATS) (Oleeo).

1. **STAFF AND CUSTOMER SERVICE**
   1. The Authority requires the Supplier to provide a sufficient level of resource throughout the duration of the Contract in order to consistently deliver a quality service to all Parties.
   2. The Supplier staff assigned to the Contract shall have the relevant qualifications and experience to deliver the Contract.
   3. The Supplier shall ensure that staff understand the Authority’s vision and objectives and will provide excellent customer service to the Authority throughout the duration of the Contract.

1. **INTELLECTUAL PROPERTY RIGHTS (IPR)**

In accordance with Clause 34 of the Attachment 5 Contract Terms and Conditions, the Authority’s IPR requirements are as follows:

* 1. The Authority will retain intellectual property rights for:
     1. All Authority data held on Supplier platforms.
     2. All content uploaded by the Authority onto Supplier platforms.
     3. All test and assessment designs created by The Authority using Supplier platforms (but not including the Supplier’s pre-existing intellectual property rights in the Supplier’s platforms).
     4. Any analysis carried out using Authority data.
  2. The Supplier will retain all rights, title, interests and intellectual property rights in the following:
     1. All Supplier platforms.
     2. Any functionality created or developed for the Customer including where wholly funded by the Customer under the Contract.

1. **MANAGEMENT INFORMATION/REPORTING**
   1. Please see Attachment 3a for an itemised list of reporting requirements, in the sub-group labelled “Management Information / Business Intelligence”.
2. **VOLUMES**
   1. Historical and forecast volumes are set out in Attachment 4 Pricing Matrix.
   2. The forecast volumes are indicative figures for information only and are not a guarantee of actual volumes.
3. **CONTINUOUS IMPROVEMENT**
   1. The Supplier will be expected to continually innovate, improving the way in which the required Services are to be delivered throughout the Contract duration, specifically working with the customer's continuous improvement function on a regular basis to review, discuss and improve the service. This will be reviewed and discussed in the contract management meetings and an action plan will be agreed between the parties.
   2. The Supplier will provide a clear roadmap for improving their service during the service lifetime, and is expected to embrace future technologies and developments.
   3. There will be an established channel for the customer to provide suggestions to improve the service which form part of the Supplier roadmap.
   4. The Supplier should present such new functionalities and ways of working to the Authority during monthly/quarterly Contract review meetings.
   5. Changes to the way in which the Services are to be delivered must be brought to the Authority’s attention and agreed prior to any changes being implement
4. **QUALITY/ STANDARDS**
   1. Please identify the quality required for contractual outputs including any required quality and or standard accreditation/s.
   2. The Supplier and the product must comply with the following Standards:
      1. The Supplier must be accredited to ISO27001 or equivalent.
      2. Cyber Essentials Plus or equivalent.
      3. Accessibility Standards - WCAG 2.1 - See Annex 1 Technical Definitions.
      4. Government Digital Service Standards - See Annex 1 Technical Definitions.
      5. International Test Commission Guidelines on Test Use
      6. International Test Commission Test Taker's Guide to Technology-Based Testing
      7. Psychological Testing: A Test Taker's Guide (updated 2017) (British Psychological Society)
5. **PRICE**
   1. The Supplier must provide their pricing for the requirement by completing the Attachment 4 Price Schedule.
   2. We have included usage figures, both in the form of historical data from 2020 and also usage forecasts up to 2027 in order to help you calculate your bid prices.
   3. The pricing is broken down into the following components:
6. Implementation
7. Support & Maintenance – these costs must be absorbed into the (C) Price Per Test Costs, but with a transparent breakdown provided, comprising of:
   1. Support - Helpdesk Provision
   2. Maintenance
   3. Licence Fees (if any)
8. Price Per Test (incorporating all (B) Costs).
9. Staff Rate Cards

Suppliers are asked to note the following:

* + In order to create a competitive process that treats all bidders fairly in terms of Implementation costs, we will not be evaluating Suppliers costs for implementation. We have capped these costs at a maximum of £50,000 excluding VAT based on our knowledge of the market and any bidders who bid higher than this will make their bid non-compliant.
  + We will not be evaluating any other costs apart from the Price per test cost, but require Bidders to provide a cost breakdown for our information in accordance with the Attachment 4 – Price Schedule instructions.
  + Therefore, Bidders must include all of their costs (excluding Implementation) in the Price Per Test cost as this is what we will evaluate against and we will use these Price Per Test cost figures in the subsequent contract.
  + For the avoidance of doubt Bidders should note that the unit price per completed test should incorporate any costs incurred by the Supplier in relation to hosting of practice test completions, partial or non-completions of tests and trialling of tests in the Platform. These items must not be treated as separately chargeable components.
  + Rebuild of our current suite of online tests into your platform (where solution is migrating to a new provider as a result of the contract award).

* 1. Prices are to be submitted via the e-Sourcing Suite Attachment 4 – Price Schedule excluding VAT and including all other expenses relating to Contract delivery.

1. **SERVICE LEVELS AND PERFORMANCE**
   1. The Authority will measure the quality of the Supplier’s delivery in accordance with the Key Performance Indicators (KPIs) listed in the table below:

| Description | Key Indicator | Target | Service Credits |
| --- | --- | --- | --- |
| Billing  Accurate and timely billing of The Authority | Correct billing information  (with supporting data) issued to agreed timelines. | 99% measured across each contract year | 1 service credit for each percentage point below target |
| Management Information Timely delivery of monthly reports | Monthly data to be supplied to The Authority in full no later than the 2nd Friday of the following month | 95% measured across each contract year | 1 service credit for each percentage point below target |
| Helpdesk and support availability  Support service to be available during normal UK business hours | Support service available between 09:00 - 17:00 GMT/BST, Monday - Friday, excluding UK public holidays | 98% measured across each contract year | 2 service credits for each percentage point below target |
| Support query turnaround  Timely responses from the support service | 1. Support queries from The Authority receive an initial review and triage response within 2 business hours  2. Support queries from The Authority fully resolved within 2 working days | 1. 98% measured across each contract year  2. 85% measured across each contract year | 1. 2 service credits for each percentage point below target  2. 2 service credits for each percentage point below target |
| System uptime  The system will be online unless downtime has been planned, scheduled and communicated to The Authority | The system will be online and fully functioning 24 hours per day, 7 days per week, excluding planned downtime. | 99% measured across each calendar month | 2 service credits for each percentage point below target |
| Completed test data transfer  The system will quickly and reliably transfer a test taker’s data (score, etc) to the Applicant Tracking System via the integration with CS Jobs - includes both live and UAT environments | Test session data transferred to the applicant tracking system within 2 minutes of the test taker submitting final responses | 99% measured across each calendar month | 1 service credit for each percentage point below target |
| Page response time  The system will consistently serve pages to users with no significant delay - includes both live and UAT environments | Pages served to users load fully within 5 seconds of being requested from the system | 98% measured across each calendar month | 2 service credits for each percentage point below target |
| Authority requests  Where The Authority asks The Supplier to provide costs and timescales for work or improvements, timely responses will be given | Requests for costs and timescales relating to new work or improvements will be responded to within 10 working days. If the request is complex and likely to take longer than 10 working days this will be communicated within 2 working days and a suitable response time agreed by both parties. | 95% measured across each contract year | 1 service credit for each percentage point below target |

* 1. Where the Supplier fails to meet the KPIs outlined service credits will apply in The Authority’s favour at the rates listed in the table above.
  2. One service credit is equal to 500 completed tests (full costs for a completed test).
  3. The Authority shall undertake an annual review of Supplier performance to ensure that the Supplier is performing the requirements of the contract to its satisfaction. In the event that there are areas for improvement, the Authority will advise the Supplier of the details which may include a Rectification Plan Process as per clause 39.2 in the Terms and Conditions of contract.
  4. In the event of the above, the Supplier will update its Exit Plan as per Schedule 9 of the Terms and Conditions of Contract.
  5. Further KPIs may be added, or existing KPIs may be amended during the lifetime of the contract by mutual agreement between The Supplier and The Authority.

1. **SECURITY AND CONFIDENTIALITY REQUIREMENTS**

**17.1 Personnel security and information access**

The Supplier's staff must hold the relevant security clearance to access government data.  
  
Where data contains sensitive or personal information, supplier staff must have been vetted to SC level.  
  
Where data does not contain sensitive or personal information, or the data has been pseudonymised, supplier staff must have been vetted to BPSS level.   
  
Information on UK Security Vetting, including an explanation of the levels mentioned above, can be found here:  
https://www.gov.uk/government/organisations/united-kingdom-security-vetting   
  
Information on the security vetting portal can be found here:  
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\_data/file/864271/20160928\_-\_NSVS\_Portal\_Guidance\_Notes\_SUBJECT\_V2.pdf  
  
In all cases applications for vetting must be initiated by the authority, who will act as a sponsor. Please note that individuals who work outside the UK will find it extremely difficult or even impossible to obtain security clearance. The supplier may accordingly need to implement mechanisms by which access to government data is restricted within their organisation.

The Supplier must:

* + - Be certified to ISO27001.
    - Conduct Security management in line with NCSC 10 Steps and Cloud Security principles.
    - take reasonable steps to ensure that any Supplier Staff who have access to Buyer Personal Data, act in compliance with Supplier's security processes and data protection legislation through ISMS.

**17.2 Standards and data quality**

The Supplier will not store or use Buyer Data except if necessary to fulfil its obligations. If Buyer Data is processed by the Supplier, the Supplier will supply the data to the Buyer as requested.

The Supplier must ensure that any Supplier system that holds any Buyer Data is a secure system that complies with the Supplier’s and Buyer’s security policy and all Buyer requirements in the Order Form.

The Supplier will preserve the integrity of Buyer Data processed by the Supplier and prevent its corruption and loss.

The Supplier will ensure that any Supplier system which holds any protectively marked Buyer Data or other government data will comply with:

* + - the principles in the Security Policy Framework at <https://www.gov.uk/government/publications/security-policy-framework> and the Government Security Classification policy at <https://www.gov.uk/government/publications/government-security-classifications>
    - guidance issued by the Centre for Protection of National Infrastructure on Risk Management at <https://www.cpni.gov.uk/content/adopt-risk-management-approach> and Protection of Sensitive Information and Assets at <https://www.cpni.gov.uk/protection-sensitive-information-and-assets>
    - the National Cyber Security Centre’s (NCSC) information risk management guidance, available at <https://www.ncsc.gov.uk/collection/risk-management-collection>
    - government best practicei[n](https://www.cesg.gov.uk/risk-management-collection) [t](https://www.cesg.gov.uk/risk-management-collection)he design and implementation of system components, including network principles, security design principles for digital services and the secure email blueprint, available at <https://www.gov.uk/government/publications/technology-code-of-practice/technology-code-of-practice>
    - the security requirements of cloud services using the NCSC Cloud Security Principles and accompanying guidance at <https://www.ncsc.gov.uk/guidance/implementing-cloud-security-principles>

The supplier at the end of the contract must ensure all buyer data and access to data is removed and returned to the buyer.

**17.3 Breach of security**

If the Supplier becomes aware of a Breach of Security or an attempted Breach of Security it shall notify the buyer without undue delay in accordance with data protection legislation. The Contractor shall:

* + - immediately take all reasonable steps (which shall include any action or changes reasonably required by the buyer) necessary to minimise the extent of actual or potential harm caused by such Breach of Security;
    - remedy such Breach of Security to the extent possible and protect the integrity of the buyer data
    - prevent a further Breach of Security or attempted Breach of Security in the future exploiting the same root cause failure;

**17.4 Data protection**

The Supplier should handle buyer data in accordance with data protection legislation/regulation. To that end, at all times the Authority must be able to state to the relevant Customer the physical locations in which Authority data may be Processed from, and any additional legal and regulatory frameworks which buyer data may be subject to. The Supplier shall not process Data outside the European Economic Area.

Appropriate technical and organisational measures should be in place, these 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 such measures adopted by it.

Delete data as required in line with the buyer’s retention and deletion policy.

The contractor should provide reasonable assistance to prepare any data protection impact assessment as may be required (including provision of detailed information and assessments in relation to Processing operations, risks and measures); and

Maintain full and complete records of all Processing carried out in respect of the Personal Data in connection with the Contract, in accordance with the terms of Article 30 GDPR.

The Supplier must comply with the Contracting Authority’s Annex 3 Security Schedule (Assurance), which, on Contract Award, will be inserted into the Attachment 5 Terms and Conditions under Schedule 7 (Security) as the Contracting Authority’s Annex 1 Security Policy/

1. **PAYMENT AND INVOICING** 
   1. Invoices should be sent to:

**REDACTED TEXT under FOIA Section 40, Personal Information**

* 1. Payment can only be made following satisfactory delivery of pre-agreed certified products and deliverables.
  2. Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs.
  3. The Authority will not be billed for test completions relating to test development, trialling, practice tests or other activity that is not part of a genuine job application. The Authority will only be billed for agreed statements of work and for test completions relating to a live test instance for business use. It is the Supplier’s responsibility to ensure robust methods are in place for identifying which category a test completion belongs to.

1. **CONTRACT MANAGEMENT** 
   1. The Authority will expect the Supplier to appoint a Contract Manager who will be the primary point of contact to receive communication from the Authority and will also be the person primarily responsible for providing information to the Authority. This includes any relevant/appropriate information from any sub-contractors the Supplier is working with in delivery of requirements of the Contract.
   2. The Authority may provide revised instructions to the Supplier's Contract Manager in regards to the Contract and it will be the Supplier's Contract Manager's responsibility to ensure the information is provided to the Supplier and the actions implemented.
   3. The Supplier’s Contract Manager will be required to attend any Contract Review meetings and any other meetings or events connected with the delivery of the Contract. Any Supplier expenses associated with said meetings shall be at the Supplier’s own expense.
   4. It is expected that regular progress review meetings between The Authority, The Supplier, and any relevant subcontractors will take place weekly, and any business requiring further discussion will be dealt with on an ad-hoc basis. Meetings should be attended by Client and System support representatives on The Supplier side.
   5. Where subcontractors are engaged and are currently developing or delivering agreed work they will be expected to be directly involved and included in all relevant communications with the Authority.
   6. The Supplier will have a documented process for handling change management and will respond to such requests within 10 working days of receiving the request. Where a request is likely to be too complex to respond within 10 working days this should be communicated to the Authority and a longer response time agreed upfront by both parties.
2. **LOCATION**

The location of the Services will be carried out at Cabinet Office, **REDACTED TEXT under FOIA Section 40, Personal Information**

**ANNEX 1**

**ANNEX B**

**OTA SPECIFICATION**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *Number* | Group | Sub-group | Description | Feature must be available as a self authoring option | Implementation activity? | Requirement Group 1 Items which are not marked as implementation activity must be available for use within 45 days of contract award and with a maximum of 240 person hours of development effort across the whole group. | **Requirement Group 2** Requirements that are available in full six months after contract award. Requirement Group 2 requirements must be available for use six months after contract is awarded | **Desirable** - Not required as part of contract delivery, but is a desirable feature or service. You are not required to include these in the Qualification envelope response |
| 1.01 | Test Creation | Item Authoring | Constructed response, multiple choice, multiple response, matching and true/false item responses are available interactions for items. | Yes |  | x |  |  |
| 1.02 | Test Creation | Item Authoring | Interactive technology enhanced item (TEI) types are allowed, such as hotspot, drag and drop, items with audio or video clips. | Yes |  | x |  |  |
| 1.03 | Test Creation | Item Authoring | Items can be created and customised using rich text and html editing | Yes |  | x |  |  |
| 1.04 | Test Creation | Item Authoring | Embedded media can be used within test items, including image, video and audio, without size limits that impact normal workflows (we will optimise media locally prior to upload) | Yes |  | x |  |  |
| 1.05 | Test Creation | Item Authoring | Item content layout can be edited such as response options ordering. | Yes |  | x |  |  |
| 1.06 | Test Creation | Item Authoring | Items must be able to link or otherwise refer back to materials previously shown to a test taker earlier in the journey without interrupting the current progress, and to make these materials viewable alongside the current item. An example might be providing links to case study material within an item, where the links open the case study materials in a new window. |  |  |  |  |  |
| 1.07 | Test Creation | Item types | Platform must support combined rating and ranking item formats that are accessible and which enable scoring methods sometimes described as dynamic normative-ipsative, nipsative or ra-ra. See Attachment 1 - Technical Definitions | Yes |  |  | x |  |
| 1.08 | Test Creation | Item types | Platform must support rating scale item formats that are accessible. See Attachment 1 - Technical Definitions | Yes |  | x |  |  |
| 1.09 | Test Creation | Item types | Platform must support ranking scale item formats that are accessible. See Attachment 1 - Technical Definitions | Yes |  |  | x |  |
| 1.10 | Test Creation | Item types | Platform must support multi-item rating scale item formats that are accessible. See Attachment 1 - Technical Definitions | Yes |  |  | x |  |
| 1.11 | Test Creation | Item banks | Item banks can be used to assemble multiple tests and maintain items. | Yes |  | x |  |  |
| 1.12 | Test Creation | Item banks | A test can use multiple distinct item banks (for example sections of a test). | Yes |  | x |  |  |
| 1.13 | Test Creation | Localisation | Tests and item banks can support multiple languages (aka internationalisation), so users can toggle between languages to enable compliance with Welsh Language legislation. | Yes |  | x |  |  |
| 1.14 | Test Creation | Test Creation | Linear tests can be created, including forwards-only, and forwards-and-backwards test structures (i.e. users can return to previous items). | Yes |  | x |  |  |
| 1.15 | Test Creation | Test Creation | Where non-fixed test routes are used the system will record the user's unique journey through the specific items presented to them. | Yes |  | x |  |  |
| 1.16 | Test Creation | Test Creation | Branching tests can be created, where pre-defined branches of tests are followed based on user responses | Yes |  | x |  |  |
| 1.17 | Test Creation | Test Creation | The platform supports computer adaptive testing for dichotomous scored items using IRT to select items and for scoring. Simple branching based adaptivity is not sufficient. See Attachment 1 - Technical Definitions | Yes |  | x |  |  |
| 1.18 | Test Creation | Test Creation | Computerised adaptive test (CAT) engine must be built in or already integrated so that CAT tests can be created on the platform immediately with tested and established functionality. See Attachment 1 - Technical Definitions | Yes |  | x |  |  |
| 1.19 | Test Creation | Test Creation | Tests can, if desired/applicable, include a progress bar to indicate progress through the test. (excepting computer adaptive tests) | Yes |  | x |  |  |
| 1.20 | Test Creation | Test Creation | Back/forward buttons can be applied with variable restrictions on back/forward functionality | Yes |  | x |  |  |
| 1.21 | Test Creation | Test Creation | Tests can be previewed by the test creator, or chosen testers without making the test live, through the use of simple URL links at any stage of the lifecycle/development | Yes |  | x |  |  |
| 1.22 | Test Creation | Test Creation | Individual items can be previewed during and post creation/editing. Facility to easily edit and preview items, including scoring and variables collection. | Yes |  | x |  |  |
| 1.23 | Test Creation | Test Creation | The supplier’s platform must be able to support all current tests and products prior to commencement of services. | Yes |  | x |  |  |
| 1.24 | Test Creation | Test Creation | The test platform must have native support for parallel test forms | Yes |  | x |  |  |
| 1.25 | Test Creation | Test Creation | The test platform must have native support for linear on the fly testing | Yes |  |  | x |  |
| 1.26 | Test Creation | Test Creation | The test platform must have native support for adaptive tests (both classical and IRT). See Attachment 1 - Technical Definitions | Yes |  | x |  |  |
| 1.27 | Test Creation | Item Statistics | For IRT, item statistics are used as parameters for scoring and creating computer adaptive tests. Similar functionality is available for classical paramaters testing. See Attachment 1 - Technical Definitions | Yes |  | x |  |  |
| 1.28 | Test Creation | Export and Import | Tests and items can be exported and imported into the same or separate platforms including consideration for any assosciated media (videos, audio, transcripts, images, etc) | Yes |  | x |  |  |
| 1.29 | Test Creation | Export and Import | Items can be exported and imported in non-proprietary formats aligning with open standards (e.g. CSV or QTI) including consideration for any assosciated media (videos, audio, transcripts, images, etc) | Yes |  | x |  |  |
| 1.30 | Test Creation | Test creation workflow | The platform provides a clear workflow structure for developing new items with customisable workflows, with notifications, workflow tracking tools, multiple users. | Yes |  | x |  |  |
| 1.31 | Test Creation | Test creation workflow | Tests can be assigned relevant statuses (e.g. draft, live, archive) | Yes |  | x |  |  |
| 1.32 | Test Creation | Test creation workflow | Item can be assigned relevant statuses (e.g. draft, live, archive) | Yes |  | x |  |  |
| 1.33 | Test Creation | Test creation workflow | Lock items and tests after reaching a certain status (usually operational use) so that no changes can be made without a documented administrator override | Yes |  | x |  |  |
| 1.34 | Test Creation | Test creation workflow | The system has an auto-save and recovery when editing items | Yes |  |  |  | x |
| 1.35 | Test Creation | Test creation workflow | Item-level content can be versioned and reverted to a specified historic version | Yes |  |  |  | x |
| 1.36 | Test Creation | Test creation workflow | Test-level content can be versioned and reverted to a specified historic version | Yes |  | x |  |  |
| 1.37 | Test Creation | Collaboration | Test creators can be enabled to see other developers’ tests and items, assuming they have the appropriate access rights. | Yes |  |  |  | x |
| 1.38 | Test Creation | Collaboration | More than one user can edit the tests/items at a time | Yes |  |  | x |  |
| 1.39 | Test Creation | Collaboration | Multiple reviewers can edit and comment on an item, or as a minimum warn/limit multiple users from updating an item in parrallel if this isn't supported. | Yes |  |  |  | x |
| 1.40 | Test Creation | Collaboration | Different system access and editing rights can be set, e.g. SMEs, staff, translators, and administrators can all have different roles with appropriate levels of access and editing privileges. | Yes |  | x |  |  |
| 1.41 | Test Creation | Collaboration | Administrators can track workflow progress, including edits made by other users. | Yes |  | x |  |  |
| 1.42 | Test Creation | Templates and Re-use | The system can clone items and cloned item parameters are customisable. For example, if we want to use an item in another test, we can clone and reassosciate it. | Yes |  | x |  |  |
| 1.43 | Test Creation | Templates and Re-use | Tests can be cloned to shorten creation time when creating a similar test. | Yes |  | x |  |  |
| 1.44 | Test Creation | Technical approach | Tests must be able to support dichotomous scoring using Classical Test Theory (CTT) | Yes |  | x |  |  |
| 1.45 | Test Creation | Technical approach | Tests must be able to support polytomous scoring using Classical Test Theory (CTT) | Yes |  | x |  |  |
| 1.46 | Test Creation | Technical approach | Computer adaptive tests must be able to use dichotomous scoring using Item Response Theory (IRT), and not simply branching in nature. See Attachment 1 - Technical Definitions | Yes |  | x |  |  |
| 1.47 | Test Creation | Technical approach | Computer adaptive tests must be able to use polytomous scoring using Item Response Theory (IRT), and not just branching in nature. See Attachment 1 - Technical Definitions | Yes |  |  | x |  |
| 1.48 | Test Creation | Misc requirements | The platform can require test creators to enter certain categories of information, such as content domain, references, and rationale so that the fields are mandatory. | Yes |  |  | x |  |
| 1.49 | Test Creation | Misc requirements | Items can be classified by multiple user defined parameters (e.g. enabling tagging and filtering) | Yes |  | x |  |  |
| 1.50 | Test Creation | Misc requirements | The system provides error checking algorithms that provide warnings based on common item writing techniques (e.g., some systems will warn test creators if they write a negatively worded item) | Yes |  |  |  | x |
| 1.51 | Test Creation | Misc requirements | Spell check is available as a feature and other dictionaries can be pre-programmed into the item authoring and test delivery system (e.g., medical dictionary) | Yes |  |  |  | x |
| 1.52 | Test Creation | Misc requirements | Custom dictionaries can be created | Yes |  |  |  | x |
| 1.53 | Test Creation | Misc requirements | When assembling tests, the item bank supports multiple languages, users can toggle between languages, the test publishes RTL language content (e.g., traditional Chinese, Arabic), and when a change is made to an English item, the translated version is flagged for attention | Yes |  |  |  | x |
| 1.54 | Test Creation | Misc requirements | Test platform are able to serve text including special characters, equations, formulas and other mathematical symbols without needing to embed these as images or other such workarounds, to keep the service accessible. See Attachment X - Technical Definitions for reference to accessibility | Yes |  |  | x |  |
| 1.55 | Test Creation | Misc requirements | Test platform is able to support virtual work sample (VWS) or virtual assessment centre (VAC) style exercises and the scoring thereof, EG where an applicant is asked to complete common work tasks such as sending emails, scheduling meetings, reviewing or crearting documents, organising data, etc. Where the platform has templates for such exercises, these can be used | No |  |  |  | x |
| 1.56 | Test Creation | Misc requirements | Test creators can receive notifications of changes to a test they have created or edited. | Yes |  |  |  | x |
| 1.57 | Test Creation | Misc requirements | Designated content reviewers can be auto-notified when new items need to be reviewed (e.g., by email, on a dashboard) | Yes |  |  |  | x |
| 1.58 | Test creation | Misc requirements | 360 degree feedback test templates can be created offering the full standard range of items and workflows that are standard in such instruments, which can be altered, and alterable templates can be provided | Yes |  |  | x |  |
| 1.59 | Test creation | Misc requirements | Test platform is able to randomise the order in which items, responses and groups of items are shown to test takers, while keeping items with the same stem together. |  |  |  | x |  |
| 1.60 | Test Creation | QA procedures | Platform must have a way to automatically QA/check tests before publishing to live, EG dummy responses, workflow logic, different scoring patterns (all correct, all incorrect, all A's, all B's, random, etc). | Yes |  |  | x |  |
| 1.61 | Test Creation | QA procedures | Output from a QA procedure is downloadable in suitable formats | Yes |  |  | x |  |
| 1.62 | Test Creation | QA procedures | Ability to log in as a candidate to test exactly what test takers will see | Yes |  | x |  |  |
| 2.01 | Scoring, Marking and Statistics | Scoring and Marking | Test taker responses are stored and scores are calculated automatically. | N/A |  | x |  |  |
| 2.02 | Scoring, Marking and Statistics | Scoring and Marking | When a test is served to an applicant, the system records and preserves the exact versions of both the test and the exact versions of the items that were served to the applicant during their test for posterity and fault-finding | Yes |  | x |  |  |
| 2.03 | Scoring, Marking and Statistics | Scoring and Marking | Scores can be flexibly processed by combining, weighting, algorithmically combining and statistically altering to derive user-defined composite scores for further processing. | Yes |  | x |  |  |
| 2.04 | Scoring, Marking and Statistics | Scoring and Marking | Processed scores can be presented to the user in feedback and returned to the integrated service. | Yes |  | x |  |  |
| 2.05 | Scoring, Marking and Statistics | Scoring and Marking | Scores and feedback can be presented to the applicant within the test platform or sent to the recruiter for onward processing | Yes |  | x |  |  |
| 2.06 | Scoring, Marking and Statistics | Scoring and Marking | The platform allows test creators / administrators / assessors to access applicant responses and assign scores and provide narrative comments. | Yes |  | x |  |  |
| 2.07 | Scoring, Marking and Statistics | Analytics | The service provides its own access to web analytics features/tools for monitoring traffic and usage, in addition to supplying raw data to our data warehouse | Yes |  |  | x |  |
| 2.08 | Scoring, Marking and Statistics | Management Information / Business Intelligence | The supplier produces an itemised monthly report on test completions and usage for billing. | N/A | Yes | x |  |  |
| 2.09 | Scoring, Marking and Statistics | Management Information / Business Intelligence | The supplier provides data on concurrent usage of the tests. | N/A | Yes | x |  |  |
| 2.10 | Scoring, Marking and Statistics | Management Information / Business Intelligence | Reports and manual data exports can be self-configured by the authority based on any variable recorded in the platform, including reports spanning across multiple assessments or products where they share a common variable | Yes | Yes | x |  |  |
| 2.11 | Scoring, Marking and Statistics | Management Information / Business Intelligence | Service data (including usage) can be accessed for analysis using APIs and/or data exports. | Yes | Yes | x |  |  |
| 2.12 | Scoring, Marking and Statistics | Management Information / Business Intelligence | All data linked to our tests at all levels (items, sections, tests) will be shared with our data warehouse solution (currently GRID) | N/A | Yes |  | x |  |
| 2.13 | Scoring, Marking and Statistics | Management Information / Business Intelligence | Ability to filter data extensively such as by campaign, candidate, test, date, score, etc | Yes | Yes | x |  |  |
| 2.14 | Scoring, Marking and Statistics | Misc requirements | The platform can generate feedback documents in suitable formats which can be presented to the applicant and returned to the integrated applicant tracking system. | Yes |  | x |  |  |
| 2.15 | Scoring, Marking and Statistics | Misc requirements | Facility to request user feedback and transmit that feedback to relevant teams | Yes |  | x |  |  |
| 2.16 | Scoring, Marking and Statistics | Misc requirements | The system allows user feedback to be requested down to item-level and either stored or transmitted, particularly useful when trialling new items | Yes |  | x |  |  |
| 2.17 | Scoring, Marking and Statistics | Export and Import | Export item-related data out of the system (e.g., statistics, historical data, custom fields, images) | Yes |  | x |  |  |
| 2.18 | Scoring, Marking and Statistics | Export and Import | Export item score structures and marking schemes in suitable formats (e.g. csv, rtf, txt, xml, xls and JSON) | Yes |  | x |  |  |
| 2.19 | Scoring, Marking and Statistics | Export and Import | Externally calculated item statistics/parameters can be imported (particularly for IRT tests) | Yes |  | x |  |  |
| 2.20 | Scoring, Marking and Statistics | Item Statistics | Item-level statistics are recorded, can be manually exported and reviewed by test creators | Yes |  | x |  |  |
| 2.21 | Scoring, Marking and Statistics | Item Statistics | Item performance data is recorded with test taker identifiers which can be used for demographic analysis by our data warehouse | N/A |  | x |  |  |
| 2.22 | Scoring, Marking and Statistics | Item Statistics | Response-level statistics are recorded, covering each response, not just the correct ones. EG where there a re four options (ABCD) we would like ot see percentages of applicants choosing each of the four, not just the percentage choosing the correct one | Yes |  | x |  |  |
| 2.23 | Scoring, Marking and Statistics | Item Statistics | Item relationships can be calculated and applied (i.e. inclusive, exclusive, friends and enemies) we need to be able to define these and see this information 'at a glance' | Yes |  | x |  |  |
| 2.24 | Scoring, Marking and Statistics | Norms | Raw scores can be converted automatically using pre-defined criteria or look up tables (such as standardised norms). | Yes |  | x |  |  |
| 2.25 | Scoring, Marking and Statistics | Norms | Individual test versions can have different norm samples associated EG version A uses norm sample A, version B uses norm sample B, etc | Yes |  | x |  |  |
| 2.26 | Scoring, Marking and Statistics | Norms | Individual tests (or versions) can have multiple norm samples associated, EG relating to different levels at which the test must be completed | Yes |  | x |  |  |
| 2.27 | Scoring, Marking and Statistics | Assessment reporting | Fully customisable assessment report templates can be constructed, presented and exported through an integration, which can use any scoring or marking variables recorded in the platform for a specified user or group of users | Yes |  |  | x |  |
| 2.28 | Scoring, Marking and Statistics | Norms | Standardised norms can be updated, edited and revised manually by users acting on offline data, not contained within the system | Yes |  | x |  |  |
| 2.29 | Scoring, Marking and Statistics | Norms | For QA purposes, test results can be viewed and compared against multiple norm samples | Yes |  |  |  | x |
| 2.30 | Scoring, Marking and Statistics | Score banking | Test platform has the capacity to record and "bank" scores for users based on unique identifier, test taken, time taken, test level and version. | Yes |  |  | x |  |
| 2.31 | Scoring, Marking and Statistics | Score banking | Platform can automatically notify of progression based on a banked score, both directly to candidates and via ATS integration | N/A |  |  | x |  |
| 2.32 | Scoring, Marking and Statistics | Score banking | Platform is able to follow rules applying to a banking process and progress test takers accordingly - either to retake a test or use the "banked" score instead | Yes |  |  | x |  |
| 2.33 | Scoring, Marking and Statistics | Pathway 2 data | Ability to generate, view and download individual and batch reports showing all raw score data for candidates, with applicable filters (campaign, test types, date ranges, etc) | Yes |  | x |  |  |
| 2.34 | Scoring, Marking and Statistics | Pathway 2 data | Ability to generate, view and download aggregate test usage reports with applicable filters (campaign, test types, date ranges, etc) to facilitate billing of internal civil service clients | Yes |  | x |  |  |
| 2.35 | Scoring, Marking and Statistics | Pathway 2 data | Ability to generate, view and download detailed candidate responses (item choices and scores, section scores, etc) to facilitate fault-finding and investigation | Yes |  | x |  |  |
| 3.01 | Usability, compatibility and accessibility | Design and usability | Platform based test taker interface options are intuitive and designed to enable excellent user experience. | N/A |  | x |  |  |
| 3.02 | Usability, compatibility and accessibility | Design and usability | Responsive web design / mobile-first designs can be applied that ensure the test renders appropriately for any reasonable device and resolution (incl. Mobile, tablet, desktops). See Attachment X - Technical Definitions for reference to devices | N/A |  | x |  |  |
| 3.03 | Usability, compatibility and accessibility | Design and usability | Test creation interfaces are designed so that a test creator with reasonable training and/or guidance can use the platform effectively without issue. | Yes |  | x |  |  |
| 3.04 | Usability, compatibility and accessibility | Design and usability | Item creation interfaces are designed so that a test creator with reasonable training and/or guidance can use the platform effectively without issue. | Yes |  | x |  |  |
| 3.05 | Usability, compatibility and accessibility | Customisation | The tests must adopt the GOV.UK styles to be consistent with the user recruitment journey. The jobs portal and application pages adopt these styles. Refer to: https://design-system.service.gov.uk/ (The Authority team will support the supplier in adopting GOV.UK styles. The patterns can be adapted and Authority recognises that there will be reasonable limitations to what can be adopted in some platforms without negatively impacting the overall user experience.) | N/A | Yes | x |  |  |
| 3.06 | Usability, compatibility and accessibility | Customisation | Designs of individual tests can be customised independently of each other, and of the global style, EG test elements may use the global style or deviate from it such as a paragraph being italicised while still using the global font, and if changes were made to the global font these would be reflected without breaking the italicisation | Yes |  |  | x |  |
| 3.07 | Usability, compatibility and accessibility | Customisation | Test platform is able to support CSS or other ways of easily customising the look and feel to fit in with government digital standards. If Supplier effort is needed to implement style changes this can be done within one calendar month of changes being finalised | Yes |  | x |  |  |
| 3.08 | Usability, compatibility and accessibility | Customisation | Test platform supports easy global changes to look and feel across all (or selected) products/tests, EG if a user wanted to change the font (or colour, size) across all live tests. | Yes |  |  | x |  |
| 3.09 | Usability, compatibility and accessibility | Customisation | Test platform has a way of previewing any changes to look and feel or visual style of content prior to publishing into a live environment | Yes |  | x |  |  |
| 3.10 | Usability, compatibility and accessibility | Compatibility | Tests can be completed on a range of devices including mobiles, tablets and desktops. The service will need to be accessible without any need to download software. See Attachment 1 - Technical Definitions | N/A |  | x |  |  |
| 3.11 | Usability, compatibility and accessibility | Compatibility | The platform provides compatibility checking functionality to detect incompatible devices, browsers, settings. | N/A |  | x |  |  |
| 3.12 | Usability, compatibility and accessibility | Compatibility | Users can check settings for test content e.g. audio enabled for video content | Yes |  | x |  |  |
| 3.13 | Usability, compatibility and accessibility | Accessibility | Meet the government’s accessibility standards by enabling people with visual, hearing, motor and/or cognitive accessibility needs to use your service. Need to think about how these users will access and interact with your service before designing or building anything and during development and improvement. See Attachment 1 - Technical Definitions | N/A |  | x |  |  |
| 3.14 | Usability, compatibility and accessibility | Accessibility | The tests/assessments self-authored by the Authority will need to be able to meet level AA on the current WCAG standards. See Attachment 1 - Technical Definitions | N/A |  | x |  |  |
| 3.15 | Usability, compatibility and accessibility | Accessibility | The tests/assessments self-authored by the Authority are able to meet accessibility standards and user needs (e.g. user testing, automated accessibility tests, accessibility audits). See Attachment 1 - Technical Definitions | N/A |  | x |  |  |
| 3.16 | Usability, compatibility and accessibility | Accessibility | The Authority will arrange accessibility audits of the tests it creates. Where issues are identified the supplier shall work to resolve these. See Attachment 1 - Technical Definitions | N/A |  | x |  |  |
| 3.17 | Usability, compatibility and accessibility | Accessibility | The platform enables both mandatory and optional user actions, and when a mandatory action is not taken by the user, the system is able to produce a customisable error notification to the user - EG if a test taker does not answer a question the system prevents them from moving on and flags the area of the page where they can answer. | Yes |  | x |  |  |
| 3.18 | Usability, compatibility and accessibility | Accessibility | Embedded video or animation is able to be played, paused and scrubbed (fast forwarded and rewound on the timeline) by the user | Yes |  |  | x |  |
| 3.19 | Usability, compatibility and accessibility | Accessibility | Embedded media can contained closed captions / subtitles which can be toggled on or off by the user |  |  |  | x |  |
| 4.01 | Test delivery and integration | Administering tests | Facility to schedule test delivery in advance for individual or groups of candidates. | Yes |  | x |  |  |
| 4.02 | Test delivery and integration | Administering tests | Set timing constraints for test availability, duration of tests, and maximum attempts. These can be configured to meet reasonable adjustments for specific candidates, such as allowing extra, or unlimited time to specified users. | Yes |  | x |  |  |
| 4.03 | Test delivery and integration | Administering tests | Untimed tests can be created and delivered. These have been used successfully in the past to reduce applicant anxiety and reduce reasonable adjustment requests. | Yes |  | x |  |  |
| 4.04 | Test delivery and integration | Administering tests | Tests can be scheduled and administered using the platform directly and not just through an API integration by users on the applicant tracking system. Unique (time constrained) hyperlinks can be generated for tests or invites can be issued directly from within the platform. | Yes |  | x |  |  |
| 4.05 | Test delivery and integration | Administering tests | Authorisation controls will be in place where tests are delivered directly (not via an API integration), to stop inappropriate access to test data relating to other clients. For example, an admin user in the Ministry of Justice will have no access to Welsh Government campaigns. | Yes |  | x |  |  |
| 4.06 | Test delivery and integration | Administering tests | Where tests are delivered directly (not via an API integration), it will be possible to set-up workflow, to enable the delivery of multiple online tests in either a pre-defined order or based upon user preference. | Yes |  | x |  |  |
| 4.07 | Test delivery and integration | Test delivery | Test sessions can be automatically recovered if disrupted. For example, if a user is part way through a test and loses connection, they can return to the test where they left off and continue. | N/A |  | x |  |  |
| 4.08 | Test delivery and integration | Test delivery | The number of times the above can be done shall be configurable, and where not configured a global default (also configurable) shall be used. | Yes |  | x |  |  |
| 4.09 | Test delivery and integration | Test delivery | Users of the system who are test administrators but not necessarily test creators will be able to reset any login attempt limits for test takers themselves | Yes |  |  | x |  |
| 4.10 | Test delivery and integration | Test delivery | The system can allocate pass/fail outcomes to the test taker responses and pass these outcomes to an external system, including pre-defined messages | Yes |  | x |  |  |
| 4.11 | Test delivery and integration | Test delivery | Ability for platform to recognise when a test taker has previously been exposed to items, forms or tests and serve up alternative items, forms or tests instead | Yes |  | x |  |  |
| 4.12 | Test delivery and integration | Alternative delivery | Exporting a test to complete offline - “pencil and paper” - for users unable to complete the tests online. This would be administered by recruiters. | Yes |  | x |  |  |
| 4.13 | Test delivery and integration | Alternative delivery | Enabling tests in a proctored test environment, where the test instance can be set up by an administrator and made ready for accessing by a test taker. The supplier is not expected to provide the proctored environment suite or moderation. | Yes |  | x |  |  |
| 4.14 | Test delivery and integration | Integration with CS Jobs | The Authority provides an applicant tracking service used by departments across the Civil Service. This is currently delivered using the Oleeo (formerly WCN) vX applicant tracking system (ATS). The platform can be integrated with this applicant tracking system using APIs, which is currently using Oleeo's API. | N/A | Yes | x |  |  |
| 4.15 | Test delivery and integration | Integration with CS Jobs | The integration can allow a seamless user journey from the ATS across to the test platform and back again, with tests being served based on relevant requests from the ATS and test data (scores etc) being returned back to the ATS. | N/A | Yes | x |  |  |
| 4.16 | Test delivery and integration | Integration with the Civil Service Fast Stream & Early Talent Platform | The supplier shall provide documentation and support to aid the Fast Stream digital team to integrate their ATS into the platform via APIs. | N/A | Yes | x |  |  |
| 4.17 | Test delivery and integration | Integration with the Civil Service Fast Stream & Early Talent Platform | The integration can allow applicants to be invited to tests from the ATS and their scores (and feedback) returned. | N/A | Yes | x |  |  |
| 4.18 | Test delivery and integration | Modular tests | The platform must be able to serve a test made up of individual testlets based on choices made within the ATS - which allows for continuity of service for our Civil Service Judgement Test product. EG a recruiter may choose 3-6 behaviours or skills they would like to test, this information is passed from the ATS to the test platform via API and then the test platform serves 3-6 (as selected) tests or testlets in series to the applicant, keeping them informed of progress across all selected tests/testlets As illustrated in the Civil Service Judgement Test which assesses applications against the Behaviours framework set out in CS Success Profiles. When vacancy holders advertise a role they must select which behaviours apply to the role in the applicant tracking system (Oleeo). The Judgement Test only assesses the selected behaviours (rather than a fixed/default set) if 3-6 behaviours are selected. Where this functionality must be developed, it may be acceptable to provide an interim solution with equivalent functionality for an additional 6 months while development takes place on the main platform. | Yes |  |  | x |  |
| 4.19 | Test delivery and integration | Misc requirements | Remote proctoring workflows of tests can be incorporated into administrations, for individual, group test instances and automated by specific criteria (such as random, type of device and availability of a camera, etc) | Yes |  |  | x |  |
| 4.20 | Test delivery and integration | Future integrations | Platform must be expandable and able to integrate with future clients and systems | N/A |  | x |  |  |
| 4.21 | Test delivery and integration | Future integrations | Platform is able to separate by client, where future business may need to be segregated from current operations, i.e. other public sector organisations might all need to be segregated within the platform | Yes |  | x |  |  |
| 4.22 | Test delivery and integration | Pathway 2 requirements | Ability to automatically generate large numbers of URLs/links/invitations to tests when manually uploading or entering candidate email addresses, EG from a spreadsheet or CSV with hundreds of emails | Yes |  | x |  |  |
| 4.23 | Test delivery and integration | Pathway 2 requirements | Ability to automatically generate large numbers of URLs/links/invitations to tests when manually uploading or entering candidate unique identifiers, EG from a spreadsheet or CSV with hundreds of UIDs | Yes |  | x |  |  |
| 4.24 | Test delivery and integration | Pathway 2 requirements | Ability to export the lists of URLs/test invitations to suitable formats, EG spreadsheet, CSV | Yes |  |  | x |  |
| 4.25 | Test delivery and integration | Pathway 2 requirements | Platform maintains user-visible logs of any and all emails automatically sent out from the platform for auditing and review, EG emails sent to candidates and test takers, emails sent to admins, etc. | Yes |  | x |  |  |
| 4.26 | Test delivery and integration | Pathway 2 requirements | Ability to generate unique, one-time usage URLs for a test that relate to a particular instance / applicant so that the test taker does not need to enter further login details | Yes |  | x |  |  |
| 4.27 | Test delivery and integration | Pathway 2 requirements | Ability to generate multi-use URLs for a test that can be given out and used by anyone. The platform will capture details about each user (EG forename, surname) | Yes |  | x |  |  |
| 5.01 | Technology, hosting and Scalability | Technology Standards | The service can and shall align with the Government Technology Code of Practice with divergence discussed and agreed with the Customer: https://www.gov.uk/government/publications/technology-code-of-practice/technology-code-of-practice | N/A |  | x |  |  |
| 5.02 | Technology, hosting and Scalability | Technology Standards | The service can and shall align with the Digital Service Standard https://www.gov.uk/service-manual/service-standard working collaboratively with the CSHR Digital team. | N/A |  | x |  |  |
| 5.03 | Technology, hosting and Scalability | Technology Standards | CDN and/or Caching capabilities for better performance | N/A |  | x |  |  |
| 5.04 | Technology, hosting and Scalability | Automation and interoperability | Single Sign-on - where a test taker user is coming from another government service (eg Civil Service Jobs) where their identity is known, there will be no need to re-authenticate/logon. | N/A |  | x |  |  |
| 5.05 | Technology, hosting and Scalability | Automation and interoperability | Users being redirected from another integrated government system (eg Civil Service Jobs), will not be required to enter duplicate information (ie information already captured). | N/A |  | x |  |  |
| 5.06 | Technology, hosting and Scalability | Automation and interoperability | We aim to implement an 'API Gateway' into our enterprise architecture and data warehouse. The supplier will be expected to integrate with this type of solution so that we can more easily and independently orchestrate the setup of new integrations with clients. | N/A |  |  | x |  |
| 5.07 | Technology, hosting and Scalability | Hosting and monitoring | There are separate sandbox (aka testing) and live environments available. The testing environment must enable us to conduct user acceptance testing on tests and integration prior to 'going-live' with a test/integration in production. | Yes |  | x |  |  |
| 5.08 | Technology, hosting and Scalability | Hosting and monitoring | All environments (live, staging, testing, etc) must be available online 24/7, subject to agreed or unplanned outages within SLAs | N/A |  | x |  |  |
| 5.09 | Technology, hosting and Scalability | Hosting and monitoring | The supplier is able to monitor resource usage to detect, prevent and resolve service performance deterioration. | N/A |  | x |  |  |
| 5.10 | Technology, hosting and Scalability | Hosting and monitoring | There is a resilient and scalable underlying database structure. | N/A |  | x |  |  |
| 5.11 | Technology, hosting and Scalability | Hosting and monitoring | The platform must be available 24/7 | N/A |  | x |  |  |
| 5.12 | Technology, hosting and Scalability | Scalability | The service shall be designed for scalability so it can meet growth in demand for tests. | N/A |  | x |  |  |
| 5.13 | Technology, hosting and Scalability | Scalability | The service shall be designed for scalability so it can meet growth in terms of additional customers without impacting existing operations | N/A |  | x |  |  |
| 5.14 | Technology, hosting and Scalability | Scalability | Provision of a scalable data storage model. | N/A |  | x |  |  |
| 5.15 | Technology, hosting and Scalability | Scalability | The service can be scaled without degrading performance. | N/A |  | x |  |  |
| 5.16 | Technology, hosting and Scalability | Scalability | The service can meet the base and forecasted usage volumes as set out in the pricing template. | N/A |  | x |  |  |
| 5.17 | Technology, hosting and Scalability | Scalability | The service shall be able to handle reasonable usage spikes and growth. CSHR will notify the supplier of expected significant spikes of usage. | N/A |  | x |  |  |
| 5.18 | Technology, hosting and Scalability | Scalability | The service can be auto-scaled to adapt to reasonable changes in usage volumes. | N/A |  | x |  |  |
| 5.19 | Technology, hosting and Scalability | Disaster Recovery and Resilience | The supplier can and shall provide clear disaster recovery and business continuity plans and documentation. | N/A | Yes | x |  |  |
| 5.20 | Technology, hosting and Scalability | Disaster Recovery and Resilience | The disaster recovery plan and process shall have been tested to ensure its effectiveness. The supplier has plans for assuring this at reasonable intervals. | N/A | Yes | x |  |  |
| 5.21 | Technology, hosting and Scalability | Disaster Recovery and Resilience | The supplier must be able to meet a Recovery Time Objective (RTO) of 48 hours | N/A |  | x |  |  |
| 5.22 | Technology, hosting and Scalability | Disaster Recovery and Resilience | The supplier provides back-up plans and schedules and maintains these. | N/A | Yes | x |  |  |
| 5.23 | Technology, hosting and Scalability | Disaster Recovery and Resilience | There is an established process for communicating and managing recovery activities | N/A | Yes | x |  |  |
| 5.24 | Technology, hosting and Scalability | Change requests | The Supplier shall have a defined and documented process for reviewing, estimating and planning changes required to the service (such as configuration or feature changes). | N/A | Yes | x |  |  |
| 5.25 | Technology, hosting and Scalability | Change requests | The Supplier has a clear process for assessing and reviewing the quality of the service changes/improvements and processes to show that they are better meeting the Authority’s needs. | N/A | Yes | x |  |  |
| 5.26 | Technology, hosting and Scalability | Change requests | The Supplier shall have a robust pipeline for introducing new features and improvements without disrupting the live service. | N/A |  | x |  |  |
| 5.27 | Technology, hosting and Scalability | Change requests | Ability to schedule downtime per-test with a holding page with configurable text | Yes |  |  | x |  |
| 6.01 | Security | Security functionality | User profiles can be defined based on roles and responsibilities, with one user being able to fulfil multiple role types. Audit ability must log which users had which levels of access and when access level changes were made. | Yes |  | x |  |  |
| 6.02 | Security | Security functionality | Users and user groups can have access restricted in multiple ways, EG to prevent visibility or editing of certain items, tests, data, etc This will be detailed in the security management plan, and agreed with the Buyer. | Yes |  | x |  |  |
| 6.03 | Security | Security functionality | Security monitoring can be carried out to log users access and activity. | Yes |  | x |  |  |
| 6.04 | Security | Security functionality | The system must have audit capability so that we can determine what user (and certainly what admins) are and have done in the system. | Yes |  | x |  |  |
| 6.05 | Security | Security functionality | The system must offer MFA (multi-factor authentication) or a similar method for increased security on accounts (EG admins) | N/A |  | x |  |  |
| 6.06 | Security | Security functionality | There is a documented and defined patching policy, software/hardware upgrade policy and a process. At-least 3 month patching is required, with ad-hoc patching to handle urgent issues/vulnerabilities. | N/A |  | x |  |  |
| 6.07 | Security | Physical hosting | The service and data shall be hosted located in the UK or EEA. | N/A |  | x |  |  |
| 6.08 | Security | Standards | The Supplier shall ensure that information held by the Supplier shall be protected regardless of location as detailed in the Contract Agreement. | N/A | Yes | x |  |  |
| 6.09 | Security | Standards | Provide full ISO 27001 certification (or equivalent) to cover all systems that will handle customer data. This will include all supplier (third-party) systems. | N/A |  | x |  |  |
| 6.10 | Security | Standards | The service will be subject to assurance and audit by Government Digital Service (GDS) and/or Cabinet Office to ensure it meets security requirements and standards. This will be carried out at the Supplier's expense. | N/A | Yes | x |  |  |
| 6.11 | Security | Standards | The platform must comply with GDPR legislative requirements. | N/A |  | x |  |  |
| 6.12 | Security | Assurance | The supplier will complete Cabinet Office assurance processes where required with reasonable support from the customer. For information purposes, the risk management plan and security schedule will be provided, see annexes for examples. | N/A | Yes | x |  |  |
| 6.13 | Security | Assurance | The Supplier must adopt the data retention/anonymisation policies required by The Authority for all Authority data, and this may vary across products and services offered by The Authority, resulting in multiple data retention/anonymisation policies. | N/A | Yes | x |  |  |
| 6.14 | Security | Assurance | The Supplier accommodates Customer audit in relation to Assurance, Governance and Compliance during Implementation and throughout the lifecycle of the Contract Agreement. This may include but is not limited to Physical Security, Personnel Security and Documentary Security (Policies, Procedures, International Standards and Legislative requirements). Annual auditing is budgeted for (with reasonable notice) by the provider, further frequency would be discussed between both parties | N/A | Yes | x |  |  |
| 6.15 | Security | Assurance | The Supplier shall ensure that the service to be offered has been penetration tested prior to the service going live, with all issues identified above medium having been resolved. Annual re-testing will be required and any new issues above medium to be resolved. | N/A | Yes | x |  |  |
| 6.16 | Security | Assurance | There must be regular IT Health Checks, at least annually, by a 'CHECK scheme' supplier. Details of all issues, alongside mitigation plans, must be shared with the authority along with regular progress updates. Issues raised during pen tests must be rectified in the following timescales: Critical issues will be resolved within a week of being discovered, Highs within a month, Mediums within 3 months, and Lows and Informational issues being treated as BAU. | N/A | Yes | x |  |  |
| 6.17 | Security | Incident Management | There must be clearly documented and defined plans and processes in place to manage security incidents, to be included in risk management/security plan mentioned above | N/A | Yes | x |  |  |
| 6.18 | Security | Incident Management | The Supplier must report any security incidents or breaches directly to the Authority and the Customer. The Customer will decide the reporting chain of any security incidents or breaches. The Supplier must not report incidents or breaches to the Information Commissioner's Office (ICO) directly in accordance with the Contract Agreement. The supplier will report breaches in a reasonable timeframe to the buyer, in accordance with their obligations under law, and no longer than 48 hours after becoming aware of them. | N/A |  | x |  |  |
| 6.19 | Security | Misc requirements | Protective monitoring is in place to identify system misuse or attack. The supplier must define and document the protective monitoring they have in place that will allow them to be aware of real-time attacks on the system, as well as being able to forensicaly investigate historic attacks. | N/A |  | x |  |  |
| 7.01 | Support and Maintenance | Incident Management | The supplier shall provide live support to manage and resolve service disruption incidents and problems, with clearly definied and documented processes and escalation paths, agreed with the customer | N/A |  | x |  |  |
| 7.02 | Support and Maintenance | Incident Management | Incidents shall be triaged to ensure high priority tickets are dealt with swiftly | N/A |  | x |  |  |
| 7.03 | Support and Maintenance | Incident Management | Live support shall be available during core business hours (9am-5pm BST, Mon-Fri), typical volumes 10 queries per week | N/A |  | x |  |  |
| 7.04 | Support and Maintenance | Incident Management | There shall be clearly defined and agreed SLAs (Service Level Agreements) for resolving incidents and monitoring KPIs | N/A |  | x |  |  |
| 7.05 | Support and Maintenance | Incident Management | The supplier provides adequate resources, with sufficient knowledge and expertise, to meet the agreed SLAs and resolve incidents efficiently. | N/A |  | x |  |  |
| 7.06 | Support and Maintenance | Maintenance | The supplier shall ensure effective plans and processes to maintain the service are documented, shared with the customer and reviewed regularly | N/A | Yes | x |  |  |
| 7.07 | Support and Maintenance | Maintenance | The Authority is to be notified of planned downtime at least two weeks in advance. For urgent maintenance (such as security patching) requiring downtime, the Authority requires a minimum of 24 hours notice unless otherwise agreed. The supplier shall give the Authority the maximum possible notice to prepare for disruptions. | N/A | Yes | x |  |  |
| 7.08 | Support and Maintenance | Maintenance | Planned service disruption (e.g. downtime) shall be scheduled outside of peak usage hours whenever possible to minimise impact to users. | N/A |  | x |  |  |
| 7.09 | Support and Maintenance | Account Management | An Account Manager (acting as a single point of contact) will be provided throughout the course of the contract | N/A | Yes | x |  |  |
| 7.10 | Support and Maintenance | Account Management | The Account Manager shall be accountable for all aspects of Service delivery and fulfilment of the terms and conditions of this Specification and the Contract Agreement. | N/A |  | x |  |  |
| 7.11 | Support and Maintenance | Account Management | The Supplier shall provide a Deputy Account Manager to cover the Account Manager’s periods of holiday, unavailability and absence. | N/A | Yes | x |  |  |
| 7.12 | Support and Maintenance | Account Management | The Account Manager shall hold quarterly strategic review meetings with the Authority. | N/A |  | x |  |  |
| 7.13 | Support and Maintenance | Account Management | The Account Manager shall actively facilitate sharing of good practices across Customer(s) to provide solutions that generate commercial benefits, added value, and deliver new customer spend through the Authority’s Contract Agreement and deliver compliance to government policy. | N/A |  | x |  |  |
| 7.14 | Support and Maintenance | Account Management | The Account Manager shall promote, deliver and communicate transparency of pricing, savings, Commissions to the Authority and the Customer(s) respectively. | N/A |  | x |  |  |
| 7.15 | Support and Maintenance | Account Management | The Authority require that all communications to the Supplier be acknowledged by the Supplier within 4 Core Working Hours. | N/A |  | x |  |  |
| 7.16 | Support and Maintenance | Account Management | The Supplier must have the skills and expertise available to support and maintain the service to the agreed service levels and requirements. | N/A |  | x |  |  |
| 7.17 | Support and Maintenance | Exit plan | At the start of the Contract Period, the Authority shall require the Supplier to provide details of a proposed exit strategy and plan for all tests. The exit strategy and plan shall be agreed in writing with the Authority prior to any transitioning. In implementing the exit strategy and plan the Supplier shall ensure that a smooth transition is effected from their current Contract with the supplier across to new Contract under any new supplier, and that the Supplier shall work collaboratively with any new supplier appointed. | N/A | Yes | x |  |  |
| 7.18 | Support and Maintenance | Exit plan | After the end of the term of the Contract, on a date agreed with the Authority, the Authority shall require all current and historic data and all tests to be permanently deleted in accordance with Schedule 10 (Exit Management) of the Contract at no extra cost to the Authority. The Supplier shall confirm in writing when all data has been destroyed. | N/A |  | x |  |  |
| 8.01 | Continuous Improvement and Innovation | Continuous Improvement and Innovation | The Supplier will be expected to continually innovate, improving the way in which the required Services are to be delivered throughout the Contract duration, specifically working with the customer's continuous improvement function on a regular basis to review, discuss and improve the service - including contributing to active research programmes to improve the item and test types and testing methods | N/A |  | x |  |  |
| 8.02 | Continuous Improvement and Innovation | Continuous Improvement and Innovation | Changes to the way in which the Services are to be delivered must be brought to the Authority’s attention and agreed prior to any changes being implemented. | N/A |  | x |  |  |
| 8.03 | Continuous Improvement and Innovation | Continuous Improvement and Innovation | The supplier provides a clear roadmap for improving their service during the service lifetime, and is expected to embrace future technologies and developments. | N/A |  | x |  |  |
| 8.04 | Continuous Improvement and Innovation | Continuous Improvement and Innovation | There will be an established channel for the customer to provide suggestions to improve the service which form part of the supplier roadmap. | N/A |  | x |  |  |
| 9.01 | Implementation | Implementation | The Supplier shall provide a clear implementation plan and roadmap with milestones and dates to be agreed with the Authority. | N/A | Yes | x |  |  |
| 9.02 | Implementation | Authority’s responsibilities | The Authority shall be responsible for developing, trialing and assembling test content on the platform. The supplier (through training, documentation and contact) shall support the Authority in doing so effectively. | N/A |  | x |  |  |
| 9.03 | Implementation | Authority’s responsibilities | The Authority shall maintain a service team responsible for the managing of the service from the Authority side. They will also provide subject matter expertise, such as knowledge of end-users, user research, understanding of government digital standards and patterns. | N/A |  | x |  |  |
| 9.04 | Implementation | Staff and customer service | The Supplier staff assigned to the Contract shall have the relevant qualifications, skills, experience and security clearance needed for their roles | N/A |  | x |  |  |
| 9.05 | Implementation | Intellectual Property Rights (IPR) | The Authority retains intellectual property rights for the items and tests created by it on the online tests platform. This also includes items and user data. | N/A |  | x |  |  |

**ANNEX 2: THE GOODS (NOT USED)**

**CONTRACT SCHEDULE 3: CONTRACT CHARGES, PAYMENT AND INVOICING**

1. **DEFINITIONS**
   1. The following terms used in this Contract Schedule 3 shall have the following meaning:

|  |  |
| --- | --- |
| "Indexation" | means the adjustment of an amount or sum in accordance with paragraph [11](#_heading=h.4a7cimu) of this Contract Schedule 3; |
| "Indexation Adjustment Date" | has the meaning given to it in paragraph [11.1.1(a)](#_heading=h.2pcmsun) of this Contract Schedule 3; |
| "Reimbursable Expenses” | means the reasonable out of pocket travel and subsistence (for example, hotel and food) expenses, properly and necessarily incurred in the performance of the Services, calculated at the rates and in accordance with the Customer's expenses policy current from time to time, but not including:   1. travel expenses incurred as a result of Supplier Personnel travelling to and from their usual place of work, or to and from the premises at which the Services are principally to be performed, unless the Customer otherwise agrees in advance in writing; and 2. subsistence expenses incurred by Supplier Personnel whilst performing the Services at their usual place of work, or to and from the premises at which the Services are principally to be performed; |
| "Review Adjustment Date" | has the meaning given to it in paragraph  [10.1.2](#_heading=h.3b2epr8) of this Contract Schedule 3; |
| "CPI" | means the Consumer Prices Index as published by the Office of National Statistics ( [http://www.statistics.gov.uk/instantfigures.asp](about:blank)  [)](http://www.statistics.gov.uk/instantfigures.asp)); and |
| "Supporting Documentation" | means sufficient information in writing to enable the Customer to reasonably assess whether the Contract Charges, Reimbursable Expenses and other sums due from the Customer under this Contract detailed in the information are properly payable. |

1. **GENERAL PROVISIONS**
   1. This Contract Schedule 3 details:
      1. the Contract Charges for the Goods and/or the Services under this Contract; and
      2. the payment terms/profile for the Contract Charges;
      3. the invoicing procedure; and
      4. the procedure applicable to any adjustments of the Contract Charges.
2. **CONTRACT CHARGES**
   1. The Contract Charges which are applicable to this Contract are set out in Annex 1 of this Contract Schedule 3.
   2. The Supplier acknowledges and agrees that:
      1. in accordance with paragraph [2](#_heading=h.2sioyqq) (General Provisions) of Contract Schedule 3 (Contract Charges Payment and Invoicing), the Contract Charges can in no event exceed the Contract Prices set out in Annex 1 to Contract Schedule 3 (Contract Charges Payment and Invoicing); and
      2. subject to paragraph [8](#_heading=h.1l354xk) of this Contract Schedule 3 (Adjustment of Contract Charges), the Contract Charges cannot be increased during the Contract Period.

1. **COSTS AND EXPENSES**
   1. Except as expressly set out in paragraph [5](#_heading=h.26sx1u5) of this Contract Schedule 3 (Reimbursable Expenses),] the Contract Charges include all costs and expenses relating to the Goods and/or Services and/or the Supplier’s performance of its obligations under this Contract and no further amounts shall be payable by the Customer to the Supplier in respect of such performance, including in respect of matters such as:
      1. any incidental expenses that the Supplier incurs, including travel, subsistence and lodging, document or report reproduction, shipping, desktop or office equipment costs required by the Supplier Personnel, network or data interchange costs or other telecommunications charges; or
      2. any amount for any services provided or costs incurred by the Supplier prior to the Contract Commencement Date.

1. **REIMBURSEABLE EXPENSES**
   1. If the Customer has so specified in the Contract Order Form, the Supplier shall be entitled to be reimbursed by the Customer for Reimbursable Expenses (in addition to being paid the relevant Contract Charges under this Contract), provided that such Reimbursable Expenses are supported by Supporting Documentation. The Customer shall provide a copy of their current expenses policy to the Supplier upon request.
2. **PAYMENT TERMS/PAYMENT PROFILE**
   1. The payment terms/profile which are applicable to this Contract are set out in Annex 2 of this Contract Schedule 3.

1. **INVOICING PROCEDURE**
   1. The Customer shall pay all sums properly due and payable to the Supplier in cleared funds within thirty (30) days of receipt of a Valid Invoice, submitted to the address specified by the Customer in paragraph [7.6](#_heading=h.35xuupr) of this Contract Schedule 3 and in accordance with the provisions of this Contract.
   2. The Supplier shall ensure that each invoice (whether submitted electronically through a purchase-to-pay (P2P) automated system (or similar) or in a paper form, as the Customer may specify (but, in respect of paper form, subject to paragraph 7.3 below)):
      1. contains:
         1. all appropriate references, including the unique order reference number set out in the Contract Order Form; and
         2. a detailed breakdown of the Delivered Goods and/or Services, including the Milestone(s) (if any) and Deliverable(s) within this Contract to which the Delivered Goods and/or Services relate, against the applicable due and payable Contract Charges; and
      2. shows separately:
         1. any Service Credits due to the Customer; and
         2. the VAT added to the due and payable Contract Charges in accordance with Clause [23.2.1](#_heading=h.pkwqa1) of this Contract (VAT) and the tax point date relating to the rate of VAT shown; and
      3. is exclusive of any Management Levy (and the Supplier shall not attempt to increase the Contract Charges or otherwise recover from the Customer as a surcharge the Management Levy levied on it by the Authority); and
      4. it is supported by any other documentation reasonably required by the Customer to substantiate that the invoice is a Valid Invoice.
   3. If the Customer is a Central Government Body, the Customer’s right to request paper form invoicing shall be subject to procurement policy note 11/15 (available at [**Procurement policy note 11/15: unstructured**](https://www.gov.uk/government/publications/procurement-policy-note-1115-unstructured-electronic-invoices)[**electronic invoices - Publications - GOV.UK**](https://www.gov.uk/government/publications/procurement-policy-note-1115-unstructured-electronic-invoices)which sets out the policy in respect of unstructured electronic invoices submitted by the Supplier to the Customer (as may be amended from time to time).
   4. The Supplier shall accept the Government Procurement Card as a means of payment for the Goods and/or Services where such card is agreed with the Customer to be a suitable means of payment. The Supplier shall be solely liable to pay any merchant fee levied for using the Government Procurement Card and shall not be entitled to recover this charge from the Customer.
   5. All payments due by one Party to the other shall be made within thirty (30) days of receipt of a Valid Invoice unless otherwise specified in this Contract, in cleared funds, to such bank or building society account as the recipient Party may from time to time direct.
   6. The Supplier shall submit invoices directly to the Customer’s billing address set out in the Contract Order Form.
2. **ADJUSTMENT OF CONTRACT CHARGES**
   1. The Contract Charges shall only be varied:
      1. due to a Specific Change in Law in relation to which the Parties agree that a change is required to all or part of the Contract Charges in accordance with Clause [22.2](#_heading=h.4h042r0) of this Contract (Legislative Change);
      2. NOT USED
      3. where all or part of the Contract Charges are reduced as a result of a review of the Contract Charges in accordance with Clause [18](#_heading=h.1664s55) of this Contract (Continuous Improvement);
      4. where all or part of the Contract Charges are reduced as a result of a review of Contract Charges in accordance with Clause [25](#_heading=h.2250f4o) of this Contract (Benchmarking);
      5. where all or part of the Contract Charges are reviewed and reduced in accordance with paragraph [9](#_heading=h.3ws6mnt) of this Contract Schedule 3;
      6. where a review and increase of Contract Charges is requested by the Supplier and Approved, in accordance with the provisions of paragraph [10](#_heading=h.r2r73f) of this Contract Schedule 3; or
      7. where Contract Charges or any component amounts or sums thereof are expressed in this Contract Schedule 3 as “subject to increase by way of Indexation”, in accordance with the provisions in paragraph [11](#_heading=h.4a7cimu) of this Contract Schedule 3.
   2. Subject to paragraphs [8.1.1](#_heading=h.452snld) to [8.1.5](#_heading=h.1yib0wl) of this Contract Schedule 3, the Contract Charges will remain fixed for the number of Contract Years specified in the Contract Order Form.

1. **SUPPLIER PERIODIC ASSESSMENT OF CONTRACT CHARGES**
   1. Every six (6) Months during the Contract Period, the Supplier shall assess the level of the Contract Charges to consider whether it is able to reduce them.
   2. Such assessments by the Supplier under paragraph [9](#_heading=h.3ws6mnt) of this Contract Schedule 3 shall be carried out on the dates specified in the Contract Order Form in each Contract Year (or in the event that such dates do not, in any Contract Year, fall on a Working Day, on the next Working Day following such dates). To the extent that the Supplier is able to decrease all or part of the Contract Charges it shall promptly notify the Customer in writing and such reduction shall be implemented in accordance with paragraph [12.1.5](#_heading=h.3ohklq9) of this Contract Schedule 3 below.

1. **SUPPLIER REQUEST FOR INCREASE OF THE CONTRACT CHARGES**
   1. If the Customer has so specified in the Contract Order Form, the Supplier may request an increase in all or part of the Contract Charges in accordance with the remaining provisions of this paragraph [10](#_heading=h.r2r73f) subject always to:
      1. paragraph [3.2](#_heading=h.17nz8yj) of this Contract Schedule 3;
      2. the Supplier's request being submitted in writing at least three (3) Months before the effective date for the proposed increase in the relevant Contract Charges ("**Review Adjustment Date**") which shall be subject to paragraph [10.2](#_heading=h.1q7ozz1) of this Contract Schedule 3; and
      3. the Approval of the Customer which shall be granted in the Customer’s sole discretion.
   2. The earliest Review Adjustment Date will be the first (1st) Working Day following the anniversary of the Contract Commencement Date after the expiry of the period specified in paragraph 8.2 of this Contract Schedule 3 during which the Contract Charges shall remain fixed (and no review under this paragraph 10 is permitted). Thereafter any subsequent increase to any of the Contract Charges in accordance with this paragraph [10](#_heading=h.r2r73f) of this Contract Schedule 3 shall not occur before the anniversary of the previous Review Adjustment Date during the Contract Period.
   3. To make a request for an increase of some or all of the Contract Charges in accordance with this paragraph [10](#_heading=h.r2r73f), the Supplier shall provide the Customer with:
      1. a list of the Contract Charges it wishes to review;
      2. for each of the Contract Charges under review, written evidence of the justification for the requested increase including:
         1. a breakdown of the profit and cost components that comprise the relevant Contract Charge;
         2. details of the movement in the different identified cost components of the relevant Contract Charge;
         3. reasons for the movement in the different identified cost components of the relevant Contract Charge;
         4. evidence that the Supplier has attempted to mitigate against the increase in the relevant cost components; and
         5. evidence that the Supplier’s profit component of the relevant Contract Charge is no greater than that applying to Contract Charges using the same pricing mechanism as at the Contract Commencement Date.

1. **INDEXATION – Clause not used as Indexation will not apply to this Contract**
2. **IMPLEMENTATION OF ADJUSTED CONTRACT CHARGES**
   1. Variations in accordance with the provisions of this Contract Schedule 3 to all or part the Contract Charges (as the case may be) shall be made by the Customer to take effect:
      1. in accordance with Clause [22.2](#_heading=h.4h042r0) of this Contract (Legislative Change) where an adjustment to the Contract Charges is made in accordance with paragraph [8.1.1](#_heading=h.452snld) of this Contract Schedule 3;
      2. in accordance with Clause 23.1.4 of this Contract (Contract Charges and Payment) where an adjustment to the Contract Charges is made in accordance with paragraph [8.1.2](#_heading=h.2k82xt6) of this Contract Schedule 3;
      3. in accordance with Clause [18](#_heading=h.1664s55) of this Contract (Continuous Improvement) where an adjustment to the Contract Charges is made in accordance with paragraph [8.1.3](#_heading=h.zdd80z) of this Contract Schedule 3;
      4. in accordance with Clause [25](#_heading=h.2250f4o) of this Contract (Benchmarking) where an adjustment to the Contract Charges is made in accordance with paragraph [8.1.4](#_heading=h.3jd0qos) of this Contract Schedule 3;
      5. on the dates specified in the Contract Order Form where an adjustment to the Contract Charges is made in accordance with paragraph [8.1.5](#_heading=h.1yib0wl) of this Contract Schedule 3;
      6. on the Review Adjustment Date where an adjustment to the Contract Charges is made in accordance with paragraph [8.1.6](#_heading=h.4ihyjke) of this Contract Schedule 3;
      7. on the Indexation Adjustment Date where an adjustment to the Contract Charges is made in accordance with paragraph [8.1.7](#_heading=h.2xn8ts7) of this Contract Schedule 3;

and the Parties shall amend the Contract Charges shown in Annex 1 to this Contract Schedule 3 to reflect such variations.

**ANNEX 1: CONTRACT CHARGES**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Section A: Implementation** | | | | | | | | |
| **Activity** | **Details / Sub task** | **Named individual** | **Rate Card Role** | **Offered Daily Rate** | **Number of Days** | **Capped Costs** | **Sub task Charge** | **Activity Charge** |
| **Implementation  (excluding the optional rebuild of the current suite of online tests into the Supplier platform)***s* | Implementation of new required functionality (this will take about 6 months effort - 180 - 240 days) | **REDACTED TEXT under FOIA Section 40,**  **Personal Information** Project lead, Software team for item development |  |  |  | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |
| **Customisation  (incl. GOV.UK Styles, situational judgement test)** | As the existing supplier the same system would be used which is already branded and customised to Civil Service Requirements, should this change there would be a cost of **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |  |  |  |  | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |
| **Integration with Oleeo vX** | N/A (As we are the current supplier the system is already integrated with Oleeo VX, should a completely new integration be required it would be **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |  |  |  |  | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |
| **Integration with Fast Stream (graduate) & Fast Track (apprenticeship) applicant tracking system (ATS)** | N/A as we are the current supplier we are already integrated with Valtech, if a completely new integration is required this would be **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |  |  |  |  | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |
|  |  |  |  |  | *Total Days:* |  |  |  |
|  |  |  |  |  | *0.00* |  |  |  |
| **Total Charges n** | | | | | | | | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |

|  |  |  |  |
| --- | --- | --- | --- |
| **Section C: Pricing (per test)** | | | |
| **Volumes** | **Price per test\*** | **\* Pricing is for fully completed tests only. Please note: The unit price per completed test will incorporate any costs incurred by the Supplier in relation to hosting of practice test completions, partial or non-completions of tests and trialling of tests. These items will not be treated as individually chargeable components.** | |
| 0 to 2,000,000 | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |  |  |
| 2,000,001 to 3,000,000 | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |  | |
| 3,000,001 to 4,000,000 | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |  | |
| 4,000,001 to 5,000,000 | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |  | |
| 5,000,001 to 6,000,000 | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |  | |
| 6,000,001 to 7,000,000 | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |  | |
| 7,000,001 and above | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |  | |

|  |  |
| --- | --- |
| **Section D: Staff Rate Cards** | |
|  |  |
| **Role** | **Day Rate** |
| Consultant | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |
| SD time | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |
| CST Time | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |
| Additions to integration scoring templates | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |
| Customisation or feature change | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |
| Additional Training | **REDACTED TEXT under FOIA**  **Section 43 Commercial Interests.** |

**ANNEX 2: PAYMENT TERMS/PROFILE**

Not applicable

**CONTRACT SCHEDULE 4: IMPLEMENTATION PLAN**

1. **INTRODUCTION**
   1. This Contract Schedule 4 specifies the Implementation Plan in accordance with which the Supplier shall provide the Goods and/or Services. This detail will be completed on Contract award, when we have details of the Supplier’s Implementation Plan.
2. **IMPLEMENTATION PLAN**
   1. The Implementation Plan is set out below.
   2. The Milestones to be Achieved are Identified below:

Milestone Deliverables Duration Milestone

Date

Customer Responsibilities

Milestone Payments

Delay Payments

***The Milestones will be Achieved in accordance with Contract Schedule 5 (Testing).***

***For the purposes of Clause*** [***6.4.1(b)(ii)***](#_heading=h.2xcytpi) ***the number of days shall be [insert number of days] days (‘the Delay Period Limit’).***

**CONTRACT SCHEDULE 5: TESTING**

1. **INTRODUCTION**
   1. This Contract Schedule 5 (Testing) sets out the approach to Testing and the different Testing activities to be undertaken, including the preparation and agreement of the Test Strategy and Test Plans.
2. **TESTING OVERVIEW**
   1. All Tests conducted by the Supplier shall be conducted in accordance with the Test Strategy and the Test Plans.
   2. Any Disputes between the Supplier and the Customer regarding this Testing shall be referred to the Dispute Resolution Procedure.
3. **TEST STRATEGY**
   1. The Supplier shall develop the final Test Strategy as soon as practicable but in any case no later than sixty (60) Working Days (or such other period as the Parties may agree) after the Contract Commencement Date.
   2. The final Test Strategy shall include:
      1. an overview of how Testing will be conducted in relation to the Implementation Plan;
      2. the process to be used to capture and record Test results and the categorisation of Test Issues;
      3. the procedure to be followed should a Deliverable fail a Test or where the Testing of a Deliverable produces unexpected results, including a procedure for the resolution of Test Issues;
      4. the procedure to be followed to sign off each Test; and
      5. the process for the production and maintenance of reports relating to Tests.
4. **TEST PLANS**
   1. The Supplier shall develop Test Plans for the approval of the Customer as soon as practicable but in any case no later than sixty (60) Working Days (or such other period as the Parties may agree in the Test Strategy or otherwise) prior to the start date for the relevant Testing as specified in the Implementation Plan.
   2. Each Test Plan shall include as a minimum:
      1. the relevant Test definition and the purpose of the Test, the Milestone to which it relates, the requirements being Tested;
      2. a detailed procedure for the Tests to be carried out, including:
         1. the timetable for the Tests including start and end dates;
         2. the Testing mechanism;
         3. dates and methods by which the Customer can inspect Test results;
         4. the mechanism for ensuring the quality, completeness and relevance of the Tests;
         5. the process with which the Customer will review Test Issues and progress on a timely basis; and
         6. the re-Test procedure, the timetable and the resources which would be required for re-Testing.
   3. The Customer shall not unreasonably withhold or delay its approval of the Test Plans and the Supplier shall implement any reasonable requirements of the Customer in the Test Plans.
5. **TESTING**
   1. When the Supplier has completed a Milestone it shall submit any Deliverables relating to that Milestone for Testing.
   2. Each party shall bear its own costs in respect of the Testing. However, if a Milestone is not Achieved the Customer shall be entitled to recover from the Supplier, any reasonable additional costs it may incur as a direct result of further review or re-Testing of a Milestone.
   3. If the Supplier successfully completes the requisite Tests, the Customer shall issue a Satisfaction Certificate as soon as reasonably practical following such successful completion. Notwithstanding the issuing of any Satisfaction Certificate, the Supplier shall remain solely responsible for ensuring that the Goods and/or Services are implemented in accordance with this Contract.
6. **TEST ISSUES**
   1. Where a Test Issue is identified by the Supplier, the Parties shall agree how such Test Issue shall be dealt with and any failure to agree by the Parties shall be resolved in accordance with the Dispute Resolution Procedure.
7. **TEST QUALITY AUDIT**

* 1. Without prejudice to its rights pursuant to Clause [21](#_heading=h.34g0dwd) (Records, Audit Access and Open Book Data), the Customer or an agent or contractor appointed by the Customer may perform on-going quality audits in respect of any part of the Testing.
  2. If the Customer has any concerns following an audit in accordance with paragraph [7.1](#_heading=h.41wqhpa) above the Customer will discuss such concerns with the Supplier, giving the Supplier the opportunity to provide feedback in relation to specific activities, and subsequently prepare a written report for the Supplier detailing the same to which the Supplier shall, within a reasonable timeframe, respond in writing.
  3. In the event of an inadequate response to the written report from the Supplier, the Customer (acting reasonably) may withhold a Satisfaction Certificate until the issues in the report have been addressed to the reasonable satisfaction of the Customer.

1. **OUTCOME OF TESTING**
   1. The Customer will issue a Satisfaction Certificate when it is satisfied that a Milestone has been Achieved.
   2. If any Milestones (or any relevant part thereof) do not pass the Test in respect thereof then:
      1. the Supplier shall rectify the cause of the failure and re-submit the Deliverables (or the relevant part) to Testing, provided that the Parties agree that there is sufficient time for that action prior to the relevant Milestone Date; or
      2. the Parties shall treat the failure as a Supplier Default.

**ANNEX 1: SATISFACTION CERTIFICATE**

To: [insert name of Supplier] FROM: [insert name of Customer] [insert Date: dd/mm/yyyy]

Dear Sirs,

**SATISFACTION CERTIFICATE**

[Deliverable(s)/Milestone(s)]: *[Insert relevant description of the agreed Deliverables/Milestones]*

We refer to the agreement (**"Contract "**) [insert Contract reference number] relating to the provision of the [insert description of the Goods and/or Services] between the [*insert Customer name*] (**"Customer"**) and [*insert Supplier name*] (**"Supplier"**) dated [*insert Contract Commencement Date dd/mm/yyyy*].

The definitions for any capitalised terms in this certificate are as set out in the Contract.

We confirm that all the [Deliverables/Milestones] relating to [ ] *[insert relevant description of agreed Deliverables/Milestones and/or reference numbers(s) from the Implementation Plan]* have been completed.

Yours faithfully [insert Name] [insert Position]

acting on behalf of [insert name of Customer]

**CONTRACT SCHEDULE 6: SERVICE LEVELS, SERVICE CREDITS AND PERFORMANCE MONITORING**

1. **SCOPE**
   1. This Contract Schedule 6 (Service Levels, Service Credits and Performance Monitoring) sets out the Service Levels which the Supplier is required to achieve when providing the Goods and/or Services, the mechanism by which Service Level Failures and Critical Service Level Failures will be managed and the method by which the Supplier’s performance in the provision by it of the Goods and/or Services will be monitored.
   2. This Contract Schedule 6 comprises:
      1. Part A: Service Levels and Service Credits;
      2. Annex 1 to Part A - Service Levels and Service Credits Table; and
      3. Annex 1 to Part B: Performance Monitoring.

**PART A: SERVICE LEVELS AND SERVICE CREDITS**

1. **GENERAL PROVISIONS**
   1. The Supplier shall provide a proactive Contract manager to ensure that all Service Levels in this Contract and Key Performance Indicators in the DPS Agreement are achieved to the highest standard throughout, respectively, the Contract Period and the DPS Period.

2.2 The Supplier accepts and acknowledges that failure to meet the Service Level Performance Measures set out in the table in Annex 1 to this Part A of this Contract Schedule 6 will result in Service Credits being issued to Customers.

1. **PRINCIPAL POINTS**
   1. The objectives of the Service Levels and Service Credits are to:
      1. ensure that the Goods and/or Services are of a consistently high quality and meet the requirements of the Customer;
      2. provide a mechanism whereby the Customer can attain meaningful recognition of inconvenience and/or loss resulting from the Supplier’s failure to deliver the level of service for which it has contracted to deliver; and
      3. incentivise the Supplier to comply with and to expeditiously remedy any failure to comply with the Service Levels.

1. **SERVICE LEVELS**
   1. Annex 1 to this Part A of this Contract Schedule 6 sets out the Service Levels the performance of which the Parties have agreed to measure.
   2. The Supplier shall monitor its performance of this Contract by reference to the relevant performance criteria for achieving the Service Levels shown in Annex 1 to this Part A of this Contract Schedule 6 (the “**Service Level Performance Criteria**”) and shall send the Customer a Performance Monitoring Report detailing the level of service which was achieved in accordance with the provisions of Part B (Performance Monitoring) of this Contract Schedule 6.
   3. The Supplier shall, at all times, provide the Goods and/or Services in such a manner that the Service Level Performance Measures are achieved.
   4. If the level of performance of the Supplier of any element of the provision by it of the Goods and/or Services during the Contract Period:
      1. is likely to or fails to meet any Service Level Performance Measure or
      2. is likely to cause or causes a Critical Service Failure to occur,
      3. the Supplier shall immediately notify the Customer in writing and the Customer, in its absolute discretion and without prejudice to any other of its rights howsoever arising including under Clause [13](#_heading=h.46r0co2) of this Contract (Service Levels and Service Credits), may:
         1. require the Supplier to immediately take all remedial action that is reasonable to mitigate the impact on the Customer and to rectify or prevent a Service Level Failure or Critical Service Level Failure from taking place or recurring; and
         2. if the action taken under paragraph [(a)](#_heading=h.4fbwdob) above has not already prevented or remedied the Service Level Failure or Critical Service Level Failure, the Customer shall be entitled to instruct the Supplier to comply with the Rectification Plan Process; or
         3. if a Service Level Failure has occurred, deduct from the Contract Charges the applicable Service Credits payable by the Supplier to the Customer in accordance with the calculation formula set out in Annex 1 of this Part A of this Contract Schedule 6; or
         4. if a Critical Service Level Failure has occurred, exercise its right to Compensation for Critical Service Level Failure in accordance with Clause [14](#_heading=h.2zbgiuw) of this Contract (Critical Service Level Failure) (including subject, for the avoidance of doubt, the proviso in Clause [14.2.2](#_heading=h.2dlolyb) of this Contract in relation to Material Breach).
   5. Approval and implementation by the Customer of any Rectification Plan shall not relieve the Supplier of any continuing responsibility to achieve the Service Levels, or remedy any failure to do so, and no estoppels or waiver shall arise from any such Approval and/or implementation by the Customer.
2. **SERVICE CREDITS**

* 1. Annex 1 to this Part A of this Contract Schedule 6 sets out the formula used to calculate a Service Credit payable to the Customer as a result of a Service Level Failure in a given service period which, for the purpose of this Contract Schedule 6, shall be a recurrent period of **[one Month]** during the Contract Period (the “**Service Period**”).
  2. Annex 1 to this Part A of this Contract Schedule 6 includes details of each Service Credit available to each Service Level Performance Criterion if the applicable Service Level Performance Measure is not met by the Supplier.
  3. The Customer shall use the Performance Monitoring Reports supplied by the Supplier under Part B (Performance Monitoring) of this Contract Schedule 6 to verify the calculation and accuracy of the Service Credits, if any, applicable to each relevant Service Period.
  4. Service Credits are a reduction of the amounts payable in respect of the Goods and/or Services and do not include VAT. The Supplier shall set-off the value of any Service Credits against the appropriate invoice in accordance with calculation formula in Annex 1 of Part A of this Contract Schedule 6.

1. **NATURE OF SERVICE CREDITS**
   1. The Supplier confirms that it has modeled the Service Credits and has taken them into account in setting the level of the Contract Charges. Both Parties agree that the Service Credits are a reasonable method of price adjustment to reflect poor performance.

**ANNEX 1 TO PART A: SERVICE LEVELS AND SERVICE CREDITS TABLE**

The Customer will measure the quality of the Supplier’s delivery in accordance with the Key Performance Indicators (KPIs) listed in the table below:

| Description | Key Indicator | Target | Service Credits |
| --- | --- | --- | --- |
| Billing  Accurate and timely billing of The Authority | Correct billing information  (with supporting data) issued to agreed timelines. | 99% measured across each contract year | 1 service credit for each percentage point below target |
| Management Information Timely delivery of monthly reports | Monthly data to be supplied to The Authority in full no later than the 2nd Friday of the following month | 95% measured across each contract year | 1 service credit for each percentage point below target |
| Helpdesk and support availability  Support service to be available during normal UK business hours | Support service available between 09:00 - 17:00 GMT/BST, Monday - Friday, excluding UK public holidays | 98% measured across each contract year | 2 service credits for each percentage point below target |
| Support query turnaround  Timely responses from the support service | 1. Support queries from The Authority receive an initial review and triage response within 2 business hours  2. Support queries from The Authority fully resolved within 2 working days | 1. 98% measured across each contract year  2. 85% measured across each contract year | 1. 2 service credits for each percentage point below target  2. 2 service credits for each percentage point below target |
| System uptime  The system will be online unless downtime has been planned, scheduled and communicated to The Authority | The system will be online and fully functioning 24 hours per day, 7 days per week, excluding planned downtime. | 99% measured across each calendar month | 2 service credits for each percentage point below target |
| Completed test data transfer  The system will quickly and reliably transfer a test taker’s data (score, etc) to the Applicant Tracking System via the integration with CS Jobs | Test session data transferred to the applicant tracking system within 2 minutes of the test taker submitting final responses | 99% measured across each calendar month | 1 service credit for each percentage point below target |
| Page response time  The system will consistently serve pages to users with no significant delay | Pages served to users load fully within 5 seconds of being requested from the system | 98% measured across each calendar month | 2 service credits for each percentage point below target |
| Authority requests  Where The Authority asks The Supplier to provide costs and timescales for work or improvements, timely responses will be given | Requests for costs and timescales relating to new work or improvements will be responded to within 10 working days. If the request is complex and likely to take longer than 10 working days this will be communicated within 2 working days and a suitable response time agreed by both parties. | 95% measured across each contract year | 1 service credit for each percentage point below target |

* 1. Where The Supplier fails to meet the KPIs outlined service credits will apply in The Authority’s favour at the rates listed in the table above.

1.2 One service credit is equal to 500 completed tests (full costs for a completed test).

**ANNEX 1 TO PART B: PERFORMANCE MONITORING**

1. **PRINCIPAL POINTS**
   1. Part B to this Contract Schedule 6 provides the methodology for monitoring the provision of the Goods and/or Services:
      1. to ensure that the Supplier is complying with the Service Levels; and
      2. for identifying any failures to achieve Service Levels in the performance of the Supplier and/or provision of the Goods and/or Services ("**Performance Monitoring System**").
   2. Within twenty (20) Working Days of the Contract Commencement Date the Supplier shall provide the Customer with details of how the process in respect of the monitoring and reporting of Service Levels will operate between the Parties and the Parties will endeavour to agree such process as soon as reasonably possible.
2. **REPORTING OF SERVICE FAILURES**
   1. The Supplier shall report all failures to achieve Service Levels and any Critical Service Level Failure to the Customer in accordance with the processes agreed in paragraph [1.2](#_heading=h.nwp17c) of Part B of this Contract Schedule 6 above.
3. **PERFORMANCE MONITORING AND PERFORMANCE REVIEW**

* 1. The Supplier shall provide the Customer with performance monitoring reports (“**Performance Monitoring Reports**”) in accordance with the process and timescales agreed pursuant to paragraph [1.2](#_heading=h.nwp17c) of Part B of this Contract Schedule 6 above which shall contain, as a minimum, the following information in respect of the relevant Service Period just ended:
     1. for each Service Level, the actual performance achieved over the Service Level for the relevant Service Period;
     2. a summary of all failures to achieve Service Levels that occurred during that Service Period;
     3. any Critical Service Level Failures and details in relation thereto;
     4. for any repeat failures, actions taken to resolve the underlying cause and prevent recurrence;
     5. the Service Credits to be applied in respect of the relevant period indicating the failures and Service Levels to which the Service Credits relate; and
     6. such other details as the Customer may reasonably require from time to time.
  2. The Parties shall attend meetings to discuss Performance Monitoring Reports ("**Performance Review Meetings**") on a monthly basis (unless otherwise agreed). The Performance Review Meetings will be the forum for the review by the Supplier and the Customer of the Performance Monitoring Reports. The Performance Review Meetings shall (unless otherwise agreed):
     1. take place within one (1) week of the Performance Monitoring Reports being issued by the Supplier;
     2. take place at such location and time (within normal business hours) as the Customer shall reasonably require unless otherwise agreed in advance;
     3. be attended by the Supplier’s Representative and the Customer's Representative; and
     4. be fully minuted by the Supplier. The prepared minutes will be circulated by the Supplier to all attendees at the relevant meeting and also to the Customer's Representative and any other recipients agreed at the relevant meeting. The minutes of the preceding month's Performance Review Meeting will be agreed and signed by both the Supplier’s Representative and the Customer's Representative at each meeting.
  3. The Customer shall be entitled to raise any additional questions and/or request any further information regarding any failure to achieve Service Levels.
  4. The Supplier shall provide to the Customer such supporting documentation as the Customer may reasonably require in order to verify the level of the performance by the Supplier and the calculations of the amount of Service Credits for any specified Service Period.

1. **SATISFACTION SURVEYS**
   1. In order to assess the level of performance of the Supplier, the Customer may undertake satisfaction surveys in respect of the Supplier's provision of the Goods and/or Services.
   2. The Customer shall be entitled to notify the Supplier of any aspects of their performance of the provision of the Goods and/or Services which the responses to the Satisfaction Surveys reasonably suggest are not in accordance with this Contract.
   3. All other suggestions for improvements to the provision of Goods and/or Services shall be dealt with as part of the continuous improvement programme pursuant to Clause [18](#_heading=h.1664s55) of this Contract (Continuous Improvement).

**CONTRACT SCHEDULE 7: SECURITY**

***[SHORT FORM – PARAGRAPHS 1 TO 5] – N/A***

***Long Form Paragraphs 1 to 8***

1. **DEFINITIONS**

**1.1** In this Contract Schedule 7, the following definitions shall apply:

|  |  |
| --- | --- |
| "Breach of Security" | means the occurrence of:   1. any unauthorised access to or use of the Goods and/or Services, the Sites and/or any Information and Communication Technology (“ICT”), information or data (including the Confidential Information and the Customer Data) used by the Customer and/or the Supplier in connection with this Contract; and/or 2. the loss and/or unauthorised disclosure of any information or data (including the Confidential Information and the Customer Data), including any copies of such information or data, used by the Customer and/or the Supplier in connection with this Contract,   in either case as more particularly set out in the security requirements in the Security Policy; |
| "ISMS" | the information security management system and process developed by the Supplier in accordance with paragraph [3](#_heading=h.3d0wewm) (ISMS) as updated from time to time in accordance with this Schedule 7; |

**"Security Tests"**

and

tests to validate the ISMS and security of all relevant processes, systems, incident response plans, patches to vulnerabilities and mitigations to Breaches of Security.

1. **INTRODUCTION**
   1. The Parties acknowledge that the purpose of the ISMS and Security Management Plan are to ensure a good organisational approach to security under which the specific requirements of this Contract will be met.
   2. The Parties shall each appoint a security representative to be responsible for Security. The initial security representatives of the Parties are:
      1. **REDACTED TEXT under FOIA Section 40, Personal Information**
      2. **REDACTED TEXT under FOIA Section 40, Personal Information**
   3. If the persons named in paragraphs [2.2.1](#_heading=h.2dvym10) and [2.2.2](#_heading=h.t18w8t) are included as Key Personnel, Clause [26](#_heading=h.1gf8i83) (Key Personnel) shall apply in relation to such persons.
   4. The Customer shall clearly articulate its high-level security requirements so that the Supplier can ensure that the ISMS, security schrelated activities and any mitigations are driven by these fundamental needs.
   5. Both Parties shall provide a reasonable level of access to any members of their personnel for the purposes of designing, implementing and managing security.
   6. The Supplier shall use as a minimum Good Industry Practice in the day to day operation of any system holding, transferring or processing Customer Data and any system that could directly or indirectly have an impact on that information, and shall ensure that Customer Data remains under the effective control of the Supplier at all times.
   7. The Supplier shall ensure the up-to-date maintenance of a security policy relating to the operation of its own organisation and systems and on request shall supply this document as soon as practicable to the Customer.
   8. The Customer and the Supplier acknowledge that information security risks are shared between the Parties and that a compromise of either the Supplier or the Customer’s security provisions represents an unacceptable risk to the Customer requiring immediate communication and co-operation between the Parties.

1. **ISMS**

* 1. The Supplier shall develop and submit to the Customer for the Customer’s Approval, within twenty (20) Working Days after the Contract Commencement Date or such other date as agreed between the Parties, an information security management system (ISMS) for the purposes of this Contract, which shall comply with the requirements of paragraphs [3.3](#_heading=h.4c5u7s8) to [3.5](#_heading=h.2rb4i01) of this Contract Schedule 7 (Security).
  2. The Supplier acknowledges that the Customer places great emphasis on the reliability of the performance of the Goods and/or Services, confidentiality, integrity and availability of information and consequently on the security provided by the ISMS and that the Supplier shall be responsible for the effective performance of the ISMS.
  3. The ISMS shall:
     1. unless otherwise specified by the Customer in writing, be developed to protect all aspects of the Goods and/or Services and all processes associated with the provision of the Goods and/or Services, including the Customer Premises, the Sites, any ICT, information and data (including the Customer’s Confidential Information and the Customer Data) to the extent used by the Customer or the Supplier in connection with this Contract;
     2. meet the relevant standards in ISO/IEC 27001 and ISO/IEC27002 in accordance with Paragraph [7](#_heading=h.3i5g9y3);and
     3. at all times provide a level of security which:
        1. is in accordance with the Law and this Contract;
        2. as a minimum demonstrates Good Industry Practice;
        3. complies with the Security Policy;
        4. complies with at least the minimum set of security measures and standards as determined by the Security Policy DPS (Tiers 1-4); <https://www.gov.uk/government/publications/security-policy-framework/hmg-security-policy-framework>
        5. takes account of guidance issued by the Centre for Protection of National Infrastructure on Risk Management <https://www.cpni.gov.uk/considering-risks>
        6. complies with HMG Information Assurance Maturity Model and Assurance DPS <https://www.ncsc.gov.uk/information/hmg-ia-maturity-model-iamm>
        7. meets any specific security threats of immediate relevance to the Goods and/or Services and/or Customer Data; and
        8. complies with the Customer’s ICT policies:
     4. document the security incident management processes and incident response plans;
     5. document the vulnerability management policy including processes for identification of system vulnerabilities and assessment of the potential impact on the Goods and/or Services of any new threat, vulnerability or exploitation technique of which the Supplier becomes aware; and
     6. be certified by (or by a person with the direct delegated authority of) a Supplier’s main board representative, being the “Chief Security Officer”, “Chief Information Officer”, “Chief Technical Officer” or “Chief Financial Officer” (or equivalent as agreed in writing by the Customer in advance of issue of the relevant Security Management Plan).
  4. Subject to Clause [35](#_heading=h.3u2rp3q) of this Contract (Security and Protection of Information) the references to Standards, guidance and policies contained or set out in paragraph [3.3](#_heading=h.4c5u7s8) of this Contract Schedule 7 shall be deemed to be references to

such items as developed and updated and to any successor to or replacement for such standards, guidance and policies, as notified to the Supplier from time to time.

* 1. In the event that the Supplier becomes aware of any inconsistency in the provisions of the standards, guidance and policies set out in paragraph [3.3](#_heading=h.4c5u7s8) of this Contract Schedule 7, the Supplier shall immediately notify the Customer Representative of such inconsistency and the Customer Representative shall, as soon as practicable, notify the Supplier as to which provision the Supplier shall comply with.
  2. If the ISMS submitted to the Customer pursuant to paragraph [3.1](#_heading=h.1s66p4f) of this Contract Schedule 7 is Approved by the Customer, it shall be adopted by the Supplier immediately and thereafter operated and maintained in accordance with this Contract Schedule 7. If the ISMS is not Approved by the Customer, the Supplier shall amend it within ten (10) Working Days of a notice of non-approval from the Customer and re-submit it to the Customer for Approval. The Parties shall use all reasonable endeavours to ensure that the Approval process takes as little time as possible and in any event no longer than fifteen (15) Working Days (or such other period as the Parties may agree in writing) from the date of the first submission of the ISMS to the Customer. If the Customer does not Approve the ISMS following its resubmission, the matter shall be resolved in accordance with the Dispute Resolution Procedure. No Approval to be given by the Customer pursuant to this paragraph [3](#_heading=h.3d0wewm) of this Contract Schedule 7 may be unreasonably withheld or delayed. However any failure to approve the ISMS on the grounds that it does not comply with any of the requirements set out in paragraphs [3.3](#_heading=h.4c5u7s8) to

[3.5](#_heading=h.2rb4i01) of this Contract Schedule 7 shall be deemed to be reasonable.

* 1. Approval by the Customer of the ISMS pursuant to paragraph [3.6](#_heading=h.16ges7u) of this Contract Schedule 7 or of any change to the ISMS shall not relieve the Supplier of its obligations under this Contract Schedule 7.

1. **SECURITY MANAGEMENT PLAN**
   1. Within twenty (20) Working Days after the Contract Commencement Date, the Supplier shall prepare and submit to the Customer for Approval in accordance with paragraph [4](#_heading=h.3qg2avn) of this Contract Schedule 7 a fully developed, complete and up- to-date Security Management Plan which shall comply with the requirements of paragraph [4.2](#_heading=h.25lcl3g) of this Contract Schedule 7.
   2. The Security Management Plan shall:
      1. be based on the initial Security Management Plan set out in Annex 2 (Security Management Plan);
      2. comply with the Security Policy;
      3. identify the necessary delegated organisational roles defined for those responsible for ensuring this Contract Schedule 7 is complied with by the Supplier;
      4. detail the process for managing any security risks from Sub-Contractors and third parties authorised by the Customer with access to the Goods and/or Services, processes associated with the delivery of the Goods and/or Services, the Customer Premises, the Sites and any ICT, Information and data (including the Customer’s Confidential Information and the Customer Data) and any system that could directly or indirectly have an impact on that information, data and/or the Goods and/or Services;
      5. unless otherwise specified by the Customer in writing, be developed to protect all aspects of the Goods and/or Services and all processes associated with the delivery of the Goods and/or Services, including the Customer Premises, the Sites and any ICT, Information and data (including the Customer’s Confidential Information and the Customer Data) to the extent used by the Customer or the Supplier in connection with this Contract or in connection with any system that could directly or indirectly have an impact on that Information, data and/or the Goods and/or Services;
      6. set out the security measures to be implemented and maintained by the Supplier in relation to all aspects of the Goods and/or Services and all processes associated with the delivery of the Goods and/or Services and at all times comply with and specify security measures and procedures which are sufficient to ensure that the Goods and/or Services comply with the provisions of this Contract Schedule 7 (including the requirements set out in paragraph [3.3](#_heading=h.4c5u7s8) of this Contract Schedule 7);
      7. set out the plans for transitioning all security arrangements and responsibilities from those in place at the Contract Commencement Date to those incorporated in the ISMS within the timeframe agreed between the Parties.
      8. be structured in accordance with ISO/IEC27001 and ISO/IEC27002, cross-referencing if necessary to other Schedules which cover specific areas included within those standards; and
      9. be written in plain English in language which is readily comprehensible to the staff of the Supplier and the Customer engaged in the Goods and/or Services and shall reference only documents which are in the possession of the Parties or whose location is otherwise specified in this Contract Schedule 7.
   3. If the Security Management Plan submitted to the Customer pursuant to paragraph 3.1 of this Contract Schedule 7 is Approved by the Customer, it shall be adopted by the Supplier immediately and thereafter operated and maintained in accordance with this Contract Schedule 7. If the Security Management Plan is not approved by the Customer, the Supplier shall amend it within ten (10) Working Days of a notice of non-approval from the Customer and re-submit it to the Customer for Approval. The Parties shall use all reasonable endeavours to ensure that the Approval process takes as little time as possible and in any event no longer than fifteen (15) Working Days (or such other period as the Parties may agree in writing) from the date of the first submission to the Customer of the Security Management Plan. If the Customer does not Approve the Security Management Plan following its resubmission, the matter shall be resolved in accordance with the Dispute Resolution Procedure. No Approval to be given by the Customer pursuant to this paragraph may be unreasonably withheld or delayed. However any failure to approve the Security Management Plan on the grounds that it does not comply with the requirements set out in paragraph [4.2](#_heading=h.25lcl3g) of this Contract Schedule 7 shall be deemed to be reasonable.
   4. Approval by the Customer of the Security Management Plan pursuant to paragraph [4.3](#_heading=h.kqmvb9) of this Contract Schedule 7 or of any change or amendment to the Security Management Plan shall not relieve the Supplier of its obligations under this Contract Schedule 7.
2. **AMENDMENT AND REVISION OF THE ISMS AND SECURITY MANAGEMENT PLAN**

* 1. The ISMS and Security Management Plan shall be fully reviewed and updated by the Supplier and at least annually to reflect:
     1. emerging changes in Good Industry Practice;
     2. any change or proposed change to Goods and/or Services and/or associated processes;
     3. any changes to the Security Policy;
     4. any new perceived or changed security threats; and
     5. any reasonable change in requirement requested by the Customer.
  2. The Supplier shall provide the Customer with the results of such reviews as soon as reasonably practicable after their completion and amend the ISMS and Security Management Plan at no additional cost to the Customer. The results of the review shall include, without limitation:
     1. suggested improvements to the effectiveness of the ISMS;
     2. updates to the risk assessments;
     3. proposed modifications to respond to events that may impact on the ISMS including the security incident management process, incident response plans and general procedures and controls that affect information security; and
     4. suggested improvements in measuring the effectiveness of controls.
  3. Subject to paragraph [5.4](#_heading=h.1jvko6v) of this Contract Schedule 7, any change which the Supplier proposes to make to the ISMS or Security Management Plan (as a result of a review carried out pursuant to paragraph [5.1](#_heading=h.34qadz2) of this Contract Schedule 7, a Customer request, a change to Annex 1 (Security Policy to this Contract Schedule 7) or otherwise) shall be subject to the Variation Procedure and shall not be implemented until Approved in writing by the Customer.
  4. The Customer may, where it is reasonable to do so, Approve and require changes or amendments to the ISMS or Security Management Plan to be implemented on timescales faster than set out in the Variation Procedure but, without prejudice to their effectiveness, all such changes and amendments shall thereafter be subject to the Variation Procedure for the purposes of formalising and documenting the relevant change or amendment for the purposes of this Contract.

1. **SECURITY TESTING**
   1. The Supplier shall conduct Security Tests from time to time (and at least annually across the scope of the ISMS) and additionally after any change or amendment to the ISMS (including security incident management processes and incident response plans) or the Security Management Plan. Security Tests shall be designed and implemented by the Supplier so as to minimise the impact on the delivery of the Goods and/or Services and the date, timing, content and conduct of such Security Tests shall be agreed in advance with the Customer. Subject to compliance by the Supplier with the foregoing requirements, if any Security Tests adversely affect the Supplier’s ability to deliver the Goods and/or Services so as

to meet the Service Level Performance Measures, the Supplier shall be granted relief against any resultant under-performance for the period of the Security Tests.

* 1. The Customer shall be entitled to send a representative to witness the conduct of the Security Tests. The Supplier shall provide the Customer with the results of such Security Tests (in a form approved by the Customer in advance) as soon as practicable after completion of each Security Test.
  2. Without prejudice to any other right of audit or access granted to the Customer pursuant to this Contract, the Customer and/or its authorised representatives shall be entitled, at any time upon giving reasonable notice to the Supplier, to carry out such tests (including penetration tests) as it may deem necessary in relation to the ISMS and the Supplier’s compliance with the ISMS and the Security Management Plan. The Customer may notify the Supplier of the results of such tests after completion of each such test. If any such Customer’s test adversely affects the Supplier’s ability to deliver the Goods and/or Services so as to meet the Target Performance Levels, the Supplier shall be granted relief against any resultant under-performance for the period of the Customer’s test.
  3. Where any Security Test carried out pursuant to paragraphs [6.2](#_heading=h.43v86uo) or [6.3](#_heading=h.2j0ih2h) of this Contract Schedule 7 reveals any actual or potential Breach of Security or weaknesses (including un-patched vulnerabilities, poor configuration and/or incorrect system management), the Supplier shall promptly notify the Customer of any changes to the ISMS and to the Security Management Plan (and the implementation thereof) which the Supplier proposes to make in order to correct such failure or weakness. Subject to the Customer's prior written Approval, the Supplier shall implement such changes to the ISMS and the Security Management Plan and repeat the relevant Security Tests in accordance with the timetable agreed with the Customer or, otherwise, as soon as reasonably possible. For the avoidance of doubt, where the change to the ISMS or Security Management Plan is to address a non-compliance with the Security Policy or security requirements (as set out in Annex 1 (Security Policy) to this Contract Schedule 7) or the requirements of this Contract Schedule 7, the changes to the

ISMS or Security Management Plan shall be at no cost to the Customer.

* 1. If any repeat Security Test carried out pursuant to paragraph [6.4](#_heading=h.y5sraa) of this Contract Schedule 7 reveals an actual or potential Breach of Security exploiting the same root cause failure, such circumstance shall constitute a material Default of this Contract.

1. **ISMS COMPLIANCE**
   1. The Customer shall be entitled to carry out such security audits as it may reasonably deem necessary in order to ensure that the ISMS maintains compliance with the principles and practices of ISO 27001 and/or the Security Policy.
   2. If, on the basis of evidence provided by such security audits, it is the Customer's reasonable opinion that compliance with the principles and practices of ISO/IEC 27001 and/or the Security Policy are not being achieved by the Supplier, then the Customer shall notify the Supplier of the same and give the Supplier a reasonable time (having regard to the extent and criticality of any non- compliance and any other relevant circumstances) to implement and remedy. If the Supplier does not become compliant within the required time then the Customer shall have the right to obtain an independent audit against these standards in whole or in part.
   3. If, as a result of any such independent audit as described in paragraph [7.2](#_heading=h.1xaqk5w) of this Contract Schedule 7 the Supplier is found to be non-compliant with the principles and practices of ISO/IEC 27001 and/or the Security Policy then the Supplier shall, at its own expense, undertake those actions required in order to achieve the necessary compliance and shall reimburse in full the costs incurred by the Customer in obtaining such audit.
2. **BREACH OF SECURITY**

* 1. Either Party shall notify the other in accordance with the agreed security incident management process as defined by the ISMS upon becoming aware of any Breach of Security or any potential or attempted Breach of Security.
  2. Without prejudice to the security incident management process, upon becoming aware of any of the circumstances referred to in paragraph [8.1](#_heading=h.4hae2tp) of this Contract Schedule 7, the Supplier shall:
     1. immediately take all reasonable steps (which shall include any action or changes reasonably required by the Customer) necessary to:
        1. minimise the extent of actual or potential harm caused by any Breach of Security;
        2. remedy such Breach of Security or any potential or attempted Breach of Security in order to protect the integrity of the Customer Property and/or Customer Assets and/or ISMS to the extent that this is within the Supplier’s control;
        3. apply a tested mitigation against any such Breach of Security or attempted Breach of Security and provided that reasonable testing has been undertaken by the Supplier, if the mitigation adversely affects the Supplier’s ability to provide the Goods and/or Services so as to meet the relevant Service Level Performance Measures, the Supplier shall be granted relief against any resultant under-performance for such period as the Customer, acting reasonably, may specify by written notice to the Supplier;
        4. prevent a further Breach of Security or any potential or attempted Breach of Security in the future exploiting the same root cause failure;
        5. supply any requested data to the Customer (or the Computer Emergency Response Team for UK Government (“GovCertUK”)) on the Customer’s request within two (2) Working Days and without charge (where such requests are reasonably related to a possible incident or compromise); and
        6. as soon as reasonably practicable provide to the Customer full details (using the reporting mechanism defined by the ISMS) of the Breach of Security or the potential or attempted Breach of Security, including a root cause analysis where required by the Customer.
  3. In the event that any action is taken in response to a Breach of Security or potential or attempted Breach of Security that demonstrates non-compliance of the ISMS with the Security Policy or the requirements of this Contract Schedule 7, then any required change to the ISMS shall be at no cost to the Customer.

**ANNEX 1: SECURITY POLICY**

**SECURITY MANAGEMENT - ASSURANCE**

**Version Control**

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| --- | --- | --- | --- |
| **Version** | **Date** | **Reviewer** | **Notes** |
| 1.0 | 23.03.2021 | Cabinet Office |  |

**Instructions**

1. This Schedule is the Security Management Assurance version to the provision of an online testing platform Services Call Off Contract Schedule 7.
2. The essential difference between the two versions of this Schedule is that the Accreditation version requires the Authority to directly assess the security of the systems used to Process Authority Data. This Assurance Schedule requires less Authority involvement in that review process. The decision whether or not to allow the Supplier to Process Authority Data is based on a desktop review of the Supplier's Security Management Plan. The decision whether to use the Assurance or Accreditation version of the Schedule depends mainly on the quantity and nature of the Authority Data which the Supplier will Process. In addition, the Authority will need to consider whether it possesses, or has access to, the technical capability to perform the accreditation role.
3. The other key difference between the two versions of the Schedule is that the Assurance version omits the express rights to terminate contained in the Accreditation version. The Authority should consider whether to include express termination rights in all or some of the following circumstances:
   1. the Authority has issued two rejection notices in respect of the Security Management Plan;
   2. the Supplier fails to implement a change required by the Required Changes Risk Register in accordance with the timescales set out in the Required Changes Risk Register;
   3. the Supplier fails to patch vulnerabilities in accordance with the Security Requirements; and/or
   4. the Supplier materially fails to comply with the Incident Management Process.
4. In addition, when using this Schedule, the Authority will need to consider a number of matters, set out in the following paragraphs.
5. The Authority or organisation running the framework procurement will need to consider several definitions used in this Schedule and adapt them to the Services being provided. The Schedule incorporates a series of “flow downs” to different categories of Sub-contractor to ensure that those bodies contribute to the Supplier’s compliance with the obligations in this Schedule. These are:
   1. All Sub-contractors that Process Authority Data. These Sub-contractors must comply with the Sub-contractor Security Requirements in Annex 2. The Authority must check that these requirements are appropriate to the full range of Sub-contractors that will Process Authority Data.
   2. Higher Risk Sub-contractors. These Sub-contractors are subject to a requirement to be certified to ISO27001:2013 or to possess HMG’s Cyber Essentials Plus certification. The Authority will need to consider the nature and quantity of Authority Data being processed under the contract to determine the threshold for designating a Sub-contractor as a Higher Risk Sub-contractor.
   3. Medium Risk Sub-contractors. These Sub-contractors require certification under the Cyber Essentials scheme. Again, the Authority will need to determine the threshold for designation.
6. The "Baseline Security Requirements" set out in Annex 1 to this document require review prior before issuing to bidders to ensure that all necessary security requirements are documented, each of the requirements is clearly expressed and appropriate for the Services which are to be provided. In particular, for the Authority should review the NCSC Cloud Security Principles to determine what implementation approach for each of those principles it will require.
7. The Authority will need to check the text that is [highlighted in square brackets]. These relate mainly to timeframes and dates for the provision of information or reports by the Supplier or for decisions by the Authority. The Authority will need to ensure that these dates are consistent with its plans for the implementation of the services and that it has sufficient allocated resource to make the appropriate decisions within the timeframes it specifies.
8. This Schedule does not deal specifically with the processing of Personal Data but documents the Protective Measures in place to secure compliance with that requirement of the GDPR. The Authority will need to ensure that the relevant provisions of the MSC (ie, Clause 23 and Schedule 11) accurately reflect the controller and processor relationships in the Agreement. The Schedule requires the Supplier to the Personal Data Processing Statement, which is consistent with article 28.3 of the GDPR. This document will help to inform the Authority's assessment of the Security Management Plan and whether the measures which the Supplier has taken or proposes to take to eliminate or mitigate the identified risks to the Authority Data (including any Personal Data) are appropriate and acceptable.
9. As the default position, this version of Schedule 2.4 (Security Management) requires that all processing of Authority Data must take place in the United Kingdom (see Annex 1, paragraph 8 and Annex 2, paragraph 3.1). The Authority may depart from this position where it has considered the risks of doing so. The Authority will need to ensure that where Authority Data is Processed outside the United Kingdom, this occurs in compliance with the requirements of the Data Protection Legislation and any other relevant government policy.]
10. **Definitions**

In this Schedule:

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| --- | --- |
| **“Anti-Malicious Software”** | means software that scans for and identifies possible Malicious Software in the IT Environment; |
| **“Breach of Security”** | 1. an event that results, or could result, in: 2. any unauthorised access to or use of the Authority Data, the Services and/or the Information Management System; and/or 3. the loss, corruption and/or unauthorised disclosure of any information or data (including the Confidential Information and the Government Data), including any copies of such information or data, used by the Authority and/or the Supplier in connection with this Call-Off Contract; |
| **“Certification Requirements”** | means the information security requirements set out in Paragraph 5; |
| **“CHECK Service Provider”** | means a company which has been certified by the National Cyber Security Centre, holds "Green Light" status and is authorised to provide the IT Health Check services required by Paragraph 6.1; |
| **“CREST Service Provider”** | means a company with a SOC Accreditation from CREST International; |
| **“Higher Risk Sub-contractor”** | means a Sub-contractor that Processes Authority Data[, where that data includes either:   1. the Personal Data of 1000 or more individuals in aggregate during the period between the first Operational Service Commencement Date and the date on which this Agreement terminates in accordance with Clause 4.1(b); or 2. Special Category Personal Data;]   [**DN**: This definition is provided as an example only and should be modified to take into account the circumstances of the individual Agreement.] |
| **“Cyber Essentials”** | means the Cyber Essentials certificate issued under the Cyber Essentials Scheme; |
| **“Cyber Essentials Plus”** | means the Cyber Essentials Plus certificate issued under the Cyber Essentials Scheme; |
| **“Cyber Essentials Scheme”** | means the Cyber Essentials scheme operated by the National Cyber Security Centre; |
| **“Incident Management Process”** | means the process which the Supplier shall implement immediately after it becomes aware of a Breach of Security which is intended to restore normal operations as quickly as possible, minimising any adverse impact on the Authority Data, the Authority, the Services and/or users of the Services and which shall be shall be prepared by the Supplier in accordance with Paragraph 3 using the template set out in Annex 3; |
| **“Information Assurance Assessment”** | means the set of policies, procedures, systems and processes which the Supplier shall implement, maintain and update in accordance with Paragraph 3 in order to manage, mitigate and, where possible, avoid information security risks including cyber-attacks, hacks, data leaks, Personal Data Breaches and/or theft and which shall be prepared by the Supplier using the template set out in Annex 3; |
| **“Information Management System”** | means   1. those parts of the Supplier System, and those of the Sites, that the Supplier or its Sub-contractors will use to provide the parts of the Services that require Processing Authority Data; and 2. the associated information assets and systems (including organisational structure, controls, policies, practices, procedures, processes and resources); |
| **“Information Security Approval Statement”** | means a notice issued by the Authority which sets out the information risks which the Supplier has identified as being associated with using the Information Management System and confirms that:   1. the Authority is satisfied that the identified risks have been adequately and appropriately addressed; 2. the Authority has accepted the residual risks; and 3. the Supplier may use the Information Management System to Process Authority Data; |
| **“IT Health Check”** | has the meaning given in Paragraph 6.1; |
| **“Medium Risk Sub-contractor”** | means a Sub-contractor that Processes Authority Data, [where that data   1. includes the Personal Data of between 100 and 999 individuals (inclusive) in the period between the first Operational Service Commencement Date and the date on which this Agreement terminates in accordance with Clause 4.1(b); and 2. does not include Special Category Personal Data];   [**DN**: This definition is provided as an example only and should be modified to take into account the circumstances of the individual Agreement.] |
| **“Personal Data”** | has the meaning given in the Data Protection Legislation; |
| **“Personal Data Breach”** | has the meaning given in the Data Protection Legislation; |
| **“Personal Data Processing Statement”** | means a document setting out:   1. the types of Personal Data which the Supplier and/or its Sub-contractors Processes or will Process under this Agreement; 2. the categories of Data Subjects whose Personal Data the Supplier and/or its Sub-contractors Processes or will Process under this Agreement; 3. the nature and purpose of such Processing; 4. the locations at which the Supplier and/or its Sub-contractors Process Personal Data under this Agreement; and 5. the Protective Measures that the Supplier and, where applicable, its Sub-contractors have implemented to protect Personal Data Processed under this Agreement against a Breach of Security (insofar as that Breach of Security relates to data) or a Personal Data Breach; |
| **“Process”** | means any operation which is performed on data, whether or not by automated means, including collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction; |
| **“Required Changes Register”** | mean the register within the Security Management Plan which is to be maintained and updated by the Supplier and which shall record each of the changes that the Supplier shall make to the Information Management System and/or the Security Management Plan as a consequence of the occurrence of any of the events set out in Paragraph 4.2 together with the date by which such change shall be implemented and the date on which such change was implemented; |
| **“Risk Register”** | is the risk register within the Information Assurance Assessment which is to be prepared and submitted to the Authority for approval in accordance with Paragraph 3; |
| **“Security Management Plan”** | means the document prepared by the Supplier using the template in Annex 3, comprising:   1. the Information Assurance Assessment; 2. the Personal Data Processing Statement; 3. the Required Changes Register; and 4. the Incident Management Process; |
| **Special Category Personal Data** | means the categories of Personal Data set out in article 9(1) of the GDPR; |

1. **Introduction**
   1. This Schedule sets out:
      1. the arrangements the Supplier must implement before, and comply with when, providing the Services and performing its other obligations under this Call-Off Contract to ensure the security of the Authority Data and the Information Management System;
      2. the Certification Requirements applicable to the Supplier and each of those Sub-contractors which Processes Authority Data;
      3. The security requirements in Annex 1, with which the Supplier must comply;
      4. the tests which the Supplier shall conduct on the Information Management System during the Term;
      5. the Supplier's obligations to:
         1. return or destroy Authority Data on the expiry or earlier termination of this Agreement; and
         2. prevent the introduction of Malicious Software into the Supplier System and to scan for, contain the spread of, and minimise the impact of Malicious Software which is introduced into the Supplier System in Paragraph 8; and
         3. report Breaches of Security to the Authority.
2. **Principles of Security**
   1. The Supplier acknowledges that the Authority places great emphasis on the confidentiality, integrity and availability of the Authority Data and, consequently on the security of:
      1. the Sites;
      2. the IT Environment;
      3. the Information Management System; and
      4. the Services.
   2. Notwithstanding the involvement of the Authority in assessing the arrangements which the Supplier implements to ensure the security of the Authority Data and the Information Management System, the Supplier shall be, and shall remain, responsible for:
      1. the security, confidentiality, integrity and availability of the Authority Data whilst that Authority Data is under the control of the Supplier or any of its Sub-contractors; and
      2. the security of the Information Management System.
   3. The Supplier shall:
      1. comply with the security requirements in Annex 1; and
      2. ensure that each Sub-contractor that Processes Authority Data complies with the Sub-contractor Security Requirements.
   4. The Supplier shall provide the Authority with access to the Supplier Personnel responsible for information assurance to facilitate the Authority's assessment of the Supplier's compliance with its obligations set out in this Schedule at reasonable times on reasonable notice.
3. **Information Security Approval Statement** 
   1. The Supplier must ensure that its Implementation Plan sets out in sufficient detail how it will ensure compliance with the requirements of this Schedule , including any requirements imposed on Sub-contractors by Annex 2, from the first Operational Services Commencement Date.
   2. The Supplier may not use the Information Management System to Process Authority Data unless and until:
      1. the Supplier has procured the conduct of an IT Health Check of the Supplier System by a CHECK Service Provider or a CREST Service Provider in accordance with Paragraph 6.1; and
      2. the Authority has issued the Supplier with an Information Security Approval Statement in accordance with the process set out in this Paragraph 3.
   3. The Supplier shall document in the Security Management Plan how the Supplier and its Sub-contractors shall comply with the requirements set out in this Schedule 9 and the Agreement in order to ensure the security of the Authority Data and the Information Management System.
   4. The Supplier shall prepare and submit to the Authority within [20] Working Days of the date of this Call-Off Contract, the Security Management Plan, which comprises:
      1. an Information Assurance Assessment;
      2. the Required Changes Register;
      3. the Personal Data Processing Statement; and
      4. the Incident Management Process.
   5. The Authority shall review the Supplier's proposed Security Management Plan as soon as possible and, in any event within [20] Working Days of receipt and shall either issue the Supplier with:
      1. an Information Security Approval Statement, which shall confirm that the Supplier may use the Information Management System to Process Authority Data; or
      2. a rejection notice, which shall set out the Authority's reasons for rejecting the Security Management Plan.
   6. If the Authority rejects the Supplier's proposed Security Management Plan, the Supplier shall take the Authority's reasons into account in the preparation of a revised Security Management Plan, which the Supplier shall submit to the Authority for review within [10] Working Days or such other timescale as agreed with the Authority.
   7. The Authority may require, and the Supplier shall provide the Authority and its authorised representatives with:
      1. access to the Supplier Personnel;
      2. access to the Information Management System to audit the Supplier and its Sub-contractors’ compliance with this Agreement; and
      3. such other information and/or documentation that the Authority or its authorised representatives may reasonably require, to assist the Authority to establish whether the arrangements which the Supplier and its Sub-contractors have implemented in order to ensure the security of the Authority Data and the Information Management System are consistent with the representations in the Security Management Plan. The Supplier shall provide the access required by the Authority in accordance with this Paragraph within [10] Working Days of receipt of such request, except in the case of a Breach of Security in which case the Supplier shall provide the Authority with the access that it requires within [24 hours] of receipt of such request.
4. **Compliance Reviews** 
   1. The Supplier shall regularly review and update the Security Management Plan, and provide such to the Authority, at least once each year and as required by this Paragraph.
   2. The Supplier shall notify the Authority within [2] Working Days after becoming aware of:
      1. a significant change to the components or architecture of the Information Management System;
      2. a new risk to the components or architecture of the Information Management System;
      3. a vulnerability to the components or architecture of the Service which is classified 'Medium', 'High', 'Critical' or 'Important' in accordance with the classification methodology set out in Paragraph 9.2 of Annex 1 to this Schedule;
      4. a change in the threat profile;
      5. a significant change to any risk component;
      6. a significant change in the quantity of Personal Data held within the Service;
      7. a proposal to change any of the Sites from which any part of the Services are provided; and/or
      8. an ISO27001 audit report produced in connection with the Certification Requirements indicates significant concerns.
   3. Within [10] Working Days of such notifying the Authority or such other timescale as may be agreed with the Authority, the Supplier shall make the necessary changes to the Required Changes Register and submit the updated Required Changes Register the Authority for review and approval.
   4. Where the Supplier is required to implement a change, including any change to the Information Management System, the Supplier shall effect such change at its own cost and expense.
5. **Certification Requirements**
   1. The Supplier shall be certified as compliant with:
      1. ISO/IEC 27001:2013 by a United Kingdom Accreditation Service-approved certification body or is included within the scope of an existing certification of compliance with ISO/IEC 27001:2013; and
      2. Cyber Essentials PLUS, and shall provide the Authority with a copy of each such certificate of compliance before the Supplier shall be permitted to receive, store or Process Authority Data.
   2. The Supplier shall ensure that each Higher Risk Sub-contractor is certified as compliant with either:
      1. ISO/IEC 27001:2013 by a United Kingdom Accreditation Service-approved certification body or is included within the scope of an existing certification of compliance with ISO/IEC 27001:2013; or
      2. Cyber Essentials PLUS, and shall provide the Authority with a copy of each such certificate of compliance before the Higher-Risk Sub-contractor shall be permitted to receive, store or Process Authority Data.
   3. The Supplier shall ensure that each Medium Risk Sub-contractor is certified compliant with Cyber Essentials.
   4. The Supplier shall ensure that the Supplier and each Sub-contractor who is responsible for the secure destruction of Authority Data:
      1. securely destroys Authority Data only on Sites which are included within the scope of an existing certification of compliance with ISO/IEC 27001:2013; and
      2. are certified as compliant with the NCSC Assured Service (CAS) Service Requirement Sanitisation Standard or an alternative standard as agreed by the Authority.
   5. The Supplier shall provide the Authority with evidence of its and its Sub-contractor's compliance with the requirements set out in this Paragraph before the Supplier or the relevant Sub-contractor (as applicable) may carry out the secure destruction of any Authority Data.
   6. The Supplier shall notify the Authority as soon as reasonably practicable and, in any event within 2 Working Days, if the Supplier or any Sub-contractor ceases to be compliant with the Certification Requirements and, on request from the Authority, shall or shall procure that the relevant Sub-contractor shall:
      1. immediately ceases using the Authority Data; and
      2. procure that the relevant Sub-contractor promptly returns, destroys and/or erases the Authority Data in accordance with the requirements set out in this Paragraph.
      3. The Authority may agree to exempt, in whole or part, the Supplier or any Sub-contractor from the requirements of this Paragraph 5. Any exemption must be in writing to be effective. The Supplier must include the exemption in the Security Management Plan.
6. **Security Testing** 
   1. The Supplier shall, at its own cost and expense procure and conduct:
      1. testing of the Information Management System by a CHECK Service Provider or a CREST Service Provider (“**IT Health Check**”); and
      2. such other security tests as may be required by the Authority,
   2. The Supplier shall complete all of the above security tests before the Supplier submits the Security Management Plan to the Authority for review in accordance with Paragraph 3; and it shall repeat the IT Health Check not less than once every 12 months during the Term and submit the results of each such test to the Authority for review in accordance with this Paragraph.
   3. In relation to each IT Health Check, the Supplier shall:
      1. agree with the Authority the aim and scope of the IT Health Check;
      2. promptly, and no later than 10 working days, following the receipt of each IT Health Check report, provide the Authority with a copy of the full report;
      3. in the event that the IT Health Check report identifies any vulnerabilities, the Supplier shall:
         1. prepare a remedial plan for approval by the Authority (each a "**Vulnerability Correction Plan**") which sets out in respect of each vulnerability identified in the IT Health Check report:
            1. how the vulnerability will be remedied;
            2. the date by which the vulnerability will be remedied;
            3. the tests which the Supplier shall perform or procure to be performed (which may, at the discretion of the Authority, include a further IT Health Check) to confirm that the vulnerability has been remedied;
         2. comply with the Vulnerability Correction Plan; and
         3. conduct such further tests on the Service as are required by the Vulnerability Correction Plan to confirm that the Vulnerability Correction Plan has been complied with.
   4. The Supplier shall ensure that any testing which could adversely affect the Supplier System shall be designed and implemented by the Supplier so as to minimise the impact on the delivery of the Services and the date, timing, content and conduct of such tests shall be agreed in advance with the Authority.
   5. If any testing conducted by or on behalf of the Supplier identifies a new risk, new threat, vulnerability or exploitation technique that has the potential to affect the security of the Information Management System, the Supplier shall within [2] Working Days of becoming aware of such risk, threat, vulnerability or exploitation technique provide the Authority with a copy of the test report and:
      1. propose interim mitigation measures to vulnerabilities in the Information System known to be exploitable where a security patch is not immediately available; and
      2. where and to the extent applicable, remove or disable any extraneous interfaces, services or capabilities that are not needed for the provision of the Services (in order to reduce the attack surface of the Supplier System) within the timescales set out in the test report or such other timescales as may be agreed with the Authority.
   6. The Supplier shall conduct such further tests of the Supplier System as may be required by the Authority from time to time to demonstrate compliance with its obligations set out this Schedule and the Call-Off Contract.
   7. The Supplier shall notify the Authority immediately if it fails to, or believes that it will not, mitigate the vulnerability within the timescales set out in Annex 1 to this Schedule.
7. **Security Monitoring and Reporting** 
   1. The Supplier shall:
      1. monitor the delivery of assurance activities;
      2. maintain and update the Security Management Plan in accordance with Paragraph 4;
      3. agree a document which presents the residual security risks to inform the Authority’s decision to give approval to the Supplier to Process, store and transit the Authority Data;
      4. monitor security risk impacting upon the operation of the Service;
      5. report Breaches of Security in accordance with the approved Incident Management Process;
      6. agree with the Authority the frequency and nature of the security reports to be prepared and submitted by the Supplier to the Authority within [20] Working Days of Effective Date.
8. **Malicious Software** 
   1. The Supplier shall install and maintain Anti-Malicious Software or procure that Anti-Malicious Software is installed and maintained on any part of the Information Management System which may Process Authority Data and ensure that such Anti-Malicious Software is configured to perform automatic software and definition updates as well as regular scans of the Information Management System to check for, prevent the introduction of Malicious Software or where Malicious Software has been introduced into the Information Management System, to identify, contain the spread of, and minimise the impact of Malicious Software.
   2. If Malicious Software is found, the parties shall cooperate to reduce the effect of the Malicious Software and, particularly if Malicious Software causes loss of operational efficiency or loss or corruption of Authority Data, assist each other to mitigate any Losses and to restore the Services to their desired operating efficiency.
   3. Any cost arising out of the actions of the parties taken in compliance with the provisions of Paragraph 8.2 shall be borne by the parties as follows:
      1. by the Supplier where the Malicious Software originates from the Supplier Software, the Third Party Software supplied by the Supplier or the Authority Data (whilst the Authority Data was under the control of the Supplier) unless the Supplier can demonstrate that such Malicious Software was present and not quarantined or otherwise identified by the Authority when provided to the Supplier; and
      2. by the Authority, in any other circumstance.
9. **Breach of Security** 
   1. If either party becomes aware of a Breach of Security it shall notify the other in accordance with the Incident Management Process.
   2. The Incident Management Process shall, as a minimum, require the Supplier to do the following upon it becoming aware of a Breach of Security or attempted Breach of Security:
      1. Immediately take all reasonable steps necessary to:
         1. minimise the extent of actual or potential harm caused by such Breach of Security;
         2. remedy such Breach of Security to the extent possible;
         3. apply a tested mitigation against any such Breach of Security; and
         4. prevent a further Breach of Security in the future which exploits the same root cause failure;
      2. as soon as reasonably practicable and, in any event, within 2 Working Days, following the Breach of Security or attempted Breach of Security, provide to the Authority full details of the Breach of Security or attempted Breach of Security, including a root cause analysis where required by the Authority.
   3. In the event that any action is taken in response to a Breach of Security or attempted Breach of Security as a result of non-compliance by the Supplier, its Sub-contractors and/or all or any part of the Information Management System with this Call-Off Contract, then such remedial action shall be completed at no additional cost to the Authority.

**Security Requirements**

1. **Security Classification of Information**

If the provision of the Services requires the Supplier to Process Authority Data which is classified as OFFICIAL-SENSITIVE, the Supplier shall implement such additional measures as agreed with the Authority from time to time in order to ensure that such information is safeguarded in accordance with the applicable Standards.

1. **End User Devices**
   1. The Supplier shall ensure that any Authority Data which resides on a mobile, removable or physically uncontrolled device is stored encrypted using a product or system component which has been formally assured through a recognised certification process agreed with the Authority except where the Authority has given its prior written consent to an alternative arrangement.
   2. The Supplier shall ensure that any device which is used to Process Authority Data meets all of the security requirements set out in the NCSC End User Devices Platform Security Guidance, a copy of which can be found at: <https://www.ncsc.gov.uk/collection/end-user-device-security>
2. **Networking**

The Supplier shall ensure that any Authority Data which it causes to be transmitted over any public network (including the Internet, mobile networks or un-protected enterprise network) or to a mobile device shall be encrypted when transmitted.

1. **Personnel Security**
   1. All Supplier Personnel shall be subject to a pre-employment check before they may participate in the provision and or management of the Services. Such pre-employment checks must include all pre-employment checks which are required by the HMG Baseline Personnel Security Standard including: verification of the individual's identity; verification of the individual's nationality and immigration status; and, verification of the individual's employment history; verification of the individual's criminal record.
   2. The Authority and the Supplier shall review the roles and responsibilities of the Supplier Personnel who will be involved in the management and/or provision of the Services in order to enable the Authority to determine which roles require additional vetting and a specific national security vetting clearance (e.g. a Counter Terrorist Check; a Security Check). Roles which are likely to require additional vetting and a specific national security vetting clearance include system administrators whose role would provide those individuals with privileged access to IT systems which Process Authority Data or data which, if it were Authority Data, would be classified as OFFICIAL-SENSITIVE.
   3. The Supplier shall not permit Supplier Personnel who fail the security checks required by Paragraphs 4.1 and 4.2 to be involved in the management and/or provision of the Services except where the Authority has expressly agreed in writing to the involvement of the named individual in the management and/or provision of the Services.
   4. The Supplier shall ensure that Supplier Personnel are only granted such access to Authority Data as is necessary to enable the Supplier Personnel to perform their role and to fulfil their responsibilities.
   5. The Supplier shall ensure that Supplier Personnel who no longer require access to the Authority Data (e.g. they cease to be employed by the Supplier or any of its Sub-contractors), have their rights to access the Authority Data revoked within 1 Working Day.
   6. The Supplier shall ensure that Supplier Staff that have access to the Sites, the IT Environment or the Authority Data receive regular training on security awareness that reflects the degree of access those individuals have to the Sites, the IT Environment or the Authority Data.
   7. The Supplier shall ensure that the training provided to Supplier Staff under paragraph 4.6 includes training on the identification and reporting fraudulent communications intended to induce individuals to disclose Personal Data or any other information that could be used, including in combination with other Personal Data or information, or with other techniques, to facilitate unauthorised access to the Sites, the IT Environment or the Authority Data (“phishing”).
2. **Identity, Authentication and Access Control**
   1. The Supplier shall operate an access control regime to ensure:
      1. all users and administrators of the Supplier System are uniquely identified and authenticated when accessing or administering the Services; and
      2. all persons who access the Sites are identified and authenticated before they are allowed access to the Sites.
   2. The Supplier shall apply the ‘principle of least privilege’ when allowing persons access to the Supplier System and Sites so that such persons are allowed access only to those parts of the Sites and the Supplier System they require.
   3. The Supplier shall retain records of access to the Sites and to the Supplier System and shall make such record available to the Authority on request.
3. **Data Destruction or Deletion**

The Supplier shall:

* 1. prior to securely sanitising any Authority Data or when requested the Supplier shall provide the Government with all Authority Data in an agreed open format;
  2. have documented processes to ensure the availability of Authority Data in the event of the Supplier ceasing to trade;
  3. securely erase in a manner agreed with the Authority any or all Authority Data held by the Supplier when requested to do so by the Authority;
  4. securely destroy in a manner agreed with the Authority all media that has held Authority Data at the end of life of that media in accordance with any specific requirements in this Call-Off Contract and, in the absence of any such requirements, as agreed by the Authority; and
  5. implement processes which address the CPNI and NCSC guidance on secure sanitisation.

1. **Audit and Protective Monitoring**
   1. The Supplier shall collect audit records which relate to security events in the Information Management System or that would support the analysis of potential and actual compromises. In order to facilitate effective monitoring and forensic readiness such Supplier audit records should (as a minimum) include regular reports and alerts setting out details of access by users of the Information Management System, to enable the identification of (without limitation) changing access trends, any unusual patterns of usage and/or accounts accessing higher than average amounts of Authority Data.
   2. The Supplier and the Authority shall work together to establish any additional audit and monitoring requirements for the Information Management System.
   3. The retention periods for audit records and event logs must be agreed with the Authority and documented in the Security Management Plan.
2. **Location of Authority Data**

The Supplier shall not and shall procure that none of its Sub-contractors Process Authority Data outside the United Kingdom without the prior written consent of the Authority, which may be subject to conditions.

1. **Vulnerabilities and Corrective Action** 
   1. The Authority and the Supplier acknowledge that from time to time vulnerabilities in the Information Management System will be discovered which unless mitigated will present an unacceptable risk to the Authority Data.
   2. The severity of vulnerabilities for COTS Software shall be categorised by the Supplier as ‘Critical’, ‘Important’ and ‘Other’ by aligning these categories to the vulnerability scoring according to the agreed method in the Security Management Plan and using the appropriate vulnerability scoring systems including:
      1. the ‘National Vulnerability Database’ ‘Vulnerability Severity Ratings’: ‘High’, ‘Medium’ and ‘Low’ respectively (these in turn are aligned to CVSS scores as set out by NIST at http://nvd.nist.gov/cvss.cfm); and
      2. Microsoft’s ‘Security Bulletin Severity Rating System’ ratings ‘Critical’, ‘Important’, and the two remaining levels (‘Moderate’ and ‘Low’) respectively.
   3. Subject to Paragraph 9.4, the Supplier shall procure the application of security patches to vulnerabilities in the Information Management System within:
      1. 7 days after the public release of patches for those vulnerabilities categorised as ‘Critical’;
      2. 30 days after the public release of patches for those vulnerabilities categorised as ‘Important’; and
      3. 60 days after the public release of patches for those vulnerabilities categorised as ‘Other’.
   4. The timescales for applying patches to vulnerabilities in the Information Management System set out in Paragraph 9.3 shall be extended where:
      1. the Supplier can demonstrate that a vulnerability in the Information Management System is not exploitable within the context of the Services (e.g. because it resides in a Software component which is not involved in running in the Services) provided such vulnerabilities shall be remedied by the Supplier within the timescales set out in Paragraph 9.3 if the vulnerability becomes exploitable within the context of the Services;
      2. the application of a ‘Critical’ or ‘Important’ security patch adversely affects the Supplier’s ability to deliver the Services in which case the Supplier shall be granted an extension to such timescales of 5 days, provided the Supplier had followed and continues to follow the security patch test plan agreed with the Authority; or
      3. the Authority agrees a different maximum period after a case-by-case consultation with the Supplier under the processes defined in the Security Management Plan.
   5. The Security Management Plan shall include provisions for major version upgrades of all COTS Software to be kept up to date such that all COTS Software are always in mainstream support throughout the Term unless otherwise agreed by the Authority in writing. All COTS Software should be no more than N-1 versions behind the latest software release.
2. **Secure Architecture**
   1. The Supplier shall design the Information Management System in accordance with:
      1. the NCSC "Security Design Principles for Digital Services", a copy of which can be found at: <https://www.ncsc.gov.uk/guidance/security-design-principles-digital-services-main>;
      2. the NCSC "Bulk Data Principles", a copy of which can be found at https://www.ncsc.gov.uk/guidance/protecting-bulk-personal-data-main; and
      3. the NSCS "Cloud Security Principles", a copy of which can be found at: https://www.ncsc.gov.uk/guidance/implementing-cloud-security-principles and which are summarised below:
         1. "Cloud Security Principle 1: data in transit protection" which, amongst other matters, requires that user data transiting networks should be adequately protected against tampering and eavesdropping;
         2. "Cloud Security Principle 2: asset protection and resilience" which, amongst other matters, requires that user data, and the assets storing or processing it, should be protected against physical tampering, loss, damage or seizure;
         3. "Cloud Security Principle 3: separation between users" which, amongst other matters, requires that a malicious or compromised user of the service should not be able to affect the service or data of another;
         4. "Cloud Security Principle 4: governance framework" which, amongst other matters, requires that the Supplier should have a security governance framework which coordinates and directs its management of the Services and information within it;
         5. "Cloud Security Principle 5: operational security" which, amongst other matters, requires that the Services need to be operated and managed securely in order to impede, detect or prevent a Breach of Security;
         6. "Cloud Security Principle 6: personnel security" which, amongst other matters, requires that where Supplier Personnel have access to Authority Data and/or the Authority System that those personnel be subject to appropriate security screening and regular security training;
         7. "Cloud Security Principle 7: secure development" which, amongst other matters, requires that the Services be designed and developed to identify and mitigate threats to their security;
         8. "Cloud Security Principle 8: supply chain security" which, amongst other matters, requires the Supplier to ensure that appropriate security controls are in place with its Sub-contractors and other suppliers;
         9. "Cloud Security Principle 9: secure user management" which, amongst other matters, requires the Supplier to make the tools available for the Authority to securely manage the Authority's use of the Service;
         10. "Cloud Security Principle 10: identity and authentication" which, amongst other matters, requires the Supplier to implement appropriate controls in order to ensure that access to Service interfaces is constrained to authenticated and authorised individuals;
         11. "Cloud Security Principle 11: external interface protection" which, amongst other matters, requires that all external or less trusted interfaces with the Services should be identified and appropriately defended;
         12. "Cloud Security Principle 12: secure service administration" which, amongst other matters, requires that any ICT system which is used for administration of a cloud service will have highly privileged access to that service;
         13. "Cloud Security Principle 13: audit information for users" which, amongst other matters, requires the Supplier to be able to provide the Authority with the audit records it needs to monitor access to the Service and the Authority Data held by the Supplier and/or its Sub-contractors; and
         14. "Cloud Security Principle 14: secure use of the service" which, amongst other matters, requires the Supplier to educate Supplier Personnel on the safe and secure use of the Information Management System.

**Security Requirements for Sub-contractors**

1. **Application of Annex**
   1. This Annex applies to all Sub-contractors that Process Authority Data.
   2. The Supplier must:
      1. ensure that those Sub-contractors comply with the provisions of this Annex;
      2. keep sufficient records to demonstrate that compliance to the Authority; and
      3. ensure that its Implementation Plan includes Deliverable Items, Milestones and Milestone Dates that relate to the design, implementation and management of any systems used by Sub-contractors to Process Authority Data.
2. **Designing and managing secure solutions**
   1. The Sub-contractor shall implement their solution(s) to mitigate the security risks in accordance with the NCSC’s Cyber Security Design Principles <https://www.ncsc.gov.uk/collection/cyber-security-design-principles>.
   2. The Sub-contractor must assess their systems against the NCSC Cloud Security Principles: [https://www.ncsc.gov.uk/collection/cloud-security?curPage=/collection/cloud-security/implementing-the-cloud-security-principles](https://www.ncsc.gov.uk/collection/cloud-security?curPage=/collection/cloud-security/implementing-the-cloud-security-principles%20) at their own cost and expense to demonstrate that the people, process, technical and physical controls have been delivered in an effective way. The Sub-contractor must document that assessment and make that documentation available to the Authority on the Authority’s request.
3. **Data Processing, Storage, Management and Destruction**
   1. The Sub-contractor must not Process any Authority Data outside the United Kingdom. The Authority may permit the Sub-contractor to Process Authority Data outside the United Kingdom and may impose conditions on that permission, with which the Sub-contractor must comply. Any permission must be in writing to be effective.
   2. The Sub-contractor must securely erase any or all Authority Data held by the Sub-contractor when requested to do so by the Authority; and securely destroy all media that has held Authority Data at the end of life of that media in accordance with the NCSC Assured Service (CAS) Service Requirement Sanitisation Standard, or an alternative agreed in writing by the Authority.
4. **Personnel Security**
   1. The Sub-contractor must perform appropriate checks on their staff before they may participate in the provision and or management of the Services. Those checks must include all pre-employment checks required by the HMG Baseline Personnel Security Standard including: verification of the individual's identity; verification of the individual's nationality and immigration status; verification of the individual's employment history; and verification of the individual's criminal record. The HMG Baseline Personnel Security Standard is at https://www.gov.uk/government/publications/government-baseline-personnel-security-standard.
   2. The Sub-contractor must, if the Authority requires, at any time, ensure that one or more of the Sub-contractor’s staff obtains Security Check clearance in order to Process Authority Data containing Personal Data above certain volumes specified by the Authority, or containing Special Category Personal Data.
   3. Any Sub-contractor staff who will, when performing the Services, have access to a person under the age of 18 years must undergo DBS checks
5. **End User Devices**
   1. The Sub-contractor shall ensure that any Authority Data stored (for any period of time) on a mobile, removable or physically uncontrolled device is encrypted. The Sub-contractor must follow the Information Commissioner’s Office guidance on implementing encryption, which can be found at https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/security/encryption/.
   2. The Supplier shall ensure that any device used to Process Authority Data meets all the security requirements set out in the NCSC End User Devices Platform Security Guidance, which can be found at: <https://www.ncsc.gov.uk/guidance/end-user-device-security>.
6. **Networking**

The Supplier shall ensure that any Authority Data which it causes to be transmitted over any public network (including the Internet, mobile networks or un-protected enterprise network) or to a mobile device shall be encrypted when transmitted.

1. **Patching and Vulnerability Scanning**
   1. The Sub-contractor must proactively monitor supplier vulnerability websites and ensure all necessary patches and upgrades are applied to maintain security, integrity and availability in accordance with the NCSC Cloud Security Principles.
2. **Third Party Sub-contractors**
   1. The Sub-contractor must not transmit or disseminate the Authority Data to any other person unless specifically authorised by the Authority. Such authorisation must be in writing to be effective and may be subject to conditions.
   2. The Sub-contractor must not, when performing any part of the Services, use any software to Process the Authority Data where the licence terms of that software purport to grant the licensor rights to Progress the Authority Data greater than those rights strictly necessary for the use of the software.

**ANNEX 2: SECURITY MANAGEMENT PLAN**

**To be provided within 20 working days of Contract Award**

**CONTRACT SCHEDULE 8: BUSINESS CONTINUITY AND DISASTER RECOVERY**

1. **DEFINITIONS**
   1. In this Contract Schedule 8, the following definitions shall apply:

|  |  |
| --- | --- |
| "Business Continuity Plan" | has the meaning given to it in paragraph [2.2.1(b)](#_heading=h.2apwg4x) of this Contract Schedule 8; |
| "Disaster Recovery Plan" | has the meaning given to it in [2.2.1(c)](#_heading=h.pv6qcq) of this Contract Schedule 8; |
| "Disaster Recovery System" | means the system embodied in the processes and procedures for restoring the provision of Goods and/or Services following the occurrence of a disaster; |
| "Review Report" | has the meaning given to it in paragraph [6.2](#_heading=h.22faf7d) of this Contract Schedule 8; |
| "Supplier’s Proposals" | has the meaning given to it in paragraph [6.2.3](#_heading=h.hkkpf6) of this Contract Schedule 8; |

1. **BCDR PLAN**
   1. Within [thirty] [30] Working Days from the Contract Commencement Date the Supplier shall prepare and deliver to the Customer for the Customer’s written approval a plan, which shall detail the processes and arrangements that the Supplier shall follow to:
      1. ensure continuity of the business processes and operations supported by the Services following any failure or disruption of any element of the Goods and/or Services; and
      2. the recovery of the Goods and/or Services in the event of a Disaster.
   2. The BCDR Plan shall:
      1. be divided into three parts:
         1. Part A which shall set out general principles applicable to the BCDR Plan;
         2. Part B which shall relate to business continuity (the **“Business Continuity Plan”**); and
         3. Part C which shall relate to disaster recovery (the **“Disaster Recovery Plan”**); and
      2. unless otherwise required by the Customer in writing, be based upon and be consistent with the provisions of paragraphs 3, 4 and 5 of this Contract Schedule 8.
   3. Following receipt of the draft BCDR Plan from the Supplier, the Customer shall:
      1. review and comment on the draft BCDR Plan as soon as reasonably practicable; and
      2. notify the Supplier in writing that it approves or rejects the draft BCDR Plan no later than twenty (20) Working Days after the date on which the draft BCDR Plan is first delivered to the Customer.
   4. If the Customer rejects the draft BCDR Plan:
      1. the Customer shall inform the Supplier in writing of its reasons for its rejection; and
      2. the Supplier shall then revise the draft BCDR Plan (taking reasonable account of the Customer’s comments) and shall re- submit a revised draft BCDR Plan to the Customer for the Customer's approval within twenty (20) Working Days of the date of the Customer’s notice of rejection. The provisions of [paragraph](http://uk.practicallaw.com/0-202-4551?q=outsourcing&amp;a372155)s [2.3](#_heading=h.39uu90j) and [2.4](#_heading=h.1p04j8c) of this Contract Schedule 8 shall apply again to any resubmitted draft BCDR Plan, provided that either Party may refer any disputed matters for resolution by the Dispute Resolution Procedure at any time.
2. **PART A OF THE BCDR PLAN AND GENERAL PRINCIPLES AND REQUIREMENTS**
   1. Part A of the BCDR Plan shall:
      1. set out how the business continuity and disaster recovery elements of the BCDR Plan link to each other;
      2. provide details of how the invocation of any element of the BCDR Plan may impact upon the operation of the provision of the Goods and/or Services and any goods and/or services provided to the Customer by a Related Supplier;
      3. contain an obligation upon the Supplier to liaise with the Customer and (at the Customer’s request) any Related Suppliers with respect to issues concerning business continuity and disaster recovery where applicable;
      4. detail how the BCDR Plan links and interoperates with any overarching and/or connected disaster recovery or business continuity plan of the Customer and any of its other Related Supplier in each case as notified to the Supplier by the Customer from time to time;
      5. contain a communication strategy including details of an incident and problem management service and advice and help desk facility which can be accessed via multi-channels (including but without limitation a web-site (with FAQs), e-mail, phone and fax) for both portable and desk top configurations, where required by the Customer;
      6. contain a risk analysis, including:
         1. failure or disruption scenarios and assessments and estimates of frequency of occurrence;
         2. identification of any single points of failure within the provision of Goods and/or Services and processes for managing the risks arising therefrom;
         3. identification of risks arising from the interaction of the provision of Goods and/or Services and with the goods and/or services provided by a Related Supplier; and
         4. a business impact analysis (detailing the impact on business processes and operations) of different anticipated failures or disruptions;
      7. provide for documentation of processes, including business processes, and procedures;
      8. set out key contact details (including roles and responsibilities) for the Supplier (and any Sub-Contractors) and for the Customer;
      9. identify the procedures for reverting to “normal service”;
      10. set out method(s) of recovering or updating data collected (or which ought to have been collected) during a failure or disruption to ensure that there is no more than the accepted amount of data loss and to preserve data integrity;
      11. identify the responsibilities (if any) that the Customer has agreed it will assume in the event of the invocation of the BCDR Plan; and
      12. provide for the provision of technical advice and assistance to key contacts at the Customer as notified by the Customer from time to time to inform decisions in support of the Customer’s business continuity plans.
   2. The BCDR Plan shall be designed so as to ensure that:
      1. the Goods and/or Services are provided in accordance with this Contract at all times during and after the invocation of the BCDR Plan;
      2. the adverse impact of any Disaster, service failure, or disruption on the operations of the Customer is minimal as far as reasonably possible;
      3. it complies with the relevant provisions of [ISO/IEC 27002] and all other industry standards from time to time in force; and
      4. there is a process for the management of disaster recovery testing detailed in the BCDR Plan.
   3. The BCDR Plan shall be upgradeable and sufficiently flexible to support any changes to the Goods and/or Services or to the business processes facilitated by and the business operations supported by the provision of Goods and/or Services.
   4. The Supplier shall not be entitled to any relief from its obligations under the Service Levels or to any increase in the Charges to the extent that a Disaster occurs as a consequence of any breach by the Supplier of this Contract.
3. **BUSINESS CONTINUITY PLAN - PRINCIPLES AND CONTENTS**
   1. The Business Continuity Plan shall set out the arrangements that are to be invoked to ensure that the business processes and operations facilitated by the provision of Goods and/or Services remain supported and to ensure continuity of the business operations supported by the Services including, unless the Customer expressly states otherwise in writing:
      1. the alternative processes (including business processes), options and responsibilities that may be adopted in the event of a failure in or disruption to the provision of Goods and/or Services; and
      2. the steps to be taken by the Supplier upon resumption of the provision of Goods and/or Services in order to address any prevailing effect of the failure or disruption including a root cause analysis of the failure or disruption.
   2. The Business Continuity Plan shall:
      1. address the various possible levels of failures of or disruptions to the provision of Goods and/or Services;
      2. set out the goods and/or services to be provided and the steps to be taken to remedy the different levels of failures of and disruption to the Goods and/or Services (such goods and/or services and steps, the “**Business Continuity Goods and/or Services**”);
      3. specify any applicable Service Levels with respect to the provision of the Business Continuity Services and details of any agreed relaxation to the Service Levels in respect of the provision of other Goods and/or Services during any period of invocation of the Business Continuity Plan; and
      4. clearly set out the conditions and/or circumstances under which the Business Continuity Plan is invoked.
4. **DISASTER RECOVERY PLAN - PRINCIPLES AND CONTENTS**
   1. The Disaster Recovery Plan shall be designed so as to ensure that upon the occurrence of a Disaster the Supplier ensures continuity of the business operations of the Customer supported by the Services following any Disaster or during any period of service failure or disruption with, as far as reasonably possible, minimal adverse impact.
   2. The Disaster Recovery Plan shall be invoked only upon the occurrence of a Disaster.
   3. The Disaster Recovery Plan shall include the following:
      1. the technical design and build specification of the Disaster Recovery System;
      2. details of the procedures and processes to be put in place by the Supplier in relation to the Disaster Recovery System and the provision of the Disaster Recovery Services and any testing of the same including but not limited to the following:
         1. [data centre and disaster recovery site audits;
         2. backup methodology and details of the Supplier’s approach to data back-up and data verification;

(c) identification of all potential disaster scenarios; (d) risk analysis;

(e) documentation of processes and procedures; (f) hardware configuration details;

(g) network planning including details of all relevant data networks and communication links;

(h) Innovation Rules

(i) Service recovery procedures; and

(j) steps to be taken upon resumption of the provision of Goods and/or Services to address any prevailing effect of the failure or disruption of the provision of Goods and/or Services

* + 1. any applicable Service Levels with respect to the provision of the Disaster Recovery Services and details of any agreed relaxation to the Service Levels in respect of the provision of other Goods and/or Services during any period of invocation of the Disaster Recovery Plan;
    2. details of how the Supplier shall ensure compliance with security standards ensuring that compliance is maintained for any period during which the Disaster Recovery Plan is invoked;
    3. access controls to any disaster recovery sites used by the Supplier in relation to its obligations pursuant to this Schedule 8; and
    4. testing and management arrangements.

1. **REVIEW AND AMENDMENT OF THE BCDR PLAN**

* 1. The Supplier shall review the BCDR Plan (and the risk analysis on which it is based):
     1. on a regular basis and as a minimum once every six (6) Months;
     2. within three calendar months of the BCDR Plan (or any part) having been invoked pursuant to paragraph 7 of this Contract Schedule 8; and
     3. where the Customer requests any additional reviews (over and above those provided for in paragraphs [6.1.1](#_heading=h.13acmbr)and [6.1.2](#_heading=h.3na04zk) of this Contract Schedule 8) by notifying the Supplier to such effect in writing, whereupon the Supplier shall conduct such reviews in accordance with the Customer’s written requirements. Prior to starting its review, the Supplier shall provide an accurate written estimate of the total costs payable by the Customer for the Customer’s approval. The costs of both Parties of any such additional reviews shall be met by the Customer except that the Supplier shall not be entitled to charge the Customer for any costs that it may incur above any estimate without the Customer’s prior written approval.
  2. Each review of the BCDR Plan pursuant to paragraph [6.1](#_heading=h.2o52c3y) of this Contract Schedule 8 shall be a review of the procedures and methodologies set out in the BCDR Plan and shall assess their suitability having regard to any change to the Goods and/or Services or any underlying business processes and operations facilitated by or supported by the Services which have taken place since the later of the original approval of the BCDR Plan or the last review of the BCDR Plan and shall also have regard to any occurrence of any event since that date (or the likelihood of any such event taking place in the foreseeable future) which may increase the likelihood of the need to invoke the BCDR Plan. The review shall be completed by the Supplier within the period required by the BCDR Plan or, if no

such period is required, within such period as the Customer shall reasonably require. The Supplier shall, within twenty (20) Working Days of the conclusion of each such review of the BCDR Plan, provide to the Customer a report (a **“Review Report”**) setting out:

* + 1. the findings of the review;
    2. any changes in the risk profile associated with the provision of Goods and/or Services; and
    3. the Supplier’s proposals (the **“Supplier’s Proposals”**) for addressing any changes in the risk profile and its proposals for amendments to the BCDR Plan following the review detailing the impact (if any and to the extent that the Supplier can reasonably be expected to be aware of the same) that the implementation of such proposals may have on any goods, services or systems provided by a third party.
  1. Following receipt of the Review Report and the Supplier’s Proposals, the Customer shall:
     1. review and comment on the Review Report and the Supplier’s Proposals as soon as reasonably practicable; and
     2. notify the Supplier in writing that it approves or rejects the Review Report and the Supplier’s Proposals no later than twenty (20) Working Days after the date on which they are first delivered to the Customer.
  2. If the Customer rejects the Review Report and/or the Supplier’s Proposals:
     1. the Customer shall inform the Supplier in writing of its reasons for its rejection; and
     2. the Supplier shall then revise the Review Report and/or the Supplier’s Proposals as the case may be (taking reasonable account of the Customer’s comments and carrying out any necessary actions in connection with the revision) and shall re- submit a revised Review Report and/or revised Supplier’s Proposals to the Customer for the Customer’s approval within twenty (20) Working Days of the date of the Customer’s notice of rejection. The provisions of [paragraphs](http://uk.practicallaw.com/0-202-4551?q=outsourcing&amp;a372155) [6.3](#_heading=h.31k882z) and [6.4](#_heading=h.1gpiias) of this Contract Schedule 8 shall apply again to any resubmitted Review Report and Supplier’s Proposals, provided that either Party may refer any disputed matters for resolution by the Dispute Resolution Procedure at any time.
  3. The Supplier shall as soon as is reasonably practicable after receiving the Customer’s approval of the Supplier’s Proposals (having regard to the significance of any risks highlighted in the Review Report) effect any change in its practices or procedures necessary so as to give effect to the Supplier’s Proposals. Any such change shall be at the Supplier’s expense unless it can be reasonably shown that the changes are required because of a material change to the risk profile of the Goods and/or Services.

1. **TESTING OF THE BCDR PLAN**
   1. The Supplier shall test the BCDR Plan on a regular basis (and in any event not less than once in every Contract Year). Subject to paragraph [7.2](#_heading=h.40p60yl) of this Contract Schedule 8, the Customer may require the Supplier to conduct additional tests of

some or all aspects of the BCDR Plan at any time where the Customer considers it necessary, including where there has been any change to the Goods and/or Services or any underlying business processes, or on the occurrence of any event which may increase the likelihood of the need to implement the BCDR Plan.

* 1. If the Customer requires an additional test of the BCDR Plan, it shall give the Supplier written notice and the Supplier shall conduct the test in accordance with the Customer’s requirements and the relevant provisions of the BCDR Plan. The Supplier’s costs of the additional test shall be borne by the Customer unless the BCDR Plan fails the additional test in which case the Supplier’s costs of that failed test shall be borne by the Supplier.
  2. The Supplier shall undertake and manage testing of the BCDR Plan in full consultation with the Customer and shall liaise with the Customer in respect of the planning, performance, and review, of each test, and shall comply with the reasonable requirements of the Customer in this regard. Each test shall be carried out under the supervision of the Customer or its nominee.
  3. The Supplier shall ensure that any use by it or any Sub-Contractor of “live” data in such testing is first approved with the Customer. Copies of live test data used in any such testing shall be (if so required by the Customer) destroyed or returned to the Customer on completion of the test.
  4. The Supplier shall, within twenty (20) Working Days of the conclusion of each test, provide to the Customer a report setting out:
     1. the outcome of the test;
     2. any failures in the BCDR Plan (including the BCDR Plan's procedures) revealed by the test; and
     3. the Supplier’s proposals for remedying any such failures.
  5. Following each test, the Supplier shall take all measures requested by the Customer, (including requests for the re-testing of the BCDR Plan) to remedy any failures in the BCDR Plan and such remedial activity and re-testing shall be completed by the Supplier, at no additional cost to the Customer, by the date reasonably required by the Customer and set out in such notice.
  6. For the avoidance of doubt, the carrying out of a test of the BCDR Plan (including a test of the BCDR Plan’s procedures) shall not relieve the Supplier of any of its obligations under this Contract.
  7. The Supplier shall also perform a test of the BCDR Plan in the event of any major reconfiguration of the Goods and/or Services or as otherwise reasonably requested by the Customer.

1. **INVOCATION OF THE BCDR PLAN**
   1. In the event of a complete loss of service or in the event of a Disaster, the Supplier shall immediately invoke the BCDR Plan (and shall inform the Customer promptly of such invocation). In all other instances the Supplier shall invoke or test the BCDR Plan only with the prior consent of the Customer.

**CONTRACT SCHEDULE 9: EXIT MANAGEMENT**

1. **DEFINITIONS**
   1. In this Contract Schedule 9, the following definitions shall apply:

|  |  |
| --- | --- |
| "Exclusive Assets" | means those Supplier Assets used by the Supplier or a Key Sub-Contractor which are used exclusively in the provision of the Goods and/or Services; |
| "Exit Information" | has the meaning given to it in paragraph [4.1](#_heading=h.2t9m75f) of this Contract Schedule 9; |
| "Exit Manager" | means the person appointed by each Party pursuant to paragrap[h 3.4](#_heading=h.4e4bwxm) of this Contract Schedule 9 for managing the Parties' respective obligations under this Contract Schedule 9; |
| "Net Book Value" | means the net book value of the relevant Supplier Asset(s) calculated in accordance with the depreciation policy of the Supplier (which the Supplier shall ensure is in accordance with Good Industry Practice); |
| "Non-Exclusive Assets" | means those Supplier Assets (if any) which are used by the Supplier or a Key Sub- Contractor in connection with the Goods and/or Services but which are also used by the Supplier or Key Sub-Contractor for other purposes; |
| "Registers" | means the register and configuration database referred to in paragraphs [3.1.1](#_heading=h.uzqle7) and [3.1.2](#_heading=h.3eze420) of this Contract Schedule 9; |
| "Termination Assistance" | means the activities to be performed by the Supplier pursuant to the Exit Plan, and any other assistance required by the Customer pursuant to the Termination Assistance Notice; |
| "Termination Assistance Notice" | has the meaning given to it in paragraph  [6.1](#_heading=h.27jua8u) of this Contract Schedule 9; |
| "Termination Assistance Period" | means in relation to a Termination Assistance Notice, the period specified in the Termination Assistance Notice for which the Supplier is required to provide the Termination Assistance as such period may be extended pursuant to paragraph  [6.2](#_heading=h.mp4kgn) of this Contract Schedule 9; |
| "Transferable Assets" | means those of the Exclusive Assets which are capable of legal transfer to the Customer; |
| "Transferable Contracts" | means the Sub-Contracts, licences for |

|  |  |
| --- | --- |
| Supplier Background IPR, Project Specific IPR, licences for Third Party IPR or other agreements which are necessary to enable the Customer or any Replacement Supplier to provide the Goods and/or Services or the Replacement Goods and/or Replacement Services, including in relation to licences all relevant Documentation; | |
| “Transferring Assets” | has the meaning given to it in paragraph  [9.2.1](#_heading=h.104agfo) of this Contract Schedule 9; |
| "Transferring Contracts" | has the meaning given to it in paragraph [9.2.3](#_heading=h.1z989ba) of this Contract Schedule 9. |

1. **INTRODUCTION**
   1. This Contract Schedule 9 describes provisions that should be included in the Exit Plan, the duties and responsibilities of the Supplier to the Customer leading up to and covering the Contract Expiry Date and the transfer of service provision to the Customer and/or a Replacement Supplier.
   2. The objectives of the exit planning and service transfer arrangements are to ensure a smooth transition of the availability of the Goods and/or Services from the Supplier to the Customer and/or a Replacement Supplier at the Contract Expiry Date.
2. **OBLIGATIONS DURING THE CONTRACT PERIOD TO FACILITATE EXIT**
   1. During the Contract Period, the Supplier shall:
      1. create and maintain a Register of all:
         1. Supplier Assets, detailing their:
            1. make, model and asset number;
            2. ownership and status as either Exclusive Assets or Non- Exclusive Assets;
            3. Net Book Value;
            4. condition and physical location; and
            5. use (including technical specifications); and
         2. Sub-Contracts and other relevant agreements (including relevant software licences, maintenance and support agreements and equipment rental and lease agreements) required for the performance of the Goods and/or Services;
      2. create and maintain a configuration database detailing the technical infrastructure and operating procedures through which the Supplier provides the Goods and/or Services, which shall contain sufficient detail to permit the Customer and/or Replacement Supplier to understand how the Supplier provides the Goods and/or Services and to enable the smooth transition of the Goods and/or Services with the minimum of disruption;
      3. agree the format of the Registers with the Customer as part of the process of agreeing the Exit Plan; and
      4. at all times keep the Registers up to date, in particular in the event that Assets, Sub-Contracts or other relevant agreements are added to or removed from the Goods and/or Services.
   2. The Supplier shall:
      1. procure that all Exclusive Assets listed in the Registers are clearly marked to identify that they are exclusively used for the provision of the Goods and/or Services under this Contract; and
      2. (unless otherwise agreed by the Customer in writing) procure that all licences for Third Party IPR and all Sub-Contracts shall be assignable and/or capable of novation at the request of the Customer to the Customer (and/or its nominee) and/or any Replacement Supplier upon the Supplier ceasing to provide the Goods and/or Services (or part of them) without restriction (including any need to obtain any consent or approval) or payment by the Customer.
   3. Where the Supplier is unable to procure that any Sub-Contract or other agreement referred to in paragraph [3.2.2](#_heading=h.1u4oe9t) of this Contract Schedule 9 which the Supplier proposes to enter into after the Contract Commencement Date is assignable and/or capable of novation to the Customer (and/or its nominee) and/or any Replacement Supplier without restriction or payment, the Supplier shall promptly notify the Customer of this and the Parties shall (acting reasonably and without undue delay) discuss the appropriate action to be taken which, where the Customer so directs, may include the Supplier seeking an alternative Sub-Contractor or provider of goods and/or services to which the relevant agreement relates.
   4. Each Party shall appoint a person for the purposes of managing the Parties' respective obligations under this Contract Schedule 9 and provide written notification of such appointment to the other Party within three (3) Months of the Contract Commencement Date. The Supplier’s Exit Manager shall be responsible for ensuring that the Supplier and its employees, agents and Sub-Contractors comply with this Contract Schedule 9. The Supplier shall ensure that its Exit Manager has the requisite authority to arrange and procure any resources of the Supplier as are reasonably necessary to enable the Supplier to comply with the requirements set out in this Contract Schedule 9. The Parties' Exit Managers will liaise with one another in relation to all issues relevant to the termination of this Contract and all matters connected with this Contract Schedule 9 and each Party's compliance with it.
3. **OBLIGATIONS TO ASSIST ON RE-TENDERING OF GOODS AND/OR SERVICES**

* 1. On reasonable notice at any point during the Contract Period, the Supplier shall provide to the Customer and/or its potential Replacement Suppliers (subject to the potential Replacement Suppliers entering into reasonable written confidentiality undertakings), the following material and information in order to facilitate the preparation by the Customer of any invitation to tender and/or to facilitate any potential Replacement Suppliers undertaking due diligence:
     1. details of the Service(s);
     2. a copy of the Registers, updated by the Supplier up to the date of delivery of such Registers;
     3. an inventory of Customer Data in the Supplier’s possession or control;
     4. details of any key terms of any third party contracts and licences, particularly as regards charges, termination, assignment and novation;
     5. a list of on-going and/or threatened Disputes in relation to the provision of the Goods and/or Services;
     6. all information relating to Transferring Supplier Employees required to be provided by the Supplier under this Contract; and
     7. such other material and information as the Customer shall reasonably require,

(together, the “**Exit Information**”).

* 1. The Supplier acknowledges that the Customer may disclose the Supplier’s Confidential Information to an actual or prospective Replacement Supplier or any third party whom the Customer is considering engaging to the extent that such disclosure is necessary in connection with such engagement (except that the Customer may not under this paragraph [4.2](#_heading=h.18ewhd8) of this Contract Schedule 9 disclose any Supplier’s Confidential Information which is information relating to the Supplier’s or its Sub-Contractors’ prices or costs).
  2. The Supplier shall:
     1. notify the Customer within five (5) Working Days of any material change to the Exit Information which may adversely impact upon the provision of any Goods and/or Services and shall consult with the Customer regarding such proposed material changes; and
     2. provide complete updates of the Exit Information on an as- requested basis as soon as reasonably practicable and in any event within ten (10) Working Days of a request in writing from the Customer.
  3. The Supplier may charge the Customer for its reasonable additional costs to the extent the Customer requests more than four (4) updates in any six (6) month period.
  4. The Exit Information shall be accurate and complete in all material respects and the level of detail to be provided by the Supplier shall be such as would be reasonably necessary to enable a third party to:
     1. prepare an informed offer for those Goods and/or Services; and
     2. not be disadvantaged in any subsequent procurement process compared to the Supplier (if the Supplier is invited to participate).

1. **EXIT PLAN**
   1. The Supplier shall, within three (3) Months after the Contract Commencement Date, deliver to the Customer an Exit Plan which:
      1. sets out the Supplier’s proposed methodology for achieving an orderly transition of the Goods and/or Services from the Supplier

to the Customer and/or its Replacement Supplier on the expiry or termination of this Contract;

* + 1. complies with the requirements set out in paragraph [5.3](#_heading=h.3sek011) of this Contract Schedule 9;
    2. is otherwise reasonably satisfactory to the Customer.
  1. The Parties shall use reasonable endeavours to agree the contents of the Exit Plan. If the Parties are unable to agree the contents of the Exit Plan within twenty

(20) Working Days of its submission, then such Dispute shall be resolved in accordance with the Dispute Resolution Procedure.

* 1. Unless otherwise specified by the Customer or Approved, the Exit Plan shall set out, as a minimum:
     1. how the Exit Information is obtained;
     2. the management structure to be employed during both transfer and cessation of the Goods and/or Services;
     3. the management structure to be employed during the Termination Assistance Period;
     4. a detailed description of both the transfer and cessation processes, including a timetable;
     5. how the Goods and/or Services will transfer to the Replacement Supplier and/or the Customer, including details of the processes, documentation, data transfer, systems migration, security and the segregation of the Customer's technology components from any technology components operated by the Supplier or its Sub- Contractors (where applicable);
     6. details of contracts (if any) which will be available for transfer to the Customer and/or the Replacement Supplier upon the Contract Expiry Date together with any reasonable costs required to effect such transfer (and the Supplier agrees that all assets and contracts used by the Supplier in connection with the provision of the Goods and/or Services will be available for such transfer);
     7. proposals for the training of key members of the Replacement Supplier’s personnel in connection with the continuation of the provision of the Goods and/or Services following the Contract Expiry Date charged at rates agreed between the Parties at that time;
     8. proposals for providing the Customer or a Replacement Supplier copies of all documentation:
        1. used in the provision of the Goods and/or Services and necessarily required for the continued use thereof, in which the Intellectual Property Rights are owned by the Supplier; and
        2. relating to the use and operation of the Goods and/or Services;
     9. proposals for the assignment or novation of the provision of all services, leases, maintenance agreements and support agreements utilised by the Supplier in connection with the performance of the supply of the Goods and/or Services;
     10. proposals for the identification and return of all Customer Property in the possession of and/or control of the Supplier or any third party (including any Sub-Contractor);
     11. proposals for the disposal of any redundant Goods and/or Services and materials;
     12. procedures to deal with requests made by the Customer and/or a Replacement Supplier for Staffing Information pursuant to Contract Schedule 10 (Staff Transfer);
     13. how each of the issues set out in this Contract Schedule 9 will be addressed to facilitate the transition of the Goods and/or Services from the Supplier to the Replacement Supplier and/or the Customer with the aim of ensuring that there is no disruption to or degradation of the Goods and/or Services during the Termination Assistance Period; and
     14. proposals for the supply of any other information or assistance reasonably required by the Customer or a Replacement Supplier in order to effect an orderly handover of the provision of the Goods and/or Services.

1. **TERMINATION ASSISTANCE**

* 1. The Customer shall be entitled to require the provision of Termination Assistance at any time during the Contract Period by giving written notice to the Supplier (a **"Termination Assistance Notice"**) at least four (4) Months prior to the Contract Expiry Date or as soon as reasonably practicable (but in any event, not later than one (1) month) following the service by either Party of a Termination Notice. The Termination Assistance Notice shall specify:
     1. the date from which Termination Assistance is required;
     2. the nature of the Termination Assistance required; and
     3. the period during which it is anticipated that Termination Assistance will be required, which shall continue no longer than twelve (12) Months after the date that the Supplier ceases to provide the Goods and/or Services.
  2. The Customer shall have an option to extend the Termination Assistance Period beyond the period specified in the Termination Assistance Notice provided that such extension shall not extend for more than six (6) Months after the date the Supplier ceases to provide the Goods and/or Services or, if applicable, beyond the end of the Termination Assistance Period and provided that it shall notify the Supplier to such effect no later than twenty (20) Working Days prior to the date on which the provision of Termination Assistance is otherwise due to expire. The Customer shall have the right to terminate its requirement for Termination Assistance by serving not less than (20) Working Days' written notice upon the Supplier to such effect.

1. **TERMINATION ASSISTANCE PERIOD**
   1. Throughout the Termination Assistance Period, or such shorter period as the Customer may require, the Supplier shall:
      1. continue to provide the Goods and/or Services (as applicable) and, if required by the Customer pursuant to paragraph [6.1](#_heading=h.27jua8u) of this Contract Schedule 9, provide the Termination Assistance;
      2. in addition to providing the Goods and/or Services and the Termination Assistance, provide to the Customer any reasonable assistance requested by the Customer to allow the Goods and/or Services to continue without interruption following the termination or expiry of this Contract and to facilitate the orderly transfer of responsibility for and conduct of the Goods and/or Services to the Customer and/or its Replacement Supplier;
      3. use all reasonable endeavours to reallocate resources to provide such assistance as is referred to in paragraph [7.1.2](#_heading=h.36os34g) of this Contract Schedule 9 without additional costs to the Customer;
      4. provide the Goods and/or Services and the Termination Assistance at no detriment to the Service Level Performance Measures, save to the extent that the Parties agree otherwise in accordance with paragraph [7.3](#_heading=h.2kz067v); and
      5. at the Customer's request and on reasonable notice, deliver up-to- date Registers to the Customer.
   2. Without prejudice to the Supplier’s obligations under paragraph [7.1.3](#_heading=h.1lu2dc9) of this Contract Schedule 9, if it is not possible for the Supplier to reallocate resources to provide such assistance as is referred to in paragraph [7.1.2](#_heading=h.36os34g) of this Contract Schedule 9 without additional costs to the Customer, any additional costs incurred by the Supplier in providing such reasonable assistance which is not already in the scope of the Termination Assistance or the Exit Plan shall be subject to the Variation Procedure.
   3. If the Supplier demonstrates to the Customer's reasonable satisfaction that transition of the Goods and/or Services and provision of the Termination Assistance during the Termination Assistance Period will have a material, unavoidable adverse effect on the Supplier’s ability to meet one or more particular Service Level Performance Measure(s), the Parties shall vary the relevant Service Level Performance Measure(s) and/or the applicable Service Credits to take account of such adverse effect.
2. **TERMINATION OBLIGATIONS**
   1. The Supplier shall comply with all of its obligations contained in the Exit Plan.
   2. Upon termination or expiry (as the case may be) or at the end of the Termination Assistance Period (or earlier if this does not adversely affect the Supplier’s performance of the Goods and/or Services and the Termination Assistance and its compliance with the other provisions of this Contract Schedule 9), the Supplier shall:
      1. cease to use the Customer Data;
      2. provide the Customer and/or the Replacement Supplier with a complete and uncorrupted version of the Customer Data in electronic form (or such other format as reasonably required by the Customer);
      3. erase from any computers, storage devices and storage media that are to be retained by the Supplier after the end of the

Termination Assistance Period all Customer Data and promptly certify to the Customer that it has completed such deletion;

* + 1. return to the Customer such of the following as is in the Supplier’s possession or control:
       1. all materials created by the Supplier under this Contract in which the IPRs are owned by the Customer;
       2. any equipment which belongs to the Customer;
       3. any items that have been on-charged to the Customer, such as consumables; and
       4. all Customer Property issued to the Supplier under Clause [31](#_heading=h.4iylrwe) of this Contract (Customer Property). Such Customer Property shall be handed back to the Customer in good working order (allowance shall be made only for reasonable wear and tear);
       5. any sums prepaid by the Customer in respect of Goods and/or Services not Delivered by the Contract Expiry Date;
    2. vacate any Customer Premises;
    3. remove the Supplier Equipment together with any other materials used by the Supplier to supply the Goods and/or Services and shall leave the Sites in a clean, safe and tidy condition. The Supplier is solely responsible for making good any damage to the Sites or any objects contained thereon, other than fair wear and tear, which is caused by the Supplier and/or any Supplier Personnel;
    4. provide access during normal working hours to the Customer and/or the Replacement Supplier for up to twelve (12) Months after expiry or termination to:
       1. such information relating to the Goods and/or Services as remains in the possession or control of the Supplier; and
       2. such members of the Supplier Personnel as have been involved in the design, development and provision of the Goods and/or Services and who are still employed by the Supplier, provided that the Customer and/or the Replacement Supplier shall pay the reasonable costs of the Supplier actually incurred in responding to requests for access under this paragraph.
  1. Upon termination or expiry (as the case may be) or at the end of the Termination Assistance Period (or earlier if this does not adversely affect the Supplier’s performance of the Goods and/or Services and the Termination Assistance and its compliance with the other provisions of this Contract Schedule 9), each Party shall return to the other Party (or if requested, destroy or delete) all Confidential Information of the other Party and shall certify that it does not retain the other Party's Confidential Information save to the extent (and for the limited period) that such information needs to be retained by the Party in question for the purposes of providing or receiving any Goods and/or Services or termination services or for statutory compliance purposes.
  2. Except where this Contract provides otherwise, all licences, leases and authorisations granted by the Customer to the Supplier in relation to the Goods

and/or Services shall be terminated with effect from the end of the Termination Assistance Period.

1. **ASSETS AND SUB-CONTRACTS**
   1. Following notice of termination of this Contract and during the Termination Assistance Period, the Supplier shall not, without the Customer's prior written consent:
      1. terminate, enter into or vary any Sub-Contract;
      2. (subject to normal maintenance requirements) make material modifications to, or dispose of, any existing Supplier Assets or acquire any new Supplier Assets; or
      3. terminate, enter into or vary any licence for software in connection with the provision of Goods and/or Services.
   2. Within twenty (20) Working Days of receipt of the up-to-date Registers provided by the Supplier pursuant to paragraph [7.1.5](#_heading=h.45tpw02) of this Contract Schedule 9, the Customer shall provide written notice to the Supplier setting out:
      1. which, if any, of the Transferable Assets the Customer requires to be transferred to the Customer and/or the Replacement Supplier (“**Transferring Assets**”);
      2. which, if any, of:
         1. the Exclusive Assets that are not Transferable Assets; and
         2. the Non-Exclusive Assets,

the Customer and/or the Replacement Supplier requires the continued use of; and

* + 1. which, if any, of Transferable Contracts the Customer requires to be assigned or novated to the Customer and/or the Replacement Supplier (the **“Transferring Contracts”**),

in order for the Customer and/or its Replacement Supplier to provide the Goods and/or Services from the expiry of the Termination Assistance Period. Where requested by the Customer and/or its Replacement Supplier, the Supplier shall provide all reasonable assistance to the Customer and/or its Replacement Supplier to enable it to determine which Transferable Assets and Transferable Contracts the Customer and/or its Replacement Supplier requires to provide the Goods and/or Services or the Replacement Goods and/or Replacement Services.

* 1. With effect from the expiry of the Termination Assistance Period, the Supplier shall sell the Transferring Assets to the Customer and/or its nominated Replacement Supplier for a consideration equal to their Net Book Value, except where the cost of the Transferring Asset has been partially or fully paid for through the Contract Charges at the Contract Expiry Date, in which case the Customer shall pay the Supplier the Net Book Value of the Transferring Asset less the amount already paid through the Contract Charges.
  2. Risk in the Transferring Assets shall pass to the Customer or the Replacement Supplier (as appropriate) at the end of the Termination Assistance Period and title to the Transferring Assets shall pass to the Customer or the Replacement Supplier (as appropriate) on payment for the same.
  3. Where the Supplier is notified in accordance with paragraph [9.2.2](#_heading=h.3k3xz3h) of this Contract Schedule 9 that the Customer and/or the Replacement Supplier requires continued use of any Exclusive Assets that are not Transferable Assets or any Non-Exclusive Assets, the Supplier shall as soon as reasonably practicable:
     1. procure a non-exclusive, perpetual, royalty-free licence (or licence on such other terms that have been agreed by the Customer) for the Customer and/or the Replacement Supplier to use such assets (with a right of sub-licence or assignment on the same terms); or failing which
     2. procure a suitable alternative to such assets and the Customer or the Replacement Supplier shall bear the reasonable proven costs of procuring the same.
  4. The Supplier shall as soon as reasonably practicable assign or procure the novation to the Customer and/or the Replacement Supplier of the Transferring Contracts. The Supplier shall execute such documents and provide such other assistance as the Customer reasonably requires to effect this novation or assignment.
  5. The Customer shall:
     1. accept assignments from the Supplier or join with the Supplier in procuring a novation of each Transferring Contract; and
     2. once a Transferring Contract is novated or assigned to the Customer and/or the Replacement Supplier, carry out, perform and discharge all the obligations and liabilities created by or arising under that Transferring Contract and exercise its rights arising under that Transferring Contract, or as applicable, procure that the Replacement Supplier does the same.
  6. The Supplier shall hold any Transferring Contracts on trust for the Customer until such time as the transfer of the relevant Transferring Contract to the Customer and/or the Replacement Supplier has been effected.
  7. The Supplier shall indemnify the Customer (and/or the Replacement Supplier, as applicable) against each loss, liability and cost arising out of any claims made by a counterparty to a Transferring Contract which is assigned or novated to the Customer (and/or Replacement Supplier) pursuant to paragraph [9.6](#_heading=h.4j8vrz3) of this Contract Schedule 9 in relation to any matters arising prior to the date of assignment or novation of such Transferring Contract.

1. **SUPPLIER PERSONNEL**
   1. The Customer and Supplier agree and acknowledge that in the event of the Supplier ceasing to provide the Goods and/or Services or part of them for any reason, Contract Schedule 10 (Staff Transfer) shall apply.
   2. The Supplier shall not take any step (expressly or implicitly and directly or indirectly by itself or through any other person) to dissuade or discourage any employees engaged in the provision of the Goods and/or Services from transferring their employment to the Customer and/or the Replacement Supplier.
   3. During the Termination Assistance Period, the Supplier shall give the Customer and/or the Replacement Supplier reasonable access to the Supplier’s personnel to present the case for transferring their employment to the Customer and/or the Replacement Supplier.
   4. The Supplier shall immediately notify the Customer or, at the direction of the Customer, the Replacement Supplier of any period of notice given by the Supplier or received from any person referred to in the Staffing Information, regardless of when such notice takes effect.
   5. The Supplier shall not for a period of twelve (12) Months from the date of transfer re-employ or re-engage or entice any employees, suppliers or Sub-Contractors whose employment or engagement is transferred to the Customer and/or the Replacement Supplier, unless approval has been obtained from the Customer which shall not be unreasonably withheld.
2. **CHARGES**
   1. Except as otherwise expressly specified in this Contract, the Supplier shall not make any charges for the services provided by the Supplier pursuant to, and the Customer shall not be obliged to pay for costs incurred by the Supplier in relation to its compliance with, this Contract Schedule 9 including the preparation and implementation of the Exit Plan, the Termination Assistance and any activities mutually agreed between the Parties to carry on after the expiry of the Termination Assistance Period.
3. **APPORTIONMENTS**

* 1. All outgoings and expenses (including any remuneration due) and all rents, royalties and other periodical payments receivable in respect of the Transferring Assets and Transferring Contracts shall be apportioned between the Customer and the Supplier and/or the Replacement Supplier and the Supplier (as applicable) as follows:
     1. the amounts shall be annualised and divided by 365 to reach a daily rate;
     2. the Customer shall be responsible for (or shall procure that the Replacement Supplier shall be responsible for) or entitled to (as the case may be) that part of the value of the invoice pro rata to the number of complete days following the transfer, multiplied by the daily rate; and
     3. the Supplier shall be responsible for or entitled to (as the case may be) the rest of the invoice.
  2. Each Party shall pay (and/or the Customer shall procure that the Replacement Supplier shall pay) any monies due under paragraph [12.1](#_heading=h.1djgcep) of this Contract Schedule 9 as soon as reasonably practicable.

**CONTRACT SCHEDULE 10: STAFF TRANSFER**

1. **DEFINITIONS**

In this Contract Schedule 10, the following definitions shall apply:

|  |  |
| --- | --- |
| “Admission Agreement” | The agreement to be entered into by which the Supplier agrees to participate in the Schemes as amended from time to time; |
| “Eligible Employee” | any Fair Deal Employee who at the relevant time is an eligible employee as defined in the Admission Agreement; |
| “Employee Liabilities” | all claims, actions, proceedings, orders, demands, complaints, investigations (save for any claims for personal injury which are covered by insurance) and any award, compensation, damages, tribunal awards, fine, loss, order, penalty, disbursement, payment made by way of settlement and costs, expenses and legal costs reasonably incurred in connection with a claim or investigation related to employment including in relation to the following:   1. redundancy payments including contractual or enhanced redundancy costs, termination costs and notice payments; 2. unfair, wrongful or constructive dismissal compensation; 3. compensation for discrimination on grounds of sex, race, disability, age, religion or belief, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation or claims for equal pay; 4. compensation for less favourable treatment of part-time workers or fixed term employees; 5. outstanding employment debts and unlawful deduction of wages including any PAYE and national insurance contributions; 6. employment claims whether in tort, contract or statute or otherwise;   any investigation relating to employment matters by the Equality and Human Rights Commission or other enforcement, regulatory or supervisory body and of implementing any requirements which may arise from such investigation; |

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| “Fair Deal Employees” | those Transferring Customer Employees who are on the Relevant Transfer Date entitled to the protection of New Fair Deal and any Transferring Former Supplier Employees who originally transferred pursuant to a Relevant Transfer under the Employment Regulations (or the predecessor legislation to the Employment Regulations), from employment with a public sector employer and who were once eligible to participate in the Schemes and who at the Relevant Transfer Date become entitled to the protection of New Fair Deal; |
| “Former Supplier” | a supplier supplying services to the Customer before the Relevant Transfer Date that are the same as or substantially similar to the Services (or any part of the Services) and shall include any sub-contractor of such supplier (or any sub- contractor of any such sub-contractor); |
| “New Fair Deal” | the revised Fair Deal position set out in the HM Treasury guidance: *“Fair Deal for staff pensions: staff transfer from central government”* issued in October 2013; |
| “Notified Sub-Contractor” | a Sub-Contractor identified in the Annex to this Contract Schedule 10 to whom Transferring Customer Employees and/or Transferring Former Supplier Employees will transfer on a Relevant Transfer Date; |
| “Replacement Sub- Contractor” | a sub-contractor of the Replacement Supplier to whom Transferring Supplier Employees will transfer on a Service Transfer Date (or any sub-contractor of any such sub- contractor); |
| “Relevant Transfer” | a transfer of employment to which the Employment Regulations applies; |
| “Relevant Transfer Date” | in relation to a Relevant Transfer, the date upon which the Relevant Transfer takes place; |
| “Schemes” | the Principal Civil Service Pension Scheme available to employees of the civil service and employees of bodies under the Superannuation Act 1972, as governed by rules adopted by Parliament; the Partnership Pension Account and its (i) Ill health Benefits Scheme and (ii) Death Benefits Scheme; the Civil Service Additional Voluntary Contribution Scheme; and the 2015 New Scheme (with effect from a date to be notified to the Supplier by the Minister for the Cabinet Office); |
| “Service Transfer” | any transfer of the Services (or any part of the Services), for whatever reason, from the Supplier or any Sub-Contractor to a Replacement Supplier or a Replacement Sub-Contractor; |
| “Service Transfer Date” | the date of a Service Transfer; |
| “Staffing Information” | in relation to all persons identified on the Supplier’s Provisional Supplier Personnel List or Supplier’s Final Supplier Personnel List, as the case may be, such |

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| information as the Customer may reasonably request (subject to all applicable provisions of the Data Protection Legislation), but including in an anonymised format:   1. their ages, dates of commencement of employment or engagement and gender; 2. details of whether they are employed, self employed contractors or consultants, agency workers or otherwise; 3. the identity of the employer or relevant contracting party; 4. their relevant contractual notice periods and any other terms relating to termination of employment, including redundancy procedures, and redundancy payments; 5. their wages, salaries and profit sharing arrangements as applicable; 6. details of other employment-related benefits, including (without limitation) medical insurance, life assurance, pension or other retirement benefit schemes, share option schemes and company car schedules applicable to them; 7. any outstanding or potential contractual, statutory or other liabilities in respect of such individuals (including in respect of personal injury claims); 8. details of any such individuals on long term sickness absence, parental leave, maternity leave or other authorised long term absence; 9. copies of all relevant documents and materials relating to such information, including copies of relevant contracts of employment (or relevant standard contracts if applied generally in respect of such employees); and 10. any other “employee liability information” as such term is defined in regulation 11 of the Employment Regulations; | |
| “Supplier’s Final Supplier Personnel List” | a list provided by the Supplier of all Supplier Personnel who will transfer under the Employment Regulations on the Relevant Transfer Date; |
| “Supplier’s Provisional Supplier Personnel List” | a list prepared and updated by the Supplier of all Supplier Personnel who are engaged in or wholly or mainly assigned to the provision of the Services or any relevant part of the Services which it is envisaged as at the date of such list will |

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| no longer be provided by the Supplier; | |
| “Transferring Customer Employees” | those employees of the Customer to whom the Employment Regulations will apply on the Relevant Transfer Date; |
| “Transferring Former Supplier Employees” | in relation to a Former Supplier, those employees of the Former Supplier to whom the Employment Regulations will apply on the Relevant Transfer Date; and |
| “Transferring Supplier Employees” | those employees of the Supplier and/or the Supplier’s Sub- Contractors to whom the Employment Regulations will apply on the Service Transfer Date. |

1. **INTERPRETATION**

Where a provision in this Contract Schedule 10 imposes an obligation on the Supplier to provide an indemnity, undertaking or warranty, the Supplier shall procure that each of its Sub-Contractors shall comply with such obligation and provide such indemnity, undertaking or warranty to the Customer, Former Supplier, Replacement Supplier or Replacement Sub-Contractor, as the case may be.

**PART A**

**TRANSFERRING CUSTOMER EMPLOYEES AT COMMENCEMENT OF SERVICES**

**Not Applicable**

**PART B**

**Not Applicable**

**PART C**

**NO TRANSFER OF EMPLOYEES AT COMMENCEMENT OF SERVICES**

1. **PROCEDURE IN THE EVENT OF TRANSFER**
   1. The Customer and the Supplier agree that the commencement of the provision of the Services or of any part of the Services will not be a Relevant Transfer in relation to any employees of the Customer and/or any Former Supplier.
   2. If any employee of the Customer and/or a Former Supplier claims, or it is determined in relation to any employee of the Customer and/or a Former Supplier, that his/her contract of employment has been transferred from the Customer and/or the Former Supplier to the Supplier and/or any Sub-Contractor pursuant to the Employment Regulations or the Acquired Rights Directive then:
      1. the Supplier shall, and shall procure that the relevant Sub- Contractor shall, within five (5) Working Days of becoming aware of that fact, give notice in writing to the Customer and, where required by the Customer, give notice to the Former Supplier; and
      2. the Customer and/or the Former Supplier may offer (or may procure that a third party may offer) employment to such person within fifteen (15) Working Days of the notification by the Supplier or the Sub-Contractor (as appropriate) or take such other reasonable steps as the Customer or Former Supplier (as the case may be) considers appropriate to deal with the matter provided always that such steps are in compliance with applicable Law.
   3. If an offer referred to in Paragraph 1.2.2 is accepted (or if the situation has otherwise been resolved by the Customer and/or the Former Supplier), the Supplier shall, or shall procure that the Sub-Contractor shall, immediately release the person from his/her employment or alleged employment.
   4. If by the end of the fifteen (15) Working Day period specified in Paragraph 1.2.2:
      1. no such offer of employment has been made;
      2. such offer has been made but not accepted; or
      3. the situation has not otherwise been resolved,

the Supplier and/or the Sub-Contractor may within five (5) Working Days give notice to terminate the employment or alleged employment of such person.

1. **INDEMNITIES**
   1. Subject to the Supplier and/or the relevant Sub-Contractor acting in accordance with the provisions of Paragraphs 1.2 to 1.4 and in accordance with all applicable employment procedures set out in applicable Law and subject also to Paragraph 2.4, the Customer shall:
      1. indemnify the Supplier and/or the relevant Sub-Contractor against all Employee Liabilities arising out of the termination of the employment of any employees of the Customer referred to in Paragraph 1.2 made pursuant to the provisions of Paragraph 1.4 provided that the Supplier takes, or shall procure that the Notified

Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities; and

* + 1. subject to paragraph 3, procure that the Former Supplier indemnifies the Supplier and/or any Notified Sub-Contractor against all Employee Liabilities arising out of termination of the employment of the employees of the Former Supplier made pursuant to the provisions of Paragraph 1.4 provided that the Supplier takes, or shall procure that the relevant Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities.
  1. If any such person as is described in Paragraph 1.2 is neither re employed by the Customer and/or the Former Supplier as appropriate nor dismissed by the Supplier and/or any Sub-Contractor within the fifteen (15) Working Day period referred to in Paragraph 1.4 such person shall be treated as having transferred to the Supplier and/or the Sub-Contractor (as appropriate) and the Supplier shall, or shall procure that the Sub-Contractor shall, comply with such obligations as may be imposed upon it under Law.
  2. Where any person remains employed by the Supplier and/or any Sub-Contractor pursuant to Paragraph 2.2, all Employee Liabilities in relation to such employee shall remain with the Supplier and/or the Sub-Contractor and the Supplier shall indemnify the Customer and any Former Supplier, and shall procure that the Sub-Contractor shall indemnify the Customer and any Former Supplier, against any Employee Liabilities that either of them may incur in respect of any such employees of the Supplier and/or employees of the Sub-Contractor.
  3. The indemnities in Paragraph 2.1:
     1. shall not apply to:
        1. any claim for:
           1. discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief; or
           2. equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees,

in any case in relation to any alleged act or omission of the Supplier and/or any Sub-Contractor; or

* + - 1. any claim that the termination of employment was unfair because the Supplier and/or any Sub-Contractor neglected to follow a fair dismissal procedure; and
    1. shall apply only where the notification referred to in Paragraph 1.2.1 is made by the Supplier and/or any Sub- Contractor to the Customer and, if applicable, Former Supplier within 6 months of the Contract Commencement Date.

1. **PROCUREMENT OBLIGATIONS**

Where in this Part C the Customer accepts an obligation to procure that a Former Supplier does or does not do something, such obligation shall be limited so that it

extends only to the extent that the Customer's contract with the Former Supplier contains a contractual right in that regard which the Customer may enforce, or otherwise so that it requires only that the Customer must use reasonable endeavours to procure that the Former Supplier does or does not act accordingly.

**PART D EMPLOYMENT EXIT PROVISIONS**

1. **PRE-SERVICE TRANSFER OBLIGATIONS**
   1. The Supplier agrees that within twenty (20) Working Days of the earliest of:
      1. receipt of a notification from the Customer of a Service Transfer or intended Service Transfer;
      2. receipt of the giving of notice of early termination or any partial termination of this Contract;
      3. the date which is twelve (12) Months before the end of the Term; and
      4. receipt of a written request of the Customer at any time (provided that the Customer shall only be entitled to make one such request in any six (6) month period),

it shall provide in a suitably anonymised format so as to comply with the Data Protection Legislation, the Supplier’s Provisional Supplier Personnel List, together with the Staffing Information in relation to the Supplier’s Provisional Supplier Personnel List and it shall provide an updated Supplier’s Provisional Supplier Personnel List at such intervals as are reasonably requested by the Customer.

* 1. At least thirty (30) Working Days prior to the Service Transfer Date, the Supplier shall provide to the Customer or at the direction of the Customer to any Replacement Supplier and/or any Replacement Sub-Contractor:
     1. the Supplier’s Final Supplier Personnel List, which shall identify which of the Supplier Personnel are Transferring Supplier Employees; and
     2. the Staffing Information in relation to the Supplier’s Final Supplier Personnel List (insofar as such information has not previously been provided).
  2. The Customer shall be permitted to use and disclose information provided by the Supplier under Paragraphs 1.1 and 1.2 for the purpose of informing any prospective Replacement Supplier and/or Replacement Sub-Contractor.
  3. The Supplier warrants, for the benefit of the Customer, any Replacement Supplier, and any Replacement Sub-Contractor that all information provided pursuant to Paragraphs 1.1 and 1.2 shall be true and accurate in all material respects at the time of providing the information.
  4. From the date of the earliest event referred to in Paragraph 1.1, the Supplier agrees, that it shall not, and agrees to procure that each Sub-Contractor shall not, assign any person to the provision of the Services who is not listed on the Supplier’s Provisional Supplier Personnel List and shall not without the approval of the Customer (not to be unreasonably withheld or delayed):
     1. replace or re-deploy any Supplier Personnel listed on the Supplier Provisional Supplier Personnel List other than where any replacement is of equivalent grade, skills, experience and expertise and is employed on the same terms and conditions of employment as the person he/she replaces;
     2. make, promise, propose or permit any material changes to the terms and conditions of employment of the Supplier Personnel (including any payments connected with the termination of employment);
     3. increase the proportion of working time spent on the Services (or the relevant part of the Services) by any of the Supplier Personnel save for fulfilling assignments and projects previously scheduled and agreed;
     4. introduce any new contractual or customary practice concerning the making of any lump sum payment on the termination of employment of any employees listed on the Supplier’s Provisional Supplier Personnel List;
     5. increase or reduce the total number of employees so engaged, or deploy any other person to perform the Services (or the relevant part of the Services); or
     6. terminate or give notice to terminate the employment or contracts of any persons on the Supplier’s Provisional Supplier Personnel List save by due disciplinary process,

and shall promptly notify, and procure that each Sub-Contractor shall promptly notify, the Customer or, at the direction of the Customer, any Replacement Supplier and any Replacement Sub-Contractor of any notice to terminate employment given by the Supplier or relevant Sub-Contractor or received from any persons listed on the Supplier’s Provisional Supplier Personnel List regardless of when such notice takes effect.

* 1. During the Term, the Supplier shall provide, and shall procure that each Sub-Contractor shall provide, to the Customer any information the Customer may reasonably require relating to the manner in which Services are organised, which shall include:
     1. the numbers of employees engaged in providing the Services;
     2. the percentage of time spent by each employee engaged in providing the Services; and
     3. a description of the nature of the work undertaken by each employee by location.
  2. The Supplier shall provide, and shall procure that each Sub-Contractor shall provide, all reasonable cooperation and assistance to the Customer, any Replacement Supplier and/or any Replacement Sub-Contractor to ensure the smooth transfer of the Transferring Supplier Employees on the Service Transfer Date including providing sufficient information in advance of the Service Transfer Date to ensure that all necessary payroll arrangements can be made to enable the Transferring Supplier Employees to be paid as appropriate. Without prejudice to the generality of the foregoing, within five (5) Working Days following the Service Transfer Date, the Supplier shall provide, and shall procure that each Sub-Contractor shall provide, to the Customer or, at the direction of the Customer, to any Replacement Supplier and/or any Replacement Sub-Contractor (as appropriate), in respect of each person on the Supplier’s Final Supplier Personnel List who is a Transferring Supplier Employee:
     1. the most recent month's copy pay slip data;
     2. details of cumulative pay for tax and pension purposes;
     3. details of cumulative tax paid;
     4. tax code;
     5. details of any voluntary deductions from pay; and
     6. bank/building society account details for payroll purposes.

1. **EMPLOYMENT REGULATIONS EXIT PROVISIONS**
   1. The Customer and the Supplier acknowledge that subsequent to the commencement of the provision of the Services, the identity of the provider of the Services (or any part of the Services) may change (whether as a result of termination or partial termination of this Contract or otherwise) resulting in the Services being undertaken by a Replacement Supplier and/or a Replacement Sub-Contractor. Such change in the identity of the Supplier of such Services may constitute a Relevant Transfer to which the Employment Regulations and/or the Acquired Rights Directive will apply. The Customer and the Supplier further agree that, as a result of the operation of the Employment Regulations, where a Relevant Transfer occurs, the contracts of employment between the Supplier and the Transferring Supplier Employees (except in relation to any contract terms disapplied through operation of regulation 10(2) of the Employment Regulations) will have effect on and from the Service Transfer Date as if originally made between the Replacement Supplier and/or a Replacement Sub-Contractor (as the case may be) and each such Transferring Supplier Employee.
   2. The Supplier shall, and shall procure that each Sub-Contractor shall, comply with all its obligations in respect of the Transferring Supplier Employees arising under the Employment Regulations in respect of the period up to (but not including) the Service Transfer Date and shall perform and discharge, and procure that each Sub-Contractor shall perform and discharge, all its obligations in respect of all the Transferring Supplier Employees arising in respect of the period up to (and including) the Service Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions which in any case are attributable in whole or in part to the period ending on (and including) the Service Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between: (i) the Supplier and/or the Sub-Contractor (as appropriate); and (ii) the Replacement Supplier and/or Replacement Sub-Contractor.
   3. Subject to Paragraph 2.4, where a Relevant Transfer occurs the Supplier shall indemnify the Customer and/or the Replacement Supplier and/or any Replacement Sub-Contractor against any Employee Liabilities in respect of any Transferring Supplier Employee (or, where applicable any employee representative as defined in the Employment Regulations) arising from or as a result of:
      1. any act or omission of the Supplier or any Sub-Contractor whether occurring before, on or after the Service Transfer Date;
      2. the breach or non-observance by the Supplier or any Sub- Contractor occurring on or before the Service Transfer Date of:
         1. any collective agreement applicable to the Transferring Supplier Employees; and/or
         2. any other custom or practice with a trade union or staff association in respect of any Transferring Supplier

Employees which the Supplier or any Sub-Contractor is contractually bound to honour;

* + 1. any claim by any trade union or other body or person representing any Transferring Supplier Employees arising from or connected with any failure by the Supplier or a Sub-Contractor to comply with any legal obligation to such trade union, body or person arising on or before the Service Transfer Date;
    2. any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:
       1. in relation to any Transferring Supplier Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on and before the Service Transfer Date; and
       2. in relation to any employee who is not a Transferring Supplier Employee, and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Supplier to the Customer and/or Replacement Supplier and/or any Replacement Sub-Contractor, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on or before the Service Transfer Date;
    3. a failure of the Supplier or any Sub-Contractor to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Supplier Employees in respect of the period up to (and including) the Service Transfer Date);
    4. any claim made by or in respect of any person employed or formerly employed by the Supplier or any Sub-Contractor other than a Transferring Supplier Employee for whom it is alleged the Customer and/or the Replacement Supplier and/or any Replacement Sub-Contractor may be liable by virtue of this Contract and/or the Employment Regulations and/or the Acquired Rights Directive; and
    5. any claim made by or in respect of a Transferring Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Supplier Employee relating to any act or omission of the Supplier or any Sub-Contractor in relation to its obligations under regulation 13 of the Employment Regulations, except to the extent that the liability arises from the failure by the Customer and/or Replacement Supplier to comply with regulation 13(4) of the Employment Regulations.
  1. The indemnities in Paragraph 2.3 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Replacement Supplier and/or any Replacement Sub-Contractor whether occurring or having its origin before, on or after the Service Transfer Date, including any Employee Liabilities:
     1. arising out of the resignation of any Transferring Supplier Employee before the Service Transfer Date on account of substantial detrimental changes to his/her working conditions proposed by the Replacement Supplier and/or any Replacement Sub-Contractor to occur in the period on or after the Service Transfer Date; or
     2. arising from the Replacement Supplier’s failure, and/or Replacement Sub-Contractor’s failure, to comply with its obligations under the Employment Regulations.
  2. If any person who is not a Transferring Supplier Employee claims, or it is determined in relation to any person who is not a Transferring Supplier Employee, that his/her contract of employment has been transferred from the Supplier or any Sub-Contractor to the Replacement Supplier and/or Replacement Sub-Contractor pursuant to the Employment Regulations or the Acquired Rights Directive, then:
     1. the Customer shall procure that the Replacement Supplier shall, or any Replacement Sub-Contractor shall, within five (5) Working Days of becoming aware of that fact, give notice in writing to the Supplier; and
     2. the Supplier may offer (or may procure that a Sub-Contractor may offer) employment to such person within fifteen (15) Working Days of the notification by the Replacement Supplier and/or any and/or Replacement Sub-Contractor or take such other reasonable steps as it considers appropriate to deal with the matter provided always that such steps are in compliance with Law.
  3. If such offer is accepted, or if the situation has otherwise been resolved by the Supplier or a Sub-Contractor, the Customer shall procure that the Replacement Supplier shall, or procure that the Replacement Sub-Contractor shall, immediately release or procure the release of the person from his/her employment or alleged employment.
  4. If after the fifteen (15) Working Day period specified in Paragraph 2.5.2 has elapsed:
     1. no such offer of employment has been made;
     2. such offer has been made but not accepted; or
     3. the situation has not otherwise been resolved

the Customer shall advise the Replacement Supplier and/or Replacement Sub- Contractor, as appropriate that it may within five (5) Working Days give notice to terminate the employment or alleged employment of such person.

* 1. Subject to the Replacement Supplier and/or Replacement Sub-Contractor acting in accordance with the provisions of Paragraphs 2.5 to 2.7, and in accordance with all applicable proper employment procedures set out in applicable Law, the Supplier shall indemnify the Replacement Supplier and/or Replacement Sub- Contractor against all Employee Liabilities arising out of the termination pursuant to the provisions of Paragraph 2.7 provided that the Replacement Supplier takes, or shall procure that the Replacement Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities.
  2. The indemnity in Paragraph 2.8:
     1. shall not apply to:
        1. any claim for:
           1. discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief; or
           2. equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees,

in any case in relation to any alleged act or omission of the Replacement Supplier and/or Replacement Sub-Contractor; or

* + - 1. any claim that the termination of employment was unfair because the Replacement Supplier and/or Replacement Sub-Contractor neglected to follow a fair dismissal procedure; and
    1. shall apply only where the notification referred to in Paragraph 2.5.1 is made by the Replacement Supplier and/or Replacement Sub-Contractor to the Supplier within six (6) months of the Service Transfer Date.
  1. If any such person as is described in Paragraph 2.5 is neither re-employed by the Supplier or any Sub-Contractor nor dismissed by the Replacement Supplier and/or Replacement Sub-Contractor within the time scales set out in Paragraphs 2.5 to 2.7, such person shall be treated as a Transferring Supplier Employee and the Replacement Supplier and/or Replacement Sub-Contractor shall comply with such obligations as may be imposed upon it under applicable Law.
  2. The Supplier shall comply, and shall procure that each Sub-Contractor shall comply, with all its obligations under the Employment Regulations and shall perform and discharge, and shall procure that each Sub-Contractor shall perform and discharge, all its obligations in respect of the Transferring Supplier Employees before and on the Service Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions which in any case are attributable in whole or in part in respect of the period up to (and including) the Service Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between:
     1. the Supplier and/or any Sub-Contractor; and
     2. the Replacement Supplier and/or the Replacement Sub- Contractor.
  3. The Supplier shall, and shall procure that each Sub-Contractor shall, promptly provide to the Customer and any Replacement Supplier and/or Replacement Sub-Contractor, in writing such information as is necessary to enable the Customer, the Replacement Supplier and/or Replacement Sub-Contractor to carry out their respective duties under regulation 13 of the Employment Regulations. The Customer shall procure that the Replacement Supplier and/or Replacement Sub-Contractor, shall promptly provide to the Supplier and each Sub-Contractor in writing such information as is necessary to enable the Supplier

and each Sub-Contractor to carry out their respective duties under regulation 13 of the Employment Regulations.

* 1. Subject to Paragraph 2.14, where a Relevant Transfer occurs the Customer shall procure that the Replacement Supplier indemnifies the Supplier on its own behalf and on behalf of any Replacement Sub-Contractor and its sub-contractors against any Employee Liabilities in respect of each Transferring Supplier Employee (or, where applicable any employee representative (as defined in the Employment Regulations) of any Transferring Supplier Employee) arising from or as a result of:
     1. any act or omission of the Replacement Supplier and/or Replacement Sub-Contractor;
     2. the breach or non-observance by the Replacement Supplier and/or Replacement Sub-Contractor on or after the Service Transfer Date of:
        1. any collective agreement applicable to the Transferring Supplier Employees; and/or
        2. any custom or practice in respect of any Transferring Supplier Employees which the Replacement Supplier and/or Replacement Sub-Contractor is contractually bound to honour;
     3. any claim by any trade union or other body or person representing any Transferring Supplier Employees arising from or connected with any failure by the Replacement Supplier and/or Replacement Sub-Contractor to comply with any legal obligation to such trade union, body or person arising on or after the Relevant Transfer Date;
     4. any proposal by the Replacement Supplier and/or Replacement Sub-Contractor to change the terms and conditions of employment or working conditions of any Transferring Supplier Employees on or after their transfer to the Replacement Supplier or Replacement Sub-Contractor (as the case may be) on the Relevant Transfer Date, or to change the terms and conditions of employment or working conditions of any person who would have been a Transferring Supplier Employee but for their resignation (or decision to treat their employment as terminated under regulation 4(9) of the Employment Regulations) before the Relevant Transfer Date as a result of or for a reason connected to such proposed changes;
     5. any statement communicated to or action undertaken by the Replacement Supplier or Replacement Sub-Contractor to, or in respect of, any Transferring Supplier Employee on or before the Relevant Transfer Date regarding the Relevant Transfer which has not been agreed in advance with the Supplier in writing;
     6. any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:
        1. in relation to any Transferring Supplier Employee, to the extent that the proceeding, claim or demand by HMRC or

other statutory authority relates to financial obligations arising after the Service Transfer Date; and

* + - 1. in relation to any employee who is not a Transferring Supplier Employee, and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Supplier or Sub-Contractor, to the Replacement Supplier or Replacement Sub-Contractor to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising after the Service Transfer Date;
    1. a failure of the Replacement Supplier or Replacement Sub- Contractor to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Supplier Employees in respect of the period from (and including) the Service Transfer Date; and
    2. any claim made by or in respect of a Transferring Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Supplier Employee relating to any act or omission of the Replacement Supplier or Replacement Sub-Contractor in relation to obligations under regulation 13 of the Employment Regulations.
  1. The indemnities in Paragraph 2.13 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Supplier and/or any Sub-Contractor (as applicable) whether occurring or having its origin before, on or after the Relevant Transfer Date, including any Employee Liabilities arising from the failure by the Supplier and/or any Sub-Contractor (as applicable) to comply with its obligations under the Employment Regulations.

**ANNEX TO SCHEDULE 10: LIST OF NOTIFIED SUB-CONTRACTORS**

**CONTRACT SCHEDULE 11: DISPUTE RESOLUTION PROCEDURE**

1. **DEFINITIONS**
   1. In this Contract Schedule 11, the following definitions shall apply:

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| "CEDR" | the Centre for Effective Dispute Resolution of International Dispute Resolution Centre, 70 Fleet Street, London, EC4Y 1EU; |
| "Counter Notice" | has the meaning given to it in paragraph  [6.2](#_heading=h.1ade6im) of this Contract Schedule 11; |
| "Exception" | a deviation of project tolerances in accordance with PRINCE2 methodology in respect of this Contract or in the supply of the Goods and/or Services; |
| "Expert" | the person appointed by the Parties in accordance with paragraph [5.2](#_heading=h.4g2tm30) of this Contract Schedule 11; and |
| "Mediation Notice" | has the meaning given to it in paragraph  [3.2](#_heading=h.42nnq3z) of this Contract Schedule 11; |
| "Mediator" | the independent third party appointed in accordance with paragraph [4.2](#_heading=h.3gxvt7e) of this Contract Schedule 11. |

1. **INTRODUCTION**

* 1. If a Dispute arises then:
     1. the representative of the Customer and the Supplier Representative shall attempt in good faith to resolve the Dispute; and
     2. if such attempts are not successful within a reasonable time either Party may give to the other a Dispute Notice.
  2. The Dispute Notice shall set out:
     1. the material particulars of the Dispute;
     2. the reasons why the Party serving the Dispute Notice believes that the Dispute has arisen; and
     3. if the Party serving the Dispute Notice believes that the Dispute should be dealt with under the Expedited Dispute Timetable as set out in paragraph [2.6](#_heading=h.jj2ekk) of this Contract Schedule 11, the reason why.
  3. Unless agreed otherwise in writing, the Parties shall continue to comply with their respective obligations under this Contract regardless of the nature of the Dispute and notwithstanding the referral of the Dispute to the Dispute Resolution Procedure.
  4. Subject to paragrap[h 3.2](#_heading=h.42nnq3z) of this Contract Schedule 11, the Parties shall seek to resolve Disputes:
     1. first by commercial negotiation (as prescribed in paragraph [3](#_heading=h.33ipx8d) of this Contract Schedule 11);
     2. then by mediation (as prescribed in paragraph [4](#_heading=h.wy8ajl) of this Contract Schedule 11); and
     3. lastly by recourse to arbitration (as prescribed in paragraph 6 of this Contract Schedule 11) or litigation (in accordance with Clause [58](#_heading=h.3zy8sjw) of this Contract (Governing Law and Jurisdiction)).
  5. Specific issues shall be referred to expert determination (as prescribed in paragraph [5](#_heading=h.1w363f7) of this Contract Schedule 11) where specified under the provisions of this Contract and may also be referred to expert determination where otherwise appropriate as specified in paragraph [5](#_heading=h.1w363f7) of this Contract Schedule 11.
  6. In exceptional circumstances where the use of the times in this Contract Schedule 11 would be unreasonable, including (by way of example) where one Party would be materially disadvantaged by a delay in resolving the Dispute, the Parties may agree to use the Expedited Dispute Timetable. If the Parties are unable to reach agreement on whether to use of the Expedited Dispute Timetable within five (5) Working Days of the issue of the Dispute Notice, the use of the Expedited Dispute Timetable shall be at the sole discretion of the Customer.
  7. If the use of the Expedited Dispute Timetable is determined in accordance with paragraph [2.5](#_heading=h.24ds4cr) or is otherwise specified under the provisions of this Contract, then the following periods of time shall apply in lieu of the time periods specified in the applicable paragraphs:
     1. in paragraph [3.2.3](#_heading=h.2hsy0bs), ten (10) Working Days;
     2. in paragraph [4.2](#_heading=h.3gxvt7e), ten (10) Working Days;
     3. in paragraph [5.2](#_heading=h.4g2tm30), five (5) Working Days; and
     4. in paragraph [6.2](#_heading=h.1ade6im), ten (10) Working Days.
  8. If at any point it becomes clear that an applicable deadline cannot be met or has passed, the Parties may (but shall be under no obligation to) agree in writing to extend the deadline. Any agreed extension shall have the effect of delaying the start of the subsequent stages by the period agreed in the extension.

1. **COMMERCIAL NEGOTIATIONS**

* 1. Following the service of a Dispute Notice, the Customer and the Supplier shall use reasonable endeavours to resolve the Dispute as soon as possible, by discussion between the Customer Representative and the Supplier Representative.
  2. If:
     1. either Party is of the reasonable opinion that the resolution of a Dispute by commercial negotiation, or the continuance of commercial negotiations, will not result in an appropriate solution;
     2. the Parties have already held discussions of a nature and intent (or otherwise were conducted in the spirit) that would equate to the conduct of commercial negotiations in accordance with this paragraph [3](#_heading=h.33ipx8d) of this Contract Schedule 11; or
     3. the Parties have not settled the Dispute in accordance with paragraph [3.1](#_heading=h.1io07g6) of this Contract Schedule 11 within thirty

(30) Working Days of service of the Dispute Notice,

either Party may serve a written notice to proceed to mediation (a “**Mediation Notice”**) in accordance with paragraph [4](#_heading=h.wy8ajl) of this Contract Schedule 11.

1. **MEDIATION**
   1. If a Mediation Notice is served, the Parties shall attempt to resolve the dispute in accordance with CEDR's Model Mediation Agreement which shall be deemed to be incorporated by reference into this Contract.
   2. If the Parties are unable to agree on the joint appointment of a Mediator within thirty (30) Working Days from service of the Mediation Notice then either Party may apply to CEDR to nominate the Mediator.
   3. If the Parties are unable to reach a settlement in the negotiations at the mediation, and only if the Parties so request and the Mediator agrees, the Mediator shall produce for the Parties a non-binding recommendation on terms of settlement. This shall not attempt to anticipate what a court might order but shall set out what the Mediator suggests are appropriate settlement terms in all of the circumstances.
   4. Any settlement reached in the mediation shall not be legally binding until it has been reduced to writing and signed by, or on behalf of, the Parties (in accordance with the Variation Procedure where appropriate). The Mediator shall assist the Parties in recording the outcome of the mediation.

1. **EXPERT DETERMINATION**
   1. If a Dispute relates to any aspect of the technology underlying the provision of the Goods and/or Services or otherwise relates to a financial technical or other aspect of a technical nature (as the Parties may agree) and the Dispute has not been resolved by discussion or mediation, then either Party may request (such request not to be unreasonably withheld or delayed) by written notice to the other that the Dispute is referred to an Expert for determination.
   2. The Expert shall be appointed by agreement in writing between the Parties, but in the event of a failure to agree within ten (10) Working Days, or if the person appointed is unable or unwilling to act, the Expert shall be appointed on the instructions of the relevant professional body.
   3. The Expert shall act on the following basis:
      1. he/she shall act as an expert and not as an arbitrator and shall act fairly and impartially;
      2. the Expert's determination shall (in the absence of a material failure to follow the agreed procedures) be final and binding on the Parties;
      3. the Expert shall decide the procedure to be followed in the determination and shall be requested to make his/her determination within thirty (30) Working Days of his appointment or as soon as reasonably practicable thereafter and the Parties shall assist and provide the documentation that the Expert requires for the purpose of the determination;
      4. any amount payable by one Party to another as a result of the Expert's determination shall be due and payable within twenty

(20) Working Days of the Expert's determination being notified to the Parties;

* + 1. the process shall be conducted in private and shall be confidential; and
    2. the Expert shall determine how and by whom the costs of the determination, including his/her fees and expenses, are to be paid.

1. **ARBITRATION**

* 1. The Customer may at any time before court proceedings are commenced refer the Dispute to arbitration in accordance with the provisions of paragraph [6.4](#_heading=h.29ibze8) of this Contract Schedule 11.
  2. Before the Supplier commences court proceedings or arbitration, it shall serve written notice on the Customer of its intentions and the Customer shall have fifteen (15) Working Days following receipt of such notice to serve a reply (a “**Counter Notice**”) on the Supplier requiring the Dispute to be referred to and resolved by arbitration in accordance with paragraph [6.4](#_heading=h.29ibze8) of this Contract Schedule 11 or be subject to the jurisdiction of the courts in accordance with Clause [58](#_heading=h.3zy8sjw) of this Contract (Governing Law and Jurisdiction). The Supplier shall not commence any court proceedings or arbitration until the expiry of such fifteen

(15) Working Day period.

* 1. If:
     1. the Counter Notice requires the Dispute to be referred to arbitration, the provisions of paragraph [6.4](#_heading=h.29ibze8) of this Contract Schedule 11 shall apply;
     2. the Counter Notice requires the Dispute to be subject to the exclusive jurisdiction of the courts in accordance with Clause 58 of this Contract (Governing Law and Jurisdiction), the Dispute shall be so referred to the courts and the Supplier shall not commence arbitration proceedings;
     3. the Customer does not serve a Counter Notice within the fifteen

(15) Working Days period referred to in paragraph [6.2](#_heading=h.1ade6im) of this Contract Schedule 11, the Supplier may either commence arbitration proceedings in accordance with paragraph [6.4](#_heading=h.29ibze8) of this Contract Schedule 11 or commence court proceedings in the courts in accordance with Clause [58](#_heading=h.3zy8sjw) of this Contract (Governing Law and Jurisdiction) which shall (in those circumstances) have exclusive jurisdiction.

* 1. In the event that any arbitration proceedings are commenced pursuant to paragraphs [6.1](#_heading=h.2v83wat) to [6.3](#_heading=h.3ud1p6f) of this Contract Schedule 11, the Parties hereby confirm that:
     1. all disputes, issues or claims arising out of or in connection with this Contract (including as to its existence, validity or performance) shall be referred to and finally resolved by arbitration under the Rules of the London Court of International Arbitration (“**LCIA**”) (subject to paragraphs [6.4.5](#_heading=h.onm9m1) to [6.4.7](#_heading=h.38n9s9u) of this Contract Schedule 11);
     2. the arbitration shall be administered by the LCIA;
     3. the LCIA procedural rules in force at the date that the Dispute was referred to arbitration shall be applied and are deemed to be

incorporated by reference into this Contract and the decision of the arbitrator shall be binding on the Parties in the absence of any material failure to comply with such rules;

* + 1. if the Parties fail to agree the appointment of the arbitrator within ten (10) days from the date on which arbitration proceedings are commenced or if the person appointed is unable or unwilling to act, the arbitrator shall be appointed by the LCIA;
    2. the chair of the arbitral tribunal shall be British;
    3. the arbitration proceedings shall take place in London and in the English language; and
    4. the seat of the arbitration shall be London.

1. **URGENT RELIEF**
   1. Either Party may at any time take proceedings or seek remedies before any court or tribunal of competent jurisdiction:
      1. for interim or interlocutory remedies in relation to this Contract or infringement by the other Party of that Party’s Intellectual Property Rights; and/or
      2. where compliance with paragraph [2.1](#_heading=h.3p8hu4y) of this Contract Schedule 11 and/or referring the Dispute to mediation may leave insufficient time for that Party to commence proceedings before the expiry of the limitation period.

**CONTRACT SCHEDULE 12: VARIATION FORM**

No of Contract Order Form being varied:

…………………………………………………………………… Variation Form No:

…………………………………………………………………………………… BETWEEN:

**[**insert name of Customer**]** ("**the Customer"**) and

**[**insert name of Supplier**]** (**"the Supplier"**)

1. This Contract is varied as follows and shall take effect on the date signed by both Parties:

***[Insert details of the Variation]***

1. Words and expressions in this Variation shall have the meanings given to them in this Contract.
2. This Contract, including any previous Variations, shall remain effective and unaltered except as amended by this Variation.

Signed by an authorised signatory for and on behalf of the Customer Signature

Date

Name (in Capitals)

Address

Signed by an authorised signatory to sign for and on behalf of the Supplier Signature

Date

Name (in

Capitals)

Address

**CONTRACT SCHEDULE 13: TRANSPARENCY REPORTS**

* 1. Within a period (to be agreed with the Supplier) from the Contract Commencement Date or the date specified by the Customer in the Contract Order Form the Supplier shall provide to the Customer for Approval (the Customer’s decision to approve or not shall not be unreasonably withheld or delayed) draft Transparency Reports consistent with the content and format requirements in Annex 1 below.
  2. If the Customer rejects any proposed Transparency Report, the Supplier shall submit a revised version of the relevant report for further Approval by the Customer within five (5) days of receipt of any notice of rejection, taking account of any recommendations for revision and improvement to the report provided by the Customer. This process shall be repeated until the Parties have agreed versions of each Transparency Report.
  3. The Supplier shall provide accurate and up-to-date versions of each Transparency Report to the Customer at the frequency referred to in Annex 1 of this Contract Schedule 13 below.
  4. Any Dispute in connection with the preparation and/or approval of Transparency Reports shall be resolved in accordance with the Dispute Resolution Procedure.
  5. The requirements in this Schedule 13 are in addition to any other reporting requirements in this Contract.

**ANNEX 1: LIST OF TRANSPARENCY REPORTS**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Title of Report |  |  | Content |  | Format |  | Frequency |
|  | Headline service performance |  |  | To be agreed on Contract Commencement |  | To be agreed on Contract Commencement |  | To be agreed on Contract Commencement |
|  | Contract Charges |  |  | To be agreed on Contract Commencement |  | To be agreed on Contract Commencement |  | To be agreed on Contract Commencement |
|  | Key Sub-Contractors |  |  | To be agreed on Contract Commencement |  | To be agreed on Contract Commencement |  | To be agreed on Contract Commencement |
|  | Technical |  |  | To be agreed on Contract Commencement |  | To be agreed on Contract Commencement |  | To be agreed on Contract Commencement |
|  | Performance management arrangements |  |  | To be agreed on Contract Commencement |  | To be agreed on Contract Commencement |  | To be agreed on Contract Commencement |

**CONTRACT SCHEDULE 14: ALTERNATIVE AND/OR ADDITIONAL CLAUSES – N/A**

**CONTRACT SCHEDULE 15: CONTRACT TENDER**

**AQB1 - The Authority requires you to demonstrate the implementation process you will have in place as set out in Attachment 3 - Statement of Requirements (Specification).**

**You are required to set out a clear implementation plan and how you will implement service to the required timelines.**

**In order to satisfy the requirement and the question associated with the requirement, your response must:**

**(a) demonstrate the processes for managing service implementation and delivery efficiently to ensure our needs are met as set out in the specification of requirements. Detail the processes, tools and approaches to achieve this.**

**(b) demonstrate how you will ensure our implementations are adequately resourced by staff with the appropriate experience, capacity and qualifications; and how your level of resource is maintained and managed over the course of the Commercial Agreement.**

**(c) demonstrate how you will ensure the service meets customer needs and expectations, performs effectively and is implemented effectively. This should include your delivery methods to plan, develop and review work.**

**(d) demonstrate the processes you have in place to manage the ongoing pipeline of implementations whilst undertaking business as usual activities without compromising the quality of the Services.**

**Response:**

**REDACTED TEXT under FOIA Section 40, Personal Information**

**AQB2 - The Authority requires you to demonstrate how will you manage and deliver the required integrations for this service, ensuring that they meet our requirements.**

**You are required to provide a detailed response covering how you will address the delivery and integration requirements for the service within the required timeframes as set out in F Statement of Requirements.**

**In order to satisfy the requirement and the question associated with the requirement, your response must:**

**(a) Demonstrate how you will plan, manage and deliver the integration demonstrating how you will work with Oleeo vX (formerly WCN) to enable the applicant tracking system to associate tests to a vacancy, automatically allocating tests to applicants, automatically scores in the ATS and review each applicant score.**

**(b) Demonstrate how you would support the Authority’s digital delivery team (for Fast Stream and Early Talent) to integrate their applicant tracking systems with your platform (via APIs) so that applicants to the graduate and apprenticeship schemes can be tested.**

**(c) Demonstrate how you will test the integration to ensure it works effectively. Your response must include your testing strategy, and outline functional, performance and user testing to ensure the integration performs as required. You should also consider how you ensure that future tests will work with this integration.**

**(d) Demonstrate how you will monitor and support the integration after it is completed. Your response must include how you ensure that future releases and functionality do not disrupt the integration.**

**Response:**

**REDACTED TEXT under FOIA Section 40, Personal Information**

**AQB3 - The Authority requires you to demonstrate how will you ensure your service is suitable for all applicants regardless of digital confidence and accessibility needs.**

**You are required to provide a detailed response covering how your service is designed to support accessibility, compatibility and usability needs as set out in Attachment 3 Statement of Requirements and Attachment 3a Specification.**

**In order to satisfy the requirement and the question associated with the requirement, your response must:**

**(a) demonstrate how you confirm an applicant will be able to complete their test(s) using their device and software; how you test for compatibility and how your service confirms the compatibility of their device, browser and settings for the test.**

**(b) demonstrate your processes for ensuring the platform is accessible and meets WCAG 2.0 (/2.1) standards, and how the platform will be tested to ensure it meets the standards, including when new features are introduced.**

**(c) demonstrate how you ensure your service is designed to be intuitive, allowing users to complete their tasks with minimal difficulty and how the service will be designed to provide a positive user experience which is reviewed and tested.**

**(d) demonstrate the process and/or functionality you will have in place to customise the look and feel of your service to align with the GOV.UK design system (i.e. be consistent with GOV.UK site designs).**

**Response:**

**REDACTED TEXT under FOIA Section 40, Personal Information**

**AQB4 - The Authority requires you to demonstrate how your software and service is designed to scale efficiently as the hour usage grows and ensure service continuity.**

**You are required to provide a detailed response setting out your technical and process approaches to ensuring your service can scale to meet growing demand effectively as set out in Attachment 10 - Contract Schedule 2 (Specification).**

**In order to satisfy the requirement and the question associated with the requirement, your response must:**

**(a) demonstrate the processes for scaling the service to meet changing usage both in the short and long term. We expect testing volumes to grow significantly during the duration of the contract so the platform will need to be able to scale efficiently to meet this demand.**

**(b) demonstrate how you monitor service performance to detect performance issues or disruption and your processes for responding to this.**

**(c) demonstrate your processes for disaster recovery, backup and resilience which would enable the customer to efficiently restore service after a significant disruption without unexpected loss of data.**

**(d) demonstrate how you have reviewed and improved the service to improve performance at scale where large volumes of tests are completed throughout the year.**

**Response:**

**REDACTED TEXT under FOIA Section 40, Personal Information**

**AQB5 - The Authority requires you to demonstrate how you ensure that your service (and the data it holds) is secure.**

**You are required to provide a detailed response outlining the technical features and processes established to ensure the service remains secure as set out in Attachment 3- Contract Schedule 2 (Specification).**

**In order to satisfy the requirement and the question associated with the requirement, your response must:**

**(a) demonstrate how your processes are compliant with industry recognisable security standards and contracts such as ISO27001 or an equivalent standard.**

**(b) demonstrate how security testing of the service is to be undertaken during the deployment, operational and disposal of the service to ensure conformance with the security policy. Your response must include the process for managing ITHC and penetration testing.**

**(c) demonstrate how user profiles can be defined based on roles and responsibilities. Access to assign and restrict access to user functions as well as item and test content. Also demonstrate your security monitoring process and audit logs of users access and activity.**

**(d) demonstrate how you will assess and undertake information risk assessments throughout the contract term and demonstrate how these risks are managed and translated into actual security controls (technical, personnel, and procedural) into your proposed solution.**

**Response:**

**REDACTED TEXT under FOIA Section 40, Personal Information**

**AQB6 - The Authority requires you to demonstrate how will you provide effective live support and maintenance throughout the contract as set out in Attachment 3 Statement of Requirements and Attachment 3a OTA Specification.**

**In order to satisfy the requirement and the question associated with the requirement, your response must:**

**(a) demonstrate your ability to provide effective incident management and support including your process for raising use incidents/disruption, managing these incidents and resolving the issues within service level agreements (SLAs).**

**(b) demonstrate how the service is monitored and maintained to ensure it performs to the expected standard consistently.**

**(c) demonstrate your processes for account management ensure that our issues are raised, managed and escalated as required to ensure effective service delivery.**

**(d) demonstrate that there is a robust process for reporting, tracking and resolving bugs/defects in the service. This process should be transparent and clear.**

**Response:**

**REDACTED TEXT under FOIA Section 40, Personal Information**

**AQB7 - The Authority requires you to demonstrate how will ensure the service you provide remains effective and relevant and continuously improves to our needs.**

**Provide a detailed response to set out how you develop and improve your service to better meet your customer needs as set out in Attachment 3 Statement of Requirements and Attachment 3a OTA Specification.**

**In order to satisfy the requirement and the question associated with the requirement, your response must:**

**(a) demonstrate you have a robust pipeline of improvements for your platform that deliver tangible benefits.**

**(b) demonstrate the process for us to request specific improvements and/or customisation, such as new test types**

**(c) demonstrate how you approach innovation. You should consider how you explore and adopt emerging technology to improve your service.**

**(d) demonstrate that you have recently released significant improvements to your product and customer experience.**

**Response:**

**REDACTED TEXT under FOIA Section 40, Personal Information**

**AQD1 - The Authority requires you to demonstrate your commitments to Social Value. The theme that the Authority will be using in the evaluation of this requirement is Theme 4 Equal Opportunity with the Policy Outcome to Tackle Workforce Inequality.**

**In order to satisfy the requirement and the question associated with the requirement, your response must:**

**(a) Describe the commitment your organisation will make to ensure that opportunities under the contract meet the award criteria.**

**(b) State how you will do this stating how your commitments will meet the award criteria, including how you plan to implement your commitment and by when.**

**(c) Include how you will monitor, measure and report on your commitments/the impact of your proposals.**

**(d) Include details of how you will influence staff, suppliers, customers and communities through the delivery of the contract to support the policy outcome, e.g. engagement, co-design/creation, training and education, partnering/collaborating, volunteering.**

**Award Criteria for Equal Opportunity:**

**Demonstrate action to identify and tackle inequality in employment, skills and pay in the contract workforce.**

**Support in-work progression to help people, including those from disadvantaged or minority groups, to move into higher paid work by developing new skills relevant to the contract.**

**Demonstrate action to identify and manage the risks of modern slavery in the delivery of the contract, including in the supply chain.**

**Response:**

**REDACTED TEXT under FOIA Section 40, Personal Information**

**CONTRACT SCHEDULE 16: AUTHORISED PROCESSING TEMPLATE**

1. The contact details of the Customer Data Protection Officer is:

**REDACTED TEXT under FOIA Section 40, Personal Information**

1. The contact details of the Supplier Data Protection Officer is:

**REDACTED TEXT under FOIA Section 40, Personal Information**

1. The Processor shall comply with any further written instructions with respect to processing by the Controller
2. Any such further instructions shall be incorporated into this Schedule.

|  |  |  |  |
| --- | --- | --- | --- |
| Contract Reference: |  | CCZN21B05 |  |
| Date: |  | To be confirmed on Contract Award |  |
| Description Of Authorized Processing |  | Details |  |
| Identity of the Controller and Processor |  | The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Supplier is the Processor. |  |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Subject matter of the processing |  | The Supplier will provide a testing platform for use by GBS - which will both plug-in to the Civil Service Jobs website, as well as allowing direct sign-on. | | | | | |  |
|  | |  | | | | |
|  | | | | | | | |
| Duration of the processing |  | |  | | | | |  |
| Two Years |  | | |  | | | |
|  | | | | | | | |
| Nature and purposes of the processing |  | |  | | | |  | |
|  |  | | | |  | | |
| The supplier will provide a platform to allow online tests to be carried out. One of these uses will be connected through the Civil Service Jobs website, and will only use pseudonymised user IDS. But the other (less numerous) use will be directly into the platform, which will collect the personal data listed below. | | | | | | | |

|  |  |  |
| --- | --- | --- |
| Type of Personal Data |  | Name  Email address  Disability  Ethnicity  Gender  Age  RelAigious, philosophical and other beliefs  Nationality  Caring responsibilities  Sexual orientation  Socioeconomic background  Results of tests |
|  |  |  |
| Categories of Data Subject |  | Civil Servants |
|  |  |  |
| How Long Data will be retained for |  | Two Years |
|  |  |  |

**Annex C – Data Sharing Agreement**

Not Applicable

1. Behaviours test content is delivered (called by the integration between ATS and test platform) based on behaviours selected for use by the recruiter in the ATS. 9 possible behaviours to select from, bespoke content is delivered when between 3 and 6 behaviours are selected, else a standard version is delivered with 6 pre-selected behaviours. The content for three of the nine behaviours has 20 second video clips presented in each item. The other six behaviours have only narrative (text) content. It is untimed but typically takes up to an hour. Scores and text feedback is provided to the ATS - currently including a pdf of feedback. It has 4 benchmarks. [↑](#footnote-ref-1)