

## NOE CPC FRAMEWORK AGREEMENT FOR THE PROVISION OF LEGAL SERVICES

### Order Form

This Order Form is issued subject to the provisions of the Framework Agreement ref. NOE1.0512.0 entered into between NOE CPC and the Supplier on 01/04/2021 for the Provision of Legal Services ("Framework Agreement").

The Supplier agrees to supply the Services specified below on, and subject to, the terms of this Contract and for the avoidance of doubt the Contract consists of the terms set out in this Order Form and the Contract terms, including the call off terms and conditions at Appendix A, together with the Schedules thereto.

<b>Date of Order</b>	21/08/2023	<b>Order no.</b>	22_10_08
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From:

<b>Authority name</b>	NHS Business Services Authority "Authority"
<b>Authority's address</b>	Stella House, Goldcrest Way, NE15 8NY
<b>Invoice Address</b>	Stella House, Goldcrest Way, NE15 8NY
<b>Address for Notices to be given under the Contract</b>	Stella House, Goldcrest Way, NE15 8NY
<b>Level 1 Authority Representative</b>	
<b>Contact Manager</b>	

To:

<b>Supplier</b>	Capsticks LLP "Supplier"
<b>Supplier's Address</b>	1 St Georges Road London SW19 4DR
<b>Address for Notices to be given under the Contract</b>	1 St Georges Road London SW19 4DR

<b>Level 1 Supplier Representative</b>	
<b>Contact Manager</b>	

# 1. Service Requirements

<b>Short Description of Services</b>	<i>As stated in Clause 2 and 3 of Schedule 7 of these Call off Terms and Conditions – NHS Business Services Specification Document</i>
<b>Commencement date of services</b> (if different from the Date of Order)	<i>01/10/2023</i>
<b>Duration or long-stop date</b>	<i>30/09/2027</i>
<b>Call-off Special Terms</b>	<p><i>Addition of 'Additional Body' to Schedule 4 (Definitions and Interpretations) of these Call-off Terms and Conditions.</i></p> <p><i>Addition of Schedule 6 (General Data Protection Regulations) of these Call-off Terms and Conditions</i></p> <p><i>Addition of Schedule 7 (Specification) of these Call-off Terms and Conditions</i></p> <p><i>Addition of Schedule 8 (Pricing Schedule) of these Call-off Terms and Conditions</i></p> <p><i>Addition of Schedule 9 (Tender Response) of these Call-off Terms and Conditions</i></p> <p><i>Removal of wording in Schedule 2 (General Terms and Conditions) of these Call-off Terms and Conditions Paragraph 16.2.3 ' any Personal Data Processed by the Supplier on behalf of the Authority shall be returned to the Authority or destroyed in accordance with the relevant provisions of the Data Protection Protocol.' and replacing with 'any Personal Data Processed by the Supplier on behalf of the Authority shall be returned to the Authority or destroyed in accordance with Schedule 6 (Data Protection Regulations) of these Call-off Terms and Conditions.'</i></p>

	<p><i>Removal of wording in Schedule 3 (Information and Data Provisions) of these call of terms and Conditions Paragraph 2.4.2 achieve a minimum level 2 performance against all requirements in the relevant NHS information governance toolkit; and replace with '2.4.2 achieve a compliant toolkit against all requirements in the relevant NHS Information governance toolkit'</i></p> <p><i>Removal of reference in Schedule 3 of these Call-off Terms and Conditions Paragraph 2.2 to 'Data Protection Protocol' and replace with 'Schedule 6 (Data Protection Regulations) of these Call-off Terms and Conditions'</i></p> <p><i>Removal of Schedule 5 'Step In Rights' of these Call-Off Terms and Conditions.</i></p> <p><i>Removal of reference to the Data Protection Act 1998 in Schedule 4 (Definitions and Interpretations) Call off Terms and Conditions</i></p>
<b>Service Levels required</b>	<i>As set out in Clause 5.2 Schedule 7 of these Call off Terms and Conditions – NHS Business Services Specification Document to this order form</i>
<b>KPIs required</b>	<i>As set out in Clause 5.2 Schedule 7 of the Call off Terms and Conditions – NHS Business Services Specification Document to this order form</i>
<b>Implementation</b>	
<b>Management Information</b>	<i>As set out in Clause 5.3 Schedule 7 of the Call off Terms and Conditions – NHS Business Services Specification Document to this order form</i>
<b>Contract Review Meetings</b>	<i>As set out in Clause 5.3 Schedule 7 of the Call off Terms and Conditions – NHS Business Services Specification Document to this order form</i>
<b>Processing of Personal Data</b>	<input checked="" type="checkbox"/> Yes <i>If Yes confirm either;</i>

	<input type="checkbox"/> Data Processor <input checked="" type="checkbox"/> Data Controller Refer to Schedule 6 Part 1 of Annex 1 (Details of Data Processing) <input type="checkbox"/> No
<b>Lease or Licence Granted</b>	

## 2. Charges and Payment

<b>Contract Charges payable by the Authority</b>	<i>In accordance with Pricing Schedule, Schedule 8, of these Call off Terms and Conditions to this order form</i>
<b>Invoicing</b>	<input checked="" type="checkbox"/> Electronic <input type="checkbox"/> Electronic and Consolidated <input type="checkbox"/> Other, detail below – To be emailed via <span style="background-color: black; color: black;">[REDACTED]</span>

## 3. TUPE

<b>TUPE at commencement</b>	<i>Not applicable to this contract.</i>
<b>TUPE at exit and/or termination</b>	<input checked="" type="checkbox"/> The Parties acknowledge that the clauses attached here apply on termination of this Call Off Agreement  As stated in Paragraph 17 Schedule 2 (Key Provisions) of these Call of Terms and Conditions.

## 4. Formation of Contract

*The Supplier shall enter into the Contract by returning a signed copy of this Order form (Order form for the North of England Commercial Procurement Collaborative Legal Services Framework) to the Authority.*

*The Contract shall be formed when the Authority acknowledges receipt of the signed copy of this Order Form (Order form for the (Order form for the North of England Commercial Procurement Collaborative Legal Services Framework) to the Authority.*

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

Signature	
Name and Title	
Date	

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

Signature	
Name and Title	
Date	

**Appendix A**

**Call-off Terms and Conditions for the Provision of Services**

Where an Order Form is issued by the Authority that refers to the Framework Agreement, the Contract is made between the Authority and the Supplier on the date of that Order Form. The

NHS Framework Agreement for the Provision of Services (January 2018) – Appendix A – Call-off Terms and Conditions for the Provision of Services

Contract is subject to the terms set out in the schedules of these Call-off Terms and Conditions listed below (“**Schedules**”).

The Authority and the Supplier undertake to comply with the provisions of the Schedules in the performance of the Contract.

The Supplier shall supply to the Authority, and the Authority shall receive and pay for, the Services on the terms of the Contract.

For the avoidance of doubt, any actions or work undertaken by the Supplier prior to the receipt of an Order Form covering the relevant Services shall be undertaken at the Supplier’s risk and expense and the Supplier shall only be entitled to invoice for Services covered by a valid Order Form.

The Definitions in Schedule 4 of these Call-off Terms and Conditions apply to the use of all capitalised terms in the Contract.

### **Schedules**

Schedule 1 of these Call-off Terms and Conditions	Key Provisions
Schedule 2 of these Call-off Terms and Conditions	General Terms and Conditions
Schedule 3 of these Call-off Terms and Conditions	Information and Data Provisions
Schedule 4 of these Call-off Terms and Conditions	Definitions and Interpretations
Schedule 5 of these Call-off Terms and Conditions	Step-in Rights – NOT IN USE
Schedule 6 of these Call-off Terms and Conditions	General Data Protection Regulations (GDPR)
Schedule 7 of these Call-off Terms and Conditions	Specification Document
Schedule 8 of these Call-off Terms and Conditions	Pricing Schedule
Schedule 9 of these Call-off Terms and Conditions	Tender Response

## **Schedule 1 of these Call-off terms and Conditions**

### **Key Provisions**

#### **1 Application of the Key Provisions**

- 1.1 The standard Key Provisions at Clauses 1 to 8 of this Schedule 1 of these Call-off Terms and Conditions shall apply to this Contract.
- 1.2 Extra Key Provisions shall only apply to this Contract where such provisions are set out as part of the Order Form. Please refer to Order Form Template.

#### **2 Term**

- 2.2 This Contract commences on the Commencement Date.
- 2.3 The Term of this Contract shall be as set out in the Order Form.
- 2.4 The Term may be extended in accordance with Clause 15.2 of Schedule 2 of these Call-off Terms and Conditions provided that the duration of this Contract shall be no longer than any maximum duration applicable to the Contract if such maximum duration is set out in the Framework Agreement (including any options to extend).

#### **3 Contract Managers**

- 3.1 The Contract Managers at the commencement of this Contract shall be as set out in the Order Form or as otherwise agreed between the Parties in writing.

#### **4 Names and addresses for notices**

- 4.1 Unless otherwise agreed by the Parties in writing, notices served under this Contract are to be delivered to such persons at such addresses as referred to in the Order Form.

#### **5 Management levels for escalation and dispute resolution**

- 5.1 Unless otherwise agreed by the Parties in writing, the management levels at which a Dispute will be dealt with are as follows:

<b>Level</b>	<b>Authority representative</b>	<b>Supplier representative</b>
1	Contract Manager	Contract Manager



2	Assistant Director or equivalent	Assistant Director or equivalent
3	Director or equivalent	Director or equivalent

## **6 Order of precedence**

6.1 Subject always to Clause 1.10 of Schedule 4 of these Call-off Terms and Conditions, should there be a conflict between any other parts of this Contract the order of priority for construction purposes shall be:

- 6.1.1 the Order Form
- 6.1.2 the applicable provisions of the Framework Agreement other than the Specification and Tender Response Document;
- 6.1.3 the provisions on the front page of these Call-off Terms and Conditions for the Provision of Services;
- 6.1.4 Schedule 1 of these Call-off Terms and Conditions: Key Provisions;
- 6.1.5 the Specification and Tender Response Document (but only in respect of the requirements);
- 6.1.6 Schedule 2 of these Call-off Terms and Conditions: General Terms and Conditions;
- 6.1.7 Schedule 3 of these Call-off Terms and Conditions: Information Governance Provisions;
- 6.1.8 Schedule 4 of these Call-off Terms and Conditions: Definitions and Interpretations;
- 6.1.9 any other documentation forming part of the Contract in the date order in which such documentation was created with the more recent documentation taking precedence over older documentation to the extent only of any conflict.

## **7 Application of TUPE at the commencement of the provision of Services**



- 7.1 The position in relation to TUPE at the commencement of the provision of the Services shall be as set out in the TUPE Schedule (Key Provisions) forming part of the Order Form.

**8. Step-in Rights**

Not in use.

## **Schedule 2 of these Call-off Terms and Conditions**

### **General Terms and Conditions**

#### **Contents**

1. Provision of Services
2. Premises, locations and access
3. Cooperation with third parties
4. Use of Authority equipment
5. Staff and Lifescience Industry Accredited Credentialing Register
6. Business continuity
7. The Authority's obligations
8. Contract management
9. Price and payment
10. Warranties
11. Intellectual property
12. Indemnity
13. Limitation of liability
14. Insurance
15. Term and termination
16. Consequences of expiry or early termination of this Contract
17. Staff information and the application of TUPE at the end of the Contract
18. Complaints
19. Sustainable development
20. Electronic services information
21. Change management
22. Dispute resolution
23. Force majeure
24. Records retention and right of audit
25. Conflicts of interest and the prevention of fraud
26. Equality and human rights
27. Notice
28. Assignment, novation and Sub-contracting
29. Prohibited Acts
30. General

## **1 Provision of Services**

- 1.1 The Authority appoints the Supplier and the Supplier agrees to provide the Services:
- 1.1.1 promptly and in any event within any time limits as may be set out in this Contract;
  - 1.1.2 in accordance with all other provisions of this Contract;
  - 1.1.3 with reasonable skill and care and in accordance with the provisions of the Framework Agreement as applicable and/or the provisions of the Order Form;
  - 1.1.4 in accordance with the Law and with Guidance;
  - 1.1.5 in accordance with Good Industry Practice;
  - 1.1.6 in accordance with the Policies; and
  - 1.1.7 in a professional and courteous manner.
- In complying with its obligations under this Contract, the Supplier shall, and shall procure that all Staff shall, act in accordance with the NHS values as set out in the NHS Constitution from time to time.
- 1.2 The Supplier shall comply with the Implementation Requirements (if any) in accordance with any timescales as may be set out in the Specification and Tender Response Document., Without limitation to the foregoing provisions of this Clause 1.2 of this Schedule 2 of these Call-off Terms and Conditions, the Supplier shall if specified in the Order Form implement the Services fully in accordance with the Implementation Plan. If the Implementation Plan is an outline plan, the Supplier shall, as part of implementation, develop the outline plan into a full plan and agree this with the Authority. Once this is agreed, the Supplier shall comply with the full Implementation Plan.
- 1.3 The Supplier shall commence delivery of the Services on the Services Commencement Date.
- 1.4 The Supplier shall comply fully with its obligations set out in the Specification and Tender Response Document and/or the Order Form, including without limitation the KPIs.
- 1.5 The Supplier shall ensure that all relevant consents, authorisations, licences and accreditations required to provide the Services are in place at the Actual Services Commencement Date and are maintained throughout the Term.
- 1.6 If the Services, or any part of them, are regulated by any regulatory body, the Supplier shall ensure that at the Actual Services Commencement Date it has in place all relevant registrations and shall maintain such registrations during the Term. The Supplier shall notify the Authority forthwith in writing of any changes to such registration or any other matter relating to its registration that would affect the delivery or the quality of Services.

- 1.7 The Supplier shall notify the Authority forthwith in writing:
- 1.7.1 of any pending inspection of the Services, or any part of them, by a regulatory body immediately upon the Supplier becoming aware of such inspection; and
  - 1.7.2 of any failure of the Services, or any part of them, to meet the quality standards required by a regulatory body, promptly and in any event within two (2) Business Days of the Supplier becoming aware of any such failure. This shall include without limitation any informal feedback received during or following an inspection raising concerns of any nature regarding the provision of the Services.
- 1.8 Following any inspection of the Services, or any part of them, by a regulatory body, the Supplier shall provide the Authority with a copy of any report or other communication published or provided by the relevant regulatory body in relation to the provision of the Services.
- 1.9 Upon receipt of notice pursuant to Clause 1.7 of this Schedule 2 of these Call-off Terms and Conditions or any report or communication pursuant to Clause 1.8 of this Schedule 2 of these Call-off Terms and Conditions, the Authority shall be entitled to request further information from the Supplier and/or a meeting with the Supplier, and the Supplier shall cooperate fully with any such request.
- 1.10 Where applicable, the Supplier shall implement and comply with the Policies on reporting and responding to all incidents and accidents, including serious incidents requiring investigation, shall complete the Authority's incident and accident forms in accordance with the Policies and provide reasonable support and information as requested by the Authority to help the Authority deal with any incident or accident relevant to the Services. The Supplier shall ensure that its Contract Manager informs the Authority's Contract Manager in writing forthwith upon (a) becoming aware that any serious incidents requiring investigation and/or notifiable accidents have occurred or (b) the Supplier's Contract Manager having reasonable cause to believe any serious incidents and/or notifiable accidents requiring investigation have occurred. The Supplier shall ensure that its Contract Manager informs the Authority's Contract Manager in writing within forty-eight (48) hours of all other incidents and/or accidents that have or may have an impact on the Services.
- 1.11 The Supplier shall be relieved from its obligations under this Contract to the extent that it is prevented from complying with any such obligations due to any acts, omissions or defaults of the Authority. To qualify for such relief, the Supplier must notify the Authority promptly (and in any event within five (5) Business Days) in writing of the occurrence of such act, omission, or default of the Authority together with the potential impact on the Supplier's obligations.

## **2 Premises, locations and access**

- 2.1 The Services shall be provided at such Authority premises and at such locations within those premises, as may be set out in the Order Form or as otherwise agreed by the Parties in writing ("**Premises and Locations**").
- 2.2 Subject to the Supplier and its Staff complying with all relevant Policies applicable to such Premises and Locations, the Authority shall grant reasonable access to the

Supplier and its Staff to such Premises and Locations to enable the Supplier to provide the Services.

- 2.3 Subject to Clause 2.4 of this Schedule 2 of these Call-off Terms and Conditions, any access granted to the Supplier and its Staff under Clause 2.2 of this Schedule 2 of these Call-off Terms and Conditions shall be non-exclusive and revocable. Such access shall not be deemed to create any greater rights or interest than so granted (to include, without limitation, any relationship of landlord and tenant) in the Premises and Locations. The Supplier warrants that it shall carry out all such reasonable further acts to give effect to this Clause 2.3 of this Schedule 2 of these Call-off Terms and Conditions.
- 2.4 Where, in order to provide the Services, the Supplier requires any greater rights to use or occupy any specific Premises and Locations over and above such reasonable access rights granted in accordance with Clause 2.2 and Clause 2.3 of this Schedule 2 of these Call-off Terms and Conditions, such further rights shall be limited to any rights granted to the Supplier by the Authority in accordance with any licence and/or lease entered into by the Supplier as referred to in any Order Form.
- 2.5 Where it is provided for by a specific mechanism set out in the Specification and Tender Response Document and/or the Order Form, the Authority may increase, reduce or otherwise vary the Premises and Locations in accordance with such mechanism subject to the provisions of any licence or lease entered into by the Parties as referred to at Clause 2.4 of this Schedule 2 of these Call-off Terms and Conditions. Where there is no such specific mechanism set out in the Specification and Tender Response Document and/or the Order Form, any variations to the Premises and Locations where the Services are to be provided shall be agreed by the Parties in accordance with Clause 21 of this Schedule 2 of these Call-off Terms and Conditions. If agreement cannot be reached the matter shall be referred to, and resolved in accordance with, the dispute resolution process set out in Clause 5 of the Key Provisions and Clause 22.3 of this Schedule 2 of these Call-off Terms and Conditions.

### **3 Cooperation with third parties**

- 7.1 The Supplier shall, as reasonably required by the Authority, cooperate with any other service providers to the Authority and/or any other third parties as may be relevant in the provision of the Services.

### **4 Use of Authority equipment**

- 7.2 Unless otherwise set out in the Specification and Tender Response Document or otherwise agreed by the Parties in writing, any equipment or other items provided by the Authority for use by the Supplier:

7.2.1 shall be provided at the Authority's sole discretion;

7.2.2 shall be inspected by the Supplier in order that the Supplier can confirm to its reasonable satisfaction that such equipment and/or item is fit for its

intended use and shall not be used by the Supplier until it has satisfied itself of this;

7.2.3 must be returned to the Authority within any agreed timescales for such return or otherwise upon the request of the Authority; and

7.2.4 shall be used by the Supplier at the Supplier's risk and the Supplier shall upon written request by the Authority reimburse the Authority for any loss or damage relating to such equipment or other items caused by the Supplier (fair wear and tear exempted).

## **5 Staff and Lifescience Industry Accredited Credentialing Register**

5.1 Subject to the requirements of this Contract and any Law, the Supplier shall be entirely responsible for the employment and conditions of service of Staff. The Supplier shall ensure that such conditions of employment are consistent with its obligations under this Contract.

5.2 The Supplier will employ sufficient Staff to ensure that it complies with its obligations under this Contract. This will include, but not be limited to, the Supplier providing a sufficient reserve of trained and competent Staff to provide the Services during Staff holidays or absence.

5.3 The Supplier shall use reasonable endeavours to ensure the continuity of all Staff in the provision of the Services and, where any member of Staff is designated as key to the provision of the Services as set out in the Specification and Tender Response Document, the Order Form or as otherwise agreed between the Parties in writing, any redeployment and/or replacement of such member of Staff by the Supplier shall be subject to the prior written approval of the Authority, such approval not to be unreasonably withheld or delayed.

5.4 The Supplier shall ensure that all Staff are aware of, and at all times comply with, the Policies.

5.5 The Supplier shall:

7.2.5 employ only those Staff who are careful, skilled and experienced in the duties required of them;

7.2.6 ensure that every member of Staff is properly and sufficiently trained and instructed;

7.2.7 ensure all Staff have the qualifications to carry out their duties;

7.2.8 maintain throughout the Term all appropriate licences and registrations with any relevant bodies (at the Supplier's expense) in respect of the Staff;

- 7.2.9 ensure all Staff comply with such registration, continuing professional development and training requirements or recommendations appropriate to their role including those from time to time issued by the Department of Health or any relevant regulatory body or any industry body in relation to such Staff; and
  - 7.2.10 comply with the Authority's staff vetting procedures and other staff protocols, as may be relevant to this Contract and which are notified to the Supplier by the Authority in writing.
- 5.6 The Supplier shall not deploy in the provision of the Services any person who has suffered from, has signs of, is under treatment for, or who is suffering from any medical condition which is known to, or does potentially, place the health and safety of the Authority's staff, patients, service users or visitors at risk unless otherwise agreed in writing with the Authority.
- 5.7 The Supplier shall ensure that all potential Staff or persons performing any of the Services during the Term who may reasonably be expected in the course of performing any of the Services under this Contract to have access to or come into contact with children or other vulnerable persons and/or have access to or come into contact with persons receiving health care services:
- 5.7.1 are questioned concerning their Convictions; and
  - 5.7.2 obtain appropriate disclosures from the Disclosure and Barring Service (or other appropriate body) as required by Law and/or the Policies before the Supplier engages the potential staff or persons in the provision of the Services.
- 5.8 The Supplier shall take all necessary steps to ensure that such potential staff or persons obtain standard and enhanced disclosures from the Disclosure and Barring Service (or other appropriate body) and shall ensure all such disclosures are kept up to date. The obtaining of such disclosures shall be at the Supplier's cost and expense.
- 5.9 The Supplier shall ensure that no person is employed or otherwise engaged in the provision of the Services without the Authority's prior written consent if:
- 7.2.11 the person has disclosed any Convictions upon being questioned about their Convictions in accordance with Clause 5.7.1 of this Schedule 2 of these Call-off Terms and Conditions;
  - 7.2.12 the person is found to have any Convictions following receipt of standard and/or enhanced disclosures from the Disclosure and Barring Service (or other appropriate body) in accordance with Clause 5.7.2 of this Schedule 2 of these Call-off Terms and Conditions; or



- 7.2.13 the person fails to obtain standard and/or enhanced disclosures from the Disclosure and Barring Service (or other appropriate body) upon request by the Supplier in accordance with Clause 5.7.2 of this Schedule 2 of these Call-off Terms and Conditions.
- 5.10 In addition to the requirements of Clause 5.7 to Clause 5.9 of this Schedule 2 of these Call-off Terms and Conditions, where the Services are or include regulated activities as defined by the Safeguarding Vulnerable Groups Act 2006 the Supplier:
- 7.2.14 warrants that it shall comply with all requirements placed on it by the Safeguarding Vulnerable Groups Act 2006;
- 7.2.15 warrants that at all times it has and will have no reason to believe that any member of Staff is barred in accordance with the Safeguarding Vulnerable Groups Act 2006; and
- 7.2.16 shall ensure that no person is employed or otherwise engaged in the provision of the Services if that person is barred from carrying out, or whose previous conduct or records indicate that they would not be suitable to carry out, any regulated activities as defined by the Safeguarding Vulnerable Groups Act 2006 or may present a risk to patients, service users or any other person.
- 5.11 The Supplier shall ensure that the Authority is kept advised at all times of any member of Staff who, subsequent to their commencement of employment as a member of Staff receives a Conviction or whose previous Convictions become known to the Supplier or whose conduct or records indicate that they are not suitable to carry out any regulated activities as defined by the Safeguarding Vulnerable Groups Act 2006 or may present a risk to patients, service users or any other person. The Supplier shall only be entitled to continue to engage or employ such member of Staff with the Authority's written consent and with such safeguards being put in place as the Authority may reasonably request. Should the Authority withhold consent the Supplier shall remove such member of Staff from the provision of the Services forthwith.
- 5.12 The Supplier shall immediately provide to the Authority any information that the Authority reasonably requests to enable the Authority to satisfy itself that the obligations set out in Clause 5.7 to Clause 5.11 of this Schedule 2 of these Call-off Terms and Conditions have been met.
- 5.13 The Authority may at any time request that the Supplier remove and replace any member of Staff from the provision of the Services, provided always that the Authority will act reasonably in making such a request. Prior to making any such request the Authority shall raise with the Supplier the Authority's concerns regarding the member of Staff in question with the aim of seeking a mutually agreeable resolution. The

Authority shall be under no obligation to have such prior discussion should the Authority have concerns regarding patient or service user safety.

- 5.14 Unless otherwise confirmed by the Authority in writing, the Supplier shall ensure full compliance (to include with any implementation timelines) with any Guidance issued by the Department of Health and Social Care and/or any requirements and/or Policies issued by the Authority (to include as may be set out as part of any procurement documents leading to the award of this Contract) in relation to the adoption of, and compliance with, any scheme or schemes to verify the credentials of Supplier representatives that visit NHS premises (to include use of the Lifescience Industry Accredited Credentialing Register). Once compliance with any notified implementation timelines has been achieved by the Supplier, the Supplier shall, during the Term, maintain the required level of compliance in accordance with any such Guidance, requirements and Policies.

## **6 Business continuity**

- 6.1 Throughout the Term, the Supplier will ensure its Business Continuity Plan provides for continuity during a Business Continuity Event. The Supplier confirms and agrees such Business Continuity Plan details and will continue to detail robust arrangements that are reasonable and proportionate to:

6.1.1 the criticality of this Contract to the Authority; and

6.1.2 the size and scope of the Supplier's business operations,

regarding continuity of the provision of the Services during and following a Business Continuity Event.

- 6.2 The Supplier shall test its Business Continuity Plan at reasonable intervals, and in any event no less than once every twelve (12) months or such other period as may be agreed between the Parties taking into account the criticality of this Contract to the Authority and the size and scope of the Supplier's business operations. The Supplier shall promptly provide to the Authority, at the Authority's written request, copies of its Business Continuity Plan, reasonable and proportionate documentary evidence that the Supplier tests its Business Continuity Plan in accordance with the requirements of this Clause 6.2 of this Schedule 2 of these Call-off Terms and Conditions and reasonable and proportionate information regarding the outcome of such tests. The Supplier shall provide to the Authority a copy of any updated or revised Business Continuity Plan within fourteen (14) Business Days of any material update or revision to the Business Continuity Plan.
- 6.3 Should a Business Continuity Event occur at any time, the Supplier shall implement and comply with its Business Continuity Plan and provide regular written reports to the Authority on such implementation.
- 6.4 During and following a Business Continuity Event, the Supplier shall use reasonable endeavours to continue to provide the Services in accordance with this Contract.

## **7 The Authority's obligations**

- 7.1 Subject to the Supplier providing the Services in accordance with this Contract, the Authority will pay the Supplier for the Services in accordance with Clause 9 of this Schedule 2 of these Call-off Terms and Conditions.
- 7.2 The Authority shall, as appropriate, provide copies of or give the Supplier access to such of the Policies that are relevant to the provision of the Services.
- 7.3 The Authority shall comply with the Authority's Obligations.
- 7.3 The Authority shall provide the Supplier with any reasonable and proportionate cooperation necessary to enable the Supplier to comply with its obligations under this Contract. The Supplier shall at all times provide reasonable advance written notification to Authority of any such cooperation necessary in circumstances where such cooperation will require the Authority to plan for and/or allocate specific resources in order to provide such cooperation.

## **8 Contract management**

- 8.1 Each Party shall appoint and retain a Contract Manager who shall be the primary point of contact for the other Party in relation to matters arising from this Contract. Should the Contract Manager be replaced, the Party replacing the Contract Manager shall promptly inform the other Party in writing of the name and contact details for the new Contract Manager. Any Contract Manager appointed shall be of sufficient seniority and experience to be able to make decisions on the day-to-day operation of the Contract. The Supplier confirms and agrees that it will be expected to work closely and cooperate fully with the Authority's Contract Manager.
- 8.2 Each Party shall ensure that its representatives (to include, without limitation, its Contract Manager) shall attend review meetings on a regular basis to review the performance of the Supplier under this Contract and to discuss matters arising generally under this Contract. Each Party shall ensure that those attending such meetings have the authority to make decisions regarding the day-to-day operation of the Contract. Review meetings shall take place at the frequency specified in the Specification and Tender Response Document. Should the Specification and Tender Response Document not state the frequency, then the first such meeting shall take place on a date to be agreed on or around the end of the first month after the Commencement Date. Subsequent meetings shall take place at monthly intervals or as may otherwise be agreed in writing between the Parties.
- 8.3 Two weeks prior to each review meeting (or at such time and frequency as may be specified in the Specification and Tender Response Document) the Supplier shall provide a written contract management report to the Authority regarding the provision of the Services and the operation of this Contract. Unless otherwise agreed by the Parties in writing, such contract management report shall contain:
  - 8.3.1 details of the performance of the Supplier when assessed in accordance with the KPIs since the last such performance report;

- 8.3.2 details of any complaints from or on behalf of patients or other service users, their nature and the way in which the Supplier has responded to such complaints since the last review meeting written report;
  - 8.3.3 the information specified in the Specification and Tender Response Document;
  - 8.3.4 a status report in relation to the implementation of any current Remedial Proposals by either Party; and
  - 8.3.5 such other information as reasonably required by the Authority.
- 8.4 Unless specified otherwise in the Specification and Tender Response Document, the Authority shall take minutes of each review meeting and shall circulate draft minutes to the Supplier within a reasonable time following such review meeting. The Supplier shall inform the Authority in writing of any suggested amendments to the minutes within five (5) Business Days of receipt of the draft minutes. If the Supplier does not respond to the Authority within such five (5) Business Days the minutes will be deemed to be approved. Where there are any differences in interpretation of the minutes, the Parties will use their reasonable endeavours to reach agreement. If agreement cannot be reached the matter shall be referred to, and resolved in accordance with, the dispute resolution process set out in Clause 5 of the Key Provisions and Clause 22.3 of this Schedule 2 of these Call-off Terms and Conditions.
- 8.5 The Supplier shall provide such management information as the Authority may request from time to time within seven (7) Business Days of the date of the request. The Supplier shall supply the management information to the Authority in such form as may be specified by the Authority and, where requested to do so, the Supplier shall also provide such management information to another Contracting Authority, whose role it is to: (a) analyse such management information in accordance with UK government policy (to include, without limitation, for the purposes of analysing public sector expenditure and planning future procurement activities); or (b) manage the Framework Agreement with the Supplier ("**Third Party Body**"). The Supplier confirms and agrees that the Authority may itself provide the Third Party Body with management information relating to the Services purchased, any payments made under this Contract, and any other information relevant to the operation of this Contract.
- 8.6 Upon receipt of management information supplied by the Supplier to the Authority and/or the Third Party Body, or by the Authority to the Third Party Body, the Parties hereby consent to the Third Party Body and the Authority:
- 8.6.1 storing and analysing the management information and producing statistics; and
  - 8.6.2 sharing the management information or any statistics produced using the management information with any other Contracting Authority.
- 8.7 If the Third Party Body and/or the Authority shares the management information or any other information provided under Clause 8.6 of this Schedule 2 of these Call-off Terms and Conditions, any Contracting Authority receiving the management information shall, where such management information is subject to obligations of confidence under this Contract and such management information is provided direct by the Authority to such Contracting Authority, be informed of the confidential nature of that information by the

Authority and shall be requested by the Authority not to disclose it to any body that is not a Contracting Authority (unless required to do so by Law).

- 8.8 The Authority may make changes to the type of management information which the Supplier is required to supply and shall give the Supplier at least one (1) month's written notice of any changes.

## **9 Price and payment**

- 9.1 The Contract Price shall be calculated in accordance with the provisions of the Framework Agreement, as confirmed in the Order Form.

- 9.2 Unless otherwise stated in the Framework Agreement and/or the Order Form, the Contract Price:

7.3.1 shall be payable from the Actual Services Commencement Date;

7.3.2 shall remain fixed during the Term; and

7.3.3 is the entire price payable by the Authority to the Supplier in respect of the Services and includes, without limitation, any royalties, licence fees, supplies and all consumables used by the Supplier, travel costs, accommodation expenses, the cost of Staff and all appropriate taxes (excluding VAT), duties and tariffs and any expenses arising from import and export administration.

- 9.3 Unless stated otherwise in the Framework Agreement and/or the Order Form:

7.3.4 where the Framework Agreement and/or the Order Form confirms that the payment profile for this Contract is monthly in arrears, the Supplier shall invoice the Authority, within fourteen (14) days of the end of each calendar month, the Contract Price in respect of the Services provided in compliance with this Contract in the preceding calendar month; or

7.3.5 where Clause 9.3.1 of this Schedule 2 of these Call-off Terms and Conditions does not apply, the Supplier shall invoice the Authority for Services at any time following completion of the provision of the Services in compliance with this Contract.

Each invoice shall contain such information and be addressed to such individual as the Authority may inform the Supplier from time to time.

- 9.4 The Contract Price is exclusive of VAT, which, if properly chargeable, the Authority shall pay at the prevailing rate subject to receipt from the Supplier of a valid and

accurate VAT invoice. Such VAT invoices shall show the VAT calculations as a separate line item.

- 7.4 The Authority shall verify and pay each valid and undisputed invoice received in accordance with Clause 9.3 of this Schedule 2 of these Call off Terms and Conditions within thirty (30) days of receipt of such invoice at the latest. However, the Authority shall use its reasonable endeavours to pay such undisputed invoices sooner in accordance with any applicable government prompt payment targets. If there is undue delay in verifying the invoice in accordance with this Clause 9.5 of this Schedule 2, the invoice shall be regarded as valid and undisputed for the purposes this Clause 9.5 after a reasonable time has passed.
- 7.5 Where the Authority raises a query with respect to an invoice the Parties shall liaise with each other and agree a resolution to such query within thirty (30) days of the query being raised. If the Parties are unable to agree a resolution within thirty (30) days the query shall be referred to dispute resolution in accordance with Clause 22 of this Schedule 2 of these Call off Terms and Conditions. For the avoidance of doubt, the Authority shall not be in breach of any of any of its payment obligations under this Contract in relation to any queried or disputed invoice sums unless the process referred to in this Clause 9.6 of this Schedule 2 has been followed and it has been determined that the queried or disputed invoice amount is properly due to the Supplier and the Authority has then failed to pay such sum within a reasonable period following such determination.
- 9.5 The Supplier shall pay to the Authority any service credits and/or other sums and/or deductions (to include, without limitation, deductions relating to a reduction in the Contract Price) that may become due in accordance with the provisions of the Specification and Tender Response Document and/or the Order Form. For the avoidance of doubt, the Authority may invoice the Supplier for such sums or deductions at any time in the event that they have not automatically been credited to the Authority in accordance with the provisions of the Specification and Tender Response Document and/or Order Form. Such invoice shall be paid by the Supplier within 30 days of the date of such invoice.
- 9.6 The Authority reserves the right to set-off:
- 9.6.1 any monies due to the Supplier from the Authority as against any monies due to the Authority from the Supplier under this Contract; and
  - 9.6.2 any monies due to the Authority from the Supplier as against any monies due to the Supplier from the Authority under this Contract.

- 9.7 Where the Authority is entitled to receive any sums (including, without limitation, any costs, charges or expenses) from the Supplier under this Contract, the Authority may invoice the Supplier for such sums. Such invoices shall be paid by the Supplier within 30 days of the date of such invoice.
- 9.8 If a Party fails to pay any undisputed sum properly due to the other Party under this Contract, the Party due such sum 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.

## **10 Warranties**

### **10.1 The Supplier warrants and undertakes that:**

- 10.1.1 it shall comply with the Framework Agreement;
- 10.1.2 it has, and shall ensure its Staff shall have, and shall maintain throughout the Term all appropriate licences and registrations with the relevant bodies to fulfil its obligations under this Contract;
- 10.1.3 it has all rights, consents, authorisations, licences and accreditations required to provide the Services and shall maintain such consents, authorisations, licences and accreditations throughout the Term;
- 10.1.4 it has and shall maintain a properly documented system of quality controls and processes covering all aspects of its obligations under this Contract and/or under Law and/or Guidance and shall at all times comply with such quality controls and processes;
- 10.1.5 it shall not make any significant changes to its system of quality processes in relation to the Services without notifying the Authority in writing at least twenty one (21) days in advance of such change (such notice to include the details of the consequences which follow such change being implemented);
- 10.1.6 where any act of the Supplier requires the notification to and/or approval by any regulatory or other competent body in accordance with any Law and Guidance, the Supplier shall comply fully with such notification and/or approval requirements;
- 10.1.7 receipt of the Services by or on behalf of the Authority and use of the deliverables or of any other item or information supplied or made available



to the Authority as part of the Services will not infringe any third party rights, to include without limitation any Intellectual Property Rights;

- 10.1.8 it will comply with all Law, Guidance, Policies and the Supplier Code of Conduct in so far as it is relevant to the provision of the Services;
- 10.1.9 it will provide the Services using reasonable skill and care and in accordance with Good Industry Practice and shall fulfil all requirements of this Contract using appropriately skilled, trained and experienced staff;
- 10.1.10 unless otherwise set out in the Specification and Tender Response Document and/or as otherwise agreed in writing by the Parties, it has and/or shall procure all resources, equipment, consumables and other items and facilities required to provide the Services;
- 10.1.11 without limitation to the generality of Clause 10.1.8 of this Schedule 2 of these Call-off Terms and Conditions, it shall comply with all health and safety processes, requirements safeguards, controls, and training obligations in accordance with its own operational procedures, Law, Guidance, Policies, Good Industry Practice, the requirements of the Specification and Tender Response Document and any notices or instructions given to the Supplier by the Authority and/or any competent body, as relevant to the provision of the Services and the Supplier's access to the Premises and Locations in accordance with this Contract;
- 10.1.12 without prejudice to any specific notification requirements set out in this Contract, it will promptly notify the Authority of any health and safety hazard which has arisen, or the Supplier is aware may arise, in connection with the performance of the Services and take such steps as are reasonably necessary to ensure the health and safety of persons likely to be affected by such hazards;
- 10.1.13 any equipment it uses in the provision of the Services shall comply with all relevant Law and Guidance, be fit for its intended purpose and maintained fully in accordance with the manufacturer's specification and shall remain the Supplier's risk and responsibility at all times;

- 10.1.14 unless otherwise confirmed by the Authority in writing (to include, without limitation, as part of the Specification and Tender Response Document), it will ensure that any products purchased by the Supplier partially or wholly for the purposes of providing the Services will comply with requirements five (5) to eight (8), as set out at Annex 1 of the Cabinet Office Procurement Policy Note - Implementing Article 6 of the Energy Efficiency Directive (Action Note 07/14 3rd June 2014), to the extent such requirements apply to the relevant products being purchased;
- 10.1.15 it shall use Good Industry Practice to ensure that any information and communications technology systems and/or related hardware and/or software it uses are free from corrupt data, viruses, worms and any other computer programs or code which might cause harm or disruption to the Authority's information and communications technology systems;
- 10.1.16 it shall: (i) comply with all relevant Law and Guidance and shall use Good Industry Practice to ensure that there is no slavery or human trafficking in its supply chains; and (ii) notify the Authority immediately if it becomes aware of any actual or suspected incidents of slavery or human trafficking in its supply chains;
- 10.1.17 it shall at all times conduct its business in a manner that is consistent with any anti-slavery Policy of the Authority and shall provide to the Authority any reports or other information that the Authority may request as evidence of the Supplier's compliance with this Clause 10.1.17 and/or as may be requested or otherwise required by the Authority in accordance with its anti-slavery Policy;
- 10.1.18 it will fully and promptly respond to all requests for information and/or requests for answers to questions regarding this Contract, the provision of the Services, any complaints and any Disputes at the frequency, in the timeframes and in the format as requested by the Authority from time to time (acting reasonably);
- 10.1.19 all information included within the Supplier's responses to any documents issued by the Authority as part of the procurement relating to the award of this Contract (to include, without limitation, as referred to in the

Specification and Tender Response Document and/or Order Form) and all accompanying materials is accurate;

- 10.1.20 it has the right and authority to enter into this Contract and that it has the capability and capacity to fulfil its obligations under this Contract;
  - 10.1.21 it is a properly constituted entity and it is fully empowered by the terms of its constitutional documents to enter into and to carry out its obligations under this Contract and the documents referred to in this Contract;
  - 10.1.22 all necessary actions to authorise the execution of and performance of its obligations under this Contract have been taken before such execution;
  - 10.1.23 there are no pending or threatened actions or proceedings before any court or administrative agency which would materially adversely affect the financial condition, business or operations of the Supplier;
  - 10.1.24 there are no material agreements existing to which the Supplier is a party which prevent the Supplier from entering into or complying with this Contract;
  - 10.1.25 it has and will continue to have the capacity, funding and cash flow to meet all its obligations under this Contract; and
  - 10.1.26 it has satisfied itself as to the nature and extent of the risks assumed by it under this Contract and has gathered all information necessary to perform its obligations under this Contract and all other obligations assumed by it.
- 10.2 The Supplier warrants that all information, data and other records and documents required by the Authority as set out in the Specification and Tender Response Document shall be submitted to the Authority in the format and in accordance with any timescales set out in the Specification and Tender Response Document.
- 10.3 Without prejudice to the generality of Clause 10.2 of this Schedule 2 of these Call-off Terms and Conditions, the Supplier acknowledges that a failure by the Supplier following the Actual Services Commencement Date to submit accurate invoices and other information on time to the Authority may result in the commissioner of health services, or other entity responsible for reimbursing costs to the Authority, delaying or failing to make relevant payments to the Authority. Accordingly, the Supplier warrants that, from the Actual Services Commencement Date, it shall submit accurate invoices and other information on time to the Authority.

- 10.4 The Supplier warrants and undertakes to the Authority that it shall comply with any eProcurement Guidance as it may apply to the Supplier and shall carry out all reasonable acts required of the Supplier to enable the Authority to comply with such eProcurement Guidance.
- 10.5 The Supplier warrants and undertakes to the Authority that, as at the Commencement Date, it has notified the Authority in writing of any Occasions of Tax Non-Compliance or any litigation that it is involved in that is in connection with any Occasions of Tax Non-Compliance. If, at any point during the Term, an Occasion of Tax Non-Compliance occurs, the Supplier shall:
- 10.5.1 notify the Authority in writing of such fact within five (5) Business Days of its occurrence; and
- 10.5.2 promptly provide to the Authority:
- (i) details of the steps which 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
  - (ii) such other information in relation to the Occasion of Tax Non-Compliance as the Authority may reasonably require.
- 10.6 The Supplier further warrants and undertakes to the Authority that it will inform the Authority in writing immediately upon becoming aware that any of the warranties set out in Clause 10 of this Schedule 2 of these Call-off Terms and Conditions have been breached or there is a risk that any warranties may be breached.
- 10.7 Any warranties provided under this Contract are both independent and cumulative and may be enforced independently or collectively at the sole discretion of the enforcing Party.

## **11 Intellectual property**

- 11.1 The Supplier warrants and undertakes to the Authority that either it owns or is entitled to use and will continue to own or be entitled to use all Intellectual Property Rights used in the development and provision of the Services and/or necessary to give effect to the Services and/or to use any deliverables, matter or any other output supplied to the Authority as part of the Services.
- 11.2 The Supplier hereby grants to the Authority, for the life of the use by the Authority of any deliverables, material or any other output supplied to the Authority in any format as part of the Services, an irrevocable, royalty-free, non-exclusive licence to use, modify, adapt or enhance such items in the course of the Authority's normal business operations. For the avoidance of doubt, unless specified otherwise in any Key Provisions and/or in the Specification and Tender Response Document, the Authority shall have no rights to commercially exploit (e.g. by selling to third parties) any deliverables, matter or any other output supplied to the Authority in any format as part of the Services.

## **12     Indemnity**

12.1 The Supplier shall be liable to the Authority for, and shall indemnify and keep the Authority indemnified against, any loss, damages, costs, expenses (including without limitation legal costs and expenses), claims or proceedings in respect of:

- 12.1.1 any injury or allegation of injury to any person, including injury resulting in death;
- 12.1.2 any loss of or damage to property (whether real or personal); and/or
- 12.1.3 any breach of Clause 10.1.7 and/or Clause 11 of this Schedule 2 of these Call-off Terms and Conditions; and/or
- 12.1.4 any failure by the Supplier to commence the delivery of the Services by the Services Commencement Date;

that arise or result from the Supplier's negligent acts or omissions or breach of contract in connection with the performance of this Contract including the provision of the Services, except to the extent that such loss, damages, costs, expenses (including without limitation legal costs and expenses), claims or proceedings have been caused by any act or omission by, or on behalf of, or in accordance with the instructions of, the Authority.

12.2 Liability under Clauses 12.1.1, 12.1.3 and 17.13 of this Schedule 2 of these Call-off Terms and Conditions and Clause 2.6 of Schedule 3 of these Call-off Terms and Conditions shall be unlimited. Liability under Clauses 12.1.2 and 12.1.4 of this Schedule 2 of these Call-off Terms and Conditions shall be subject to the limitation of liability set out in Clause 13 of this Schedule 2 of these Call-off Terms and Conditions.

12.3 In relation to all third party claims against the Authority, which are the subject of any indemnity given by the Supplier under this Contract, the Authority shall use its reasonable endeavours, upon a written request from the Supplier, to transfer the conduct of such claims to the Supplier unless restricted from doing so. Such restrictions may include, without limitation, any restrictions:

- 12.3.1 relating to any legal, regulatory, governance, information governance, or confidentiality obligations on the Authority; and/or
- 12.3.2 relating to the Authority's membership of any indemnity and/or risk pooling arrangements.

Such transfer shall be subject to the Parties agreeing appropriate terms for such conduct of the third party claim by the Supplier (to include, without limitation, the right of the Authority to be informed and consulted on the ongoing conduct of the claim following such transfer and any reasonable cooperation required by the Supplier from the Authority).

## **13     Limitation of liability**

13.1 Nothing in this Contract shall exclude or restrict the liability of either Party:

- 13.1.1 for death or personal injury resulting from its negligence;

- 13.1.2 for fraud or fraudulent misrepresentation; or
  - 13.1.3 in any other circumstances where liability may not be limited or excluded under any applicable law.
- 13.2 Subject to Clauses 12.2, 13.1, 13.3, and 13.5 of this Schedule 2 of these Call-off Terms and Conditions, the total liability of each Party to the other under or in connection with this Contract whether arising in contract, tort, negligence, breach of statutory duty or otherwise shall be limited in aggregate to the greater of: (a) five million GBP (£5,000,000); or (b) one hundred and twenty five percent (125%) of the total Contract Price paid or payable by the Authority to the Supplier for the Services.
- 13.3 There shall be no right to claim losses, damages and/or other costs and expenses under or in connection with this Contract whether arising in contract (to include, without limitation, under any relevant indemnity), tort, negligence, breach of statutory duty or otherwise to the extent that any losses, damages and/or other costs and expenses claimed are in respect of loss of production, loss of business opportunity or are in respect of indirect loss of any nature suffered or alleged. For the avoidance of doubt, without limitation, the Parties agree that for the purposes of this Contract the following costs, expenses and/or loss of income shall be direct recoverable losses (to include under any relevant indemnity) provided such costs, expenses and/or loss of income are properly evidenced by the claiming Party:
- 13.3.1 extra costs incurred purchasing replacement or alternative services;
  - 13.3.2 costs associated with advising, screening, testing, treating, retreating or otherwise providing healthcare to patients;
  - 13.3.3 the costs of extra management time; and/or
  - 13.3.4 loss of income due to an inability to provide health care services,
- in each case to the extent to which such costs, expenses and/or loss of income arise or result from the other Party's breach of contract, negligent act or omission, breach of statutory duty, and/or other liability under or in connection with this Contract.
- 13.4 Each Party shall at all times take all reasonable steps to minimise and mitigate any loss for which that Party is entitled to bring a claim against the other pursuant to this Contract.
- 13.5 If the total Contract Price paid or payable by the Authority to the Supplier over the Term:
- 13.5.1 is less than or equal to one million pounds (£1,000,000), then the figure of five million pounds (£5,000,000) at Clause 13.2 of this Schedule 2 of these Call-off Terms and Conditions shall be replaced with one million pounds (£1,000,000);
  - 13.5.2 is less than or equal to three million pounds (£3,000,000) but greater than one million pounds (£1,000,000), then the figure of five million pounds (£5,000,000) at Clause 13.2 of this Schedule 2 of these Call-off Terms and Conditions shall be replaced with three million pounds (£3,000,000);

- 13.5.3 is equal to, exceeds or will exceed ten million pounds (£10,000,000), but is less than fifty million pounds (£50,000,000), then the figure of five million pounds (£5,000,000) at Clause 13.2 of this Schedule 2 of these Call-off Terms and Conditions shall be replaced with ten million pounds (£10,000,000) and the figure of one hundred and twenty five percent (125%) at Clause 13.2 of this Schedule 2 of these Call-off Terms and Conditions shall be deemed to have been deleted and replaced with one hundred and fifteen percent (115%); and
- 13.5.4 is equal to, exceeds or will exceed fifty million pounds (£50,000,000), then the figure of five million pounds (£5,000,000) at Clause 13.2 of this Schedule 2 of these Call-off Terms and Conditions shall be replaced with fifty million pounds (£50,000,000) and the figure of one hundred and twenty five percent (125%) at Clause 13.2 of this Schedule 2 of these Call-off Terms and Conditions shall be deemed to have been deleted and replaced with one hundred and five percent (105%).
- 13.6 Clause 13 of this Schedule 2 of these Call-off Terms and Conditions shall survive the expiry of or earlier termination of this Contract for any reason.

## **14 Insurance**

- 14.1 Subject to Clauses 14.2 and 14.3 of this Schedule 2 of these Call-off Terms and Conditions and unless otherwise confirmed in writing by the Authority, as a minimum level of protection, the Supplier shall put in place and/or maintain in force at its own cost with a reputable commercial insurer, insurance arrangements in respect of employer's liability, public liability and professional indemnity in accordance with Good Industry Practice with the minimum cover per claim of the greater of five million pounds (£5,000,000) or any sum as required by Law unless otherwise agreed with the Authority in writing. These requirements shall not apply to the extent that the Supplier is a member and maintains membership of each of the indemnity schemes run by the NHS Litigation Authority.
- 14.2 Without limitation to any insurance arrangements as required by Law, the Supplier shall put in place and/or maintain the different types and/or levels of indemnity arrangements specified in the Framework Agreement, if any.
- 14.3 Provided that the Supplier maintains all indemnity arrangements required by Law, the Supplier may self insure in order to meet other relevant requirements referred to at Clauses 14.1 and 14.2 of this Schedule 2 of these Call-off Terms and Conditions on condition that such self insurance arrangements offer the appropriate levels of protection and are approved by the Authority in writing prior to the Commencement Date.
- 14.4 The amount of any indemnity cover and/or self insurance arrangements shall not relieve the Supplier of any liabilities under this Contract. It shall be the responsibility of the Supplier to determine the amount of indemnity and/or self insurance cover that will be adequate to enable it to satisfy its potential liabilities under this Contract. Accordingly, the Supplier shall be liable to make good any deficiency if the proceeds of any indemnity cover and/or self insurance arrangement is insufficient to cover the settlement of any claim.



- 14.5 The Supplier warrants that it shall not take any action or fail to take any reasonable action or (in so far as it is reasonable and within its power) permit or allow others to take or fail to take any action, as a result of which its insurance cover may be rendered void, voidable, unenforceable, or be suspended or impaired in whole or in part, or which may otherwise render any sum paid out under such insurances repayable in whole or in part.
- 14.6 The Supplier shall from time to time and in any event within five (5) Business Days of written demand provide documentary evidence to the Authority that insurance arrangements taken out by the Supplier pursuant to Clause 14 of this Schedule 2 of these Call-off Terms and Conditions and/or the provisions of the Framework Agreement are fully maintained and that any premiums on them and/or contributions in respect of them (if any) are fully paid.
- 14.7 Upon the expiry or earlier termination of this Contract, the Supplier shall ensure that any ongoing liability it has or may have arising out of this Contract shall continue to be the subject of appropriate indemnity arrangements for the period of twenty one (21) years from termination or expiry of this Contract or until such earlier date as that liability may reasonably be considered to have ceased to exist.

## **15 Term and termination**

- 15.1 This Contract shall commence on the Commencement Date and unless terminated earlier in accordance with the terms of this Contract or the general law, shall continue until the end of the Term.
- 15.2 The Authority:
- 15.2.1 subject to Clause 15.2.2 of this Schedule 2 of these Call-off Terms and Conditions, shall be entitled to extend the Term on one or more occasions by giving the Supplier written notice no less than three (3) months prior to the date on which this Contract would otherwise have expired, provided that the duration of this Contract shall be no longer than the total term referred to in the Key Provisions; or
- 15.2.2 where the Term or any extension of the Term expires at a date the same as or after expiry of the Framework Agreement (including any extensions of the Framework Agreement in accordance with its terms), shall only be entitled to extend the Term with the prior written agreement of the Supplier, such agreement not to be unreasonably withheld or delayed.
- 15.3 In the case of a breach of any of the terms of this Contract by either Party that is capable of remedy (including, without limitation any breach of any KPI and, subject to Clause 9.6 of this Schedule 2 of these Call-off Terms and Conditions, any breach of any payment obligations under this Contract), the non-breaching Party may, without prejudice to its other rights and remedies under this Contract, issue a Breach Notice and shall allow the Party in breach the opportunity to remedy such breach in the first

instance via a remedial proposal put forward by the Party in breach (“**Remedial Proposal**”) before exercising any right to terminate this Contract in accordance with Clause 15.4(ii) of this Schedule 2 of these Call-off Terms and Conditions. Such Remedial Proposal must be agreed with the non-breaching Party (such agreement not to be unreasonably withheld or delayed) and must be implemented by the Party in breach in accordance with the timescales referred to in the agreed Remedial Proposal. Once agreed, any changes to a Remedial Proposal must be approved by the Parties in writing. Any failure by the Party in breach to:

- 15.3.1 put forward and agree a Remedial Proposal with the non-breaching Party in relation to the relevant default or breach within a period of ten (10) Business Days (or such other period as the non-breaching Party may agree in writing) from written notification of the relevant default or breach from the non-breaching Party;
- 15.3.2 comply with such Remedial Proposal (including, without limitation, as to its timescales for implementation, which shall be thirty (30) days unless otherwise agreed between the Parties); and/or
- 15.3.3 remedy the default or breach notwithstanding the implementation of such Remedial Proposal in accordance with the agreed timescales for implementation,

shall be deemed, for the purposes of Clause 15.4(ii) of this Schedule 2 of these Call-off Terms and Conditions, a material breach of this Contract by the Party in breach not remedied in accordance with an agreed Remedial Proposal.

- 15.4 Either Party may terminate this Contract by issuing a Termination Notice to the other Party if such other Party commits a material breach of any of the terms of this Contract which is:

- 15.4.1 not capable of remedy; or

- 15.4.2 in the case of a breach capable of remedy, which is not remedied in accordance with a Remedial Proposal.

- 15.5 The Authority may terminate this Contract by issuing a Termination Notice to the Supplier if:

- 15.5.1 the Supplier does not commence delivery of the Services by any Long Stop Date;

- 15.5.2 the Supplier, or any third party guaranteeing the obligations of the Supplier under this Contract, ceases or threatens to cease carrying on its business; suspends making payments on any of its debts or announces an intention to do so; is, or is deemed for the purposes of any Law to be, unable to pay its debts as they fall due or insolvent; enters into or proposes any composition, assignment or arrangement with its creditors generally; takes any step or suffers any step to be taken in relation to its winding-up, dissolution, administration (whether out of court or otherwise) or reorganisation (by way

- of voluntary arrangement, scheme of arrangement or otherwise) otherwise than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation; has a liquidator, trustee in bankruptcy, judicial custodian, compulsory manager, receiver, administrative receiver, administrator or similar officer appointed (in each case, whether out of court or otherwise) in respect of it or any of its assets; has any security over any of its assets enforced; or any analogous procedure or step is taken in any jurisdiction;
- 15.5.3 the Supplier undergoes a change of control within the meaning of sections 450 and 451 of the Corporation Tax Act 2010 (other than for an intra-group change of control) without the prior written consent of the Authority and the Authority shall be entitled to withhold such consent if, in the reasonable opinion of the Authority, the proposed change of control will have a material impact on the performance of this Contract or the reputation of the Authority;
  - 15.5.4 the Supplier purports to assign, Sub-contract, novate, create a trust in or otherwise transfer or dispose of this Contract in breach of Clause 28.1 of this Schedule 2 of these Call-off Terms and Conditions;
  - 15.5.5 pursuant to and in accordance with any termination rights set out in any Key Provisions and Clauses 15.6, 23.8; 25.2; 25.4 and 29.2 of this Schedule 2 of these Call-off Terms and Conditions; or
  - 15.5.6 the warranty given by the Supplier pursuant to Clause 10.5 of this Schedule 2 of these Call-off Terms and Conditions is materially untrue, the Supplier commits a material breach of its obligation to notify the Authority of any Occasion of Tax Non-Compliance as required by Clause 10.5 of this Schedule 2 of these Call-off Terms and Conditions, or the Supplier fails to provide details of proposed mitigating factors as required by Clause 10.5 of this Schedule 2 of these Call-off Terms and Conditions that in the reasonable opinion of the Authority are acceptable.
- 15.6 If the Authority, acting reasonably, has good cause to believe that there has been a material deterioration in the financial circumstances of the Supplier and/or any third party guaranteeing the obligations of the Supplier under this Contract and/or any material Sub-contractor of the Supplier when compared to any information provided to and/or assessed by the Authority as part of any procurement process or other due diligence leading to the award of this Contract to the Supplier or the entering into a Sub-contract by the Supplier, the following process shall apply:
- 15.6.1 the Authority may (but shall not be obliged to) give notice to the Supplier requesting adequate financial or other security and/or assurances for due performance of its material obligations under this Contract on such reasonable and proportionate terms as the Authority may require within a reasonable time period as specified in such notice;
  - 15.6.2 a failure or refusal by the Supplier to provide the financial or other security and/or assurances requested in accordance with Clause 15.6 of this Schedule 2 of these Call-off Terms and Conditions in accordance with any reasonable timescales specified in any such notice issued by the Authority shall be deemed a breach of this Contract by the Supplier and shall be referred to and resolved in accordance with the Dispute Resolution Procedure; and

- 15.6.3 a failure to resolve such breach in accordance with such Dispute Resolution Procedure by the end of the escalation stage of such process (as set out in Clause 22.3 of this Schedule 2 of these Call-off Terms and Conditions) shall entitle, but shall not compel, the Authority to terminate this Contract in accordance with Clause 15.4(i) of this Schedule 2 of these Call-off Terms and Conditions.

In order that the Authority may act reasonably in exercising its discretion in accordance with Clause 15.6 of this Schedule 2 of these Call-off Terms and Conditions, the Supplier shall provide the Authority with such reasonable and proportionate up-to-date financial or other information relating to the Supplier or any relevant third party entity upon request.

- 15.7 The Authority may terminate this Contract by issuing a Termination Notice to the Supplier where:

15.7.1 the Contract has been substantially amended to the extent that the Public Contracts Regulations 2015 require a new procurement procedure;

15.7.2 the Authority has become aware that the Supplier should have been excluded under Regulation 57(1) or (2) of the Public Contracts Regulations 2015 from the procurement procedure leading to the award of this Contract;

15.7.3 the Contract should not have been awarded to the Supplier in view of a serious infringement of obligations under European law declared by the Court of Justice of the European Union under Article 258 of the Treaty on the Functioning of the EU; or

15.7.4 there has been a failure by the Supplier and/or one its Sub-contractors to comply with legal obligations in the fields of environmental, social or labour Law. Where the failure to comply with legal obligations in the fields of environmental, social or labour Law is a failure by one of the Supplier's Sub-contractors, the Authority may request the replacement of such Sub-contractor and the Supplier shall comply with such request as an alternative to the Authority terminating this Contract under this Clause 15.7.4.

- 15.8 If the Authority novates this Contract to any body that is not a Contracting Authority, from the effective date of such novation, the rights of the Authority to terminate this Contract in accordance with Clause 15.5.2 to Clause 15.5.4 of this Schedule 2 of these Call-off Terms and Conditions shall be deemed mutual termination rights and the Supplier may terminate this Contract by issuing a Termination Notice to the entity assuming the position of the Authority if any of the circumstances referred to in such Clauses apply to the entity assuming the position of the Authority.

- 15.9 Within three (3) months of the Commencement Date the Supplier shall develop and agree an exit plan with the Authority consistent with the Exit Requirements, which shall ensure continuity of the Services on expiry or earlier termination of this Contract. The Supplier shall provide the Authority with the first draft of an exit plan within one (1) month of the Commencement Date. The Parties shall review and, as appropriate, update the exit plan on each anniversary of the Commencement Date of this Contract.
- If the Parties cannot agree an exit plan in accordance with the timescales set out in this Clause 15.9 of this Schedule 2 of these Call-off Terms and Conditions (such agreement not to be unreasonably withheld or delayed), such failure to agree shall be deemed a Dispute, which shall be referred to and resolved in accordance with the Dispute Resolution Procedure.

## **16 Consequences of expiry or early termination of this Contract**

- 16.1 Upon expiry or earlier termination of this Contract, the Authority agrees to pay the Supplier for the Services which have been completed by the Supplier in accordance with this Contract prior to expiry or earlier termination of this Contract.
- 16.2 Immediately following expiry or earlier termination of this Contract and/or in accordance with any timescales as set out in the agreed exit plan:
- 16.2.1 the Supplier shall comply with its obligations under any agreed exit plan;
  - 16.2.2 all data, excluding Personal Data, documents and records (whether stored electronically or otherwise) relating in whole or in part to the Services, including without limitation relating to patients or other service users, and all other items provided on loan or otherwise to the Supplier by the Authority shall be delivered by the Supplier to the Authority provided that the Supplier shall be entitled to keep copies to the extent that (a) the content does not relate solely to the Services; (b) the Supplier is required by Law and/or Guidance to keep copies; or (c) the Supplier was in possession of such data, documents and records prior to the Commencement Date; and
  - 16.2.3 any Personal Data Processed by the Supplier on behalf of the Authority shall be returned to the Authority or destroyed in accordance with Schedule 6 (Data Protection Regulations of these Call-off Terms and Conditions).
- 16.2 The Supplier shall retain all data relating to the provision of the Services that are not transferred or destroyed pursuant to Clause 16.2 of this Schedule 2 of these Call-off Terms and Conditions for the period set out in Clause 24.1 of this Schedule 2 of these Call-off Terms and Conditions.
- 16.3 The Supplier shall cooperate fully with the Authority or, as the case may be, any replacement supplier during any re-procurement and handover period prior to and following the expiry or earlier termination of this Contract. This cooperation shall

extend to providing access to all information relevant to the operation of this Contract as reasonably required by the Authority to achieve a fair and transparent re-procurement and/or an effective transition without disruption to routine operational requirements.

- 16.4 Immediately upon expiry or earlier termination of this Contract any licence or lease entered into in accordance with any Order Form shall automatically terminate.
- 16.5 The expiry or earlier termination of this Contract for whatever reason shall not affect any rights or obligations of either Party which accrued prior to such expiry or earlier termination.
- 16.6 The expiry or earlier termination of this Contract shall not affect any obligations which expressly or by implication are intended to come into or continue in force on or after such expiry or earlier termination.
- 16.7 The expiry or earlier termination of the Framework Agreement shall not affect this Contract. For the avoidance of doubt, any obligations set out in the Framework Agreement that form part of this Contract shall continue to apply for the purposes of this Contract notwithstanding any termination of the Framework Agreement.

#### **17 Staff information and the application of TUPE at the end of the Contract**

- 17.1 Upon the day which is no greater than nine (9) months before the expiry of this Contract or as soon as the Supplier is aware of the proposed termination of the Contract, the Supplier shall, within twenty eight (28) days of receiving a written request from the Authority and to the extent permitted by Law, supply to the Authority and keep updated all information required by the Authority as to the terms and conditions of employment and employment history of any Supplier Personnel (including all employee liability information identified in regulation 11 of TUPE) and the Supplier shall warrant such information is full, complete and accurate.
- 17.2 No later than twenty eight (28) days prior to the Subsequent Transfer Date, the Supplier shall or shall procure that any Sub-contractor shall provide a final list to the Successor and/or the Authority, as appropriate, containing the names of all the Subsequent Transferring Employees whom the Supplier or Sub-contractor expects will transfer to the Successor or the Authority and all employee liability information identified in regulation 11 of TUPE in relation to the Subsequent Transferring Employees.
- 17.3 If the Supplier shall, in the reasonable opinion of the Authority, deliberately not comply with its obligations under Clauses 17.1 and 17.2 of this Schedule 2 of these Call-off Terms and Conditions, the Authority may withhold payment under Clause 9 of this Schedule 2 of these Call-off Terms and Conditions.
- 17.4 The Supplier shall be liable to the Authority for, and shall indemnify and keep the Authority indemnified against, any loss, damages, costs, expenses (including without limitation legal costs and expenses), claims or proceedings that arise or result from any deficiency or inaccuracy in the information which the Supplier is required to provide under Clauses 17.1 and 17.2 of this Schedule 2 of these Call-off Terms and Conditions.
- 17.5 Subject to Clauses 17.6 and 17.7 of this Schedule 2 of these Call-off Terms and Conditions, during the period of nine (9) months preceding the expiry of this Contract



or after notice of termination of this Contract has been served by either Party, the Supplier shall not, and shall procure that any Sub-contractor shall not, without the prior written consent of the Authority, such consent not to be unreasonably withheld or delayed:

- 17.5.1 make, propose or permit any material changes to the terms and conditions of employment or other arrangements of any of the Supplier Personnel;
  - 17.5.2 increase or seek to increase the emoluments (excluding cost of living increases awarded in the ordinary course of business) payable to any of the Supplier Personnel;
  - 17.5.3 replace any of the Supplier Personnel or increase the total number of employees providing the Services;
  - 17.5.4 deploy any person other than the Supplier Personnel to perform the Services;
  - 17.5.5 terminate or give notice to terminate the employment or arrangements of any of the Supplier Personnel;
  - 17.5.6 increase the proportion of working time spent on the Services by any of the Supplier Personnel; or
  - 17.5.7 introduce any new contractual term or customary practice concerning the making of any lump sum payment on the termination of employment of any of the Supplier Personnel.
- 17.6 Clause 17.5 of this Schedule 2 of these Call-off Terms and Conditions shall not prevent the Supplier or any Sub-contractor from taking any of the steps prohibited in that Clause in circumstances where the Supplier or Sub-contractor is required to take such a step pursuant to any changes in legislation or pursuant to a collective agreement in force at that time.
- 17.7 Where the obligations on the Supplier under Clause 17 of this Schedule 2 of these Call-off Terms and Conditions are subject to the Data Protection Legislation, the Supplier will, and shall procure that any Sub-contractor will, use its best endeavours to seek the consent of the Supplier Personnel to disclose any information covered under the Data Protection Legislation and utilise any other exemption or provision within the Data Protection Legislation which would allow such disclosure.
- 17.8 Having as appropriate gained permission from any Sub-contractor, the Supplier hereby permits the Authority to disclose information about the Supplier Personnel to any Interested Party provided that the Authority informs the Interested Party in writing of the confidential nature of the information.
- 17.9 The Parties agree that where a Successor or the Authority provides the Services or services which are fundamentally the same as the Services in the immediate or subsequent succession to the Supplier or Sub-contractor (in whole or in part) on expiry or early termination of this Contract (howsoever arising) TUPE, the Cabinet Office Statement and Fair Deal for Staff Pensions may apply in respect of the subsequent provision of the Services or services which are fundamentally the same as the Services. If TUPE, the Cabinet Office Statement and Fair Deal for Staff Pensions apply



then Clause 17.11 to Clause 17.14 of this Schedule 2 of these Call-off Terms and Conditions and (where relevant) the requirements of Clause 1.15 of Part D of Schedule 7 of the NHS Terms and Conditions for the Provision of Services (Contract Version) (December 2016) shall apply.

- 17.10 If on the termination or at the end of the Contract TUPE does not apply, then all Employment Liabilities and any other liabilities in relation to the Supplier Personnel shall remain with the Supplier or Sub-contractor as appropriate. The Supplier will, and shall procure that any Sub-contractor shall, indemnify and keep indemnified the Authority in relation to any Employment Liabilities arising out of or in connection with any allegation or claim raised by any Supplier Personnel.
- 17.11 In accordance with TUPE, and any other policy or arrangement applicable, the Supplier shall, and will procure that any Sub-contractor shall, comply with its obligations to inform and consult with the appropriate representatives of any of its employees affected by the subsequent transfer of the Services or services which are fundamentally the same as the Services.
- 17.12 The Supplier will and shall procure that any Sub-contractor will on or before any Subsequent Transfer Date:
- 17.12.1 pay all wages, salaries and other benefits of the Subsequent Transferring Employees and discharge all other financial obligations (including reimbursement of any expenses and any contributions to retirement benefit schemes) in respect of the period between the Transfer Date and the Subsequent Transfer Date;
  - 17.12.2 account to the proper authority for all PAYE, tax deductions and national insurance contributions payable in respect of the Subsequent Transferring Employees in the period between the Transfer Date and the Subsequent Transfer Date;
  - 17.12.3 pay any Successor or the Authority, as appropriate, the amount which would be payable to each of the Subsequent Transferring Employees in lieu of accrued but untaken holiday entitlement as at the Subsequent Transfer Date;
  - 17.12.4 pay any Successor or the Authority, as appropriate, the amount which fairly reflects the progress of each of the Subsequent Transferring Employees towards achieving any commission, bonus, profit share or other incentive payment payable after the Subsequent Transfer Date wholly or partly in respect of a period prior to the Subsequent Transfer Date; and
  - 17.12.5 subject to any legal requirement, provide to the Successor or the Authority, as appropriate, all personnel records relating to the Subsequent Transferring Employees including, without prejudice to the generality of the foregoing, all records relating to national insurance, PAYE and income tax.

The Supplier shall for itself and any Sub-contractor warrant that such records are accurate and up to date.

- 17.13 The Supplier will and shall procure that any Sub-contractor will indemnify and keep indemnified the Authority and/or a Successor in relation to any Employment Liabilities arising out of or in connection with any claim arising from:
- 17.13.1 the Supplier's or Sub-contractor's failure to perform and discharge its obligations under Clause 17.12 of this Schedule 2 of these Call-off Terms and Conditions;
  - 17.13.2 any act or omission by the Supplier or Sub-contractor in respect of the Subsequent Transferring Employees occurring on or before the Subsequent Transfer Date;
  - 17.13.3 any allegation or claim by any person who is not a Subsequent Transferring Employee but who alleges that their employment should transfer or has transferred to the Successor or the Authority, as appropriate;
  - 17.13.4 any emoluments payable to a person employed or engaged by the Supplier or Sub-contractor (including without limitation all wages, accrued holiday pay, bonuses, commissions, PAYE, national insurance contributions, pension contributions and other contributions) payable in respect of any period on or before the Subsequent Transfer Date;
  - 17.13.5 any allegation or claim by any of the Subsequent Transferring Employees on the grounds that the Successor or Authority, as appropriate, has failed to continue a benefit provided by the Supplier or Sub-contractor as a term of such Subsequent Transferring Employee's contract as at the Subsequent Transfer Date where it was not reasonably practicable for the Successor or Authority, as appropriate, to provide an identical benefit but where the Successor or Authority, as appropriate, has provided (or offered to provide where such benefit is not accepted by the Subsequent Transferring Employee) an alternative benefit which, taken as a whole, is no less favourable to such Subsequent Transferring Employee; and
  - 17.13.6 any act or omission of the Supplier or any Sub-contractor in relation to its obligations under regulation 13 of TUPE, or in respect of an award of compensation under regulation 15 of TUPE except to the extent that the liability arises from the Successor's or Authority's failure to comply with regulation 13(4) of TUPE.
- 17.14 The Supplier will, or shall procure that any Sub-contractor will, on request by the Authority provide a written and legally binding indemnity in the same terms as set out in Clause 17.13 of this Schedule 2 of these Call-off Terms and Conditions to any Successor in relation to any Employment Liabilities arising up to and including the Subsequent Transfer Date.
- 17.15 The Supplier will indemnify and keep indemnified the Authority and/or any Successor in respect of any Employment Liabilities arising from any act or omission of the Supplier or Sub-contractor in relation to any other Supplier Personnel who is not a Subsequent Transferring Employee arising during any period whether before, on or after the Subsequent Transfer Date.

- 17.16 If any person who is not a Subsequent Transferring Employee claims or it is determined that their contract of employment has been transferred from the Supplier or any Sub-contractor to the Authority or Successor pursuant to TUPE or claims that their employment would have so transferred had they not resigned, then:
- 17.16.1 the Authority will, or shall procure that the Successor will, within seven (7) days of becoming aware of that fact, give notice in writing to the Supplier;
  - 17.16.2 the Supplier may offer (or may procure that a Sub-contractor may offer) employment to such person within twenty eight (28) days of the notification by the Authority or Successor;
  - 17.16.3 if such offer of employment is accepted, the Authority will, or shall procure that the Successor will, immediately release the person from their employment; and
  - 17.16.4 if after the period in Clause 17.16.2 of this Schedule 2 of these Call-off Terms and Conditions has elapsed, no such offer of employment has been made or such offer has been made but not accepted, the Authority will, or shall procure that the Successor will (whichever is the provider of the Services or services of the same or similar nature to the Services), employ that person in accordance with its obligations and duties under TUPE and shall be responsible for all liabilities arising in respect of any such person after the Subsequent Transfer Date.

## **18 Complaints**

- 18.1 To the extent relevant to the Services, the Supplier shall have in place and operate a complaints procedure which complies with the requirements of the Local Authority Social Services and National Health Service Complaints (England) Regulations 2009.
- 18.2 Each Party shall inform the other of all complaints from or on behalf of patients or other service users arising out of or in connection with the provision of the Services within twenty four (24) hours of receipt of each complaint and shall keep the other Party updated on the manner of resolution of any such complaints.

## **19 Sustainable development**

- 19.1 The Supplier shall comply in all material respects with applicable environmental and social and labour Law requirements in force from time to time in relation to the Services. Where the provisions of any such Law are implemented by the use of voluntary agreements, the Supplier shall comply with such agreements as if they were incorporated into English law subject to those voluntary agreements being cited in the

Specification and Tender Response Document. Without prejudice to the generality of the foregoing, the Supplier shall:

- 19.1.1 comply with all Policies and/or procedures and requirements set out in the Specification and Tender Response Document in relation to any stated environmental and social and labour requirements, characteristics and impacts of the Services and the Supplier's supply chain;
  - 19.1.2 maintain relevant policy statements documenting the Supplier's significant labour, social and environmental aspects as relevant to the Services being provided and as proportionate to the nature and scale of the Supplier's business operations; and
  - 19.1.3 maintain plans and procedures that support the commitments made as part of the Supplier's significant labour, social and environmental policies, as referred to at Clause 19.1.2 of this Schedule 2 of these Call-off Terms and Conditions.
- 19.2 The Supplier shall meet reasonable requests by the Authority for information evidencing the Supplier's compliance with the provisions of Clause 19 of this Schedule 2 of these Call-off Terms and Conditions.

## **20 Electronic services information**

- 20.1 Where requested by the Authority, the Supplier shall provide the Authority the Services Information in such manner and upon such media as agreed between the Supplier and the Authority from time to time for the sole use by the Authority.
- 20.2 The Supplier warrants that the Services Information is complete and accurate as at the date upon which it is delivered to the Authority and that the Services Information shall not contain any data or statement which gives rise to any liability on the part of the Authority following publication of the same in accordance with Clause 20 of this Schedule 2 of these Call-off Terms and Conditions
- 20.3 If the Services Information ceases to be complete and accurate, the Supplier shall promptly notify the Authority in writing of any modification or addition to or any inaccuracy or omission in the Services Information.

- 20.4 The Supplier grants the Authority a perpetual, non-exclusive, royalty free licence to use and exploit the Services Information and any Intellectual Property Rights in the Services Information for the purpose of illustrating the range of goods and services (including, without limitation, the Services) available pursuant to the Authority's contracts from time to time. Subject to Clause 20.5 of this Schedule 2 of these Call-off Terms and Conditions, no obligation to illustrate or advertise the Services Information is imposed on the Authority, as a consequence of the licence conferred by this Clause 20.4 of this Schedule 2 of these Call-off Terms and Conditions.
- 20.5 The Authority may reproduce for its sole use the Services Information provided by the Supplier in the Authority's services catalogue from time to time which may be made available on any NHS communications networks in electronic format and/or made available on the Authority's external website and/or made available on other digital media from time to time.
- 20.6 Before any publication of the Services Information (electronic or otherwise) is made by the Authority, the Authority will submit a copy of the relevant sections of the Authority's services catalogue to the Supplier for approval, such approval not to be unreasonably withheld or delayed. For the avoidance of doubt the Supplier shall have no right to compel the Authority to exhibit the Services Information in any services catalogue as a result of the approval given by it pursuant to this Clause 20.6 of this Schedule 2 of these Call-off Terms and Conditions or otherwise under the terms of this Contract.
- 20.7 If requested in writing by the Authority, and to the extent not already agreed as part of the Specification and Tender Response Document, the Supplier and the Authority shall discuss and seek to agree in good faith arrangements to use any Electronic Trading System.

## **21 Change management**

- 21.1 The Supplier acknowledges to the Authority that the Authority's requirements for the Services may change during the Term and the Supplier shall not unreasonably withhold or delay its consent to any reasonable variation or addition to the Specification and Tender Response Document, as may be requested by the Authority from time to time.
- 21.2 Subject to Clause 21.3 of this Schedule 2 of these Call-off Terms and Conditions, any change to the Services or other variation to this Contract shall only be binding once it has been agreed either: (a) in accordance with any Change Control Process if any Key Provisions specify that changes are subject to a formal change control process; or (b)

if the Key Provisions make no such reference, in writing and signed by an authorised representative of both Parties.

- 21.3 Any change to the Data Protection Protocol shall be made in accordance with the relevant provisions of that protocol.

## **22 Dispute resolution**

- 22.1 During any Dispute, including a Dispute as to the validity of this Contract, it is agreed that the Supplier shall continue its performance of the provisions of the Contract (unless the Authority requests in writing that the Supplier does not do so).
- 22.2 In the case of a Dispute arising out of or in connection with this Contract the Supplier and the Authority shall make every reasonable effort to communicate and cooperate with each other with a view to resolving the Dispute and follow the procedure set out in Clause 22.3 of this Schedule 2 of these Call-off Terms and Conditions as the first stage in the Dispute Resolution Procedure.
- 22.3 If any Dispute arises out of the Contract either Party may serve a notice on the other Party to commence formal resolution of the Dispute. The Parties shall first seek to resolve the Dispute by escalation in accordance with the management levels as set out in Clause 5 of the Key Provisions. Respective representatives at each level, as set out in Clause 5 of the Key Provisions, shall have five (5) Business Days at each level during which they will use their reasonable endeavours to resolve the Dispute before escalating the matter to the next level until all levels have been exhausted. Level 1 will commence on the date of service of the Dispute Notice. The final level of the escalation process shall be deemed exhausted on the expiry of five (5) Business Days following escalation to that level unless otherwise agreed by the Parties in writing.
- 22.4 If the procedure set out in Clause 22.3 of this Schedule 2 of these Call-off Terms and Conditions above has been exhausted and fails to resolve such Dispute, as part of the Dispute Resolution Procedure, the Parties will attempt to settle it by mediation. The Parties shall, acting reasonably, attempt to agree upon a mediator. In the event that the Parties fail to agree a mediator within five (5) Business Days following the exhaustion of all levels of the escalation procedure at Clause 22.3 of this Schedule 2 of these Call-off Terms and Conditions, the mediator shall be nominated and confirmed by the Centre for Effective Dispute Resolution, London.
- 22.5 The mediation shall commence within twenty eight (28) days of the confirmation of the mediator in accordance with Clause 22.4 of this Schedule 2 of these Call-Off Terms and Conditions or at such other time as may be agreed by the Parties in writing. Neither Party will terminate such mediation process until each Party has made its opening presentation and the mediator has met each Party separately for at least one hour or one Party has failed to participate in the mediation process. After this time, either Party may terminate the mediation process by notification to the other party (such notification may be verbal provided that it is followed up by written confirmation). The Authority and the Supplier will cooperate with any person appointed as mediator providing them with such information and other assistance as they shall require and will pay their costs, as they shall determine or in the absence of such determination such costs will be shared equally.
- 22.6 Nothing in this Contract shall prevent:

- 22.6.1 the Authority taking action in any court in relation to any death or personal injury arising or allegedly arising in connection with the provision of the Services; or
  - 22.6.2 either Party seeking from any court any interim or provisional relief that may be necessary to protect the rights or property of that Party or that relates to the safety of patients and other service users or the security of Confidential Information, pending resolution of the relevant Dispute in accordance with the Dispute Resolution Procedure.
- 22.7 Clause 22 of this Schedule 2 of these Call-off Terms and Conditions shall survive the expiry of or earlier termination of this Contract for any reason.

## **23 Force majeure**

- 23.1 Subject to Clause 23.2 of this Schedule 2 of these Call-off Terms and Conditions neither Party shall be liable to the other for any failure to perform all or any of its obligations under this Contract nor liable to the other Party for any loss or damage arising out of the failure to perform its obligations to the extent only that such performance is rendered impossible by a Force Majeure Event.
- 23.2 The Supplier shall only be entitled to rely on a Force Majeure Event and the relief set out in Clause 23 of this Schedule 2 of these Call-off Terms and Conditions and will not be considered to be in default or liable for breach of any obligations under this Contract if:
- 23.2.1 the Supplier has fulfilled its obligations pursuant to Clause 6 of this Schedule 2 of these Call-off Terms and Conditions;
  - 23.2.2 the Force Majeure Event does not arise directly or indirectly as a result of any wilful or negligent act or default of the Supplier; and
  - 23.2.3 the Supplier has complied with the procedural requirements set out in Clause 23 of this Schedule 2 of these Call-off Terms and Conditions.
- 23.3 Where a Party is (or claims to be) affected by a Force Majeure Event it shall use reasonable endeavours to mitigate the consequences of such a Force Majeure Event upon the performance of its obligations under this Contract, and to resume the performance of its obligations affected by the Force Majeure Event as soon as practicable.
- 23.4 Where the Force Majeure Event affects the Supplier's ability to perform part of its obligations under the Contract the Supplier shall fulfil all such contractual obligations that are not so affected and shall not be relieved from its liability to do so.
- 23.5 If either Party is prevented or delayed in the performance of its obligations under this Contract by a Force Majeure Event, that Party shall as soon as reasonably practicable serve notice in writing on the other Party specifying the nature and extent of the circumstances giving rise to its failure to perform or any anticipated delay in performance of its obligations.
- 23.6 Subject to service of such notice, the Party affected by such circumstances shall have no liability for its failure to perform or for any delay in performance of its obligations



affected by the Force Majeure Event only for so long as such circumstances continue and for such time after they cease as is necessary for that Party, using its best endeavours, to recommence its affected operations in order for it to perform its obligations.

- 23.7 The Party claiming relief shall notify the other in writing as soon as the consequences of the Force Majeure Event have ceased and of when performance of its affected obligations can be resumed.
- 23.8 If the Supplier is prevented from performance of its obligations as a result of a Force Majeure Event, the Authority may at any time, if the Force Majeure Event subsists for thirty (30) days or more, terminate this Contract by issuing a Termination Notice to the Supplier.
- 23.9 Following such termination in accordance with Clause 23.8 of this Schedule 2 of these Call-off Terms and Conditions and subject to Clause 23.10 of this Schedule 2 of these Call-off Terms and Conditions, neither Party shall have any liability to the other.
- 23.10 Any rights and liabilities of either Party which have accrued prior to such termination in accordance with Clause 23.8 of this Schedule 2 of these Call-off Terms and Conditions shall continue in full force and effect unless otherwise specified in this Contract.

## **24 Records retention and right of audit**

- 24.1 Subject to any statutory requirement and Clause 24.2 of this Schedule 2 of these Call-off Terms and Conditions, the Supplier shall keep secure and maintain for the Term and six (6) years afterwards, or such longer period as may be agreed between the Parties, full and accurate records of all matters relating to this Contract.
- 24.2 Where any records could be relevant to a claim for personal injury such records shall be kept secure and maintained for a period of twenty one (21) years from the date of expiry or earlier termination of this Contract.
- 24.3 The Authority shall have the right to audit the Supplier's compliance with this Contract. The Supplier shall permit or procure permission for the Authority or its authorised representative during normal business hours having given advance written notice of no less than five (5) Business Days, access to any premises and facilities, books and records reasonably required to audit the Supplier's compliance with its obligations under this Contract.
- 24.4 Should the Supplier Sub-contract any of its obligations under this Contract, the Authority shall have the right to audit and inspect such third party. The Supplier shall procure permission for the Authority or its authorised representative during normal business hours no more than once in any twelve (12) months, having given advance written notice of no less than five (5) Business Days, access to any premises and facilities, books and records used in the performance of the Supplier's obligations under this Contract that are Sub-contracted to such third party. The Supplier shall cooperate with such audit and inspection and accompany the Authority or its authorised representative if requested.

- 24.5 The Supplier shall grant to the Authority or its authorised representative, such access to those records as they may reasonably require in order to check the Supplier's compliance with this Contract for the purposes of:
- 24.5.1 the examination and certification of the Authority's accounts; or
  - 24.5.2 any examination pursuant to section 6(1) of the National Audit Act 1983 of the economic efficiency and effectiveness with which the Authority has used its resources.
- 24.6 The Comptroller and Auditor General may examine such documents as they may reasonably require which are owned, held or otherwise within the control of the Supplier and may require the Supplier to provide such oral and/or written explanations as they consider necessary. Clause 24 of this Schedule 2 of these Call-off Terms and Conditions does not constitute a requirement or agreement for the examination, certification or inspection of the accounts of the Supplier under sections 6(3)(d) and 6(5) of the National Audit Act 1983.
- 24.7 The Supplier shall provide reasonable cooperation to the Authority, its representatives and any regulatory body in relation to any audit, review, investigation or enquiry carried out in relation to the subject matter of this Contract.
- 24.8 The Supplier shall provide all reasonable information as may be reasonably requested by the Authority to evidence the Supplier's compliance with the requirements of this Contract.

## **25 Conflicts of interest and the prevention of fraud**

- 25.1 The Supplier shall take appropriate steps to ensure that neither the Supplier nor any Staff are placed in a position where, in the reasonable opinion of the Authority, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Supplier and the duties owed to the Authority under the provisions of this Contract. The Supplier will disclose to the Authority full particulars of any such conflict of interest which may arise.
- 25.2 The Authority reserves the right to terminate this Contract immediately by notice in writing and/or to take such other steps it deems necessary where, in the reasonable opinion of the Authority, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Supplier and the duties owed to the Authority under the provisions of this Contract. The actions of the Authority pursuant to this Clause 25.2 of this Schedule 2 of these Call-off Terms and Conditions shall not prejudice or affect any right of action or remedy which shall have accrued or shall subsequently accrue to the Authority.
- 25.3 The Supplier shall take all reasonable steps to prevent Fraud by Staff and the Supplier (including its owners, members and directors). The Supplier shall notify the Authority immediately if it has reason to suspect that any Fraud has occurred or is occurring or is likely to occur.
- 25.4 If the Supplier or its Staff commits Fraud the Authority may terminate this Contract and recover from the Supplier the amount of any direct loss suffered by the Authority resulting from the termination.

## **26 Equality and human rights**

### **26.1 The Supplier shall:**

- 26.1.1 ensure that (a) it does not, whether as employer or as provider of the Services, engage in any act or omission that would contravene the Equality Legislation, and (b) it complies with all its obligations as an employer or provider of the Services as set out in the Equality Legislation and take reasonable endeavours to ensure its Staff do not unlawfully discriminate within the meaning of the Equality Legislation;
- 26.1.2 in the management of its affairs and the development of its equality and diversity policies, cooperate with the Authority in light of the Authority's obligations to comply with its statutory equality duties whether under the Equality Act 2010 or otherwise. The Supplier shall take such reasonable and proportionate steps as the Authority considers appropriate to promote equality and diversity, including race equality, equality of opportunity for disabled people, gender equality, and equality relating to religion and belief, sexual orientation and age; and
- 26.1.3 the Supplier shall impose on all its Sub-contractors and suppliers, obligations substantially similar to those imposed on the Supplier by Clause 26 of this Schedule 2 of these Call-off Terms and Conditions.

### **26.2 The Supplier shall meet reasonable requests by the Authority for information evidencing the Supplier's compliance with the provisions of Clause 26 of this Schedule 2 of these Call-off Terms and Conditions.**

## **27 Notice**

### **27.1 Subject to Clause 22.5 of Schedule 2 of these Call-off Terms and Conditions, any notice required to be given by either Party under this Contract shall be in writing quoting the date of the Contract and shall be delivered by hand or sent by prepaid first class recorded delivery or by email to the person referred to in the Order Form or such other person as one Party may inform the other Party in writing from time to time or to a director of the relevant Party at the head office, main UK office or registered office of such Party.**

### **27.2 A notice shall be treated as having been received:**

- 27.2.1 if delivered by hand within normal business hours when so delivered or, if delivered by hand outside normal business hours, at the next start of normal business hours; or
- 27.2.2 if sent by first class recorded delivery mail on a normal Business Day, at 9.00 am on the second Business Day subsequent to the day of posting, or, if the notice was not posted on a Business Day, at 9.00 am on the third Business Day subsequent to the day of posting; or
- 27.2.3 if sent by email, if sent within normal business hours when so sent or, if sent outside normal business hours, at the next start of normal business hours provided the sender has either received an electronic confirmation of

delivery or has telephoned the recipient to inform the recipient that the email has been sent.

## **28 Assignment, novation and Sub-contracting**

- 28.1 The Supplier shall not, except where Clause 28.2 of this Schedule 2 of these Call-off Terms and Conditions applies, assign, Sub-contract, novate, create a trust in, or in any other way dispose of the whole or any part of this Contract without the prior consent in writing of the Authority such consent not to be unreasonably withheld or delayed. If the Supplier Sub-contracts any of its obligations under this Contract, every act or omission of the Sub-contractor shall for the purposes of this Contract be deemed to be the act or omission of the Supplier and the Supplier shall be liable to the Authority as if such act or omission had been committed or omitted by the Supplier itself.
- 28.2 Notwithstanding Clause 28.1 of this Schedule 2 of these Call-off Terms and Conditions, the Supplier may assign to a third party (“**Assignee**”) the right to receive payment of any sums due and owing to the Supplier under this Contract for which an invoice has been issued. Any assignment under this Clause 28.2 of this Schedule 2 of these Call-off Terms and Conditions shall be subject to:
- 28.2.1 the deduction of any sums in respect of which the Authority exercises its right of recovery under Clause 9.8 of this Schedule 2 of these Call-off Terms and Conditions;
  - 28.2.2 all related rights of the Authority in relation to the recovery of sums due but unpaid;
  - 28.2.3 the Authority receiving notification of the assignment and the date upon which the assignment becomes effective together with the Assignee’s contact information and bank account details to which the Authority shall make payment;
  - 28.2.4 the provisions of Clause 9 of this Schedule 2 of these Call-off Terms and Conditions continuing to apply in all other respects after the assignment which shall not be amended without the prior written approval of the Authority; and
  - 28.2.5 payment to the Assignee being full and complete satisfaction of the Authority’s obligation to pay the relevant sums in accordance with this Contract.
- 28.3 Any authority given by the Authority for the Supplier to Sub-contract any of its obligations under this Contract shall not impose any duty on the Authority to enquire as to the competency of any authorised Sub-contractor. The Supplier shall ensure that any authorised Sub-contractor has the appropriate capability and capacity to perform the relevant obligations and that the obligations carried out by such Sub-contractor are fully in accordance with this Contract.
- 28.4 Where the Supplier enters into a Sub-contract in respect of any of its obligations under this Contract relating to the provision of the Services, the Supplier shall include provisions in each such Sub-contract, unless otherwise agreed with the Authority in writing, which:

- 28.4.1 contain at least equivalent obligations as set out in this Contract in relation to the performance of the Services to the extent relevant to such Sub-contracting;
- 28.4.2 contain at least equivalent obligations as set out in this Contract in respect of confidentiality, information security, data protection, Intellectual Property Rights, compliance with Law and Guidance and record keeping;
- 28.4.3 contain a prohibition on the Sub-contractor Sub-contracting, assigning or novating any of its rights or obligations under such Sub-contract without the prior written approval of the Authority (such approval not to be unreasonably withheld or delayed);
- 28.4.4 contain a right for the Authority to take an assignment or novation of the Sub-contract (or part of it) upon expiry or earlier termination of this Contract;
- 28.4.5 requires the Supplier or other party receiving services under the contract to consider and verify invoices under that contract in a timely fashion;
- 28.4.6 provides that if the Supplier or other party fails to consider and verify an invoice in accordance with Clause 28.4.5 of this Schedule 2 of these Call-off Terms and Conditions, the invoice shall be regarded as valid and undisputed for the purpose of Clause 28.4.7 of this Schedule 2 of these Call-off Terms and Conditions after a reasonable time has passed;
- 28.4.7 requires the Supplier or other party to pay any undisputed sums which are due from it to the Sub-contractor within a specified period not exceeding thirty (30) days of verifying that the invoice is valid and undisputed;
- 28.4.8 permitting the Supplier to terminate, or procure the termination of, the relevant Sub-contract in the event the Sub-contractor fails to comply in the performance of its Sub-contract with legal obligations in the fields of environmental, social or labour Law where the Supplier is required to replace such Sub-contractor in accordance with Clause 15.7.4 of this Schedule 2 of these Call-off Terms and Conditions;
- 28.4.9 permitting the Supplier to terminate, or to procure the termination of, the relevant Sub-contract where the Supplier is required to replace such Sub-

contractor in accordance with Clause 28.5 of this Schedule 2 of these Call-off Terms and Conditions; and

28.4.10 requires the Sub-contractor to include a clause to the same effect as this Clause 28.4 of this Schedule 2 of these Call-off Terms and Conditions in any Sub-contract which it awards.

28.5 Where the Authority considers that the grounds for exclusion under Regulation 57 of the Public Contracts Regulations 2015 apply to any Sub-contractor, then:

28.5.1 if the Authority finds there are compulsory grounds for exclusion, the Supplier shall ensure, or shall procure, that such Sub-contractor is replaced or not appointed; or

28.5.2 if the Authority finds there are non-compulsory grounds for exclusion, the Authority may require the Supplier to ensure, or to procure, that such Sub-contractor is replaced or not appointed and the Supplier shall comply with such a requirement.

28.5 The Supplier shall pay any undisputed sums which are due from it to a Sub-contractor within thirty (30) days of verifying that the invoice is valid and undisputed. Where the Authority pays the Supplier's valid and undisputed invoices earlier than thirty (30) days from verification in accordance with any applicable government prompt payment targets, the Supplier shall use its reasonable endeavours to pay its relevant Sub-contractors within a comparable timeframe from verifying that an invoice is valid and undisputed.

28.6 The Authority shall upon written request have the right to review any Sub-contract entered into by the Supplier in respect of the provision of the Services and the Supplier shall provide a certified copy of any Sub-contract within five (5) Business Days of the date of a written request from the Authority. For the avoidance of doubt, the Supplier shall have the right to redact any confidential pricing information in relation to such copies of Sub-contracts.

28.7 The Authority may at any time transfer, assign, novate, sub-contract or otherwise dispose of its rights and obligations under this or any part of this Contract and the Supplier warrants that it will carry out all such reasonable further acts required to effect such transfer, assignment, novation, subcontracting or disposal. If the Authority novates this Contract to any body that is not a Contracting Authority, from the effective date of such novation, the party assuming the position of the Authority shall not further transfer, assign, novate, subcontract or otherwise dispose of its rights and obligations under this Contract or any part of this Contract without the prior written consent of the Supplier, such consent not to be unreasonably withheld or delayed by the Supplier.

## 29 **Prohibited Acts**

29.1 The Supplier warrants and represents that:

29.1.1 it has not committed any offence under the Bribery Act 2010 or done any of the following ("**Prohibited Acts**"):

- (i) offered, given or agreed to give any officer or employee of the Authority any gift or consideration of any kind as an inducement or reward for doing or not doing or for having done or not having done any act in relation to the obtaining or performance of this or any other agreement with the Authority or for showing or not showing favour or disfavour to any person in relation to this or any other agreement with the Authority; or
- (ii) in connection with this Contract paid or agreed to pay any commission other than a payment, particulars of which (including the terms and conditions of the agreement for its payment) have been disclosed in writing to the Authority; and

29.1.2 it has in place adequate procedures to prevent bribery and corruption, as contemplated by section 7 of the Bribery Act 2010.

29.2 If the Supplier or its Staff (or anyone acting on its or their behalf) has done or does any of the Prohibited Acts or has committed or commits any offence under the Bribery Act 2010 with or without the knowledge of the Supplier in relation to this or any other agreement with the Authority:

29.2.1 the Authority shall be entitled:

- (i) to terminate this Contract and recover from the Supplier the amount of any loss resulting from the termination;
- (ii) to recover from the Supplier the amount or value of any gift, consideration or commission concerned; and
- (iii) to recover from the Supplier any other loss or expense sustained in consequence of the carrying out of the Prohibited Act or the commission of the offence under the Bribery Act 2010;

29.2.2 any termination under Clause 29.2.1 of this Schedule 2 of these Call-off Terms and Conditions shall be without prejudice to any right or remedy that has already accrued, or subsequently accrues, to the Authority; and

29.2.3 notwithstanding Clause 22 of this Schedule 2 of these Call-off Terms and Conditions, any Dispute relating to:

- (i) the interpretation of Clause 29 of this Schedule 2 of these Call-off Terms and Conditions; or
- (ii) the amount or value of any gift, consideration or commission,



shall be determined by the Authority, acting reasonably, and the decision shall be final and conclusive.

### **30     General**

- 30.1 Each of the Parties is independent of the other and nothing contained in this Contract shall be construed to imply that there is any relationship between the Parties of partnership or of principal/agent or of employer/employee nor are the Parties hereby engaging in a joint venture and accordingly neither of the Parties shall have any right or authority to act on behalf of the other nor to bind the other by agreement or otherwise, unless expressly permitted by the terms of this Contract.
- 30.2 Failure or delay by either Party to exercise an option or right conferred by this Contract shall not of itself constitute a waiver of such option or right.
- 30.3 The delay or failure by either Party to insist upon the strict performance of any provision, term or condition of this Contract or to exercise any right or remedy consequent upon such breach shall not constitute a waiver of any such breach or any subsequent breach of such provision, term or condition.
- 30.4 Any provision of this Contract which is held to be invalid or unenforceable in any jurisdiction shall be ineffective to the extent of such invalidity or unenforceability without invalidating or rendering unenforceable the remaining provisions of this Contract and any such invalidity or unenforceability in any jurisdiction shall not invalidate or render unenforceable such provisions in any other jurisdiction.
- 30.5 Each Party acknowledges and agrees that it has not relied on any representation, warranty or undertaking (whether written or oral) in relation to the subject matter of this Contract and therefore irrevocably and unconditionally waives any rights it may have to claim damages against the other Party for any misrepresentation or undertaking (whether made carelessly or not) or for breach of any warranty unless the representation, undertaking or warranty relied upon is set out in this Contract or unless such representation, undertaking or warranty was made fraudulently.
- 30.6 Each Party shall bear its own expenses in relation to the preparation and execution of this Contract including all costs, legal fees and other expenses so incurred.
- 30.7 The rights and remedies provided in this Contract are independent, cumulative and not exclusive of any rights or remedies provided by general law, any rights or remedies provided elsewhere under this Contract or by any other contract or document. In this Clause 30.7 of this Schedule 2 of these Call-off Terms and Conditions, right includes any power, privilege, remedy, or proprietary or security interest.
- 30.8 Unless otherwise expressly stated in this Contract, a person who is not a party to this Contract shall have no right to enforce any terms of it which confer a benefit on such person except that a Successor and/or a Third Party may directly enforce any indemnities or other rights provided to it under this Contract. No such person shall be entitled to object to or be required to consent to any amendment to the provisions of this Contract.
- 30.9 This Contract, any variation in writing signed by an authorised representative of each Party and any document referred to (explicitly or by implication) in this Contract or any

variation to this Contract, contain the entire understanding between the Supplier and the Authority relating to the Services to the exclusion of all previous agreements, confirmations and understandings and there are no promises, terms, conditions or obligations whether oral or written, express or implied other than those contained or referred to in this Contract. Nothing in this Contract seeks to exclude either Party's liability for Fraud. Any tender conditions and/or disclaimers set out in the Authority's procurement documentation leading to the award of this Contract shall form part of this Contract.

- 30.10 This Contract, and any Dispute or claim arising out of or in connection with it or its subject matter (including any non-contractual claims), shall be governed by, and construed in accordance with, the laws of England and Wales.
- 30.11 Subject to Clause 22 of this Schedule 2 of these Call-off Terms and Conditions, the Parties irrevocably agree that the courts of England and Wales shall have non-exclusive jurisdiction to settle any Dispute or claim that arises out of or in connection with this Contract or its subject matter.
- 30.12 All written and oral communications and all written material referred to under this Contract shall be in English.

## **Schedule 3 of these Call-off Terms and Conditions**

### **Information and Data Provisions**

#### **1 Confidentiality**

- 1.1 In respect of any Confidential Information it may receive directly or indirectly from the other Party ("**Discloser**") and subject always to the remainder of Clause 1 of this Schedule 3 of these Call-off Terms and Conditions, each Party ("**Recipient**") undertakes to keep secret and strictly confidential and shall not disclose any such Confidential Information to any third party without the Discloser's prior written consent provided that:
- 1.1.1 the Recipient shall not be prevented from using any general knowledge, experience or skills which were in its possession prior to the Commencement Date;
  - 1.1.2 the provisions of Clause 1 of this Schedule 3 of these Call-off Terms and Conditions shall not apply to any Confidential Information:
    - (i) which is in or enters the public domain other than by breach of this Contract or other act or omissions of the Recipient;
    - (ii) which is obtained from a third party who is lawfully authorised to disclose such information without any obligation of confidentiality;
    - (iii) which is authorised for disclosure by the prior written consent of the Discloser;
    - (iv) which the Recipient can demonstrate was in its possession without any obligation of confidentiality prior to receipt of the Confidential Information from the Discloser; or
    - (v) which the Recipient is required to disclose purely to the extent to comply with the requirements of any relevant stock exchange.
- 1.2 Nothing in Clause 1 of this Schedule 3 of these Call-off Terms and Conditions shall prevent the Recipient from disclosing Confidential Information where it is required to do so by judicial, administrative, governmental or regulatory process in connection with any action, suit, proceedings or claim or otherwise by applicable Law, including the Freedom of Information Act 2000 ("**FOIA**"), Codes of Practice on Access to Government Information, on the Discharge of Public Authorities' Functions or on the Management of Records ("**Codes of Practice**") or the Environmental Information Regulations 2004 ("**Environmental Regulations**").
- 1.3 The Authority may disclose the Supplier's Confidential Information:
- 1.3.1 on a confidential basis, to any Contracting Authority (the Parties agree that all Contracting Authorities receiving such Confidential Information shall be entitled to further disclose the Confidential Information to other Contracting Authorities on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any Contracting Authority);

- 1.3.2 on a confidential basis, to any consultant, contractor or other person engaged by the Authority and/or the Contracting Authority receiving such information;
- 1.3.3 to any relevant party for the purpose of the examination and certification of the Authority's accounts;
- 1.3.4 to any relevant party for any examination pursuant to section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Authority has used its resources;
- 1.3.5 to Parliament and Parliamentary Committees or if required by any Parliamentary reporting requirements; or
- 1.3.6 on a confidential basis, to a proposed successor body in connection with any proposed or actual, assignment, novation or other disposal of rights, obligations, liabilities or property in connection with this Contract;

and for the purposes of this Contract, references to disclosure "on a confidential basis" shall mean the Authority making clear the confidential nature of such information and that it must not be further disclosed except in accordance with Law or this Clause 1.3 of this Schedule 3 of these Call-off Terms and Conditions. .

- 1.4 The Supplier may only disclose the Authority's Confidential Information, and any other information provided to the Supplier by the Authority in relation to this Contract, to the Supplier's Staff or professional advisors who are directly involved in the performance of or advising on the Supplier's obligations under this Contract. The Supplier shall ensure that such Staff or professional advisors are aware of and shall comply with the obligations in Clause 1 of this Schedule 3 of these Call-off Terms and Conditions as to confidentiality and that all information, including Confidential Information, is held securely, protected against unauthorised use or loss and, at the Authority's written discretion, destroyed securely or returned to the Authority when it is no longer required. The Supplier shall not, and shall ensure that the Staff do not, use any of the Authority's Confidential Information received otherwise than for the purposes of performing the Supplier's obligations in this Contract.
- 1.5 For the avoidance of doubt, save as required by Law or as otherwise set out in this Schedule 3 of these Call-off Terms and Conditions, the Supplier shall not, without the prior written consent of the Authority (such consent not to be unreasonably withheld or delayed), announce that it has entered into this Contract and/or that it has been appointed as a Supplier to the Authority and/or make any other announcements about this Contract.
- 1.6 Clause 1 of this Schedule 3 of these Call-off Terms and Conditions shall remain in force:
  - 1.6.1 without limit in time in respect of Confidential Information which comprises Personal Data or which relates to national security; and
  - 1.6.2 for all other Confidential Information for a period of three (3) years after the expiry or earlier termination of this Contract unless otherwise agreed in writing by the Parties.

## **2     Data protection**

- 2.1     The Parties acknowledge their respective duties under Data Protection Legislation and shall give each other all reasonable assistance as appropriate or necessary to enable each other to comply with those duties. For the avoidance of doubt, the Supplier shall take reasonable steps to ensure it is familiar with the Data Protection Legislation and any obligations it may have under such Data Protection Legislation and shall comply with such obligations.
- 2.2     Where the Supplier is Processing Personal Data under or in connection with this Contract, the Parties shall comply with Schedule 6 (Data Protection Regulations) of these Call-off Terms and Conditions.
- 2.3     The Supplier and the Authority shall ensure that Personal Data is safeguarded at all times in accordance with the Law, and this obligation will include (if transferred electronically) only transferring Personal Data (a) if essential, having regard to the purpose for which the transfer is conducted; and (b) that is encrypted in accordance with any international data encryption standards for healthcare, and as otherwise required by those standards applicable to the Authority under any Law and Guidance (this includes, data transferred over wireless or wired networks, held on laptops, CDs, memory sticks and tapes).
- 2.4     Where, as a requirement of this Contract, the Supplier is Processing Personal Data relating to patients and/or service users as part of the Services, the Supplier shall:
- 2.4.1     complete and publish an annual information governance assessment using the NHS information governance toolkit;
  - 2.4.2     achieve a compliant toolkit against all requirements in the relevant NHS Information governance toolkit;
  - 2.4.3     nominate an information governance lead able to communicate with the Supplier's board of directors or equivalent governance body, who will be responsible for information governance and from whom the Supplier's board of directors or equivalent governance body will receive regular reports on information governance matters including, but not limited to, details of all incidents of data loss and breach of confidence;
  - 2.4.4     report all incidents of data loss and breach of confidence in accordance with Department of Health and/or the NHS England and/or Health and Social Care Information Centre guidelines;
  - 2.4.5     put in place and maintain policies that describe individual personal responsibilities for handling Personal Data and apply those policies vigorously;
  - 2.4.6     put in place and maintain a policy that supports its obligations under the NHS Care Records Guarantee (being the rules which govern information held in the NHS Care Records Service, which is the electronic patient/service user record management service providing authorised healthcare professionals access to a patient's integrated electronic care record);

- 2.4.7 put in place and maintain agreed protocols for the lawful sharing of Personal Data with other NHS organisations and (as appropriate) with non-NHS organisations in circumstances in which sharing of that data is required under this Contract;
  - 2.4.8 where appropriate, have a system in place and a policy for the recording of any telephone calls in relation to the Services, including the retention and disposal of those recordings;
  - 2.4.9 at all times comply with any information governance requirements and/or processes as may be set out in the Specification and Tender Response Document; and
  - 2.4.10 comply with any new and/or updated requirements, Guidance and/or Policies notified to the Supplier by the Authority from time to time (acting reasonably) relating to the Processing and/or protection of Personal Data.
- 2.5 Where any Personal Data is Processed by any Sub-contractor of the Supplier in connection with this Contract, the Supplier shall procure that such Sub-contractor shall comply with the relevant obligations set out in Clause 2 of this Schedule 3 of these Call-off Terms and Conditions, as if such Sub-contractor were the Supplier.
- 2.6 The Supplier shall indemnify and keep the Authority indemnified against, any loss, damages, costs, expenses (including without limitation legal costs and expenses), claims or proceedings whatsoever or howsoever arising from the Supplier's unlawful or unauthorised Processing, destruction and/or damage to Personal Data in connection with this Contract.
- 3 Freedom of Information and Transparency**
- 3.1 The Parties acknowledge the duties of Contracting Authorities under the FOIA, Codes of Practice and Environmental Regulations and shall give each other all reasonable assistance as appropriate or necessary to enable compliance with those duties.
- 3.2 The Supplier shall assist and cooperate with the Authority to enable it to comply with its disclosure obligations under the FOIA, Codes of Practice and Environmental Regulations. The Supplier agrees:
- 3.2.1 that this Contract and any recorded information held by the Supplier on the Authority's behalf for the purposes of this Contract are subject to the obligations and commitments of the Authority under the FOIA, Codes of Practice and Environmental Regulations;
  - 3.2.2 that the decision on whether any exemption to the general obligations of public access to information applies to any request for information received under the FOIA, Codes of Practice and Environmental Regulations is a decision solely for the Authority;
  - 3.2.3 that where the Supplier receives a request for information under the FOIA, Codes of Practice and Environmental Regulations and the Supplier itself is subject to the FOIA, Codes of Practice and Environmental Regulations it will liaise with the Authority as to the contents of any response before a response to a request is issued and will promptly (and in any event within

two (2) Business Days) provide a copy of the request and any response to the Authority;

- 3.2.4 that where the Supplier receives a request for information under the FOIA, Codes of Practice and Environmental Regulations and the Supplier is not itself subject to the FOIA, Codes of Practice and Environmental Regulations, it will not respond to that request (unless directed to do so by the Authority) and will promptly (and in any event within two (2) Business Days) transfer the request to the Authority;
  - 3.2.5 that the Authority, acting in accordance with the Codes of Practice issued and revised from time to time under both section 45 of FOIA, and regulation 16 of the Environmental Regulations, may disclose information concerning the Supplier and this Contract; and
  - 3.2.6 to assist the Authority in responding to a request for information, by processing information or environmental information (as the same are defined in FOIA and the Environmental Regulations) in accordance with a records management system that complies with all applicable records management recommendations and codes of conduct issued under section 46 of FOIA, and providing copies of all information requested by the Authority within five (5) Business Days of that request and without charge.
- 3.3 The Parties acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, Codes of Practice and Environmental Regulations, the content of this Contract is not Confidential Information.
  - 3.4 Notwithstanding any other term of this Contract, the Supplier consents to the publication of this Contract in its entirety (including variations), subject only to the redaction of information that is exempt from disclosure in accordance with the provisions of the FOIA, Codes of Practice and Environmental Regulations.
  - 3.5 In preparing a copy of this Contract for publication under Clause 3.4 of this Schedule 3 of these Call-off Terms and Conditions, the Authority may consult with the Supplier to inform decision making regarding any redactions but the final decision in relation to the redaction of information will be at the Authority's absolute discretion.
  - 3.6 The Supplier shall assist and cooperate with the Authority to enable the Authority to publish this Contract.
  - 3.7 Where any information is held by any Sub-contractor of the Supplier in connection with this Contract, the Supplier shall procure that such Sub-contractor shall comply with the relevant obligations set out in Clause 3 of this Schedule 3 of these Call-off Terms and Conditions, as if such Sub-contractor were the Supplier.

#### **4 Information Security**

- 4.1 Without limitation to any other information governance requirements set out in this Schedule 3 of these Call-off Terms and Conditions, the Supplier shall:
  - 4.1.1 notify the Authority forthwith of any information security breaches or near misses (including without limitation any potential or actual breaches of



confidentiality or actual information security breaches) in line with the Authority's information governance Policies; and

- 4.1.2 fully cooperate with any audits or investigations relating to information security and any privacy impact assessments undertaken by the Authority and shall provide full information as may be reasonably requested by the Authority in relation to such audits, investigations and assessments.
- 4.2 Where required in accordance with the Specification and Tender Response Document, the Supplier will ensure that it puts in place and maintains an information security management plan appropriate to this Contract, the type of Services being provided and the obligations placed on the Supplier. The Supplier shall ensure that such plan is consistent with any relevant Policies, Guidance, Good Industry Practice and with any relevant quality standards as may be set out in the Key Provisions and/or the Specification and Tender Response Document.
- 4.3 Where required in accordance with the Specification and Tender Response Document, the Supplier shall obtain and maintain certification under the HM Government Cyber Essentials Scheme at the level set out in the Specification and Tender Response Document.

## **Schedule 4 of these Call-off Terms and Conditions**

### **Definitions and Interpretations**

#### **1 Definitions**

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

<b>“Actual Services Commencement Date”</b>	means the date the Supplier actually commences delivery of all of the Services;
<b>“Additional Body”</b>	Means the NHS Counter Fraud Authority
<b>“Affected Services”</b>	those Services described in accordance with Clause 1.1(a) of Schedule 5 and set out in the relevant Step-in Notice;
<b>“Authority”</b>	means the authority named on the Order Form;
<b>“Authority’s Obligations”</b>	means the Authority’s further obligations, if any, referred to in the Specification and Tender Response Document and/or the Order Form;
<b>“Breach Notice”</b>	means a written notice of breach given by one Party to the other, notifying the Party receiving the notice of its breach of this Contract;
<b>“Business Continuity Event”</b>	means any event or issue that could impact on the operations of the Supplier and its ability to provide the Services including an influenza pandemic and any Force Majeure Event;
<b>“Business Continuity Plan”</b>	means the Supplier’s business continuity plan which includes its plans for continuity of the Services during a Business Continuity Event;
<b>“Business Day”</b>	means any day other than Saturday, Sunday, Christmas Day, Good Friday or a statutory bank holiday in England and Wales;
<b>“Cabinet Office Statement”</b>	the Cabinet Office Statement of Practice – Staff Transfers in the Public Sector 2000 (as revised 2013) as may be amended or replaced;
<b>“Call-off Terms and Conditions”</b>	means these Call-off Terms and Conditions for the Provision of Services;

<b>“Change Control Process”</b>	means the change control process, if any, referred to in any Key Provisions;
<b>“Codes of Practice”</b>	shall have the meaning given to the term in Clause 1.2 of Schedule 3 of these Call-off Terms and Conditions;
<b>“Commencement Date”</b>	means the date of the Order Form;
<b>“Confidential Information”</b>	<p>means information, data and material of any nature, which either Party may receive or obtain in connection with the conclusion and/or operation of the Contract including any procurement process which is:</p> <ul style="list-style-type: none"> <li>(a) Personal Data including without limitation which relates to any patient or other service user or his or her treatment or clinical or care history;</li> <li>(b) designated as confidential by either party or that ought reasonably to be considered as confidential (however it is conveyed or on whatever media it is stored); and/or</li> <li>(c) Policies and such other documents which the Supplier may obtain or have access to through the Authority’s intranet;</li> </ul>
<b>“Contract”</b>	means the Order Form, the provisions on the front page and all Schedules of these Call-off Terms and Conditions, the Specification and Tender Response Document and the applicable provisions of the Framework Agreement;
<b>“Contracting Authority”</b>	means any contracting authority as defined in Regulation 3 of the Public Contracts Regulations 2015 (SI 2015/102) (as amended), other than the Authority;
<b>“Contract Manager”</b>	means for the Authority and for the Supplier the individuals specified in the Order Form or as otherwise agreed between the Parties in writing or such other person notified by a Party to the other Party from time to time in accordance with Clause 8.1 of Schedule 2 of these Call-off Terms and Conditions;
<b>“Contract Price”</b>	means the price exclusive of VAT that is payable to the Supplier by the Authority under the Contract for the full and proper performance by the Supplier of its obligations under the Contract calculated in accordance with the provisions of the Framework Agreement and as confirmed in the Order Form;
<b>“Controller”</b>	shall have the same meaning as set out in the GDPR;

<b>“Convictions”</b>	means, other than in relation to 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 or any replacement or amendment to that Act);
<b>“Data Protection Legislation”</b>	means the Data Protection Act 2018 to the extent that it relates to processing of personal data and privacy; (ii) the GDPR, the Law Enforcement Directive (Directive (EU) 2016/680) and any applicable national implementing Law as amended from time to time; and (iii) all applicable Law about the processing of personal data and privacy;
<b>“Data Protection Protocol”</b>	means any document of that name as provided to the Supplier by the Authority (as amended from time to time in accordance with its terms) which shall include, without limitation, any such document appended to the Order Form;
<b>“Dispute(s)”</b>	means any dispute, difference or question of interpretation or construction arising out of or in connection with this Contract, including any dispute, difference or question of interpretation relating to the Services, any matters of contractual construction and interpretation relating to the Contract, or any matter where this Contract directs the Parties to resolve an issue by reference to the Dispute Resolution Procedure;
<b>“Dispute Notice”</b>	means a written notice served by one Party to the other stating that the Party serving the notice believes there is a Dispute;
<b>“Dispute Resolution Procedure”</b>	means the process for resolving Disputes as set out in Clause 22 of Schedule 2 of these Call-off Terms and Conditions;
<b>“DOTAS”</b>	means the Disclosure of Tax Avoidance Schemes rules which require a promoter of tax schemes to tell HM Revenue and Customs of any specified notifiable arrangements or proposals and to provide prescribed information on those arrangements or proposals within set time limits as contained in Part 7 of the Finance Act 2004 and in secondary legislation made under vires contained in Part 7 of the Finance Act 2004 and as extended to National Insurance Contributions by the National Insurance Contributions (Application of Part 7 of the Finance Act 2004) Regulations 2012, SI 2012/1868 made under s.132A Social Security Administration Act 1992;
<b>“Electronic Trading System(s)”</b>	means such electronic data interchange system and/or world wide web application and/or other application with such message standards and protocols as the Authority may specify from time to time;

<b>“Employment Liabilities”</b>	means all claims, demands, actions, proceedings, damages, compensation, tribunal awards, fines, costs (including but not limited to reasonable legal costs), expenses and all other liabilities whatsoever;
<b>“Environmental Regulations”</b>	shall have the meaning given to the term in Clause 1.2 of Schedule 3 of these Call-off Terms and Conditions;
<b>“eProcurement Guidance”</b>	means the NHS eProcurement Strategy available via: <a href="http://www.gov.uk/government/collections/nhs-procurement">http://www.gov.uk/government/collections/nhs-procurement</a> together with any further Guidance issued by the Department of Health in connection with it;
<b>“Equality Legislation”</b>	means any and all legislation, applicable guidance and statutory codes of practice relating to equality, diversity, non-discrimination and human rights as may be in force in England and Wales from time to time including, but not limited to, the Equality Act 2010, the Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000 and the Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002 (SI 2002/2034) and the Human Rights Act 1998;
<b>“Exit Requirements”</b>	means the Authority's exit requirements, as set out in the Specification and Tender Response Document and/or otherwise as part of this Contract, which the Supplier must comply with during the Term and/or in relation to any expiry or early termination of this Contract;
<b>“Fair Deal for Staff Pensions”</b>	means guidance issued by HM Treasury entitled “Fair Deal for staff pensions: staff transfer from central government” issued in October 2013 (as amended, supplemented or replaced);
<b>“FOIA”</b>	shall have the meaning given to the term in Clause 1.2 of Schedule 3 of these Call-off Terms and Conditions;

<b>“Force Majeure Event”</b>	<p>means any event beyond the reasonable control of the Party in question to include, without limitation:</p> <ul style="list-style-type: none"> <li>(a) war including civil war (whether declared or undeclared), riot, civil commotion or armed conflict materially affecting either Party's ability to perform its obligations under this Contract;</li> <li>(b) acts of terrorism;</li> <li>(c) flood, storm or other natural disasters;</li> <li>(d) fire;</li> <li>(e) unavailability of public utilities and/or access to transport networks to the extent no diligent supplier could reasonably have planned for such unavailability as part of its business continuity planning;</li> <li>(f) government requisition or impoundment to the extent such requisition or impoundment does not result from any failure by the Supplier to comply with any relevant regulations, laws or procedures (including such laws or regulations relating to the payment of any duties or taxes) and subject to the Supplier having used all</li> </ul>
	<p>reasonable legal means to resist such requisition or impoundment;</p> <ul style="list-style-type: none"> <li>(g) compliance with any local law or governmental order, rule, regulation or direction applicable outside of England and Wales that could not have been reasonably foreseen;</li> <li>(h) industrial action which affects the ability of the Supplier to provide the Services, but which is not confined to the workforce of the Supplier or the workforce of any Sub-contractor of the Supplier; and</li> <li>(i) a failure in the Supplier's and/or Authority's supply chain to the extent that such failure is due to any event suffered by a member of such supply chain, which would also qualify as a Force Majeure Event in accordance with this definition had it been suffered by one of the Parties;</li> </ul> <p>but excluding, for the avoidance of doubt, the withdrawal of the United Kingdom from the European Union and any related circumstances, events, changes or requirements;</p>
<b>“Framework Agreement”</b>	means the Framework Agreement referred to in the Order Form;
<b>“Fraud”</b>	means any offence under any law in respect of fraud in relation to this Contract or defrauding or attempting to defraud or conspiring to defraud the government, parliament or any Contracting Authority;

<b>GDPR</b>	means the General Data Protection Regulation (Regulation (EU) 2016/679);
<b>“General Anti-Abuse Rule”</b>	means (a) the legislation in Part 5 of the Finance Act 2013; and (b) any future legislation introduced into parliament to counteract tax advantages arising from abusive arrangements to avoid national insurance contributions;
<b>“Good Industry Practice”</b>	means the exercise of that degree of skill, diligence, prudence, risk management, quality management and foresight which would reasonably and ordinarily be expected from a skilled and experienced service provider engaged in the provision of services similar to the Services under the same or similar circumstances as those applicable to this Contract, including in accordance with any codes of practice published by relevant trade associations;
<b>“Guidance”</b>	means any applicable guidance, direction or determination and any policies, advice or industry alerts which apply to the Services, to the extent that the same are published and publicly

	available or the existence or contents of them have been notified to the Supplier by the Authority and/or have been published and/or notified to the Supplier by the Department of Health, Monitor, NHS England, the Medicines and Healthcare Products Regulatory Agency, the European Medicine Agency, the European Commission, the Care Quality Commission and/or any other regulator or competent body;
<b>“Halifax Abuse Principle”</b>	means the principle explained in the CJEU Case C-255/02 Halifax and others;
<b>“HM Government Cyber Essentials Scheme”</b>	means the HM Government Cyber Essentials Scheme as further defined in the documents relating to this scheme published at:  <a href="https://www.gov.uk/government/publications/cyber-essentials-scheme-overview">https://www.gov.uk/government/publications/cyber-essentials-scheme-overview</a>
<b>“Implementation Plan”</b>	means the implementation plan, if any, referred to in any Key Provisions;
<b>“Implementation Requirements”</b>	means the Authority’s implementation and mobilisation requirements (if any), as may be set out in the Specification and Tender Response Document and/or otherwise as part of this Contract, which the Supplier must comply with as part of implementing the Services;



<b>“Intellectual Property Rights”</b>	means all patents, copyright, design rights, registered designs, trade marks, know-how, database rights, confidential formulae and any other intellectual property rights and the rights to apply for patents and trade marks and registered designs;
<b>“Interested Party”</b>	means any organisation which has a legitimate interest in providing services of the same or similar nature to the Services in immediate or proximate succession to the Supplier or any Sub-contractor and who had confirmed such interest in writing to the Authority;
<b>“Key Provisions”</b>	means the key provisions set out in Schedule 1 of these Call-off Terms and Conditions and/or as part of the Order Form;
<b>“KPI”</b>	means the key performance indicators as set out in the Specification and Tender Response Document and/or the Order Form, if any;
<b>“Law”</b>	means any applicable legal requirements including, without limitation,: (a) any applicable statute or proclamation, delegated or subordinate legislation, bye-law, order, regulation or instrument as applicable in England and Wales;

	(b) any applicable European Union obligation, directive, regulation, decision, law or right (including any such obligations, directives, regulations, decisions, laws or rights that are incorporated into the law of England and Wales or given effect in England and Wales by any applicable statute, proclamation, delegated or subordinate legislation, bye-law, order, regulation or instrument); (c) any enforceable community right within the meaning of section 2(1) European Communities Act 1972; (d) any applicable judgment of a relevant court of law which is a binding precedent in England and Wales; (e) requirements set by any regulatory body as applicable in England and Wales; (f) any relevant code of practice as applicable in England and Wales; and (g) any relevant collective agreement and/or international law provisions (to include, without limitation, as referred to in (a) to (f) above);
<b>“Long Stop Date”</b>	means the date, if any, specified in the Order Form;
<b>“NHS”</b>	means the National Health Service;

<b>“Occasion of Tax Non-Compliance”</b>	<p>means:</p> <p>(a) any tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 is found on or after 1 April 2013 to be incorrect as a result of:</p> <p>(i) a Relevant Tax Authority successfully challenging the Supplier under the General Anti-Abuse Rule or the Halifax Abuse Principle or under any tax rules or legislation that have an effect equivalent or similar to the General Anti-Abuse Rule or the Halifax Abuse Principle;</p> <p>(ii) the failure of an avoidance scheme which the Supplier was involved in, and which was, or should have been, notified to a Relevant Tax Authority under the DOTAS or any equivalent or similar regime; and/or</p> <p>(b) any tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 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 Effective Date or to a civil penalty for fraud or evasion;</p>
<b>“Order Form”</b>	means the order form for the Services issued by the Authority in accordance with the Framework Agreement;

<b>“Party”</b>	means the Authority or the Supplier as appropriate and Parties means both the Authority and the Supplier;
<b>“Personal Data”</b>	shall have the same meaning as set out in the GDPR;
<b>“Policies”</b>	means the policies, rules and procedures of the Authority as notified to the Supplier from time to time;
<b>“Premises and Locations”</b>	has the meaning given under Clause 2.1 of Schedule 2 of these Call-off Terms and Conditions;
<b>“Process”</b>	shall have the same meaning as set out in the GDPR. Processing and Processed shall be construed accordingly;
<b>“Processor”</b>	shall have the same meaning as set out in the GDPR;
<b>“Relevant Tax Authority”</b>	means HM Revenue and Customs, or, if applicable, a tax authority in the jurisdiction in which the Supplier is established;
<b>“Remedial Proposal”</b>	has the meaning given under Clause 15.3 of Schedule 2 of these Call-off Terms and Conditions;
<b>“Services”</b>	means the services set out in this Contract;

<b>“Services Commencement Date”</b>	means the date delivery of the Services shall commence as specified in the Order Form. If no date is specified in the Order Form, the services commencement date shall be the Commencement Date;
<b>“Services Information”</b>	means information concerning the Services as may be reasonably requested by the Authority and supplied by the Supplier to the Authority in accordance with Clause 20 of Schedule 2 of these Call-off Terms and Conditions for inclusion in the Authority's services catalogue from time to time;
<b>“Specification and Tender Response Document”</b>	means the Specification and Tender Response Document set out in the Framework Agreement as supplemented by any further information set out and/or referred to in the Order Form and as amended and/or updated in accordance with this Contract;
<b>“Staff”</b>	means all persons employed or engaged by the Supplier to perform its obligations under this Contract including any Sub-contractors and person employed or engaged by such Sub-contractors;
<b>“Step-in Actions”</b>	means those actions described in accordance with Clause 1.1(d) of Schedule 5 and set out in the relevant Step-in Notice;
<b>“Step-in Event”</b>	Means a) the Authority, acting reasonably, considers that a Force Majeure Event has occurred or the Supplier has committed a material breach of this Contract, in either case, which:

	<p>i) has created, or may create, an immediate and serious threat to the health or safety of any user of the Sites or any other person; or</p> <p>ii) has created, or may create a material interruption in the provision of one or more of the Services; or</p> <p>iii) has created, or may create a material threat to public health; or</p> <p>iv) is, or may be, prejudicial to the ability of the Authority to provide clinical services to a material degree.</p> <p>b) the Authority, acting reasonably and following reasonable consultation with the Supplier, considers that a Force Majeure Event is likely to occur or the Supplier is likely to commit a material breach of this Contract in each case, which if it did occur may:</p> <p>i) create an immediate and serious threat to the health or safety of any user of the Sites or any other persons; or</p> <p>ii) has created, or may create a material interruption in the provision of one or more of the Services; or</p> <p>iii) has created, or may create a material threat to public health; or</p> <p>iv) be prejudicial to the ability of the Authority to provide clinical services to a material degree.</p> <p>c) the Supplier is in [material breach of the KPIs] for a consecutive period of [insert period of time];</p> <p>d) the Authority has reasonable grounds for believing that the Services will be [in material breach of the KPIs];</p> <p>e) the Authority is advised by a regulatory body, or a regulatory body confirms to the Supplier, that the exercise by the Authority of its rights under Paragraph 1 of Schedule 5 (Step-in rights) is necessary or appropriate, whether or not the Supplier is in breach of its obligations under this Contract;</p> <p>f) the Authority is required to take action in order to discharge a statutory duty, whether or not the Supplier is in breach of its obligations under this Contract;</p> <p>g) the Authority reasonably considers that the circumstances constitute an emergency, whether or not the Supplier is in breach of its obligations under this Contract; or</p> <p>h) a condition occurs that triggers the Authority's right to terminate this Contract or part of this Contract under Clause 15.4, 15.5 or 15.7 of Schedule 2 (Termination).</p>
<b>“Step-in Notice”</b>	has the meaning given in Clause 1.1 of Schedule 5;
<b>“Step-in Party”</b>	means the Authority and/ or a third party appointed by the Authority as described in accordance with Clause 1.1(a) of Schedule 5 and set out in the relevant Step-in Notice;
<b>“Step-in Period”</b>	means the period of time described in accordance with Clause 1.1(f) of Schedule 5 and set out in the relevant Step-in Notice;
<b>“Step-out Plan”</b>	has the meaning given in Clause 1.4 of Schedule 5;
<b>“Sub-contract”</b>	means a contract between two or more suppliers, at any stage of remoteness from the Supplier in a sub-contracting chain,

	made wholly or substantially for the purpose of performing (or contributing to the performance of the whole or any part of this Contract;
<b>“Sub-contractor”</b>	means a party to a Sub-contract other than the Supplier;
<b>“Subsequent Transfer Date”</b>	means the point in time, if any, at which services which are fundamentally the same as the Services (either in whole or in part) are first provided by a Successor or the Authority, as appropriate, giving rise to a relevant transfer under TUPE;
<b>“Subsequent Transferring Employees”</b>	means any employee, agent, consultant and/or contractor who, immediately prior to the Subsequent Transfer Date, is wholly or mainly engaged in the performance of services fundamentally the same as the Services (either in whole or in part) which are to be undertaken by the Successor or Authority, as appropriate;
<b>“Successor”</b>	means any third party who provides services fundamentally the same as the Services (either in whole or in part) in immediate or subsequent succession to the Supplier upon the expiry or earlier termination of this Contract;
<b>“Supplier”</b>	means the supplier named on the Order Form;
<b>“Supplier Code of Conduct”</b>	means the code of that name published by the Government Commercial Function originally dated September 2017, as may be amended, restated, updated, re-issued or re-named from time to time;
<b>“Supplier Personnel”</b>	means any employee, agent, consultant and/or contractor of the Supplier or Sub-contractor who is either partially or fully engaged in the performance of the Services;
<b>“Term”</b>	means the term as referred to in the Key Provisions;
<b>“Termination Notice”</b>	means a written notice of termination given by one Party to the other notifying the Party receiving the notice of the intention of the Party giving the notice to terminate this Contract on a specified date and setting out the grounds for termination;
<b>“Third Party”</b>	means any supplier of services fundamentally the same as the Services (either in whole or in part) immediately before the Transfer Date;
<b>“Third Party Body”</b>	has the meaning given under Clause 8.5 of Schedule 2 of these Call-off Terms and Conditions;
<b>“Transfer Date”</b>	means the Actual Services Commencement Date;
<b>"TUPE"</b>	means the Transfer of Undertakings (Protection of Employment) Regulations 2006 (2006/246) and/or any other regulations or other legislation enacted for the purpose of implementing or transposing the Acquired Rights Directive (77/187/EEC, as

	amended by Directive 98/50 EC and consolidated in 2001/23/EC) into English law; and
<b>“VAT”</b>	means value added tax chargeable under the Value Added Tax Act 1994 or any similar, replacement or extra tax.

- 1.2 References to any Law shall be deemed to include a reference to that Law as amended, extended, consolidated, re-enacted, restated, implemented or transposed from time to time.
- 1.3 References to any legal entity shall include any body that takes over responsibility for the functions of such entity.
- 1.4 References in this Contract to a “Schedule”, “Appendix”, “Paragraph” or to a “Clause” are to schedules, appendices, paragraphs and clauses of, this Contract.
- 1.5 References in this Contract to a day or to the calculation of time frames are references to a calendar day unless expressly specified as a Business Day.
- 1.6 Unless set out in the Contract as a chargeable item and subject to Clause 30.6 of Schedule 2 of these Call-off Terms and Conditions, the Supplier shall bear the cost of complying with its obligations under this Contract.
- 1.7 The headings are for convenience only and shall not affect the interpretation of this Contract.
- 1.8 Words denoting the singular shall include the plural and vice versa.
- 1.9 Where a term of this Contract provides for a list of one or more items following the word “including” or “includes” then such list is not to be interpreted as an exhaustive list. Any such list shall not be treated as excluding any item that might have been included in such list having regard to the context of the contractual term in question. General words are not to be given a restrictive meaning where they are followed by examples intended to be included within the general words.
- 1.10 Where there is a conflict between the Supplier’s responses to the requirements set out in the Specification and Tender Response Document and any other part of this Contract, such other part of this Contract shall prevail.
- 1.11 Where a document is required under this Contract, the Parties may agree in writing that this shall be in electronic format only.
- 1.12 Where there is an obligation on the Authority to procure any course of action from any third party, this shall mean that the Authority shall use its reasonable endeavours to procure such course of action from that third party.
- 1.13 Any Breach Notice issued by a Party in connection with this Contract shall not be invalid due to it containing insufficient information. A Party receiving a Breach Notice (**“Receiving Party”**) may ask the Party that issued the Breach Notice (**“Issuing Party”**) to provide any further information in relation to the subject matter of the Breach Notice that it may reasonably require to enable it to understand the Breach Notice and/or to

remedy the breach. The Issuing Party shall not unreasonably withhold or delay the provision of such further information as referred to above as may be requested by the Receiving Party but no such withholding or delay shall invalidate the Breach Notice.

- 1.14 Any terms defined as part of a Schedule or other document forming part of this Contract shall have the meaning as defined in such Schedule or document.



## Schedule 6 of the Call off Terms and Conditions

### General Data Protection Regulation (GDPR)

<b>“Controller”</b>	has the meaning given in Data Protection Legislation and "Joint Controllers" has the meaning given in Article 26 GDPR;
<b>“Data Subject Rights Request”</b>	a request made by a Data Subject in accordance with rights granted pursuant to Data Protection Legislation to access his or her Personal Data;
<b>“European Law”</b>	European Union or European Member State law (as referred to in Data Protection Legislation) or such other law as may be designated in its place when England (whether with Scotland, Wales and/or North Ireland or not), leaves the European Union;
<b>"GDPR"</b>	the General Data Protection Regulation (Regulation (EU) 2016/679 of the European Parliament and of the Council);
<b>“Personal Data Breach”</b>	has the meaning given in Data Protection Legislation;
<b>“Processor”</b>	has the meaning given in Data Protection Legislation;
<b>“Restricted Country”</b>	any third country or international organisation as described in the GDPR (but excluding any of England, Scotland, Wales and Northern Ireland, if they leave the European Union

## **1 PROTECTION OF PERSONAL DATA**

1.1 Where any Personal Data is Processed in connection with the exercise of the Parties' rights and obligations under this agreement, the Parties acknowledge that the Authority is a Controller and that the Supplier is a Controller.

1.2 The Authority and the Supplier shall set out details of their Processing under this agreement in the template at Part 1 of Annex 1 (Details of Data Processing) of this Schedule 6 – GDPR. The Authority and the Supplier shall record details of their responsibilities for Processing in the template at Part 2 of Annex 1 (Details of Data Processing) to this Schedule 6 – GDPR. The Parties agree to update their completed template as necessary during the term of this agreement to reflect any changes in Processing. Each completed template (as updated from time to time) shall form part of this agreement

1.3 The Supplier shall:

- (a) Process the Personal Data in accordance with documented instructions from the Authority. Those instructions include to perform its obligations under this agreement,

including with regard to transfers of Personal Data to a Restricted Country, unless required to do so by European Law to which the Supplier is subject; in such a case, the Supplier shall inform the Authority of that legal requirement before Processing, unless that European Law prohibits such information on important grounds of public interest;

- (b) ensure that persons authorised to process the Personal Data have committed themselves to confidentiality or are under an appropriate statutory obligation of confidentiality;
- (c) take all measures required pursuant to Article 32 GDPR and ensure that, taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of Processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, it shall implement and at all times keep in place appropriate technical and organisational measures to guard against unauthorised or unlawful processing of the Personal Data and/or accidental loss, accidental or unlawful destruction, alteration, unauthorised disclosure of, access to or damage to the Personal Data and to ensure a level of security appropriate to the risk, including the measures as set out in Clause 2 (Data Protection) of Schedule 3 of these Call-Of Terms and Conditions and as appropriate:
  - i. the pseudonymisation and encryption of Personal Data;
  - ii. the ability to ensure the ongoing confidentiality, integrity, availability and resilience of processing systems and services;
  - iii. the ability to restore the availability and access to Personal Data in a timely manner in the event of a physical or technical incident; and
  - iv. a process for regularly testing, assessing and evaluating the effectiveness of technical and organisational measures for ensuring the security of the Processing;
- (d) comply with the following conditions for engaging another Processor (a "Sub-Processor"):
  - i. where the Supplier engages a Sub-Processor for carrying out specific Processing activities on behalf of the Authority, the same data protection obligations as set out in this agreement and in Data Protection Legislation shall be imposed on that Sub-Processor by way of a contract (if not directly imposed by Data Protection Legislation), in particular providing sufficient guarantees to implement appropriate technical and organisational measures in such a manner that the Processing will meet the requirements of Data Protection Legislation. Where that Sub-Processor fails to fulfil its data protection obligations, the Supplier shall remain fully liable to the Authority for the performance of that Sub-Processor's obligations;
- (e) taking into account the nature of the Processing, assist the Authority by appropriate technical and organisational measures, insofar as this is possible, for the fulfilment of the Authority's obligation to respond to requests for exercising the Data Subject's rights laid down in Articles 15-21 of GDPR.;
- (f) assist the Authority in ensuring compliance with the obligations pursuant to Articles 32 to 36 GDPR taking into account the nature of Processing and the information available to the Supplier;

- (g) at the choice of the Authority, delete or return all the Personal Data to the Authority after the end of the provision of services relating to Processing, and delete existing copies unless European Law requires storage of the Personal Data;
  - i. make available to the Authority all information necessary to demonstrate compliance with the obligations laid down in Article 28 GDPR and allow for and contribute to audits, including inspections, conducted by the Authority or another auditor mandated by the Authority, and shall immediately inform the Authority if, in its opinion, an instruction infringes Data Protection Legislation, other Data Protection Legislation or other data protection provisions in European Law;
- (h) procure that any person acting under the authority of the Supplier who has access to Personal Data, shall not Process the Personal Data except on instructions from the Authority, unless required to do so by European Law;
- (i) not disclose or transfer the Personal Data to any third party or Supplier Personnel unless necessary for the provision of the Services and, for any disclosure or transfer of Personal Data to any third party, obtain the prior written consent of the Authority (save where such disclosure or transfer is specifically authorised under this agreement);
- (j) take all reasonable steps to ensure the reliability and integrity of any Supplier Personnel who have access to the Personal Data and ensure that the Supplier Personnel:
  - i. are aware of and comply with the Supplier's duties under this Schedule and Clause 1 (Confidentiality), Clause 2 (Data Protection) and Clause 4 (Information Security) of Schedule 3 of these Call-Off Terms and Conditions.;
  - ii. are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Authority or as otherwise permitted by this agreement; and
  - iii. have undergone adequate training in the use, care, protection and handling of Personal Data;
- (k) notify the Authority:
  - i. as soon as possible and in any event within 2 Working Days if it receives from a Data Subject (or third party on their behalf):
    - 1. a Data Subject Rights Request (or purported Data Subject Rights Request);
    - 2. a request to rectify, restrict or erase any Personal Data; or
    - 3. any other request, complaint or communication relating to the Authority's obligations under Data Protection Legislation;
  - ii. as soon as possible and in any event within 2 Working Days if it receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data;
  - iii. as soon as possible and in any event within 2 Working Days if it 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

- iv. promptly and without undue delay, and in any event within 24 hours, upon becoming aware of any Personal Data Breach or circumstances that are likely to give rise to a Personal Data Breach.
  - (l) provide the Authority with full cooperation and assistance within ten (10) Working Days (or such other period as may be agreed) in relation to any complaint, communication or request made as referred to in Clause 1.3(l) to this Schedule 6 (GDPR), including by promptly providing:
    - i. the Authority with full details and copies of the complaint, communication or request;
    - ii. where applicable, such assistance as is reasonably requested by the Authority to enable the Authority to comply with the Data Subject Rights Request within the relevant timescales set out in Data Protection Legislation; and
    - iii. the Authority, on request by the Authority, with any Personal Data the Supplier holds in relation to a Data Subject;
  - (m) if requested by the Authority, provide a written description of the measures that it has taken and technical and organisational security measures in place, for the purpose of compliance with its obligations pursuant to this Clause 1 to this Schedule 6 (GDPR) and provide to the Authority copies of all documentation relevant to such compliance including, protocols, procedures, guidance, training and manuals; and
  - (n) comply with its obligations as Processor under Data Protection Legislation.
- 1.4 The Supplier shall not Process or otherwise transfer any Personal Data in or to any Restricted Country. If, after the Effective Date, the Supplier or any Sub-contractor wishes to Process and/or transfer any Personal Data in or to any Restricted Country, the following provisions shall apply:
- (a) the Supplier shall submit a Change Control request to the Authority which, if the Authority agrees to such Change Control request, shall be dealt with in accordance with the Contract Change Control Procedure and Clauses 1.4(b) to 1.4(d) to this Schedule 6 (GDPR);
  - (b) the Supplier shall set out in its Change Control request and/or impact assessment details of the following:
    - i. the Personal Data which will be transferred to and/or Processed in any Restricted Country;
    - ii. the Restricted Country or Countries which the Personal Data will be transferred to and/or Processed in;
    - iii. any Sub-contractors or other third parties who will be Processing and/or

receiving Personal Data in Restricted Countries; and

- iv. how the Supplier will ensure an adequate level of protection and adequate safeguards in respect of the Personal Data that will be Processed in and/or transferred to Restricted Countries so as to ensure the Authority's and Supplier's compliance with Data Protection Legislation;
- (c) in providing and evaluating the Contract Change Request and Impact Assessment, the Parties shall ensure that they have regard to and comply with then-current Authority, Central Government Bodies, European Data Protection Board and Information Commissioner's Office policies, procedures, guidance and codes of practice on, and any approvals processes in connection with, the Processing in and/or transfers of Personal Data to any Restricted Country; and
- (d) the Supplier shall comply with such other instructions and shall carry out such other actions as the Authority may notify in writing, including:
- i. incorporating standard contractual clauses (which are approved by the European Commission as offering adequate safeguards under Data Protection Legislation) into this agreement or a separate data processing agreement between the Parties; and
  - ii. procuring that any Sub-contractor or other third party who will be Processing and/or receiving or accessing the Personal Data in any Restricted Country either enters into:
    - 1. a direct data processing agreement with the Authority on such terms as may be required by the Authority; or
    - 2. a data processing agreement with the Supplier on terms which are equivalent to those agreed between the Authority and the Sub-contractor relating to the relevant Personal Data transfer,

and in each case which the Supplier acknowledges may include the incorporation of standard contractual clauses (which are approved by the European Commission as offering adequate safeguards under Data Protection Legislation) and technical and organisation measures which the Authority deems necessary for the purpose of protecting Personal Data.

1.5 The Supplier shall assist the Authority to comply with any obligations under Data Protection Legislation and shall not perform its obligations under this agreement in such a way as to cause the Authority to breach any of the its obligations under Data Protection Legislation to the extent the Supplier is aware, or ought reasonably to have been aware, that the same would be a breach of such obligations.

1.6 The Supplier shall co-operate fully with the Authority in respect of compliance with Data Protection Legislation, including:

- a) entering into standard contractual clauses for Processors with the Authority if

requested by the Authority; and

- b) complying with the Authority's data protection policies and procedures as made available to the Supplier from time to time.

1.7 In the event that there is a change in applicable Data Protection Legislation in England during the Term, and/or, if applicable, there is a change during the Term in the available mechanisms used to transfer Personal data to a Restricted Country, the Parties agree to take such reasonable and appropriate steps and to negotiate in good faith such variation to this Clause 1 to this Schedule 6 (GDPR) and corresponding definitions and any other affected Clauses and Schedules during the Term if variation is required to ensure the Parties' on-going compliance with applicable Data Protection Legislation.

1.8 The Parties shall record the Joint Controller arrangement between them in the template at Part 3 of Schedule 6 (Details of Data Processing), which arrangement may designate a contact point for Data Subjects and shall duly reflect the respective roles and relationships of the Parties as Joint Controllers vis-à-vis the Data Subjects. The Parties agree to update their completed template as necessary during the Term to reflect any changes in the arrangement. The completed template (as updated from time to time) shall form part of this Agreement. The essence of the arrangement shall be made available to the Data Subject. The Parties acknowledge that irrespective of the terms of the arrangement set out in the completed template at Part 3 of Schedule 6 (Details of Data Processing), the Data Subject may exercise his or her rights under Data Protection Legislation in respect of and against each of the Joint Controllers.



## DETAILS OF DATA PROCESSING

### Part 1: Processors and/or Joint Controllers

Requirement in Article 30 for Joint Controllers	Details for this Agreement
The subject matter of the Processing	<p>Subject Matter Provision of legal advice to the Authority and the Additional Body covering:</p> <ul style="list-style-type: none"> <li>• Finance and Commercial Services</li> <li>• Estates Management</li> </ul>
The Duration of the Processing	<p>Duration of Processing The term of the agreement</p>
The nature and purpose of the Processing	<p>To be able to provide appropriate legal advice, support completion of policies and procedures, advise on case files and case file management, advise on dispute resolution, and all services as required to deliver the Services.</p> <p>This includes support for:</p> <ul style="list-style-type: none"> <li>• Corporate Services</li> <li>• TUPE advice</li> <li>• Pensions advice</li> <li>• Data Protection advice</li> <li>• Freedom of Information requests</li> <li>• Estates Management</li> </ul>
The type of Personal Data	<p>Personal Data could include data pertaining to:</p> <ul style="list-style-type: none"> <li>• goods or services provided</li> </ul>
	<p>Personal Data could include:</p> <ul style="list-style-type: none"> <li>• staff, persons contracted to provide a service</li> <li>• customers and clients</li> <li>• NHS Patients</li> <li>• suppliers and services providers</li> <li>• advisers, consultants and other professional experts</li> <li>• complainants and enquirers</li> <li>• individuals captured by CCTV images</li> <li>• survey respondents</li> <li>• journalists and the media</li> </ul>
The Controller's obligations and rights	<p>The Authority as Controller is required under Secretary of State directions to process Personal Data in order to meet its legal obligations. The Authority will ensure Personal Data is treated as confidential and complies with Data Protection Legislation</p>



## Part 2: Responsibilities

Responsibilities under Article 82	Details for this Agreement
Authority responsibilities for Processing	The Authority will determine the purpose and means of processing personal data that occurs managed by the Supplier under this contract for the business Services they provide
Supplier responsibilities for Processing	The Supplier will perform Processing activities in relation to Personal Data as part of the Services, with the subject-matter, duration, nature and purpose, type and categories of data subjects as required on a case by case basis.

## Part 3: Joint Controllers

The Joint Controllers have the responsibilities detailed in the table below to comply with Data Protection Legislation Article 26 transparency requirement:

Requirement in Article 26 GDPR	Details for this Agreement
Exercise of Data Subject rights (Article 15 to Article 22 - these refer to information rights of the individual)	Each Joint Controller is responsible for responding to requests for the personal data it holds and processes
Duties to provide information under Article 13 and Article 14 (Privacy Notice)	Data Protection Act 2018 provides exemptions from this requirement for legal advice and defence processing purposes
Obligations, relevant to the arrangement – each in a separate row of the table – this should also cover the responsibilities of each Party for the purpose of Article 34 and Article 82 GDPR	Nothing within this Agreement relieves either Joint Controller of their own direct responsibilities and liabilities under GDPR
Contact point for Data Subjects (optional)	The Data Protection Officers of either party will be the contact points

**Schedule 7 of the Call off Terms and Conditions**

**SPECIFICATION**

**Provision of Commercial and Property Legal  
Services**

**Ref: 22\_10\_08**

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## 1. INTRODUCTION

- 1.1 The Authority is seeking to appoint a Supplier under the North of England Commercial Procurement Collaborative (NOE CPC) Legal Services Framework who can provide legal services for Commercial and Property matters.
- 1.2 The NHS Business Services Authority aspires to deliver brilliant services for our customers, whilst contributing to the effectiveness of the whole NHS and supporting wider health prevention. The Authority's main business strategy sets out our vision, values and strategic goals which include a strong focus on social value and people, The Authority is keen to maximise opportunities to increase social value through all available channels, including procurement, and to work with our suppliers who share our vision.
- 1.3 We are committed to ensuring that our people are able to achieve their potential, irrespective of gender, and are working on a range of actions to eliminate our gender pay gap. Therefore, we are keen to work with suppliers who are also proactively supporting this agenda.
- 1.4 This further competition is being conducted under the terms and conditions of the NOE CPC framework reference NOEJ.0512.0. The Authority requires the provisions of Services as set out in the Annexe A – Schedule A Specification attached as part of this tender pack and the additional Authority specific requirements set out at Section 3.3.

## 2. BACKGROUND

- 2.1 The Authority operates on a Directorate basis. The Directorates which will principally use the contract to be awarded through this process in terms of commercial matters are Corporate Services and Finance, Commercial and Estates. Outlined below are the key activities undertaken by these Directorates:-

### 2.1.1 Finance and Commercial Services

The Commercial Services team is responsible for commercial activity across our supplier base and throughout the full contract lifecycle, advising our wider business colleagues on the following:-

Contract negotiation

Providing commercial leadership in negotiating contracts and providing procurement expertise, guidance and leadership on strategic commercial initiatives. Relevant contracts will cover a range of sectors including technology, professional services and consultancy, property and facilities management.

Commercial dispute resolution

Leading on resolution of supplier disputes across Authority contracts. This includes a broad range of goods and services, many of which are complex and high value including outsourced arrangements.

#### Procurement

Conducting procurement activities for all Authority contracts valued at above £10,000, including contracts for the Authority itself and on behalf of certain other NHS bodies which we provide services to, including the NHS Counter Fraud Authority. This involves either a quotation process or a tender process under the Public Contract Regulations 2015, or use of a framework agreement established by Crown Commercial Service or some other framework authority. All tendered requirements are embodied within a contract.

Contracts valued at under £10,000 are procured by the business owner but may be supported by the Commercial Services team by way of advice, training, ensuring understanding of procurement options, contracts and regulations.

#### Debt Collection

The Finance team are responsible for the collection debts across the Authority's business, either from individuals or companies.

#### 2.1.2 In terms of property matters the Estates team is responsible for:-

Property Management - this includes areas such as acquisition, disposal, rent review, renewal, licences, etc.

Property licences for modification works, contracting and disputes.

Liaison with specialists, such as architects, surveyors, building services engineers.

Compliance with all relevant legislation including; landlord and tenant, health and safety at work, fire safety and management of asbestos legislation.

The provision of training and seminars associated with property legal matters

Maintaining approximately 8 properties, (details of which can be provided upon request); and

Outsourced contract which support building maintenance and works, and facilities management.

## 3. SCOPE

3.1 The Authority requires the Supplier to provide the legal services referred to in Section 4 of this Specification document. This is not an exhaustive list but an indication of the types of services required alongside the requirements listed in the NOE CPC Annex A – Schedule A Specification. There may be additional elements required under the areas of law identified in Section 4.1 and 4.2 of this Specification document.

NHS Framework Agreement for the Provision of Services (January 2018) – Appendix A – Call-off Terms and Conditions for the Provision of Services

- 3.2 The Authority's current contracts for the provision of legal services are due to expire on 30 September 2023. The Authority is seeking to award a contract for a period of 4 years commencing 1<sup>st</sup> October 2023.
- 3.3 The contract will also be utilised by an Additional Body (NHS Counter Fraud Authority (NHS CFA)) for Commercial matters.
- 3.3.1 This Agreement is for the benefit of the Authority however the Supplier acknowledges and agrees that the Additional Body will also be a beneficiary of the Services. The Additional Body has no direct contractual relationship with the Supplier and has no right under Contract Rights of Third Parties Act to enforce any term of this Agreement.
- 3.3.2 Notwithstanding the terms of paragraph 3.3.1, the Authority shall be entitled to enforce any provision of this Agreement which benefits the Additional Body on the Additional Body's behalf, and to claim and recover from the Supplier Losses incurred by the Additional Body and for which the Supplier is liable under this Agreement on the Additional Body's behalf as if such losses were incurred by the Authority in its own right.

## 4. DETAILED REQUIREMENTS

### 4.1. PROPERTY LAW MANDATORY REQUIREMENTS

4.1.1. The Authority requires the following provisions as an expansion of the elected requirements under Paragraph 1.7 of the Annex A – Schedule A Specification.

#### 4.1.1.1. Property and Estates

4.1.1.1.1. The Buyer's property portfolio currently comprises of leasehold properties including Office and Industrial buildings. It is expected that advice will be required on:

##### a) Property matters

- i. Landlord & Tenant Advice
- ii. Lease Renewals and service of Notices
- iii. Providing interpretation of lease terms
- iv. Reviewing and drafting lease documents, MOTO's and other occupational agreements
- v. Provision of licences for alteration, assignment, sublet or other purposes
- vi. Support in relation to planning permission appeals
- vii. Support in relation to Business Rate appeals and tribunals
- viii. The handling of any other property related disputes which may occur from time to time which may need to be taken into arbitration
- ix. Disposal of leasehold interests

- x. Supporting the Acquisition of freehold and/or leasehold premises including the provision of due diligence reports.
  - xi. Provision of title and other legal property searches
- b) General estate management advice  
General advice on the legal aspects of the management of the Authority's estate.
- c) Facilities Management  
To provide general advice and support in relation to the Total Facilities Management Contract
- d) Compliance  
  
Advice on all environmental issues likely to affect the Authority, for example, in relation to watercourses and redevelopment of brownfield sites  
  
Advice and guidance in relation to Statutory Compliance activities  
Support in relation to Building contracts and handling associated disputes  
  
Advice on building contracts, collateral warranties, professional appointments and guarantees.
- e) Criminal prosecutions  
Advice and representation in relation to property-related criminal prosecutions, for example under health and safety, trespass, criminal damage or environmental legislation
- f) Retention of Documents  
  
The Supplier will be responsible for the retention and safe keeping of original legal documentation and maintaining an electronic register of documents; notifying the Authority at appropriate times of property milestones (e.g. break clauses, lease expiration etc.)  
  
Liaison with other legal firms to achieve centralisation of documents and storage.
- g) Legislation and TUPE  
  
Advice on TUPE – implications in the context of procurements  
  
Advice on application of the Public Contract Regulations 2015 and other applicable legislation throughout the procurement process, including choice of procurement route, standstill, contract award, developments in case law, use of framework agreements and other procedures available, Official Journal of the European Union notices, supplier evaluation and selection



Advice on supplier (largely private sector bodies) disputes, including representation at court or other forum if necessary

Advice on contractual disputes, litigation and settlement and on any procurement challenges, IT related issues and the protection of intellectual property rights

Advice and litigation services relating to the collection of debts across the Authority's business, either from individuals or companies.

- 4.2.1.3 Any other ad-hoc litigation or legal support or advice that may arise from time on property matters

## **4.2. CONTRACT AND COMMERCIAL LAW MANDATORY REQUIREMENTS**

**4.2.1.** The Authority requires the following provisions as an expansion of the elected requirements under Paragraphs 1.1, 1.6 and 1.8 of the Annex A – Schedule A Specification.

### **4.2.1.1. Contract & Commercial**

- a) Advice on contract drafting, updating and amending
- b) Support and advice in relation to Commercial and Contractual Disputes
- c) Advice on Authority procurement procedures and terms and conditions of purchase
- d) Advice on varying contracts and applicable terms
- e) Advice on Digital and Technology contracts with a focus on commercial and contracting approaches to deal with latest thinking and emerging technology including:
  - i. Proof of concept projects for new technologies including, but not limited to machine learning, artificial intelligence and robotics
  - ii. Advising/developing software development and support and maintenance agreements where the Authority is the supplier
  - iii. Developing bespoke agreements where the Authority is the buyer (off framework procurements)
  - iv. Open Source licensing as a developer and consumer
  - v. Contracting for artificial intelligence;
  - vi. Contracting for robotics;

- vii. Contracting for innovation and developments;
    - viii. Protecting person identifiable data;
    - ix. Intellectual property;
    - x. Software as a Service, Infrastructure as a Service and Platform as a Service contracting arrangement;
  - f) Exit arrangements;
  - g) Consideration of TUPE impacts;
  - h) Procurement advice relating to procedural best practice in line with Public Contract Regulations 2015 and advice relating to the introduction and application of the New UK Procurement Bill;
  - i) Assist on drafting legally binding contract with private sector suppliers including, but not limited to:
    - i. Outsourcing arrangements;
    - ii. Information Management & Technology (IM&T) services;
    - iii. Supply contracts
  - j) Advice on Memoranda of Understanding (MOU) or other non-legally binding arrangements with other NHS bodies.
- 4.2.1.4 Ad-Hoc Requirements

## 4.3 SERVICE PROVISION REQUIREMENTS

### 4.3.1 Innovation and Contract Development

#### 4.3.1.3 Training

- 4.3.1.3.1 The Authority requires the Supplier to deliver training sessions on a quarterly basis throughout the contract term.
- 4.3.1.3.2 The training sessions will be agreed between the Supplier and the Authority.
- 4.3.1.3.3 The training sessions will be provided at no extra cost.

#### 4.3.1.4 Initial Consultation

- 4.3.1.4.1 The Supplier shall provide the Authority with an initial 45 minute consultation and legal advice at the beginning of each matter to discuss developing/new legal matters, at no cost to the Authority.

#### 4.3.1.5 “Hotline”/ Advisory Services

- 4.3.1.5.1 The Supplier will provide telephone advice to a Nominated Officer between 8.00am and 6.00pm in relation to matters in which a Supplier has not yet been formally instructed. This will be followed up with email

confirmation if requested by the Authority. The Authority is entitled to initial free of charge consultation to discuss legal matters.

#### **4.3.2 Case Management and Planning**

4.3.2.3 The Supplier will provide quarterly computerised summaries of the Authority's cases, which relate to new, on-going and closed activity.

4.3.2.4 The summary of the work undertaken in the quarter may include (where applicable):

- i. Case name or topic area
- ii. Area of law
- iii. Name of Nominated Officer
- iv. Summary of case
- v. Incident date
- vi. Defensibility (e.g. probable/ possible)
- vii. Accrued costs
- viii. Estimated total cost encompassing estimated total time/ hours to be charged (if appropriate)
- ix. Summary of work in progress together with details of estimated time required for completion of the matter
- x. Issues relating to liability
- xi. Agreed risk rating/ likely outcome/ potential exposure
- xii. The provision of the annual supply of reserves and budgetary information relevant to a Routine Activity necessary for the Authority to prepare legal expenses and compensation payments budgets for the next financial year.

#### **4.3.3 Advertising and publicity**

4.3.3.3 The Supplier must at all times protect the interest(s) of the Authority, providing the Authority with sufficient prior warning and information in the event of any matter potentially attracting publicity.

4.3.3.4 The Authority reserve the right to agree any articles or other copy documentation produced by the Supplier for publishing, which refers to the Authority (in any way), with the Authority reserving the absolute right to reject any articles (copies) produced.

#### **4.3.4 Public Relations Advice**

4.3.4.3 The Supplier shall advise the Authority on the approach to be adopted and also provide advice on how to minimise the impact of any potentially damaging publicity.

4.3.4.4 The Supplier (if necessary) shall represent the Authority to ensure appropriate and timely handling of media enquiries. If the matter

becomes involved and extensive only at the Authority specific request is the Supplier to initiate any further course of action e.g. in relation to potential public interest issues.

## **5 OTHER REQUIREMENTS**

### **5.1 PERFORMANCE REQUIREMENTS**

#### **5.1.1 Service Provision**

- 5.1.1.1 In order to deliver this service, the Supplier must ensure that they:
- 5.1.1.2 agree timescales for the completion of all enquiries at the time they are referred by the Authority.
- 5.1.1.3 will provide, or have provided a fixed price quotation (along with an estimation of timescales and charges for all contentious work excluding clinical negligence)
- 5.1.1.4 immediately notify the Authority originator in the event of any proposed deviation to the agreed timescales and/or costs

#### **5.1.2 Staffing Arrangements**

- 5.1.2.1 Approval of any work to be subcontracted must be gained from the Authority prior to starting any work.
- 5.1.2.2 Staff should be assigned with the appropriate qualifications and skills to undertake the assignments allocated. Training should be a planned and on-going process and should cover basic and development training.
- 5.1.2.3 The Supplier must ensure that the quality of advice is maintained to the required standard
- 5.1.2.4 The Supplier must ensure that staff are always up to date with developments in the relevant area of the law and in a position to provide accurate advice.

#### **5.1.3 Response Times for Non-Contentious and Contentious matters**

- 5.1.3.1 On receipt of instructions the Supplier will be required to provide an expected response time or the Authority may specify timescales, in some situations which may be short due to urgent requirements.
- 5.1.3.2 The Supplier shall use best endeavours to meet established timescales and shall highlight at the earliest opportunity any issues with these.
- 5.1.3.3 The Supplier may be required to attend the Authority, Department of Health and Social Care and other premises at short notice where urgent matters arise.

5.1.3.4 Where advice is sought on a matter for which the Supplier is aware advice in the same area has previously been provided to the Authority, the Supplier shall be required to refer the Authority to this advice before proceeding with the current new matter.

5.1.3.5 All urgent and contentious instructions will be agreed as such by both the Supplier and the Authority. Acknowledgement of receipt must be sent to the Authority within 2 hours of receiving the instruction. The report/ outcome for urgent matters should be provided to the Authority in accordance with the Authority's requirement or if this is not agreed in a maximum of two working days.

5.1.3.6 Cases categorised as 'routine' will be agreed as such by both the Supplier and the Authority and an acknowledgement of receipt must be sent within 2 hours of receiving the instruction. The report/ outcome should be provided to the Authority in accordance with their requirement or if this is not agreed a maximum of 5 working days.

5.1.3.7 For all contentious matters:-

- a) An email acknowledgement from the Supplier to the Authority should name the individual, identify their job title to confirm who will be managing the case and provide an approximate timescale as to when a summary first report will be made available to the Authority.
- b) An email acknowledgement of instructions should be received within 2 hours of being instructed and the status report should be issued and agreed in accordance with the Authority or if this is not agreed within a maximum of 5 working days.
- c) Within 15 working days, the named solicitor must report the following to the Authority within the appropriate timescales for the provision of work and include all costs and disbursements.

#### **5.1.4 Data Transfer Arrangements**

5.1.4.1 The Supplier will be required to provide an online repository which can be accessed by the Authority as and when required.

5.1.4.2 Data transfer of files stored in the digital repository should be transferred to the awarded Supplier upon commencement and exit of the contract in line with the Paragraph 2.3 of Annex A – Schedule A Specification.

## **5.2 SERVICE LEVELS AND KEY PERFORMANCE INDICATORS (KPIs)**

5.2.1 The Authority will agree relevant KPIs and the methodology for monitoring with the Supplier.

5.2.2 Any poor performance by the Supplier will be discussed at contract management meetings. Improvement plans will be discussed, agreed and monitored as necessary through the term of the Contract.

## **5.3 CONTRACT MONITORING**

- 5.3.1 The Authority requires access to a named partner and/or appointed Contract Manager who will be the Supplier's first point of contact for requesting advice and escalating issues.
- 5.3.2 The Supplier's appointed Contract Manager will be required to attend quarterly contract review meetings. These may be held at the Authority's premises or may be via video conference. The frequency of contract review meetings may be subject to review and shall incur no extra charge to the Authority.
- 5.3.3 The Supplier must provide monthly management information during the term of the contract detailing; client contact, cost code, area of advice, client department, time billed and fees charged down to project/issue level, with a supporting narrative detailing activity undertaken.
- 5.3.4 Other reports may be required by the Authority as and when in a format to be agreed.
- 5.3.5 The Supplier must have a complaints procedure in place which should align to the Dispute Resolution Procedure detailed within Schedule 2 Call off Terms and Conditions Paragraph 22.

## **5.4 ADDITIONAL REQUIREMENTS**

### **5.4.1 Travel and Expenses**

- 5.4.1.1 Any travel requirements of the Supplier must be pre-approved by the Authority prior to booking along with an indication of costs to be incurred. The Authority may propose an alternative or cheaper method of travel where deemed appropriate.
- 5.4.1.2 The Supplier must obtain agreement in advance from the Authority for activity which would result in expenses. The Authority will not be held liable for any expenses not being previously agreed. Mileage will be chargeable in line with applicable HMRC rates.
- 5.4.1.3 Travelling time will not be a billable activity.

### **5.4.2 Invoicing & Cost Efficiencies**

- 5.4.2.1 Invoicing should be conducted in line with requirements set out in Paragraph 11 Annex A – Schedule A Specification All invoices are to be sent to the payments inbox included in the Order Form.
- 5.4.2.2 Fee estimates should be provided in accordance with agreed rates as set out in Schedule 8 (Pricing Schedule) and with due regard to the obligations for Cost Efficiencies as set out in Annex A – Schedule A Specification Paragraph 7.

### **5.4.3 Provision of Advice**

NHS Framework Agreement for the Provision of Services (January 2018) – Appendix A – Call-off Terms and Conditions for the Provision of Services

- 5.4.3.1 The Supplier will be expected to take a pragmatic approach to providing advice using their understanding of the Authority and the work it undertakes to provide practical solutions to issues and a pragmatic interpretation of the law. The Authority expects that advice will be presented and interpreted in a manner clear and understandable to staff without legal knowledge.
- 5.4.3.2 The Supplier shall be available to provide advice to the between the hours of 8am – 6pm, Monday to Friday. Furthermore, a contact for emergency requirements outside of these hours must be accessible, in each area of advice.
- 5.4.3.3 The Supplier may only take instruction from authorised Authority personnel as confirmed by the Authority.
- 5.4.3.4 The Supplier should provide free of charge appropriate legal seminar/training and updates to the Authority, including briefings, newsletters and case law updates.
- 5.4.3.5 The Supplier should provide updates on any new legislation and regulations implemented during the course of the contract which are deemed to affect the Authority's business and activities, as well as for information and development purposes.

#### **5.4.4 Conflict of Interest**

- 5.4.4.1 The Supplier should have a procedure in place which aligns to Paragraph 25 Schedule 2 Framework Call Off Terms and Conditions.

## **ANNEX A**



## **Schedule A: Specification**

- Suppliers should note that whilst all attempts have been taken to ensure accurate and correct technical and functional terminology are used in the preparation of the Specification and the Assessment Questions, there is an absolute obligation on the Supplier to query any ambiguity, whether actual or potential, in the use of technical or functional terms used in this document.
- NOE CPC undertakes that in the event of discovering and agreeing any such ambiguity to circulate clarification to all potential Suppliers.
- Whilst all reasonable endeavours have been made to accurately describe the requirements, Suppliers should form their own conclusions about the methods and resources needed to meet them.
- The responses given to the statements of requirements and the information provided by the Supplier will form the basis of any future contract. However, suppliers are advised that nothing herein or in any other communication, or any part thereof, made between NOE CPC and any other party shall be taken as constituting a contract, agreement or representation between NOE CPC and any other party nor shall they be taken as constituting a contract, agreement, or representation that a contract for the services shall be offered in accordance herewith or at all.

## 1.0 Specification of Services

It should be noted that this is not an exhaustive list but provides an overview of the frequently used common areas of law as required by the Authority.

NOE CPC has attempted to identify under each area of law “complex areas of work”. The intention to provide clarity for the NHS in understanding where, under specific circumstances, there may be a requirement to utilise a higher Band level of resource to handle the enquiry/case.

Supplier(s) are invited to supply legal advice and associated services which incorporate the areas below.

Suppliers must note that there is no obligation upon The Authority to source their requirements on a single supplier basis. However, to ensure that The Authority is able to access Suppliers who offer a comprehensive legal service, all Suppliers to this framework must be able to fulfil the range of requirements detailed below.

### 1.1 NHS Governance & Public Law

Complex areas of work under this area of law include:

- Judicial Review when based on any other pre-identified “complex area of work” within this document

- Independent inquiries/Inquiries Act

- a) NHS structure, powers, statutes, and guidance

Advice as required on the identification, interpretation, and application of all relevant NHS legislation, and on the powers, duties and processes set out in those Acts and the relevant subordinate legislation.

- b) Corporate governance

Advice on the proper exercise of statutory powers; schemes of delegation and reservation; the conduct of meetings; compliance with standing orders and SFIs; the implications of codes of conduct and accountability and liability of Directors and the Board within health service bodies; how to avoid and manage potential conflicts of interest.

- c) Clinical governance

Advise the Authority on the legal aspects of its clinical governance obligations (for example helping to deal with poor clinical performance).

- d) Information governance

Provide advice on patient confidentiality; access to health records; data protection legislation including GDPR and the role of “Caldicott” Guardians; and Freedom of Information Act 2000 applications for disclosure of information held by the Authority, commercial sensitivities, and the appropriate application of exemptions. To include advice on Departmental Guidance and any new legislation.

- e) Research governance

Advise the Authority and where necessary, Ethics Committees on the legal aspects of entering into research including clinical trials, with particular focus on ethical issues.

rights and liabilities; intellectual property rights; risk; the scope of indemnities and of appropriate insurance cover.

f) Foundation Trust (Authority) constitution advice

Advise the Authority on applications to become authorised as an NHS Foundation Trust and on the drafting, amendment, and interpretation, where required, of Foundation Trust constitutions; the terms of authorisation and all relevant statutory provisions and guidance relating to Foundation Trusts.

g) Criminal prosecutions

Advice and assistance in relation to compliance with Health, Safety and Environmental regulation to include advice and representation in relation to criminal prosecutions for non-compliance brought by Regulators against the Authority and/or its staff; advice and representation in relation to Inquests arising. Advice and representation in relation to criminal prosecutions brought by Regulators generally against the Authority and/or its staff. Advice and representation in relation to proceedings brought by the Authority to ensure the health and safety of its staff in the performance of their duties.

h) Public consultation

Advice on consultation obligations and process. Advice on the content and remit of any consultation document; when and how to consult, and on advising the Authority in responding to challenges as to failure to consult or the adequacy of consultation.

i) Judicial review

Advice on how to reduce the risk of judicial challenges to the Authority's decisions, and on acting on behalf of the Authority's decisions when they are challenged in the Courts.

j) Internal and public inquiries

Advise on the conduct of internal investigations, independent inquiries, and public inquiries conducted under the Inquiries Act 2005, so as to ensure that the Authority's processes are robust and meet the requirements of natural justice and all other administrative law obligations. Advice on liaison with statutory agencies, including the Healthcare Commission, Monitor, NPSA (National Patient Safety Agency), Ombudsman etc.

k) Policies and procedures

Advise the Authority on the planning, drafting and implementation of policies, taking into account consultation requirements where appropriate, and making the Authority processes robust to legal challenge.

l) Human Rights

Advice on the implications for the Authority and their activities of the Human Rights Act 1998 and other associated legislation, such as the Equality Act 2006.

m) Personal injury cases

Employer's and public liability cases (all NHS bodies)

Advise the Trust/Authority/CCG in the defence of any employer's and public liability claims not covered by the NHS Litigation Authority's pool scheme and subject to direct instruction.

## 1.2 Primary care services – NOT USED

~~Complex areas of work under this area of law include:~~

~~• Advice and drafting on any matter which involves a contract or issue with a value of more than £5 million or which is of strategic importance to the Authority or represents a substantial risk to the Authority.~~

~~• All judicial review proceedings or advice on matters which would have to be determined in such proceedings.~~

~~• Any advocacy by an employed barrister, Associate or Partner in a court or other tribunal where Counsel could reasonably have been instructed but, as a result of the Authority's choice, advocacy services are provided by the said employed barrister, Associate or Partner.~~

~~a) Primary care practitioners~~

~~Advice on all areas of the relationships between the Authority (CCG) and independent primary care Suppliers, to include:~~

~~• Advice on management of performers and other lists, including advice and support to the CCG on admission, suspension, and removal; acting for the CCG in connection with appeals to the FHSA (Family Health Service Appeal Authority) or FHSAU (Family Health Service Appeal Unit).~~

~~• Advice and drafting of contracts and other documents and advice on payments, in connection with the contractual aspects of the relationship to include GMS (General Medical Services), PMS (Personal Medical Services), APMS (Alternative Provider Medical Services), GDS (General Dental Services), PDS (Personal Dental Services), Pharmaceutical schemes and arrangements under the GPS (General Pharmaceutical Services) and GOS (General Ophthalmic Services) Regulations and any temporary arrangements which may be required.~~

~~b) Prison Health~~

~~Advice on all CCGs obligations to commission prison health services, including risks on commissioning and/or providing primary care services; management of complaints relating to provision of healthcare services to prisoners; defending challenges to the adequacy of provision: supporting CCGs in inquiries/inquests following an adverse incident.~~

~~c) Primary care fraud~~

~~Advice on the steps available to prevent and detect fraud and formulate a fraud response strategy. Advise and represent the CCG in responding to the detection of fraud.~~

~~d) Commissioning~~

~~Advise the Authority on the development and implementation of commissioning and purchasing policies and decisions to withstand potential legal challenge in the light of the Authority's legal duties and the guidance on Commissioning a Patient led NHS. Advice on arrangements with practices and consortia engaged in practice based commissioning and governance and financial issues which flow from such schemes and decisions to withstand potential legal challenge.~~

~~e) Continuing Care and Funding~~

~~NHS Framework Agreement for the Provision of Services (January 2018) – Appendix A – Call-off Terms and Conditions for the Provision of Services~~

~~Provide advice on all aspects of continuing care requirements and related legislation, including intermediate, palliative, and terminal care and advice and assistance to care homes in the ownership of the CCG. Advise the Authority on eligibility criteria and process for managing disputes and restitution payments and the provision, structuring and funding of continuing care arrangements with NHS and other service providers.~~

~~f) — Care Homes~~

~~Advise on compliance with the Care Standards Act 2000, and any other advice and assistance in connection with care homes in the ownership of the Authority or with whom the Authority is contracting as may be required.~~

~~g) — Community provision~~

~~Advise the authority on options for community provision and the relationship between provider and commissioning arms. Advise on contracting and grant arrangements with community providers and the role of the CCG in developing these.~~

### **1.3 Healthcare Law – NOT USED**

~~Complex areas of work under this area of law include:~~

~~Any matters listed below which relate to High Court Litigation or advice on matters which would have to be determined in a High Court action, matters in the Court of Appeal or Higher Courts~~

~~a) — Consent to treatment cases~~

~~Advice on the suitability of arrangements for obtaining and documenting patients' consent to treatment, how to proceed when patients refuse life-saving treatment and also when to legitimately withhold or withdraw life saving treatment; advice where patients lack capacity on the appropriate procedures; advice where necessary on applications for declaratory relief and best interest cases.~~

~~b) — Inquests~~

~~Advice on the preparations and strategy for potentially sensitive inquests and represent the Authority at such inquests. To include the management of complex inquests involving juries and Article 2 ECHR issues (European Convention of Human Rights).~~

~~c) — Capacity~~

~~Advice on capacity and best interests, including legislative changes planned under the Mental Capacity Act 2005; advice on obligations and duties for NHS organisations and guidance for professionals arising from decisions relating to personal welfare of patients.~~

~~d) — Children Act issues~~

~~Provide advice on all aspects of the working of child protection legislation and related proceedings e.g., emergency protection orders and specific issue orders. Advice on "working together" guidance including co-operative working with both statutory and voluntary parties.~~

~~e) — Clinical risk management~~

~~Support the Authority's clinical risk management programme. Advice on clinical risks; reporting procedures; investigation and documentation.~~

~~f) — Complaint's advice~~

~~Advise the Authority when required in responding to sensitive complaints and other pre-action investigations including advice on referrals to the Healthcare Commission.~~

~~g)——Witness statements~~

~~Advise Authority staff on the preparation of witness statements for all types of legal proceedings, and on what they can expect if needed to attend Court.~~

~~h)——Retention of Organs~~

~~Advise the Authority and offer specialist legal advice regarding the retention of organs.~~

~~i)——Confidentiality~~

~~Advise the Authority on all aspects of disclosure of patient information and confidentiality issues.~~

~~j)——Criminal prosecutions~~

~~Advice and representation in relation to criminal prosecutions for example under Health & Safety legislation or other regulatory crime which might result in prosecution against the authority or its staff, the conduct of proceedings and the interface with criminal prosecutions~~

~~k)——Asylum Seekers~~

~~Advice on access of asylum seekers and overseas visitors to primary and secondary care, imposition of charges and all policy aspects~~

~~l)——Patient Mobility~~

~~Advice on all aspects of patient mobility under EU Law, including advice on DH (Department of Health) guidance.~~

## **1.4 Mental Health law – NOT USED**

~~Complex areas of work under this area of law include:~~

~~Any matters listed below which relate to High Court Litigation or advice on matters which would have to be determined in a High Court action, matters in the Court of Appeal or Higher Courts~~

~~a)——Mental health legislation~~

~~Provide advice on all aspects of legislation relevant to mental health, including Mental Health Act 1983, the Code of Practice, Memorandum, and the Human Rights Act. To advise on the impact of European and UK Court decisions, including those relating to funding issues.~~

~~b)——Mental Health Review Tribunals~~

~~Provide advice on giving evidence to Tribunals and on key issues to be addressed; representation at sensitive or difficult Tribunals where required.~~

~~c)——Homicide/Suicide Inquiries and Inquests~~

~~Provide assistance such as collating witness evidence, liaising with police and independent review panels and represent staff if required; advise staff on the preparation of witness statements for all types of legal proceedings, and on what they can expect if needed to attend Court or other hearings.~~

~~d)——Capacity and treatment~~

~~Advise on capacity to consent to treatment and the impact of the Mental Capacity Act on this. To include consultation rights of relatives and other interested parties' reference "Bournewood" issues and compulsory treatment.~~

~~e) — Detention and discharge~~

~~Advise on case law and statutory requirements relating to situations where a patient's liberty is at stake including both forensic and non forensic cases.~~

~~f) — Patients' Property~~

~~Advise on the handling of money, property, and their financial affairs.~~

## **1.5 Employment law – NOT USED**

~~Complex areas of work under this area of law include:~~

~~Complex race, sex or disability discrimination cases and all High Court proceedings~~

~~a) — Employment law advice~~

~~Advice on the law and guidance governing the relationship between the Authority and its employees including Agenda for Change, Whitley, and other contractual terms.~~

~~b) — Employment tribunals~~

~~Advice and representation in all employment tribunal cases.~~

~~c) — HR policies~~

~~Provide advice on the Authority(s) HR policies/strategies and provide advice on the staff consultation requirements regarding staff transfers under TUPE and/or ROE. Participate in union and staff liaison group consultations. Advice on best practice in drafting, and on the implications of, employment contracts and policies and procedures.~~

~~d) — Pensions~~

~~Provide advice on employees' NHS pension entitlements, including related dismissal, redundancy, and outsourcing issues.~~

~~e) — Employment agencies and bank staff~~

~~Advice on the establishment of nursing and other staff banks, and the employment status of bank and agency staff.~~

~~f) — Organisational change~~

~~Advice on the employment law issues arising from mergers, departmental reorganisations and contracting out services. Advice on the TUPE implications of service reorganisations within the public and private sectors including compliance with COSoP.~~

~~g) — Doctors/Dentists disciplinary cases~~

~~Advice to the Authority on disciplinary cases under the "Maintaining High Professional Standards in the Modern NHS" DH guidance HSC 2003/012.~~

~~h) — Health Professional practice advice~~

~~Advise on the law and regulations relating to health professional practice, including doctors, dentists, nurses, midwives, health visitors and other healthcare professionals.~~

~~i) — Discrimination~~



~~Advice to the Authority on discrimination issues arising from the employment relationship and the duties of a public body.~~

~~j) — Independent Sector~~

~~Advice to the Authority on the impact, freedoms, and opportunities for the employment relationship within the independent sector.~~

~~k) — Employment Governance~~

~~Governance responsibilities including dealing with Senior Executives, their termination and audit considerations.~~

~~l) — Employee Payments~~

~~Advice on over/under payment of wages, claims for unlawful deductions, recovery of over payments, breach of contract claims on termination of employment.~~

~~m) — Employment Relationship Advice~~

~~Provide advice in relation to Parental Rights, Maternity, Adoption, and flexible working arrangements.~~

~~n) — Immigration Issues~~

~~Advice and guidance in relation to the employment of overseas nationals: preventing illegal workers under the Immigration, Asylum and Nationality Act 2006.~~

~~o) — Other Legislation and case law~~

~~Advice on the application of the Working Time Regulations, Public Interest Disclosure Act, Data Protection Act, Freedom of Information Act, and defamation law in the employment context.~~

## **1.6 Contract and commercial law**

Complex areas of work under this area of law include:

Advice and drafting on any matter which involves a contract of more than £5M and is of strategic commercial importance to the client or represents a substantial risk to the client. Complex IM & T procurements involving negotiation with suppliers or involvement with technical subject matter, payment mechanisms or service levels, and IM&T disputes

a) Non-legally binding Service Level Agreements between NHS bodies

Assist the Authority in its negotiation and drafting of SLAs (service level agreements) between NHS bodies, including shared services arrangements, joint commissioning and/or procurement arrangements.

b) Contracts with other public sector bodies

Assist the Authority in its negotiation and drafting of legally binding contracts between Foundation Trusts and NHS bodies and/or partnering agreements under Section 31 of the Health Act 1999 with Local Authorities.

c) Contracts with private sector bodies.

Assist the Authority in its negotiation and drafting of legally binding contracts with private sector providers including:

- Outsourcing arrangements
- Commissioning arrangements for healthcare services
- IM&T (Information Management & Technology) services

- Other services including consultancy services
- Supply Contracts
- Equipment and vehicle leasing

d) Public procurement

Advise the Authority on the requirements of public procurement Law and on how to approach any procurement in order to obtain best value from its relationships with private sector organisations and how to minimise the risk of challenge. Advise on commissioning in secondary and primary care. Advise the Authority on use of e-tendering; e-procurement and e-auctions.

e) Competition Law

Advise the Authority on compliance with UK and EU competition law affecting its contracts, e.g., relating to pricing, dominance, cartels, state aid etc.

f) Income generation and Private Patients

Advise the Authority on its powers to generate income, including advice on fundraising by the operation of lotteries and otherwise. Advise the Authority on powers and liabilities in relation to the treatment of private patients, terms and conditions for private patients and recovery of charges.

g) Charitable Authorities

Advice on the receipt of charitable gifts and grants, the handling of charitable funds and the use of charitable status to the Authority's advantage, including advice on all relevant charity law legislation and on dealing with the Charity Commission.

h) Intellectual property

Protect the Authority's interests in relation to intellectual property issues arising from the development of new products and ideas including registration of trademarks and designs, copyright, database rights, licensing protected rights and know-how, advising on spinouts from the Authority.

i) Commercial disputes and litigation

Advise and represent the Authority in all commercial dispute management whether in litigation, mediation, arbitration, or adjudication. Advice includes insolvency situations, debt enforcement, product liability, the protection of intellectual property rights, procurement challenges and IT related issues.

## 1.7 Property law

Complex areas of work under this area of law include:

Advice, conveyancing and drafting on any property matter which involves a contract of more than £5M and is of strategic importance to the client.

a) Acquisitions and disposal of property

Advice on all matters relating to the transfer of land and buildings including related planning, construction contracts, appointments, and other issues.

b) Leases and licences to use land

Advice on the granting and taking of leases and licences to use land and buildings, including commercial business leases and all Landlord and Tenant related matters.

c) Site developments

Advice on developments including commercial and residential (social and key worker) accommodation, GP premises, joint venture agreements with public and private sector organisations, retail developments and the provision of Reports on Title and the issuing of Certificates of Title.

d) Property aspects of commercial transactions and joint ventures

Advice on property implications of joint ventures with other public and private sector organisations.

e) Town and country planning advice

Advice on all planning issues likely to affect the Authority, for example in relation to planning applications and appeals, listed buildings and local development plans.

f) Environmental law advice

Advice on all environmental issues likely to affect the Authority, for example in relation to contaminated land, watercourses, and redevelopment of Brownfield sites.

g) Estatecode and general estate management advice

Advise the Authority generally on the legal aspects of the management of its estate, especially with regard to Estatecode.

h) Property and construction disputes

Assist the Authority in relation to all other types of property and construction-related disputes and litigation e.g., under Health & Safety or Environmental legislation, including recovering possession from occupants and Landlord and Tenant Act renewals, construction contract disputes and other problems, for example where a construction Supplier faces insolvency.

## **1.8 Corporate Finance & PFI/PFI2/PPP Projects inc. LIFT schemes**

Complex areas of work under this area of law include:

Corporate work which involves a contract of more than £5M and is of strategic importance to the client

a) Borrowing and investing

Provide advice to the Authority on its power to borrow and invest capital including in its own right and where appropriate, as a member of a limited liability company or partnership, or as part of a joint venture. Specifically, where the Trust is a Foundation Trust, advise on its borrowing limit and powers.

b) Establishing corporate vehicles

Advise the Authority on its power and the desirability of establishing (whether alone or with others) limited liability vehicles including advising on any state aid and procurement law implications.

c) Public procurement law

Provide advice on EU-based regulations and directives, the Competitive Dialogue and the Negotiated and Restricted Procedures. Provide advice on HM Treasury, OGC and Department of Health guidance, Trust standing orders and financial orders.

d) Drafting and contributing to project documentation

Provide advice and assistance with project documentation, to include drafting, reviewing, and amending tenders, but not limited to documentation including the Memorandum of Information; the project advertisement in the OJEU (Official Journal

of the European Union) and the Pre-Qualification questionnaire. Advising and developing, in conjunction with other advisers, the tender evaluation scoring criteria.

e) Project planning

Provider strategic advice to facilitate the establishment of a clear procurement procedure which reflects the requirements of the chosen procurement route. Provide advice and assistance with the preparation of the relevant legal sections of the OBC (Outline Business Case) and FBC (Final Business Case) documents; answering questions and resolving issues that may arise out of the formal review of the OBC/FBC and other draft project documentation. Attendance at Trust and Project board meetings, Trust tender evaluation meetings, bidders' briefing meetings and bidders' evaluation workshops.

f) Drafting, negotiating, and agreeing legal documentation

Draft, negotiate and agree the project agreement, (the NHS Standard Form 3 or the lease plus agreement/strategic partnering agreements for LIFT), direct agreements and ancillary documents such as escrow agreements, collateral warranties, independent tester contracts, shareholder agreements and supply chain agreements for LIFT projects, including:

- Draft project specific wording for inclusion into the generic standard form documentation and negotiate and draft a preferred bidders' letter. Liaise (to include attendance at meetings) with the Department of Health, the Private Finance Unit of the Department of Health, Partnerships for Health, the Trust Board, and others as appropriate, regarding the development of the project documentation.
- Monitor the development of the project documentation from the bid stage through to financial close, highlighting derogations and non-compliance with standard form documents. Provide support and advice to assist in the resolution of any issues which may arise.
- Review sub-contractor documents such as construction contracts and FM contracts. Co-ordinate the provision of conditions precedent. Carry out a final review of the legal documentation to ensure consistency and compliance with EU and Trust procurement requirements.

g) Banking & Finance

Advice on issues arising from the external financing of schemes. Specifically liaise with the Trust's financial advisers and review and advise on the legal sections of the relevant finance documents and/or as appropriate, submit comments to the Preferred Bidder.

h) Advice and documentation on property issues

Provide advice on all land issues, including planning and estates strategy. Report on title and issue certificates on title. Draft and execute property leases and underleases for the project site. Advise on and assist with all property negotiations with the preferred bidder and other third parties.

i) General legal advice and assistance

Provide advice on the Freedom of Information Act, confidentiality, conflicts of interest, and all other PFI/PFI2/PPP related issues. Specifically, in relation to LIFT, advise the CCG on its roles as both procuring authority and shareholder in LIFTCo and the LIFTCo partnering arrangements with the private sector partner.

## **2. 0 Service Provision**

2.1 In order to deliver this service, the Supplier(s) must ensure that they:

- a) agree timescales for the completion of all enquiries at the time they are referred by the Authority.
- b) will provide, or have provided a fixed price quotation (along with an estimation of timescales and charges for all contentious work excluding clinical negligence)
- c) immediately notify the Authority originator in the event of any proposed deviation to the agreed timescales and/or costs

## **2.2 Staffing Arrangements**

2.2.1 Prior to contract commencement, the Supplier(s) will confirm the identity of the individual solicitors and associated personnel who will handle the Authority's account .

2.2.2 Nominated solicitors and identified personnel will be available to the Authority both by telephone and via email and should be in a position to discuss with the relevant officer of the Authority all matters concerning any issue referred to the Supplier(s).

2.2.3 Work which has been assigned to a specific individual remains the responsibility of the Supplier(s). The Supplier(s) will ensure that where work is delegated, adequate supervision must be provided.

2.2.4 In the event of any unavoidable absence to ensure continuity of service, the Supplier(s) will ensure that adequate cover is provided and that the appropriate manager/partner is made aware of all work in progress and should remain familiar at all times with each case.

2.2.5 Should any individual identified and referred to in clause 2.2.1 become unavailable for any reason, the Supplier will provide cover of equivalent expertise.

## **2.3 Contract Management**

2.3.1 At the discretion of the Authority:-

- a) any work in progress with another Supplier(s) at the commencement of this contract date may remain with that Supplier(s)

- b) at the end of the contract term any work in progress may be passed to the incoming Supplier(s).

- c) the current Supplier(s) shall liaise with the Authority and the incoming Supplier(s) over the transfer of the work including the transfer of any relevant notes, documents, records, and associated information. Any transference should comply with the requirements issued by the Law Society.

2.3.2 Should the Authority award this contract agreement to more than one Supplier, the Authority will require the successful Supplier(s), where necessary, to establish clear communication channels with a view to ensuring behaviours of mutual co-operation and liaison are demonstrated.

2.3.3 Upon commencement of this agreement, the Authority(s) intend to identify "gatekeepers and/or authorised officers" to instruct the service provider(s). Details of these personnel their contact telephone numbers, and their predetermined financial thresholds will be provided.

2.3.4 Exceptions to the above protocols may be valid for any “emergency out of hours” requests. The protocol to apply in these circumstances would need to be agreed with individual Participating Trusts.

2.3.5 Any unauthorised legal advice/work undertaken outside of paragraphs 2.3.3 and 2.3.4 (above) will not be accepted by the Authority(s).

2.3.6 To ease transition an “implementation plan” may be produced by the NOE CPC and circulated to all of its member trusts to ensure that all trusts attempting to migrate and/or participate within this agreement are aware of the protocols required.

2.3.7 It will remain the responsibility of the successful Supplier to ensure that the NOE CPC is formally notified of any trust members attempt to participate in this agreement who have not formally registered their nominated “gatekeeper”, financial threshold etc (see paragraph 2.3.3 above).

## **2.4 Account Management**

The NOE CPC will require the appointment of a dedicated Account Manager. The Manager appointed should bear overall responsibility for the ongoing management of the NOE CPC account and its associated member trusts.

2.4.1 The named individual should be empowered with decision making authority,

the ongoing responsibilities and role of this individual include:

- account review meetings (with the NOE CPC and Participating Trusts)
- good communication skills
- an understanding of the issues and constraints facing the Authority(s)
- clear communications channels exist within own organisation

## **2.5 Communication Protocols**

2.5.1 All written communication/correspondence to the Authority(s) should be in accordance with the following guidelines:-

- E-mail should be utilised as a standard default as a means of correspondence
- It will remain the responsibility of the Supplier(s) to ensure receipt by “tracking safe delivery” to the recipient(s)
- Specific reasons prohibiting the use/exceptions to the above should be identified in advance and advised to the Authority(s)
- Where the Authority(s) require “telephone advice/assistance” - an e-mail confirmation outlining the enquiry and the legal advice/response should be sent on each/every occasion
- Do not acknowledge the Authority(s) correspondence unless specifically requested to do so
- Use plain and jargon free language
- Be succinct, avoid repetition and vague generalisations
- Provide clear recommendations/advice
- Avoid writing/communicating on the same case over a period of days when, by waiting for the same period, the matter could be covered/updated once
- Avoid duplication of advice within each Authority

## **2.6 Historical Expenditure and Split of Activity**



2.6.1 Historical Expenditure is provided for indicative purposes only and should be taken as only a very approximate indication of future demand under the resulting framework agreement.

2.6.2 Total annual expenditure by The Authority(s) on the legal services outlined in this document is of the order of:

<b>Total Expenditure</b>	
<b>Financial Year</b>	<b>Total</b>
2017/2020	£11,782,787.94
<b>Grand Total</b>	

The split of expenditure by area of law is as follows:

<b>Expenditure by Area</b>	
<b>Area</b>	<b>Grand Total</b>
Healthcare Law	£3,491,601.67
Employment Law	£2,952,617.53
Contract and Commercial Law	£1,933,580.34
Property Law	£981,943.88
General Law/Un-categorised	£1,016,909.76
NHS Governance & Public Law	£99,034.63
Not specified	£1,307,100.13
<b>Grand Total</b>	<b>£11,782,787.94</b>

This information is provided is for indicative purposes only, and should not be taken as, or interpreted as, a commitment to any given volume of work, or any volume of work at all.

\*\*\*\*Therefore, please be aware that future usage of these services may vary considerably from the information provided\*\*\*\*

2.6.3 NOE CPC and/or the Authority can give no guarantee of the future levels of work involved in the provision of the Framework Agreement. NOE CPC and the Authority reserve the right to contract with more than one provider of legal services at their absolute discretion.

## **2.7 Response times for non-contentious matters**

2.7.1 Matters agreed between the Parties as being classified “urgent” shall be actioned by the Supplier as soon as feasible e.g., same day/next day). A status report/outcome will be provided to the Authority within two (maximum) working days of this action.

2.7.2 Matters agreed between the Parties as being classified “routine” shall be actioned by the Supplier within five (maximum) working days.

2.8 Response format for contentious matters (e.g., potential litigation - excluding clinical negligence and related issues that fall within NHSLA scheme)

2.8.1 The (instigating) Authority shall require an e-mail acknowledgement of instructions within 7 days.

2.8.2 The acknowledgement should name the individual and identify their associated Band level in order to confirm to the (instigating) Authority who will be handling the case. In addition, the Supplier will provide an indication of timing as to when a summary first report will be made to the Authority.



2.8.3 Within 21 days, the named Solicitor must report to the (instigating) Authority by e-mail in the following format:-

- a) a summary of the salient facts
- b) initial thoughts on liability, including whether or not any admissions shall be made at this stage
- c) an initial reserve against the potential damages and each set of costs (Claimants and Defendants). The reserve shall be offered on a realistic case scenario - assuming that there will be full liability to the Claimant even where this is thought to be unlikely
- d) feedback and consideration should also be provided to the Authority in relation to “cost avoidance” tactics and a risk/benefit analysis provided. This data should be provided in accordance with FRS12 (Financial Reporting standards).
- e) a list of the further enquiries, which are proposed to be made by either the Authority or the Supplier(s). This list shall include information about experts to be appointed and their cost and other relevant matters, including the possibility of a structured settlement.
- f) the Authority should be notified in advance where it is necessary to instruct a third party (expert/counsel). No third-party instructions should be made without prior discussion with the Authority
- g) Provide a list of any further instructions or approvals required from the Authority without which no further action can be taken.

## 2.9 **Composite reporting for contentious matters (potential litigation)**

2.9.1 Litigation (outside of clinical negligence) is a rare occurrence for most Authority(s). Consequently, in the event of the Supplier(s) being requested to undertake any contentious work, the Authority(s) will require the Supplier(s) to provide:-

- a composite report detailing a summary of the work currently in hand e.g., progress, schedule of time devoted etc

2.9.2 The composite report shall include the following information as a minimum:-

- case name and reference number
- total number of minutes/hours by each grade of staff
- cost per hour and total cost for each grade of staff
- amount of disbursements and/or costs not included in hourly charges

2.9.3 The number and content of subsequent reports and their frequency and their timing should be formally agreed with the Authority at the outset.

2.9.4 A composite report shall comprise more than a note that there have been “no developments”. 3 months without developments shall be significant in itself and should be the subject of comment and further recommendations as to tactics.

2.9.5 Once a trial date is known, the Supplier shall provide a final “pre-trial report”. Where possible, a copy of the report shall be provided to the Authority at least two months before any proposed trial (subject only to a subsequent amendment in response to activity on the part of the claimant’s solicitors).

2.9.6 The report shall give clear and unambiguous advice on all aspects of the forthcoming trial.

2.9.7 As required by the Authority(s), the Supplier(s) will undertake case conferences to discuss the proposed strategy and/or changing tactics.

Once a trial date is known, the Supplier shall provide a final “pre-trial report”. Where possible, a copy of the report shall be provided to the Authority at least two months before any proposed trial (subject only to a subsequent amendment in response to activity on the part of the claimant’s solicitors).

2.9.8 The report shall give clear and unambiguous advice on all aspects of the forthcoming trial.

2.9.9 As required by the Authority(s), the Supplier(s) will undertake case conferences to discuss the proposed strategy and/or changing tactics.

### **3.0 Case Management and Planning**

3.1 Where appropriate, the Authority(s) will require the Supplier(s) to adopt a proactive strategy which manages and plans the case both effectively and efficiently.

3.2 Consistent and timely reviews should be undertaken by the Supplier(s) to ensure that both the agreed strategy and the resulting tactics are operational and progressing.

3.3 The Supplier(s) will ensure that regular and timely communication updates are provided to the Authority(s) and advise of any changes to the agreed strategy and/or expected outcome.

### **4.0 Contract monitoring**

4.1 It is envisaged that a central contract monitoring system will be implemented and handled by NOE CPC on behalf of its member trusts – see Schedule A and Appendix A for list of Participating Organisations.

4.2 In order to appraise the service provided monitoring arrangements between the Authority(s) and the Supplier(s) shall:-

- involve an “on-site” meeting (venue to be confirmed by the Authority(s))
- meetings to take place on a quarterly basis (for the first 12 months of this agreement)
- after this period, the frequency and dates of future meetings will be agreed between both parties.
- the Authority anticipates no extra costs to be incurred in the event of the identified need for these visits to the Authority(s) premises

4.3.1 In preparation for the above meetings, the Supplier will ensure that a detailed report is submitted to the Authority at least 5 working days before each agreed meeting date.

4.4 The content and format of this report should detail:

- work in progress - providing brief description of work, detailing accumulated time/hours charged, estimated future costs/time to completion, name(s) and grade(s) of staff involved
- specifically highlight any complex and/or contentious issues and provide updated status report
- work completed - providing brief description of work, detailing no. mins/hours and total costs per case and name(s) and grade(s) of staff involved

- where applicable identify any disbursements (both actual and/or anticipated)
- 4.5 It is anticipated that the content and format of this report will change/develop during the course of this agreement.
- 4.6 An external evaluation of the efficiencies and effectiveness of the work and equivalent hourly rate will be monitored and measured against identified areas of law and/or by Band (grade) levels of staff
- 4.7 For the successful Supplier(s) dual relationships will need to be established upon commencement of this agreement:-
- a) with the identified Participating Organisations
  - b) the NOE CPC - see paragraph 4.1
- 4.8 The individual member trusts will individually monitor the successful service provider(s) performance and feedback to the NOE CPC.

## **5.0 Quality standards**

- 5.1 The Authority requires the Supplier(s) to have an approved accreditation to a Quality Management scheme e.g., ISO 9001:2000, Lexcel Practice Management standard or an equivalent accreditation.
- 5.2 The Offerer shall furnish the Authority(s) with copies (or provide a registered update of certificate number) upon renewal of certificates throughout the duration of this Agreement.

## **6.0 Performance metrics**

- 6.1 In future the NOE CPC may operate the following metrics in order to fairly assess and monitor the awarded Supplier(s):
- 6.2 A benchmarking evaluation/comparisons will be made against historical data comparing areas of law, band levels of staff, total cost and numbers of hours input against the current Supplier(s) performance to identify where they have attempted to optimise the skill mix and use of their resources, in addition to maintaining control of time and total costs.
- 6.3 Where the Authority has made a specific request for an advance estimation of the costs and time to complete a given task/project, the Authority may record and monitor the Supplier(s) ability to supply this information in a timely manner, and the accuracy of the (estimated) costs and length of time to complete the work will be measured at the end of each case.
- 6.4 In addition, for all Case Management and/or Case Planning work passed onto the Suppliers(s), the Authority may also record the response on the provision and frequency of updates in relation to:-
- a) the handling of large projects and projected costs
  - b) timetables and all associated events/dates
  - c) expected duration /completion times performance

## **7.0 Cost efficiencies**

The Authority may seek to record and measure areas which contribute to “cost efficiencies” e.g., performing within budget and/or pro-active behaviours to avoid potential costs.

7.1 The Supplier(s) will maintain responsibility for identifying these potential areas and reporting the same. These may then be substantiated and recorded by the Authority.

7.2 The Supplier(s) will ensure that the most cost-effective solution is provided to the Authorities.

7.2.1 The above approach should be demonstrated by a “Solicitor First” approach, with matters only being referred upwards through the organisational hierarchy where need dictates.

7.2.3 Where it is considered that matters may be dealt with by more junior/less qualified staff, they are to be routed accordingly.

7.3 It is a requirement that an appropriate member of staff will be nominated as the Account Manager for this framework agreement, with an identified, named Partner having overall responsibility for the framework agreement and escalation where necessary.

## **8.0 Exception Rates**

8.1 Whilst it is anticipated, and historical data confirms, that the majority of requirements of Participating Authorities within this framework agreement can be met by the standard hourly rates returned as part of this tender, it is recognised that on occasion matters may be of such complexity, or other reasons that this is not the case. In this instance the Provider is requested to consult the NOE CPC framework agreement manager to discuss this. A view will then be taken on a case-by-case basis whether exception rates are applicable and may be charged.

8.2 Participating Authorities should be advised by the Provider of this requirement and work should not progress at Exception Rates without the prior agreement of the NOE CPC framework agreement manager.

## **9.0 Innovation & contract development**

9.1 A partnership approach is sought by the NOE CPC and its member Trusts with the aim of maximising the transparency of the relationship.

9.2 It is the NOE CPC’s intention to provide their member trusts with the tools to evaluate and appreciate the developing relationship by enabling the sharing of data between Trusts/sites to identify areas which require/reflect improvement on service efficiencies, by benchmarking and evaluating on the same area(s) of law .

9.3. It is anticipated that this partnership approach will also be evidenced through a number of measures e.g:-

- ability to provide access for the sharing of “frequently asked questions” to minimise duplication of information/requests

- development and design of specific (NHS generic) training sessions (where trust members needs have previously been identified) e.g., training based upon/around identified core of “frequently asked questions”
- the co-operation and future development of an “open book accounting” process.

## **10.0 Expenses**

10.1 Prices (including hourly rates and fixed prices) are to be fully inclusive of all expenses.

10.2 By exception, expenses may be agreed in advance, in writing, by individual Authority(s).

Any such expenses are required to be:

- the categories of expenses to be treated in this way are to be clearly identified in advance
- reasonably and necessarily incurred as a result of carrying out the contracted services, with due regard to economy
- be detailed separately on the invoice and accompanied by the relevant receipts
- have been agreed in advance, in writing, with the Authority(s) authorised officer

10.3 Any such reimbursement of expenses will be at cost in line with the Authority(s) prevailing standard rates.

## **11.0 Invoicing**

11.1 The Supplier will submit invoices monthly.

11.2 If the invoice is not agreed, the authority will refer all queries pertaining to the invoice, back to the Supplier within the 30-day period.

11.3 The Authority will require the invoices to be subdivided by area of law detailing the following:

- Date of engagement
- The name of the solicitor engaged and Band level
- The hourly rate applicable
- Total number of hours
- Total Cost
- The name of the Authority’s referring Officer/Authorised Gatekeeper
- Brief description of work undertaken
- Notation confirming work status e.g., ongoing, final

## **12.0 Advertising and Publicity**

12.1 At all times protect the interests of the Authority.

12.2 Provide the Authority with prior warning and information in the event of and matter attracting publicity.

12.3 No articles referring to the Authority shall be published without the Authority(s) prior consent.

12.4 Whilst NOE CPC is supportive of Providers to this framework agreement marketing this award and their services to relevant Participating Authorities, this marketing must not jeopardise the confidentiality of information regarding provision of this service by other Providers to the framework agreement, regarding rates and services provided. As a general principle commercial confidentiality requires that no Provider to the framework agreement requests from either NOE CPC or a Participating Authority information regarding services provided and rates charged by other providers to the framework agreement.

### **13.0 Public relations advice**

13.1 Advise the Authority on the approach to be adopted and the provide advice on how to minimise the impact of any potentially damaging publicity.

13.2 To represent the Authority and/or its member trusts to ensure appropriate and timely handling of media enquiries, and to initiate any further course of action e.g., court proceedings to prohibit/restrict publication of items not in the public interest.

## **Schedule 8 of the Call off Terms and Conditions**

### **PRICING SCHEDULE**

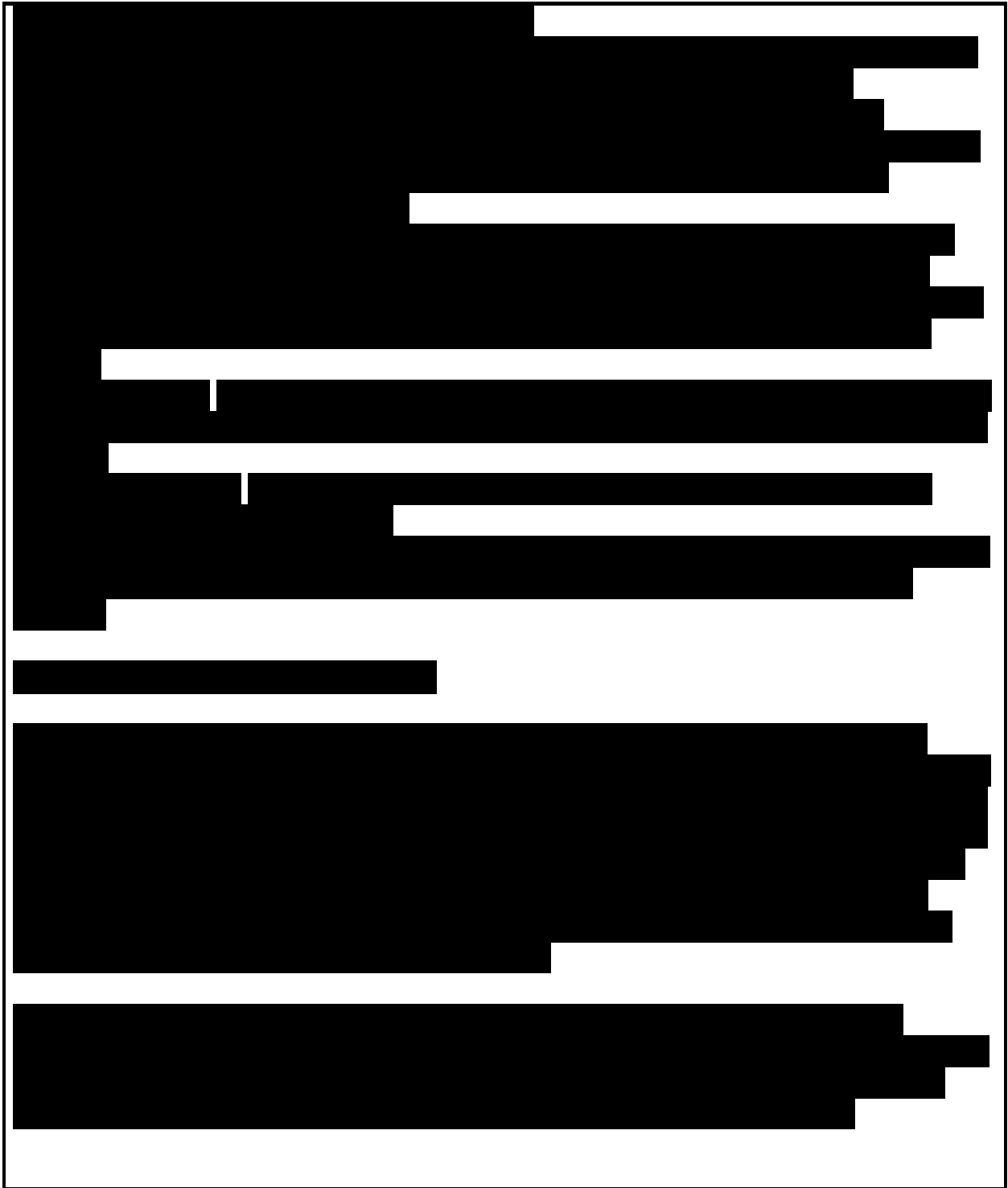




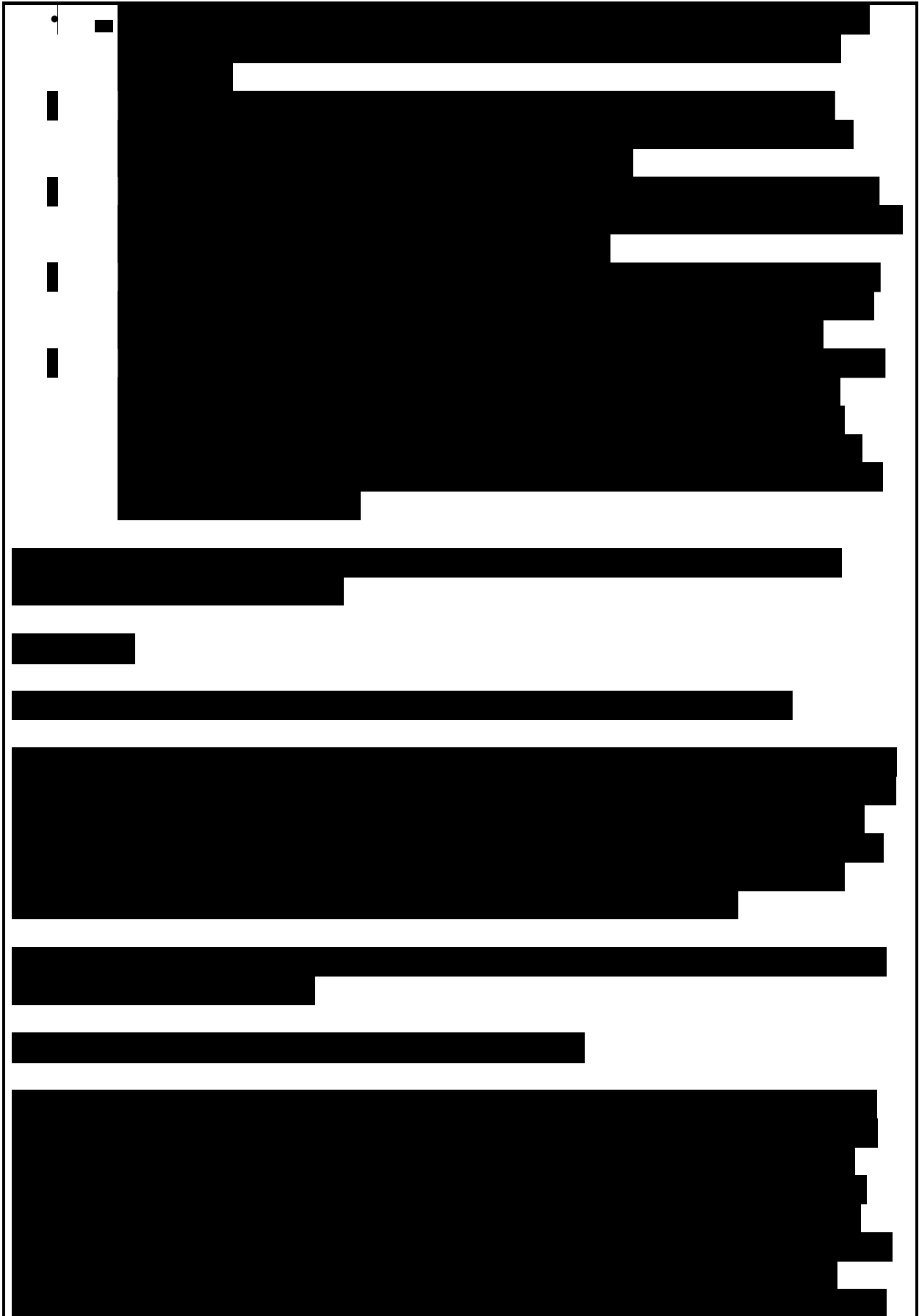
### Schedule 9 of the Call off Terms and Conditions

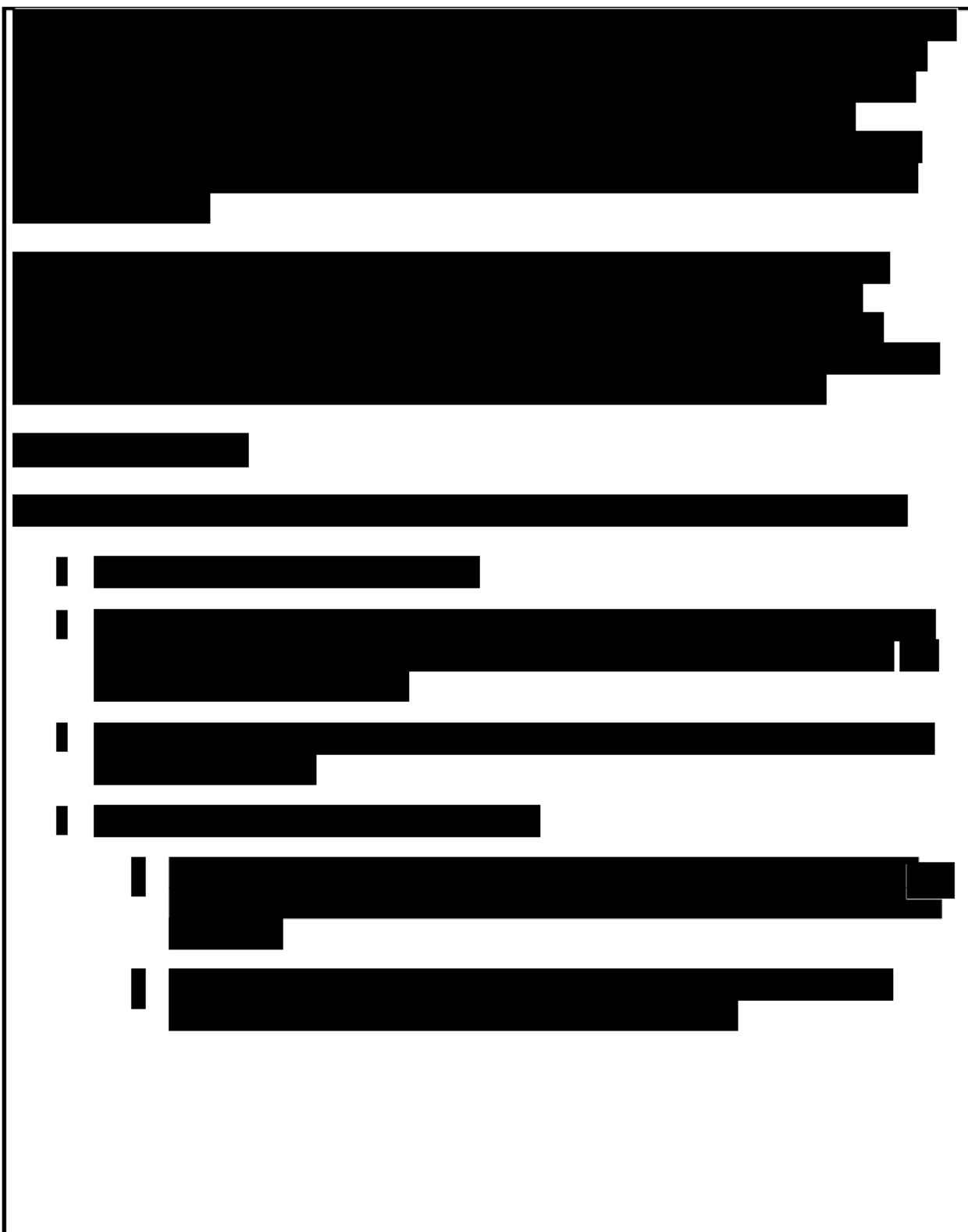
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SUBJECT					
QUESTION					
REQUIRED STANDARD:  YOUR RESPONSE WILL BE ASSESSED AGAINST THE EXTENT TO WHICH IT ANSWERS THE QUESTION, MEETS THE STANDARDS AND REQUIREMENTS SET OUT IN THE CONTRACT AND DEMONSTRATES THE FOLLOWING ASPECTS:					
Tendering Organisations Response					

NHS Framework Agreement for the Provision of Services (January 2018) – Appendix A – Call-off Terms and Conditions for the Provision of Services



QUESTION	Q1B	WEIGHT		WORD LIMIT	
SUBJECT					
QUESTION					
<b>REQUIRED STANDARD:</b>  YOUR RESPONSE WILL BE ASSESSED AGAINST THE EXTENT TO WHICH IT ANSWERS THE QUESTION, MEETS THE STANDARDS AND REQUIREMENTS SET OUT IN THE CONTRACT AND DEMONSTRATES THE FOLLOWING ASPECTS:					
Tendering Organisations Response					
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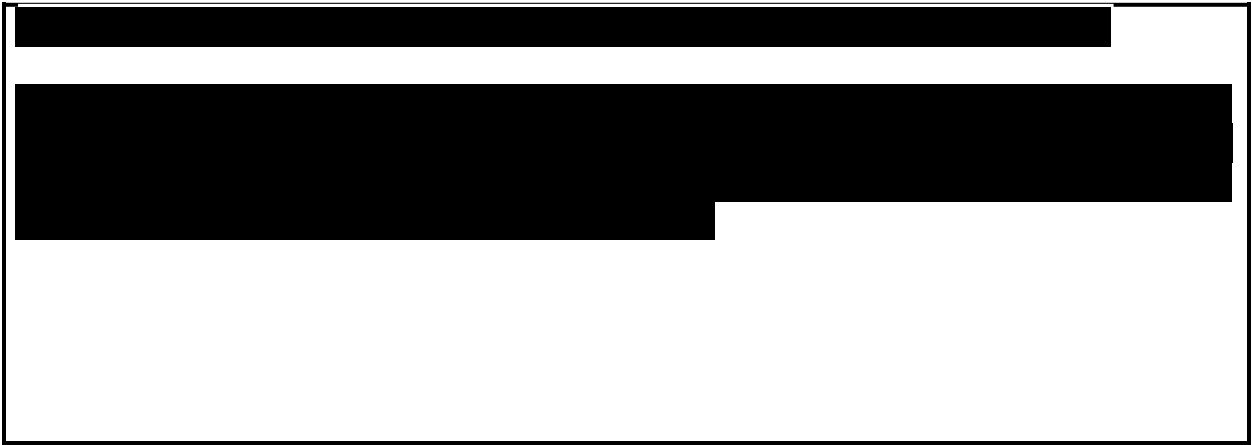
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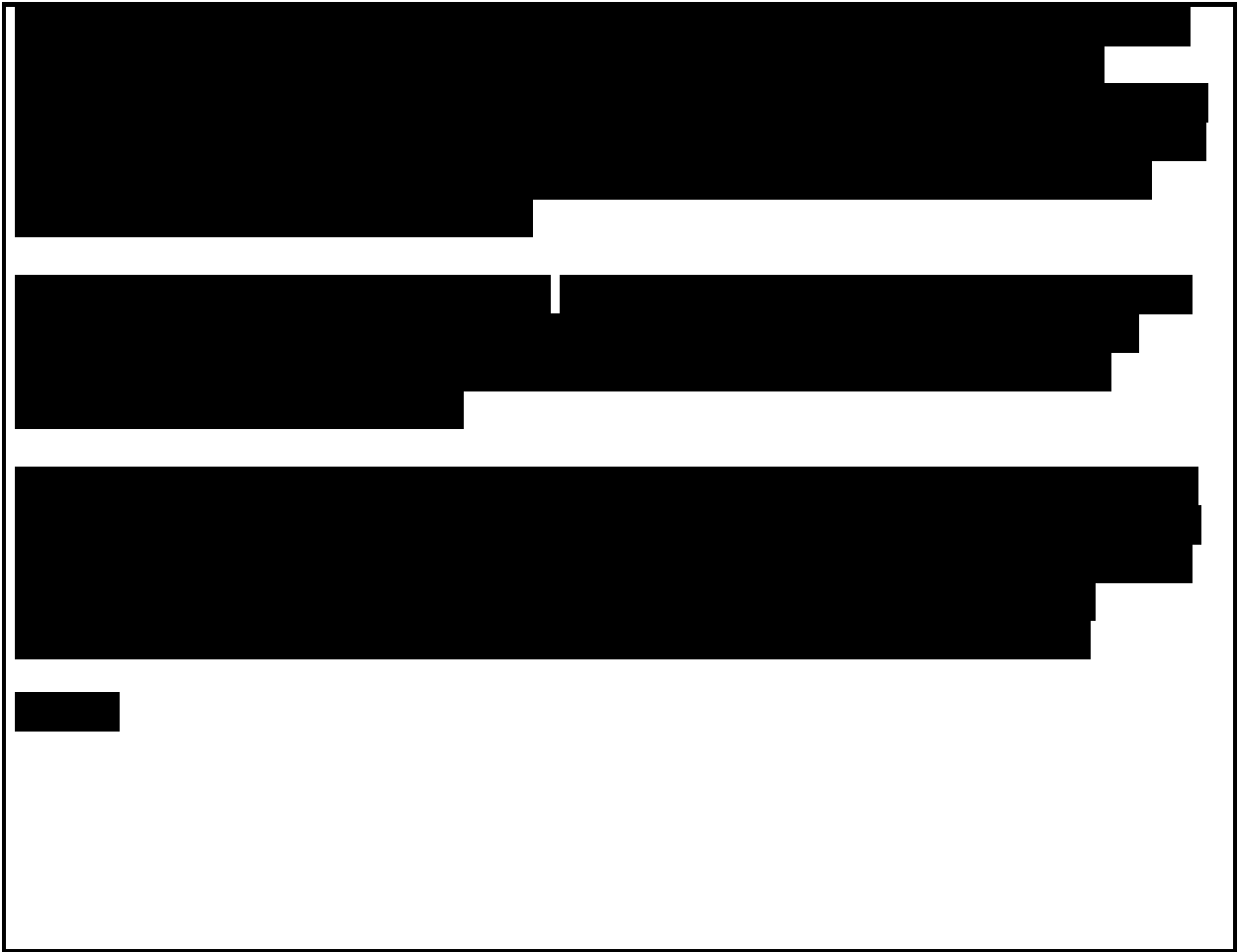
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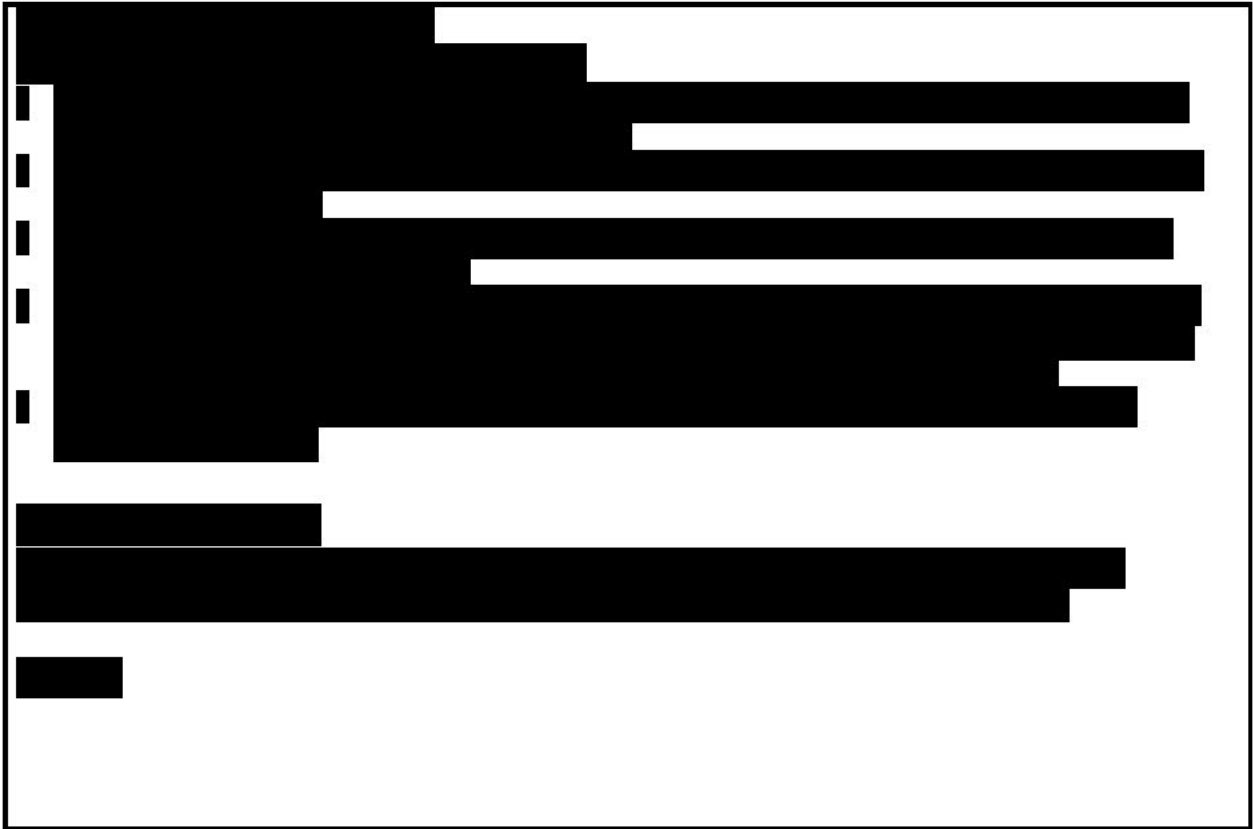
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SUBJECT					
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<b>REQUIRED STANDARD:</b>  YOUR RESPONSE WILL BE ASSESSED AGAINST THE EXTENT TO WHICH IT ANSWERS THE QUESTION, MEETS THE STANDARDS AND REQUIREMENTS SET OUT IN THE CONTRACT AND DEMONSTRATES THE FOLLOWING ASPECTS:					
Tendering Organisations Response					

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QUESTION	2B	WEIGHT		WORD LIMIT	
SECTION					
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EVALUATION CRITERIA					
Tendering Organisations Response					





