

DATED 07 November 2016

CROWN COMMERCIAL SERVICE

and

[SUPPLIER'S NAME]

**FRAMEWORK AGREEMENT
FOR THE PROVISION OF
PEPPOL ACCESS POINT SERVICES**

RM3784

Note: As all the awarded Framework Agreements have been redacted in the same way, we have provided a representative sample that accurately reflects the redacted version produced for each successful Supplier. Redactions made on the basis of FOIA exemption S43 (Commercial Interest).

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

© Crown copyright 2016

Contents

A.	PRELIMINARIES	6
1.	DEFINITIONS AND INTERPRETATION	6
2.	DUE DILIGENCE	7
3.	PROVIDER'S APPOINTMENT.....	8
4.	SCOPE OF FRAMEWORK AGREEMENT	8
5.	CALL OFF PROCEDURE	9
6.	ASSISTANCE IN RELATED PROCUREMENTS	9
7.	REPRESENTATIONS AND WARRANTIES	9
8.	GUARANTEE.....	12
9.	CYBER ESSENTIALS SCHEME CONDITION.....	12
B.	DURATION OF FRAMEWORK AGREEMENT	13
10.	FRAMEWORK PERIOD	13
C.	FRAMEWORK AGREEMENT PERFORMANCE	13
11.	FRAMEWORK AGREEMENT PERFORMANCE	13
12.	KEY PERFORMANCE INDICATORS	14
13.	STANDARDS	14
14.	NOT USED	14
15.	CONTINUOUS IMPROVEMENT	15
16.	CALL OFF PERFORMANCE UNDER FRAMEWORK AGREEMENT	15
D.	FRAMEWORK AGREEMENT GOVERNANCE	15
17.	FRAMEWORK AGREEMENT MANAGEMENT	15
18.	RECORDS, AUDIT ACCESS AND OPEN BOOK DATA	15
19.	CHANGE	18
E.	MANAGEMENT CHARGE, TAXATION AND VALUE FOR MONEY PROVISIONS	20
20.	MANAGEMENT CHARGE	20
21.	PROMOTING TAX COMPLIANCE	21
22.	BENCHMARKING	21
23.	NOT USED	21
24.	NOT USED	21
25.	SUPPLY CHAIN RIGHTS AND PROTECTION.....	21
F.	INTELLECTUAL PROPERTY AND INFORMATION	26
26.	INTELLECTUAL PROPERTY RIGHTS	26
27.	PROVISION AND PROTECTION OF INFORMATION	28
28.	PUBLICITY AND BRANDING	35
29.	MARKETING.....	36
G.	LIABILITY AND INSURANCE	37
30.	LIABILITY	37

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

31.	INSURANCE	38
H.	REMEDIES.....	39
32.	AUTHORITY REMEDIES	39
I.	TERMINATION AND SUSPENSION	40
33.	AUTHORITY TERMINATION RIGHTS	40
34.	SUSPENSION OF PROVIDER'S APPOINTMENT.....	44
35.	CONSEQUENCES OF EXPIRY OR TERMINATION	44
J.	MISCELLANEOUS AND GOVERNING LAW	45
36.	COMPLIANCE	46
37.	ASSIGNMENT AND NOVATION	47
38.	WAIVER AND CUMULATIVE REMEDIES	47
39.	RELATIONSHIP OF THE PARTIES	48
40.	PREVENTION OF FRAUD AND BRIBERY	48
41.	CONFLICTS OF INTEREST	49
42.	SEVERANCE	50
43.	FURTHER ASSURANCES.....	50
44.	ENTIRE AGREEMENT	51
45.	THIRD PARTY RIGHTS	51
46.	NOTICES.....	52
47.	COMPLAINTS HANDLING	54
48.	DISPUTE RESOLUTION	54
49.	GOVERNING LAW AND JURISDICTION	54
	FRAMEWORK SCHEDULE 1: DEFINITIONS	56
	FRAMEWORK SCHEDULE 2: SERVICES AND KEY PERFORMANCE INDICATORS.....	75
	ANNEX 1 – PEPPOL TRANSPORT INFRASTRUCTURE AGREEMENT	81
	5. PEPPOL Services.....	83
	FRAMEWORK SCHEDULE 3: FRAMEWORK PRICES AND CHARGING STRUCTURE .	85
	ANNEX 2: RATES AND PRICES	89
	ANNEX 3: FRAMEWORK PRICES	90
	FRAMEWORK SCHEDULE 4: TEMPLATE ORDER FORM AND TEMPLATE CALL OFF TERMS.....	91
	ANNEX 2: TEMPLATE CALL OFF TERMS	92
	FRAMEWORK SCHEDULE 5: CALL OFF PROCEDURE	93
	FRAMEWORK SCHEDULE 6: AWARD CRITERIA	99
	Part A: Direct Award	100
	FRAMEWORK SCHEDULE 8: FRAMEWORK MANAGEMENT	103
	FRAMEWORK SCHEDULE 9: MANAGEMENT INFORMATION.....	107
	ANNEX 1: MI REPORTING TEMPLATE	111
	FRAMEWORK SCHEDULE 10: ANNUAL SELF AUDIT CERTIFICATE.....	112
	FRAMEWORK SCHEDULE 11: MARKETING	114

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

FRAMEWORK SCHEDULE 12: CONTINUOUS IMPROVEMENT AND BENCHMARKING	115
FRAMEWORK SCHEDULE 13: GUARANTEE	116
FRAMEWORK SCHEDULE 14: INSURANCE REQUIREMENTS	127
ANNEX 1: REQUIRED INSURANCES.....	130
Part A: Third Party Public & Products Liability Insurance	130
Part B: Professional Indemnity Insurance	132
Part C: United Kingdom Compulsory Insurances.....	133
FRAMEWORK SCHEDULE 16: NOT USED	134
FRAMEWORK SCHEDULE 17: COMMERCIALLY SENSITIVE INFORMATION	135
FRAMEWORK SCHEDULE 18: DISPUTE RESOLUTION PROCEDURE	135
FRAMEWORK SCHEDULE 19: VARIATION FORM	142
FRAMEWORK SCHEDULE 20: CONDUCT OF CLAIMS.....	143
FRAMEWORK SCHEDULE 21: TENDER	145
FRAMEWORK SCHEDULE 22: TRANSPARENCY REPORTS	146
ANNEX 1: LIST OF TRANSPARENCY REPORTS	147

This Agreement is made on **07 November 2016**

BETWEEN:

- (1) the Minister for the Cabinet Office ("**Cabinet Office**") as represented by Crown Commercial Service, a trading fund of the Cabinet Office, whose offices are located at 9th Floor, The Capital, Old Hall Street, Liverpool L3 9PP (the "**Authority**");
- (2) **[Insert COMPANY'S NAME]** which is a company registered in **[England and Wales]** under company number **[insert company no.]** and whose registered office is at **[insert address]** (the "**Provider**").

RECITALS:

- A. The Authority placed a contract notice **2016/S 007-008251** on **22/07/2016** (the "**OJEU Notice**") in the Official Journal of the European Union seeking tenders from providers of **PEPPOL Access Point Services** interested in entering into a framework arrangement for the supply of such Services to Contracting Authorities.
- B. NOT USED
- C. On the 22/07/2016 Authority issued an invitation to tender (the "**Invitation to Tender**") for the provision of **Services**
- D. In response to the Invitation to Tender, the Provider submitted a tender to the Authority on **22 August 2016** (set out in Framework Schedule 21 (Tender)) (the "**Tender**") through which it represented to the Authority that it is capable of delivering the Services in accordance with the Authority's requirements as set out in the Invitation to Tender and, in particular, the Provider made representations to the Authority in the Tender in relation to its competence, professionalism and ability to provide the Services in an efficient and cost effective manner.
- E. On the basis of the Tender, the Authority selected the Provider to enter into a framework agreement to provide the Services to Contracting Authorities from time to time on a call off basis in accordance with this Framework Agreement.
- F. This Framework Agreement sets out the award and calling-off ordering procedure for purchasing the Services which may be required by Contracting Authorities, the template terms and conditions for any Call Off Agreement which Contracting Authorities may enter into and the obligations of the Provider during and after the Framework Period.
- G. It is the Parties' intention that there will be no obligation for any Contracting Authority to award any Call Off Agreements under this Framework Agreement during the Framework Period.

A. PRELIMINARIES

1. DEFINITIONS AND INTERPRETATION

1.1. Definitions

- 1.1.1. In this Framework Agreement, unless the context otherwise requires, capitalised expressions shall have the meanings set out in Framework Schedule 1 (Definitions) or the relevant Framework Schedule in which that capitalised expression appears.
- 1.1.2. If a capitalised expression does not have an interpretation in Framework Schedule 1 (Definitions) or the relevant Framework Schedule, it shall have the meaning given to it in this Framework Agreement. If no meaning is given to it in this Framework Agreement, it shall in the first instance be interpreted in accordance with the common interpretation within the relevant market sector/industry where appropriate. Otherwise, it shall be interpreted in accordance with the dictionary meaning.

1.2. Interpretation

- 1.2.1. In this Framework Agreement, unless the context otherwise requires:
 - A. the singular includes the plural and vice versa;
 - B. reference to a gender includes the other gender and the neuter;
 - C. references to a person include an individual, company, body corporate, corporation, unincorporated association, firm, partnership or other legal entity or Crown Body;
 - D. a reference to any Law includes a reference to that Law as amended, extended, consolidated or re-enacted from time to time;
 - E. the words “**including**”, “**other**”, “**in particular**”, “**for example**” and similar words shall not limit the generality of the preceding words and shall be construed as if they were immediately followed by the words “**without limitation**”;
 - F. references to “**writing**” include typing, printing, lithography, photography, display on a screen, electronic and facsimile transmission and other modes of representing or reproducing words in a visible form and expressions referring to writing shall be construed accordingly;
 - G. references to “**representations**” shall be construed as references to present facts; to “**warranties**” as references to present and future facts; and to “**undertakings**” as references to obligations under this Framework Agreement;

- H. references to “**Clauses**” and “**Framework Schedules**” are, unless otherwise provided, references to the clauses and schedules of this Framework Agreement and references in any Framework Schedule to paragraphs, parts, annexes and tables are, unless otherwise provided, references to the paragraphs, parts, annexes and tables of the Framework Schedule or the part of the Framework Schedule in which the references appear;
 - I. any reference to this Framework Agreement includes Framework Schedule 1 (Definitions) and the Framework Schedules; and
 - J. the headings in this Framework Agreement are for ease of reference only and shall not affect the interpretation or construction of this Framework Agreement.
- 1.2.2. Subject to Clauses 1.2.3 and 1.2.4, in the event and to the extent only of a conflict between any of the provisions of this Framework Agreement, the conflict shall be resolved, in accordance with the following descending order of precedence:
- (a) the Clauses and Framework Schedule 1 (Definitions);
 - (b) Framework Schedules 1 to 20 inclusive and Schedule 22 (Transparency Reports);
 - (c) Framework Schedule 21 (Tender).
- 1.2.3. If there is any conflict between the provisions of this Framework Agreement and provisions of any Call Off Agreement, the provisions of this Framework Agreement shall prevail over those of the Call Off Agreement save that:
- (a) any refinement to the Template Order Form and Template Call Off Terms permitted for the purposes of a Call Off Agreement under Clause 4 and Framework Schedule 5 (Call Off Procedure) shall prevail over Framework Schedule 4 (Template Order Form and Template Call –Off Terms); and
 - (b) subject to Clause 1.2.4, the Call Off Agreement shall prevail over Framework Schedule 21 (Tender).
- 1.2.4. Where Framework Schedule 21 (Tender) contains provisions which are more favourable to the Authority in relation to the rest of the Framework Agreement, such provisions of the Tender shall prevail. The Authority shall in its absolute and sole discretion determine whether any provision in the Tender is more favourable to it in relation to this Framework Agreement.

2. DUE DILIGENCE

2.1. The Provider acknowledges that:

- 2.1.1. the Authority has delivered or made available to the Provider all of the information and documents that the Provider considers necessary or relevant for the performance or its obligations under this Framework Agreement;

- 2.1.2. it has made its own enquiries to satisfy itself as to the accuracy of the Due Diligence Information;
- 2.1.3. it has satisfied itself (whether by inspection or having raised all relevant due diligence questions with the Authority before the Framework Commencement Date) of all relevant details, has undertaken all necessary due diligence and entered into this Framework Agreement in reliance on its own due diligence alone.
- 2.1.4. it shall not be excused from the performance of any of its obligations under this Framework Agreement on the grounds of, nor shall the Provider be entitled to recover any additional costs or charges, arising as a result of any:
 - (a) misrepresentation of the requirements of the Provider in the Invitation to Tender or elsewhere;
 - (b) failure by the Provider to satisfy itself as to the accuracy and/or adequacy of the Due Diligence Information; and/or
 - (c) failure by the Provider to undertake its own due diligence.

3. PROVIDER'S APPOINTMENT

- 3.1. The Authority hereby appoints the Provider as a potential provider of the Services and the Provider shall be eligible to be considered for the award of Call Off Agreements by the Authority and Other Contracting Authorities during the Framework Period.
- 3.2. In consideration of the Provider agreeing to enter into this Framework Agreement and to perform its obligations under it the Authority agrees to pay and the Provider agrees to accept on the signing of this Framework Agreement the sum of one pound (£1.00) sterling (receipt of which is hereby acknowledged by the Provider).

4. SCOPE OF FRAMEWORK AGREEMENT

- 4.1. Without prejudice to Clause 45 (Third Party Rights), this Framework Agreement governs the relationship between the Authority and the Provider in respect of the provision of the Services by the Provider.
- 4.2. The Provider acknowledges and agrees that:
 - 4.2.1. there is no obligation whatsoever on the Authority or on any Other Contracting Authority to invite or select the Provider to provide any Services and/or to purchase any Services under this Framework Agreement and
 - 4.2.2. in entering into this Framework Agreement no form of exclusivity has been conferred on the Provider nor volume or value guarantee granted by the Authority and/or Other Contracting Authorities in relation to the provision of the Services by the Provider and that the Authority and Other Contracting

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

Authorities are at all times entitled to enter into other contracts and agreements with other Providers for the provision of any or all services which are the same as or similar to the Services.

- 4.3. In the event that any Other Contracting Authority makes an approach to the Provider with a request for the supply of Equivalent Services, the Provider shall promptly and in any event within five (5) Working Days of the request by the Other Contracting Authority, and before any supply of Equivalent Services is made, inform such Other Contracting Authority of the existence of this Framework and the Other Contracting Authority's ability to award Call Off Agreements for Services pursuant to this Framework Agreement.

5. CALL OFF PROCEDURE

- 5.1. If the Authority or any Other Contracting Authority decides to source any of the Services through this Framework Agreement, then it shall be entitled at any time in its absolute and sole discretion during the Framework Period to award Call Off Agreements for the Services from the Provider by following Framework Schedule 5 (Call Off Procedure).
- 5.2. The Provider shall comply with the relevant provisions in Framework Schedule 5 (Call Off Procedure).

6. ASSISTANCE IN RELATED PROCUREMENTS

- 6.1. Where a Relevant Provider is bidding to provide New Services in circumstances where the Provider or an Affiliate of the Provider is already providing (or due to provide) Legacy Services to a Contracting Authority, the Provider shall promptly provide the relevant Contracting Authority and/or the Relevant Provider with all reasonable information and assistance as may be required from time to time to enable the relevant Contracting Authority and/or the Relevant Provider, as appropriate, to:
- 6.1.1. carry out appropriate due diligence with respect to the provision of the New Services;
 - 6.1.2. effect a smooth transfer and/or inter-operation (as the case may be) between the Legacy Services and the New Services;
 - 6.1.3. carry out a fair Further Competition Procedure for the New Services; and
 - 6.1.4. make a proper assessment as to the risk related to the New Services.
- 6.2. When performing its obligations in Clause 6.1 the Provider shall act consistently, applying principles of equal treatment and non-discrimination, with regard to requests for assistance from and dealings with each Relevant Provider.

7. REPRESENTATIONS AND WARRANTIES

- 7.1. Each Party represents and warrants that:
- 7.1.1. it has full capacity and authority to enter into and to perform this Framework Agreement;

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

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

7.2. The Provider represents and warrants that:

- 7.2.1. it is validly incorporated, organised and subsisting in accordance with the Laws of its place of incorporation;
- 7.2.2. it has obtained and will maintain all licences, authorisations, permits, necessary consents (including, where its procedures so require, the consent of its Parent Company) and regulatory approvals to enter into and perform its obligations under this Framework Agreement;
- 7.2.3. it has not committed or agreed to commit a Prohibited Act and has no knowledge that an agreement has been reached involving the committal by it or any of its Affiliates of a Prohibited Act, save where details of any such arrangement have been disclosed in writing to the Authority before the Framework Commencement Date;
- 7.2.4. its execution, delivery and performance of its obligations under this Framework Agreement does not and will not constitute a breach of any Law or obligation applicable to it and does not and will not cause or result in a breach of any agreement by which it is bound;
- 7.2.5. as at the Framework Commencement Date, all written statements and representations in any written submissions made by the Provider as part of the procurement process, its Tender, and any other documents submitted remain true and accurate except to the extent that such statements and representations have been superseded or varied by this Framework Agreement;
- 7.2.6. if the Charges payable under this Framework Agreement exceed or are likely to exceed five (5) million pounds, as at the Framework Commencement Date, it has notified the Authority in writing of any Occasions of Tax Non-Compliance or any litigation that it is involved in connection with any Occasions of Tax Non Compliance;
- 7.2.7. it has and shall continue to have all necessary Intellectual Property Rights including in and to any materials made available by the Provider (and/or any

Sub-Contractor) to the Authority which are necessary for the performance of the Provider's obligations under this Framework Agreement;

- 7.2.8. it shall take all steps, in accordance with Good Industry Practice, to prevent the introduction, creation or propagation of any disruptive elements (including any virus, worms and/or Trojans, spyware or other malware) into systems, data, software or the Authority's Confidential Information (held in electronic form) owned by or under the control of, or used by, the Authority and/or Other Contracting Authorities.
 - 7.2.9. it is not subject to any contractual obligation, compliance with which is likely to have a material adverse effect on its ability to perform its obligations under this Framework Agreement;
 - 7.2.10. it is not affected by an Insolvency Event and no proceedings or other steps have been taken and not discharged (nor, to the best of its knowledge, have been or are threatened) for the winding up of the Provider or for its dissolution or for the appointment of a receiver, administrative receiver, liquidator, manager, administrator or similar officer in relation to any of the Provider's assets or revenue;
 - 7.2.11. for the duration of this Framework Agreement and any Call-Off Agreements and for a period of twelve (12) Months after the termination or expiry of this Framework Agreement or, if later, any Call Off Agreements, the Provider shall not employ or offer employment to any staff of the Authority or the staff of any Contracting Authority who has been associated with the procurement and/or provision of the Services without Approval or the prior written consent of the relevant Contracting Authority which shall not be unreasonably withheld; and
 - 7.2.12. in performing its obligations under this Framework Agreement and any Call Off Agreement, the Provider shall not (to the extent possible in the circumstances) discriminate between Contracting Authorities on the basis of their respective sizes.
- 7.3. Each of the representations and warranties set out in Clauses 7.1 and 7.2 shall be construed as a separate representation and warranty and shall not be limited or restricted by reference to, or inference from, the terms of any other representation, warranty or any undertaking in this Framework Agreement.
- 7.4. If at any time a Party becomes aware that a representation or warranty given by it under Clauses 7.1 and 7.2 has been breached, is untrue or is misleading, it shall immediately notify the other Party of the relevant occurrence in sufficient detail to enable the other Party to make an accurate assessment of the situation.
- 7.5. For the avoidance of doubt, the fact that any provision within this Framework Agreement is expressed as a warranty shall not preclude any right of termination the Authority may have in respect of the breach of that provision by the Provider which constitutes a material Default of this Framework Agreement.

7.6. Each time that a Call Off Agreement is entered into, the warranties and representations in Clauses 7.1 and 7.2 shall be deemed to be repeated by the Provider with reference to the circumstances existing at the time.

8. GUARANTEE

8.1. Where the Authority has notified the Provider that **[the award of this Framework Agreement is conditional upon receipt of] [prior to the execution of the first Call Off Agreement the Provider shall provide]** a valid Framework Guarantee, then on or prior to the execution of the **[Framework Agreement] [the first Call Off Agreement]**, as a condition for the award of this Framework Agreement, the Provider must have delivered to the Authority:

- 8.1.1. an executed Framework Guarantee from a Framework Guarantor; and
- 8.1.2. a certified copy extract of the board minutes and/or resolution of the Framework Guarantor approving the execution of the Framework Guarantee.

8.2. Where a Contracting Authority has notified the Provider that the award of a Call Off Agreement by that Contracting Authority shall be conditional upon receipt of a valid Call Off Guarantee, then, on or prior to the execution of that Call Off Agreement, as a condition for the award of this Framework Agreement, the Provider shall deliver to the Contracting Authority:

- 8.2.1. an executed Call Off Guarantee from a Call Off Guarantor; and
- 8.2.2. a certified copy extract of the board minutes and/or resolution of the Call Off Guarantor approving the execution of the Call Off Guarantee.

9. CYBER ESSENTIALS SCHEME CONDITION

9.1. Where the Authority has notified the Provider that the award of this Framework Agreement is conditional upon receipt of prior to the execution of the first Call Off Agreement the Provider shall provide a valid Cyber Essentials Scheme Basic Certificate, then on or prior to the execution of the first Call Off Agreement, as a condition for the award of this Framework Agreement, the Provider must have delivered to the Authority evidence of the same.

9.2. Where the Provider continues to Process Cyber Essentials Scheme Data during the Framework Period or the contract period of any Call Off Agreement the Provider shall deliver to the Authority evidence of renewal of a valid Cyber Essentials Scheme Basic Certificate on each anniversary of the first applicable certificate obtained by the Provider under Clause 9.1.

9.3. Where the Provider is due to Process Cyber Essentials Scheme Data after the commencement date of the first Call Off Agreement but before the end of the Framework Period or contract period of the last Call Off Agreement, the Provider shall deliver to the Authority evidence of:

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

- 9.3.1. a valid Cyber Essentials Scheme Basic Certificate (before the Provider Processes any such Cyber Essentials Scheme Data); and
 - 9.3.2. renewal of a valid Cyber Essentials Scheme Basic Certificate on each anniversary of the first Cyber Essentials Scheme certificate obtained by the Provider under Clause 9.3.1.
- 9.4. In the event that the Provider fails to comply with Clauses 9.2 or 9.3 (as applicable), the Authority reserves the right to terminate this Framework Agreement for material Default.

B. DURATION OF FRAMEWORK AGREEMENT

10. FRAMEWORK PERIOD

- 10.1. This Framework Agreement shall take effect on the Framework Commencement Date and shall expire, unless it is terminated earlier in accordance with the terms of this Framework Agreement or otherwise by operation of Law, either
- 10.1.1. at the end of the Initial Framework Period; or
 - 10.1.2. where the Authority elects to extend the Initial Framework Period in accordance with Clause 10.2 below, at the end of the Extension Framework Period.
- 10.2. The Authority may extend the duration of this Framework Agreement for any period or periods up to a maximum of two (2) years extensions each for a period of twelve (12) consecutive months in total from the expiry of the Initial Framework Period by giving the Provider no less than three (3) Months' written notice.

C. FRAMEWORK AGREEMENT PERFORMANCE

11. FRAMEWORK AGREEMENT PERFORMANCE

- 11.1. The Provider shall perform its obligations under this Framework Agreement in accordance with:
- 11.1.1. the requirements of this Framework Agreement, including Framework Schedule 8 (Framework Management);
 - 11.1.2. the terms and conditions of the respective Call Off Agreements;
 - 11.1.3. Good Industry Practice;
 - 11.1.4. all applicable Standards; and
 - 11.1.5. in compliance with all applicable Law.
- 11.2. The Provider shall bring to the attention of the Authority any conflict between any of the requirements of Clause 11.1 and shall comply with the Authority's decision on the resolution of any such conflict.

12. KEY PERFORMANCE INDICATORS

- 12.1. The Provider shall at all times during the Framework Period comply with the Key Performance Indicators and achieve the KPI Targets set out in Part B of Framework Schedule 2 (Services and Key Performance Indicators).

13. STANDARDS

- 13.1. The Provider shall comply with the Standards at all times during the performance by the Provider of the Framework Agreement and any Call Off Agreement, including any Standards set out in Part A of Framework Schedule 2 (Services and Key Performance Indicators).
- 13.2. Throughout the Framework Period, the Parties shall notify each other of any new or emergent standards which could affect the Provider's provision, or the receipt by a Contracting Authority under a Call Off Agreement, of the Services. The adoption of any such new or emergent standard, or changes to existing Standards, shall be agreed in accordance with the Variation Procedure.
- 13.3. Where a new or emergent standard is to be developed or introduced by the Authority, the Provider shall be responsible for ensuring that the potential impact on the Provider's provision, or a Contracting Authority's receipt under a Call Off Agreement, of the Services is explained to the Authority and the Contracting Authority (within a reasonable timeframe), prior to the implementation of the new or emergent Standard.
- 13.4. Where Standards referenced conflict with each other or with best professional or industry practice adopted after the Framework Commencement Date, then the later Standard or best practice shall be adopted by the Provider. Any such alteration to any Standard(s) shall require Approval and shall be implemented within an agreed timescale.
- 13.5. The Provider should note (when designing and delivering Services to the Authority and any Contracting Authority which is a Crown Body) the intention of the Authority to conform to HM Government's ICT Strategy and the set of standards (such as those associated with the adoption of cross government cloud services and the adoption of the Public Services Network (PSN) for network service provision) related to that strategy.
- 13.6. Where a standard, policy or document is referred to in Framework Schedule 2 (Services and Key Performance Indicators) by reference to a hyperlink, then if the hyperlink is changed or no longer provides access to the relevant standard, policy or document, the Provider shall notify the Authority and the Parties shall agree the impact of such change.

14. NOT USED

15. CONTINUOUS IMPROVEMENT

- 15.1. The Provider shall at all times during the Framework Period comply with its obligations to continually improve the Services and the manner in which it provides the Services as set out in Framework Schedule 12 (Continuous Improvement and Benchmarking).

16. CALL OFF PERFORMANCE UNDER FRAMEWORK AGREEMENT

- 16.1. The Provider shall perform all its obligations under all Call Off Agreements:
- 16.1.1. in accordance with the requirements of this Framework Agreement;
 - 16.1.2. in accordance with the terms and conditions of the respective Call Off Agreements.
- 16.2. The Provider shall draw any conflict in the application of any of the requirements of Clauses 16.1 and 16.1.2 to the attention of the Authority and shall comply with the Authority's decision on the resolution of any such conflict.

D. FRAMEWORK AGREEMENT GOVERNANCE

17. FRAMEWORK AGREEMENT MANAGEMENT

- 17.1. The Parties shall manage this Framework Agreement in accordance with Framework Schedule 8 (Framework Management).

18. RECORDS, AUDIT ACCESS AND OPEN BOOK DATA

- 18.1. The Provider shall keep and maintain, until the later of:
- 18.1.1. seven (7) years after the date of termination or expiry of this Framework Agreement; or
 - 18.1.2. seven (7) years after the date of termination or expiry of the last Call-Off Agreement to expire or terminate; or
 - 18.1.3. such other date as may be agreed between the Parties,
- full and accurate records and accounts of the operation of this Framework Agreement, including the Call-Off Agreements entered into with Contracting Authorities, the Services provided pursuant to the Call-Off Agreements, and the amounts paid by each Contracting Authority under the Call-Off Agreements and those supporting tests and evidence that underpin the provision of the annual Self Audit Certificate and supporting Audit Report.
- 18.2. The Provider shall keep the records and accounts referred to in Clause 17.1 in accordance with Good Industry Practice and Law.
- 18.3. The Provider shall provide the Authority with a completed and signed annual Self Audit Certificate in respect of each Contract Year. Each Self Audit Certificate shall be completed and signed by an authorised senior member of the Provider's

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

management team or by the Provider's external auditor and the signatory must be professionally qualified in a relevant audit or financial discipline.

18.4. Each Self Audit Certificate should be based on tests completed against a representative sample of 10% of transactions carried out during the period of being audited or 100 transactions (whichever is less) and should provide assurance that:

18.4.1. Orders are clearly identified as such in the order processing and invoicing systems and, where required, Orders are correctly reported in the MI Reports;

18.4.2. all related invoices are completely and accurately included in the MI Reports;

18.4.3. all Charges to Contracting Authorities comply with any requirements under this Framework Agreement on maximum mark-ups, discounts, charge rates, fixed quotes (as applicable); and

18.4.4. an additional sample of twenty (20) public sector orders identified from the Provider's order processing and invoicing systems as orders not placed under this Framework Agreement have been correctly identified as such and that an appropriate and legitimately tendered procurement route has been used to place those orders, and those orders should not otherwise have been routed via centralised mandated procurement processes executed by the Authority.

18.5. Each Self Audit Certificate should be supported by an Audit Report that provides details of the methodology applied to complete the review, the sampling techniques applied, details of any issues identified and remedial action taken.

18.6. The Provider shall afford any Auditor access to the records and accounts referred to in Clause 18.1 at the Provider's premises and/or provide such records and accounts or copies of the same, as may be required and agreed with any of the Auditors from time to time, in order that the Auditor may carry out an inspection to assess compliance by the Provider and/or its Sub-Contractors of any of the Provider's obligations under this Framework Agreement, including in order to:

18.6.1. verify the accuracy of the Charges and any other amounts payable by a Contracting Authority under a Call Off Agreement (including proposed or actual variations to them in accordance with this Framework Agreement);

18.6.2. verify the costs of the Provider (including the costs of all Sub-Contractors and any third party Providers) in connection with the provision of the Services;

18.6.3. verify the Open Book Data;

18.6.4. verify the Provider's and each Sub-Contractor's compliance with the applicable Law;

18.6.5. identify or investigate actual or suspected Prohibited Acts, impropriety or accounting mistakes or any breach or threatened breach of security and in

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

these circumstances the Authority shall have no obligation to inform the Provider of the purpose or objective of its investigations;

- 18.6.6. identify or investigate any circumstances which may impact upon the financial stability of the Provider [the Framework Guarantor and/or the Call Off Guarantor] and/or any Sub-Contractors or their ability to perform the Services;
 - 18.6.7. obtain such information as is necessary to fulfil the Authority's obligations to supply information for parliamentary, ministerial, judicial or administrative purposes including the supply of information to the Comptroller and Auditor General;
 - 18.6.8. review any books of account and the internal contract management accounts kept by the Provider in connection with this Framework Agreement;
 - 18.6.9. carry out the Authority's internal and statutory audits and to prepare, examine and/or certify the Authority's annual and interim reports and accounts;
 - 18.6.10. enable the National Audit Office to carry out an examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Authority has used its resources;
 - 18.6.11. verify the accuracy and completeness of any Management Information delivered or required by this Framework Agreement;
 - 18.6.12. review any MI Reports and/or other records relating to the Provider's performance of the Services and to verify that these reflect the Provider's own internal reports and records;
 - 18.6.13. review the integrity, confidentiality and security of the Authority Personal Data; and/or
 - 18.6.14. receive from the Provider on request summaries of all central government public sector expenditure placed with the Provider including through routes outside the Framework in order to verify that the Provider's practice is consistent with the Government's transparency agenda which requires all public sector bodies to publish details of expenditure on common services.
- 18.7. The Authority shall use reasonable endeavours to ensure that the conduct of each Audit does not unreasonably disrupt the Provider or delay the provision of the Services pursuant to the Call Off Agreements, save insofar as the Provider accepts and acknowledges that control over the conduct of Audits carried out by the Auditors is outside of the control of the Authority.

18.8. Subject to the Authority's obligations of confidentiality, the Provider shall on demand provide the Auditors with all reasonable co-operation and assistance in relation to each Audit, including by providing:

18.8.1. all information within the scope of the Audit requested by the Auditor;

18.8.2. reasonable access to any sites controlled by the Provider and to equipment used in the provision of the Services; and

18.8.3. access to the Provider Personnel.

18.9. If an Audit reveals that the Provider has underpaid an amount equal to or greater than one per cent (1%) of the Management Charge due in respect of any one Contract Year or year of any Call Off Agreements then, without prejudice to the Authority's other rights under this Framework Agreement, the Provider shall reimburse the Authority its reasonable costs incurred in relation to the Audit.

18.10. If an Audit reveals that:

18.10.1. that the Provider has underpaid an amount equal to or greater than five per cent (5%) of the Management Charge due during any Contract Year of this Framework Agreement and any Call Off Agreement; and/or

18.10.2. a material Default has been committed by the Provider;

18.11. then the Authority shall be entitled to terminate this Framework Agreement.

18.12. The Parties agree that they shall bear their own respective costs and expenses incurred in respect of compliance with their obligations under this Clause, save as specified in Clause 18.9.

19. CHANGE

19.1. Variation Procedure

19.1.1. Subject to the provisions of this Clause 19 and, in respect of any change to the Framework Prices, subject to the provisions of Framework Schedule 3 (Framework Prices and Charging Structure), the Authority may, at its own instance or where in its sole and absolute discretion it decides to having been requested to do so by the Provider, request a variation to this Framework Agreement provided always that such variation does not amount to a material change of this Framework Agreement within the meaning of the Regulations and the Law. Such a change once implemented is hereinafter called a "Variation".

19.1.2. The Authority may request a Variation by completing, signing and sending the Variation Form as set out in Framework Schedule 19 (Variation Form) to the Provider giving sufficient information for the Provider to assess the extent of the proposed Variation and any additional cost that may be incurred.

19.1.3. The Provider shall respond to the Authority's request pursuant to Clause 19.1.2 within the time limits specified in the Variation Form. Such time limits shall be reasonable and ultimately at the discretion of the Authority having regard to the nature of the proposed Variation.

19.1.4. In the event that:

the Provider is unable to agree to or provide the Variation the Authority may:

- i. agree to continue to perform its obligations under this Framework Agreement without the Variation; or
- ii. terminate this Framework Agreement with immediate effect.

19.2. Legislative Change

19.2.1. The Provider shall neither be relieved of its obligations under this Framework Agreement nor be entitled to an increase the Framework Prices as the result of:

(a) a General Change in Law; or

(b) a Specific Change in Law where the effect of that Specific Change in Law on the Services is reasonably foreseeable at the Framework Commencement Date.

19.2.2. If a Specific Change in Law occurs or will occur during the Framework Period (other than as referred to in Clause 19.2.1(b)), the Provider shall: notify the Authority as soon as reasonably practicable of the likely effects of that change including whether any Variation is required to the Services, the Framework Prices or this Framework Agreement; and

(a) provide the Authority with evidence:

- i. that the Provider has minimised any increase in costs or maximised any reduction in costs, including in respect of the costs of its Sub-Contractors;
- ii. as to how the Specific Change in Law has affected the cost of providing the Services; and
- iii. demonstrating that any expenditure that has been avoided, for example which would have been required under the provisions of Framework Schedule 12 (Continuous Improvement and Benchmarking), has been taken into account in amending the Framework Prices.

- 19.2.3. Any change in the Framework Prices or relief from the Provider's obligations resulting from a Specific Change in Law (other than as referred to in Clause 19.2.1 (b)) shall be implemented in accordance with Clause 18.1 (Variation Procedure).

E. MANAGEMENT CHARGE, TAXATION AND VALUE FOR MONEY PROVISIONS

20. MANAGEMENT CHARGE

- 20.1. In consideration of the establishment and award of this Framework Agreement and the management and administration by the Authority of the same, the Provider agrees to pay to the Authority the Management Charge in accordance with this Clause 19.
- 20.2. The Authority shall be entitled to submit invoices to the Provider in respect of the Management Charge due each Month based on the Management Information provided pursuant to Framework Schedule 9 (Management Information), and adjusted:
- 20.2.1. in accordance with paragraphs 5.4 to 5.7 of Framework Schedule 9 (Management Information) to take into account of any Admin Fee(s) that may have accrued in respect of the late provision of Management Information; and
- 20.2.2. in accordance with paragraph 6 of Framework Schedule 9 (Management Information) to take into account of any underpayment or overpayment as a result of the application of the Default Management Charge.
- 20.3. Unless otherwise agreed in writing, the Provider shall pay by BACS (or by such other means as the Authority may from time to time reasonably require)) the amount stated in any invoice submitted under Clause 19.2 to such account as shall be stated in the invoice (or otherwise notified from time to time by the Authority to the Provider) within thirty (30) calendar days of the date of issue of the invoice.
- 20.4. The Management Charge shall apply to the full Charges as specified in each and every Call Off Agreement and shall not be varied as a result of any discount or any reduction in the Charges due to the application of any Service Credits (as defined in Annex 2 of Framework Schedule 4 (Template Order Form and Template Call Off terms) and/or any other deductions made under any Call Off Agreement.
- 20.5. The Provider shall not pass through or recharge to, or otherwise recover from any Contracting Authority the cost of the Management Charge in addition to the Charges. The Management Charge shall be exclusive of VAT. In addition to the Management Charge, the Provider shall pay the VAT on the Management Charge at the rate and in the manner prescribed by Law from time to time.

- 20.6. Interest shall be payable on any late payments of the Management Charge under this Framework Agreement in accordance with the Late Payment of Commercial Debts (Interest) Act 1998.

21. PROMOTING TAX COMPLIANCE

- 21.1. This Clause 21 shall apply if the Charges payable under this Framework Agreement are or are likely to exceed five (5) million pounds during the Framework Period.
- 21.2. If, at any point during the Framework Period, an Occasion of Tax Non-Compliance occurs, the Provider shall:
- 21.2.1. notify the Authority in writing of such fact within five (5) Working Days of its occurrence; and
- 21.2.2. promptly provide to the Authority:
- (a) details of the steps that the Provider is taking to address the Occasion of Tax Non-Compliance, together with any mitigating factors that it considers relevant; and
- (b) such other information in relation to the Occasion of Tax Non-Compliance as the Authority may reasonably require.
- 21.3. In the event that the Provider fails to comply with this Clause 21 and/or does not provide details of proposed mitigating factors which in the reasonable opinion of the Authority are acceptable, then the Authority reserves the right to terminate this Framework Agreement for material Default.

22. BENCHMARKING

- 22.1. The Parties shall comply with the provisions of Framework Schedule 12 (Continuous Improvement and Benchmarking) in relation to the benchmarking of any or all of the Services.

23. NOT USED

24. NOT USED

25. SUPPLY CHAIN RIGHTS AND PROTECTION

- 25.1. **Appointment of Key Sub-Contractors**
- 25.1.1. The Authority has consented to the engagement of the Key Sub-Contractors listed in Framework Schedule 7 (Key Sub-Contractors).
- 25.1.2. Where during the Framework Period the Provider wishes to enter into a new Key Sub-Contract or replace a Key Sub-Contractor, it must obtain the prior written consent of the Authority and the Contracting Authority with whom it has entered into a Call Off Agreement and shall

at the time of requesting such consent, provide the Authority with the information detailed in Clause 25.1.3. The decision of the Authority to consent or not will not be unreasonably withheld or delayed. The Authority and/or the Contracting Authority may reasonably withhold their consent to the appointment of a Key Sub-Contractor if either of them considers that:

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

25.1.3. The Provider shall provide the Authority and the Contracting Authority with whom the Provider has entered into a Call Off Agreement with the following information in respect of the proposed Key Sub-Contractor:

- (a) the proposed Key Sub-Contractor's name, registered office and company registration number;
- (b) the scope/description of any Services to be provided by the proposed Key Sub-Contractor;
- (c) where the proposed Key Sub-Contractor is an Affiliate of the Provider, evidence that demonstrates to the reasonable satisfaction of the Authority that the proposed Key Sub-Contract has been agreed on "arm's-length" terms;
- (d) Key Sub-Contract price expressed as a percentage of the total projected Framework Price over the Framework Period; and
- (e) Credit Rating Threshold (as defined in Framework Schedule 16 (Financial Distress)) of the Key Sub-Contractor.

25.1.4. If requested by the Authority and/or the Contracting Authority with whom the Provider has entered into a Call Off Agreement, within ten (10) Working Days of receipt of the information provided by the Provider pursuant to Clause 25.1.3, the Provider shall also provide:

- (a) a copy of the proposed Key Sub-Contract; and
- (b) any further information reasonably requested by the Authority and/or the Contracting Authority with whom the Provider has entered into a Call Off Agreement.

25.1.5. The Provider shall ensure that each new or replacement Key Sub-Contract shall include:

- (a) provisions which will enable the Provider to discharge its obligations under this Framework Agreement;
- (b) a right under CRTPA for the Authority to enforce any provisions under the Key Sub-Contract which confer a benefit upon the Authority;
- (c) a provision enabling the Authority to enforce the Key Sub-Contract as if it were the Provider;
- (d) a provision enabling the Provider to assign, novate or otherwise transfer any of its rights and/or obligations under the Key Sub-Contract to the Authority;
- (e) obligations no less onerous on the Key Sub-Contractor than those imposed on the Provider under this Framework Agreement in respect of
 - i. the data protection requirements set out in Clause 27.5 (Protection of Personal Data);
 - ii. the FOIA requirements set out in Clause 27.4 (Freedom of Information);
 - iii. the obligation not to embarrass the Authority or otherwise bring the Authority into disrepute set out in Clause 28 (Publicity and Branding);
 - iv. the keeping of records in respect of the services being provided under the Key Sub-Contract, including the maintenance of Open Book Data; and
 - v. the conduct of audits set out in Clause 18 (Records, Audit Access and Open Book Data);
- (f) provisions enabling the Provider to terminate the Key Sub-Contract on notice on terms no more onerous on the Provider than those imposed on the Authority under Clauses 33 (Authority Termination Rights) and 35 (Consequences of Expiry or Termination) of this Framework Agreement;
- (g) a provision restricting the ability of the Key Sub-Contractor to Sub-Contract all or any part of the provision of the Services provided to the Provider under the Key Sub-Contract without first seeking the written consent of the Authority;

25.2. Supply Chain Protection

- 25.2.1. The Provider shall ensure that all Sub-Contracts contain a provision:
- (a) requiring the Provider to pay any undisputed sums which are due from the Provider to the Sub-Contractor within a specified period not exceeding thirty (30) days from the receipt of a valid invoice;
 - (b) requiring that any invoices submitted by a Sub-Contractor shall be considered and verified by the Provider in a timely fashion and that undue delay in doing so shall not be sufficient justification for failing to regard an invoice as valid and undisputed;
 - (c) requiring the Sub-Contractor to include in any Sub-Contract which it in turn awards suitable provisions to impose, as between the parties to that Sub-Contract, requirements to the same effect as those required by sub-clauses (a) and (b) above; and
 - (d) conferring a right to the Authority and any Contracting Authority with whom the Provider has entered a Call Off Agreement to publish the Provider's compliance with its obligation to pay undisputed invoices within the specified payment period.
- 25.2.2. The Provider shall ensure that all Sub-Contracts with Sub-Contractors who Process Cyber Essentials Data contain provisions no less onerous on the Sub-Contractors than those imposed on the Provider under this Framework Agreement in respect of the Cyber Essentials Scheme under Clause 9.
- 25.2.3. The Provider shall pay any undisputed sums which are due from the Provider to a Sub-Contractor within thirty (30) days from the receipt of a valid invoice.
- 25.2.4. Any invoices submitted by a Sub-Contractor to the Provider shall be considered and verified by the Provider in a timely fashion. Undue delay in doing so shall not be sufficient justification for the Provider failing to regard an invoice as valid and undisputed.
- 25.2.5. Notwithstanding any provision of Clauses 27.2 (Confidentiality) and 28 (Publicity and Branding) if the Provider notifies the Authority that the Provider has failed to pay an undisputed Sub-Contractor's invoice within thirty (30) days of receipt, or the Authority otherwise discovers the same, the Authority shall be entitled to publish the details of the late payment or non-payment (including on government websites and in the press).

25.3. Termination of Sub-Contracts

25.3.1. The Authority may require the Provider to terminate:

(a) a Sub-Contract where:

- i. the acts or omissions of the relevant Sub-Contractor have caused or materially contributed to the Authority's right of termination pursuant to any of the termination events in Clause 33 (Authority Termination Rights) except Clause 33.7 (Termination Without Cause); and/or
- ii. the relevant Sub-Contractor or its Affiliates embarrassed the Authority or otherwise brought the Authority into disrepute by engaging in any act or omission which is reasonably likely to diminish the trust that the public places in the Authority, regardless of whether or not such act or omission is related to the Sub-Contractor's obligations in relation to the Services or otherwise; and/or

(b) a Key Sub-Contract where there is a Change of Control of the relevant Key Sub-contractor, unless:

- i. the Authority has given its prior written consent to the particular Change of Control, which subsequently takes place as proposed; or
- ii. the Authority has not served its notice of objection within six (6) months of the later of the date the Change of Control took place or the date on which the Authority was given notice of the Change of Control.

25.3.2. Where the Authority requires the Provider to terminate a Sub-Contract or a Key Sub-Contract pursuant to Clause 25.1.3 above, the Provider shall remain responsible for fulfilling all its obligations under this Framework Agreement including the provision of the Services.

25.4. Competitive Terms

25.4.1. If the Authority is able to obtain from any Sub-Contractor or any other third party more favourable commercial terms with respect to the supply of any materials, equipment, software, or services used by the Provider or the Provider Personnel in the supply of the Services, then the Authority may:

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

- (b) subject to Clause 25.3 (Termination of Sub-Contracts), enter into a direct agreement with that Sub-Contractor or third party in respect of the relevant item.

25.4.2. If the Authority exercises either option pursuant to Clause 25.4.1, then the Framework Prices shall be reduced by an amount that is agreed in accordance with Clause 19.1 (Variation Procedure).

25.4.3. The Authority's right to enter into a direct agreement for the supply of the relevant items is subject to:

- (a) the Authority shall make the relevant item available to the Provider where this is necessary for the Provider to provide the Services; and
- (b) any reduction in the Framework Prices taking into account any unavoidable costs payable by the Provider in respect of the substituted item, including in respect of any licence fees or early termination charges.

25.5. Retention of Legal Obligations

25.5.1. Notwithstanding the Provider's right to sub-contract pursuant to this Clause 25.5, the Provider shall remain responsible for all acts and omissions of its Sub-Contractors and the acts and omissions of those employed or engaged by the Sub-Contractors as if they were its own.

F. INTELLECTUAL PROPERTY AND INFORMATION

26. INTELLECTUAL PROPERTY RIGHTS

26.1. Allocation of title to IPR

- 26.1.1. Save as granted under this Framework Agreement, neither Party shall acquire any right, title or interest in or to the Intellectual Property Rights of the other Party.
- 26.1.2. Where either Party acquires, by operation of Law, title to Intellectual Property Rights that is inconsistent with the allocation of title set out in Clause 26.1.1, it shall assign in writing such Intellectual Property Rights as it has acquired to the other Party on the request of the other Party (whenever made).
- 26.1.3. Subject to Clauses 26.1.4, neither Party shall have any right to use any of the other Party's names, logos or trademarks on any of its products or services without the other Party's prior written consent.
- 26.1.4. Subject to full compliance with any branding guidance published by the Authority, the Provider shall be entitled to use the Authority's logo exclusively in connection with the provision of the Services during the Framework Period and for no other purpose.

26.2. IPR Indemnity

- 26.2.1. The Provider shall ensure and procure that the availability, provision and use of the Services and the performance of the Provider's responsibilities and obligations hereunder shall not infringe any Intellectual Property Rights of any third party.
- 26.2.2. The Provider shall, during and after the Framework Period, on written demand, indemnify the Authority against all Losses incurred by, awarded against, or agreed to be paid by the Authority (whether before or after the making of the demand pursuant to the indemnity hereunder) arising from an IPR Claim.
- 26.2.3. If an IPR Claim is made, or the Provider anticipates that an IPR Claim might be made, the Provider may, at its own expense and sole option, either:
- (a) procure for the Authority the right to continue using the relevant item which is subject to the IPR Claim; or
 - (b) replace or modify the relevant item with non-infringing substitutes provided that:
 - i. the performance and functionality of the replaced or modified item is at least equivalent to the performance and functionality of the original item;
 - ii. the replaced or modified item does not have an adverse effect on any other Services;
 - iii. there is no additional cost to the Authority; and
 - iv. the terms and conditions of this Framework Agreement shall apply to the replaced or modified Services.
- 26.2.4. If the Provider elects to procure a licence in accordance with Clause 26.2.3 (a) or to modify or replace an item pursuant to Clause 26.2.3 but this has not avoided or resolved the IPR Claim, then:
- (a) the Authority may terminate this Framework Agreement by written notice with immediate effect; and
 - (b) without prejudice to the indemnity set out in Clause 26.2.2, the Provider shall be liable for all reasonable and unavoidable costs of the substitute items and/or services including the additional costs of procuring, implementing and maintaining the substitute items.

27. PROVISION AND PROTECTION OF INFORMATION

27.1. Provision of Management Information

- 27.1.1. The Provider shall, at no charge to the Authority, submit to the Authority complete and accurate Management Information in accordance with the provisions of Framework Schedule 9 (Management Information).
- 27.1.2. The Provider grants the Authority a non-exclusive, transferable, perpetual, irrevocable, royalty free licence to:
 - (a) use and to share with any Other Contracting Authority and Relevant Person; and/or
 - (b) publish (subject to any information that is exempt from disclosure in accordance with the provisions of FOIA being redacted),

any Management Information supplied to the Authority for the Authority's normal operational activities including but not limited to administering this Framework Agreement and/or all Call Off Agreements, monitoring public sector expenditure, identifying savings or potential savings and planning future procurement activity.
- 27.1.3. The Authority shall in its absolute and sole discretion determine whether any Management Information is exempt from disclosure in accordance with the provisions of the FOIA.
- 27.1.4. The Authority may consult with the Provider to help with its decision regarding any exemptions under Clause 27.1.3 but, for the purpose of this Framework Agreement, the Authority shall have the final decision in its absolute and sole discretion.

27.2. Confidentiality

- 27.2.1. For the purposes of this Clause 27.2, the term "Disclosing Party" shall mean a Party which discloses or makes available directly or indirectly its Confidential Information and "Recipient" shall mean the Party which receives or obtains directly or indirectly Confidential Information.
- 27.2.2. Except to the extent set out in this Clause 27.2 or where disclosure is expressly permitted elsewhere in this Framework Agreement, the Recipient shall:
 - (a) treat the Disclosing Party's Confidential Information as confidential and keep it in secure custody (which is appropriate depending upon the form in which such materials are stored and the nature of the Confidential Information contained in those materials); and
 - (b) not disclose the Disclosing Party's Confidential Information to any other person except as expressly set out in this Framework

Agreement or without obtaining the Disclosing Party's prior written consent;

- (c) not use or exploit the Disclosing Party's Confidential Information in any way except for the purposes anticipated under this Framework Agreement; and
- (d) immediately notify the Disclosing Party if it suspects or becomes aware of any unauthorised access, copying, use or disclosure in any form of any of the Disclosing Party's Confidential Information.

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

- (a) the Recipient is required to disclose the Confidential Information by Law, provided that Clause 27.4 (Freedom of Information) shall apply to disclosures required under the FOIA or the EIRs;
- (b) the need for such disclosure arises out of or in connection with:
 - i. any legal challenge or potential legal challenge against the Authority arising out of or in connection with this Framework Agreement;
 - ii. the examination and certification of the Authority's accounts (provided that the disclosure is made on a confidential basis) or for any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Authority is making use of its resources; or
 - iii. the conduct of a Central Government Body review in respect of this Framework Agreement; or
- (c) the Recipient has reasonable grounds to believe that the Disclosing Party is involved in activity that may constitute a criminal offence under the Bribery Act 2010 and the disclosure is being made to the Serious Fraud Office.

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

27.2.5. Subject to Clauses 27.2.2 and 27.2.3, the Provider may only disclose the Confidential Information of the Authority on a confidential basis to:

- (a) Provider Personnel who are directly involved in the provision of the Services and need to know the Confidential Information to enable

the performance of the Provider's obligations under this Framework Agreement; and

- (b) its professional advisers for the purposes of obtaining advice in relation to this Framework Agreement.

27.2.6. Where the Provider discloses the Confidential Information of the Authority pursuant to Clause 27.2.5, it shall remain responsible at all times for compliance with the confidentiality obligations set out in this Framework Agreement by the persons to whom disclosure has been made.

27.2.7. The Authority may disclose the Confidential Information of the Provider:

- (a) to any Central Government Body or Other Contracting Authority on the basis that the information may only be further disclosed to Central Government Bodies or Other Contracting Authorities;
- (b) to the British Parliament and any committees of the British Parliament or if required by any British Parliamentary reporting requirement;
- (c) to the extent that the Authority (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions;
- (d) on a confidential basis to a professional adviser, consultant, Provider or other person engaged by any of the entities described in Clause 27.2.7 (a) (including any benchmarking organisation) for any purpose relating to or connected with this Framework Agreement;
- (e) on a confidential basis for the purpose of the exercise of its rights under this Framework Agreement; or
- (f) to a proposed transferee, assignee or novatee of, or successor in title to the Authority,
- (g) and for the purposes of the foregoing, references to disclosure on a confidential basis shall mean disclosure subject to a confidentiality agreement or arrangement containing terms no less stringent than those placed on the Authority under this Clause 27.2.7.

27.2.8. For the avoidance of doubt, the Confidential Information that the Authority may disclose under Clause 27.2.7 shall include information relating to Call Off Agreements, including service levels, pricing information (which includes information on prices tendered in a Further Competition Procedure, even where such a Further Competition Procedure does not result in the award of a Call Off Agreement) and

the terms of any Call Off Agreement may be shared with any Central Government Body or Other Contracting Authority from time to time.

- 27.2.9. Nothing in this Clause 27.2 shall prevent a Recipient from using any techniques, ideas or Know-How which the Recipient has gained during the performance of this Framework Agreement in the course of its normal business to the extent that this use does not result in a disclosure of the Disclosing Party's Confidential Information or an infringement of Intellectual Property Rights.
- 27.2.10. In the event that the Provider fails to comply with Clauses 27.2.2 to 27.2.5, the Authority reserves the right to terminate this Framework Agreement for material Default.

27.3. **Transparency**

- 27.3.1. The Parties acknowledge and agree that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of this Framework Agreement and any Transparency Reports under it is not Confidential Information and shall be made available in accordance with the procurement policy note 13/15 https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/458554/Procurement_Policy_Note_13_15.pdf and the Transparency Principles referred to therein. The Authority shall determine whether any of the content of this Framework Agreement is exempt from disclosure in accordance with the provisions of the FOIA. The Authority may consult with the Provider to inform its decision regarding any redactions but shall have the final decision in its absolute discretion.
- 27.3.2. Notwithstanding any other provision of this Framework Agreement, the Provider hereby gives its consent for the Authority to publish this Framework Agreement in its entirety (but with any information which is exempt from disclosure in accordance with the provisions of the FOIA redacted), including any changes to this Framework Agreement agreed from time to time.
- 27.3.3. The Provider acknowledges and agrees that publication of this Framework Agreement will include the publication of the name and contact details of the Provider Representative (including its successors). Such details will not be redacted.
- 27.3.4. By executing this Framework Agreement, the Provider confirms that it has obtained the Provider Representative's consent and shall, prior to the appointment of any successor Provider Representative obtain the successor's consent, permitting the publication of their name and contact details under this Clause 27.3 or otherwise, the Provider shall take all necessary steps to ensure that publication will not cause the Authority, a Contracting Authority or the Provider to breach the Data Protection Act 1998.

- 27.3.5. The Provider shall assist and cooperate with the Authority to enable the Authority to publish this Framework Agreement.

27.4. Freedom of Information

- 27.4.1. The Provider acknowledges that the Authority is subject to the requirements of the FOIA and the EIRs. The Provider shall:

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

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

27.5. Protection of Personal Data

- 27.5.1. Where any Personal Data are Processed in connection with the exercise of the Parties' rights and obligations under this Framework Agreement, the Parties acknowledge that the Authority is the Data Controller and that the Provider is the Data Processor.

- 27.5.2. The Provider shall:

- (a) Process the Personal Data only in accordance with instructions from the Authority to perform its obligations under this Framework Agreement;
- (b) ensure that at all times it has in place appropriate technical and organisational measures to guard against unauthorised or unlawful Processing of the Personal Data and/or accidental loss, destruction, or damage to the Personal Data;
- (c) not disclose or transfer the Personal Data to any third party or Provider 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 Framework Agreement);
- (d) take reasonable steps to ensure the reliability and integrity of any Provider Personnel who have access to the Personal Data and ensure that the Provider Personnel:
 - i. are aware of and comply with the Provider's duties under this Clause 27.5.2 and Clause 27.2 (Confidentiality);
 - ii. are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Authority or as otherwise permitted by this Framework Agreement; and
 - iii. have undergone adequate training in the use, care, protection and handling of personal data (as defined in the DPA);
- (e) notify the Authority within five (5) Working Days if it receives:
 - i. from a Data Subject (or third party on their behalf) a Data Subject Access Request (or purported Data Subject Access Request), a request to rectify, block or erase any Personal Data or any other request, complaint or communication relating to the Authority's obligations under the DPA;
 - ii. any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data; or
 - iii. a request from any third party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law;
- (f) provide the Authority with full cooperation and assistance (within the timescales reasonably required by the Authority) in relation to

any complaint, communication or request made (as referred to at Clause 27.5.2, 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 Access Request within the relevant timescales set out in the DPA; and
 - iii. the Authority, on request by the Authority, with any Personal Data it holds in relation to a Data Subject; and
- (g) if requested by the Authority, provide a written description of the measures that the Provider has taken and technical and organisational security measures in place, for the purpose of compliance with its obligations pursuant to this Clause 27.5.2 and provide to the Authority copies of all documentation relevant to such compliance including, protocols, procedures, guidance, training and manuals.

27.5.3. The Provider shall not Process or otherwise transfer any Personal Data in or to any country outside the European Economic Area or any country which is not determined to be adequate by the European Commission pursuant to Article 25(6) of Directive 95/46/EC (together "Restricted Countries"). If, after the Framework Commencement Date, the Provider or any Sub-Contractor wishes to Process and/or transfer any Personal Data in or to anywhere outside the European Economic Area, the following provisions shall apply:

- (a) the Provider shall propose a variation to the Authority which, if it is agreed by the Authority, shall be dealt with in accordance with Clause 18.1 (Variation Procedure) and Clauses 27.5.3
- (b) the Provider shall set out in its proposal to the Authority for a Variation, details of the following:
 - i. the Personal Data which will be transferred to and/or Processed in or to any Restricted Countries;
 - ii. the Restricted Countries to which the Personal Data will be transferred and/or Processed; and
 - iii. any Sub-Contractors or other third parties who will be Processing and/or receiving Personal Data in Restricted Countries;
 - iv. how the Provider 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 compliance with the DPA;

- (c) in providing and evaluating the Variation, the Parties shall ensure that they have regard to and comply with the Authority, Central Government Bodies and Information Commissioner Office policies, procedures, guidance and codes of practice on, and any approvals processes in connection with, the Processing in and/or transfers of Personal Data to any Restricted Countries; and
- (d) the Provider shall comply with such other instructions and shall carry out such other actions as the Authority may notify in writing, including:
 - i. incorporating standard and/or model clauses (which are approved by the European Commission as offering adequate safeguards under the DPA) into this Framework 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 Countries either enters into:
 - (a) a direct data processing agreement with the Authority on such terms as may be required by the Authority; or
 - (b) a data processing agreement with the Provider on terms which are equivalent to those agreed between the Authority and the Provider relating to the relevant Personal Data transfer,

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

- 27.5.4. The Provider shall use its reasonable endeavours to assist the Authority to comply with any obligations under the DPA and shall not perform its obligations under this Framework Agreement in such a way as to cause the Authority to breach any of the Authority's obligations under the DPA to the extent the Provider is aware, or ought reasonably to have been aware, that the same would be a breach of such obligations.

28. PUBLICITY AND BRANDING

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

- 28.1. Subject to Clause 29 (Marketing), the Provider shall not:
- 28.1.1. make any press announcements or publicise this Framework Agreement in any way; or
 - 28.1.2. use the Authority's name or brand in any promotion or marketing or announcement of Orders,
 - 28.1.3. without Approval (the decision of the Authority to Approve or not shall not be unreasonably withheld or delayed).
- 28.2. Each Party acknowledges to the other that nothing in this Framework Agreement either expressly or by implication constitutes an approval and/or endorsement of any products or services of the other Party (including the Services) and each Party agrees not to conduct itself in such a way as to imply or express any such approval and/or endorsement.
- 28.3. The Authority shall be entitled to publicise this Framework Agreement in accordance with any legal obligation upon the Authority, including any examination of this Framework Agreement by the National Audit Office pursuant to the National Audit Act 1983 or otherwise.

29. MARKETING

- 29.1. The Provider shall undertake marketing of this Framework Agreement and the Services on behalf of the Authority to Other Contracting Authorities in accordance with the provisions of Framework Schedule 11 (Marketing).
- 29.2. The Provider shall obtain the Authority's Approval prior to publishing any content in relation to this Framework Agreement using any media, including on any electronic medium, and the Provider will ensure that such content is regularly maintained and updated. In the event that the Provider fails to maintain or update the content, the Authority may give the Provider notice to rectify the failure and if the failure is not rectified to the reasonable satisfaction of the Authority within one (1) Month of receipt of such notice, the Authority shall have the right to remove such content itself or require that the Provider immediately arranges the removal of such content.

G. LIABILITY AND INSURANCE

30. LIABILITY

- 30.1. Neither Party excludes or limits its liability for:
 - 30.1.1. death or personal injury caused by its negligence, or that of its employees, agents or Sub-Contractors (as applicable);
 - 30.1.2. bribery or Fraud by it or its employees; or
 - 30.1.3. any liability to the extent it cannot be excluded or limited by Law.
- 30.2. The Provider does not exclude or limit its liability in respect of the indemnity in Clause 26.2 (IPR Indemnity) in each case whether before or after the making of a demand pursuant to the indemnity therein.
- 30.3. Subject to Clauses 30.1 and 30.2, each Party's total aggregate liability in respect of all Losses incurred under or in connection with this Framework Agreement as a result of Defaults or Authority Cause (as the case may be) shall in no event exceed:
 - 30.3.1. in relation to any Default or Authority Cause (as the case may be) occurring from the Framework Commencement Date to the end of the first Contract Year, the lower of fifty thousand pounds (£50,000)] or a sum equal to [one hundred and twenty five percent (125%) of the Estimated Year 1 Management Charge;
 - 30.3.2. in relation to any Default or Authority Cause (as the case may be) occurring in each subsequent Contract Year following the end of the first Contract Year, that commences during the remainder of the Framework Period, the lower of the sum of one hundred thousand pounds (£100,000.00) in each such Contract Year or a sum equal to one hundred and twenty five percent (125%) of the Management Charge payable by the Provider under this Framework Agreement in the previous Contract Year; and
 - 30.3.3. in relation to any Default or Authority Cause (as the case may be) occurring in each Contract Year that commences after the end of the Framework Period, the higher of one hundred thousand pounds (£100,000) in each such Contract Year or a sum equal to one hundred and twenty five percent (125%) of the Management Charge payable by the Provider under this Framework Agreement in the last Contract Year commencing during the Framework Period;

- 30.4. Subject to Clause 30.1, neither Party shall be liable to the other Party for any:
- 30.4.1. indirect, special or consequential Loss;
 - 30.4.2. loss of profits, turnover, savings, business opportunities or damage to goodwill (in each case whether direct or indirect).
- 30.5. Subject to Clause 30.3, and notwithstanding Clause 30.4, the Provider acknowledges that the Authority may, amongst other things, recover from the Provider the following Losses incurred by the Authority to the extent that they arise as a result of a Default by the Provider:
- 30.5.1. any Management Charge or Default Management Charge which are due and payable to the Authority;
 - 30.5.2. any additional operational and/or administrative costs and expenses incurred by the Authority, including costs relating to time spent by or on behalf of the Authority in dealing with the consequences of the Default;
 - 30.5.3. any wasted expenditure or charges;
 - 30.5.4. the additional cost of procuring Replacement Services for the remainder of the Framework Period, which shall include any incremental costs associated with such Replacement Services above those which would have been payable under this Framework Agreement;
 - 30.5.5. any compensation or interest paid to a third party by the Authority;
 - 30.5.6. any fine, penalty or costs incurred by the Authority pursuant to Law.
- 30.6. Each Party shall use all reasonable endeavours to mitigate any loss or damage suffered arising out of or in connection with this Framework Agreement.
- 30.7. Any Default Management Charge shall not be taken into consideration when calculating the Provider's liability under Clause 30.3.
- 30.8. For the avoidance of doubt, the Parties acknowledge and agree that this Clause 30 shall not limit the Provider's liability to a Contracting Authority under any Call Off Agreement and the Provider's liability under a Call Off Agreement shall be as provided for in that Call Off Agreement only.

31. INSURANCE

- 31.1. The Provider shall effect and maintain insurances in relation to the performance of its obligations under this Framework Agreement and any Call Off Agreement, and shall procure that Subcontractors shall effect and maintain insurances in relation to the performance of their obligations under any Sub-Contract, in accordance with Schedule 14 (Insurance Requirements).

- 31.2. The terms of any insurance or the amount of cover shall not relieve the Contractor of any liabilities arising under this Framework Agreement or any Call Off Agreements.

H. REMEDIES

32. AUTHORITY REMEDIES

- 32.1. Without prejudice to any other rights or remedies arising under this Framework Agreement, including under Clause 33.2 (Termination on Material Default), if the Provider fails to achieve a KPI Target on two or more occasions within any twelve (12) Month rolling period, the Provider acknowledges and agrees that the Authority shall have the right to exercise (in its absolute and sole discretion) all or any of the following remedial actions:
- 32.1.1. The Authority shall be entitled to require the Provider, and the Provider agrees to prepare and provide to the Authority, an Improvement Plan within ten (10) Working Days of a written request by the Authority for such Improvement Plan. Such Improvement Plan shall be subject to Approval and the Provider will be required to implement any Approved Improvement Plan, as soon as reasonably practicable.
 - 32.1.2. The Authority shall be entitled to require the Provider, and the Provider agrees to attend, within a reasonable time one (1) or more meetings at the request of the Authority in order to resolve the issues raised by the Authority in its notice to the Provider requesting such meetings.
 - 32.1.3. The Authority shall be entitled to serve an Improvement Notice on the Provider and the Provider shall implement such requirements for improvement as set out in the Improvement Notice.
 - 32.1.4. In the event that the Authority has, in its absolute and sole discretion, invoked one or more of the remedies set out above and the Provider either:
 - (a) fails to implement such requirements for improvement as set out in the Improvement Notice; and/or
 - (b) fails to implement an Improvement Plan Approved by the Authority;then (without prejudice to any other rights and remedies of termination provided for in this Framework Agreement), the Authority shall be entitled to terminate this Framework Agreement for material Default.

I. TERMINATION AND SUSPENSION

33. AUTHORITY TERMINATION RIGHTS

33.1. Termination in Relation To Guarantee

33.1.1. Where the Authority has procured a Framework Guarantee from the Provider pursuant to Clause 8 (Guarantee), the Authority may terminate this Framework Agreement by issuing a Termination Notice to the Provider where:

- (a) the Framework Guarantor withdraws the Framework Guarantee for any reason whatsoever;
- (b) the Framework Guarantor is in breach or anticipatory breach of the Framework Guarantee;
- (c) an Insolvency Event occurs in respect of the Framework Guarantor;
- (d) the Framework Guarantee becomes invalid or unenforceable for any reason whatsoever; or
- (e) the Provider fails to provide the documentation required by Clause 8.1 by the date so specified by the Authority;

and in each case the Framework Guarantee (as applicable) is not replaced by an alternative guarantee agreement acceptable to the Authority].

33.1.2. Where a Contracting Authority has procured a Call Off Guarantee from the Provider under Clause 8.2 (Guarantee), the Authority may terminate this Framework Agreement by issuing a Termination Notice to the Provider where:

- (a) the Call Off Guarantor withdraws the Call Off Guarantee for any reason whatsoever;
- (b) the Call Off Guarantor is in breach or anticipatory breach of the Call Off Guarantee;
- (c) an Insolvency Event occurs in respect of the Call Off Guarantor;
- (d) the Call Off Guarantee becomes invalid or unenforceable for any reason whatsoever; or
- (e) the Provider fails to provide the documentation required by Clause 8.2 by the date so specified by the Contracting Authority;

and in each case the Call Off Guarantee (as applicable) is not replaced by an alternative guarantee agreement acceptable to the Contracting Authority and/or Authority.

33.2. Termination on Material Default

33.2.1. The Authority may terminate this Framework Agreement for material Default by issuing a Termination Notice to the Provider where:

- (a) the Provider fails to accept a Call Off Agreement pursuant to paragraph 7.2 of Framework Schedule 5 (Call Off Procedure);
- (b) a Contracting Authority terminates a Call Off Agreement for the Provider's breach of that Call Off Agreement;
- (c) an Audit reveals that the Provider has underpaid an amount equal to or greater than five per cent (5%) of the Management Charge due;
- (d) the Provider refuses or fails to comply with its obligations as set out in Framework Schedule 12 (Continuous Improvement and Benchmarking);
- (e) in the event of two or more failures by the Provider to meet the KPI Targets whether the failures relate to the same or different KPI targets, in any rolling period of three (3) months;
- (f) the Authority expressly reserves the right to terminate this Framework Agreement for material Default including pursuant to:
 - i. Clause 9.4 (Cyber Essentials Scheme Condition)
 - ii. Clause 19.1.3 (Variation Procedure);
 - iii. Clause 32.1.4 (Authority Remedies);
 - iv. Clause 27.2.10 (Confidentiality);
 - v. Clause 40.6.2 (Prevention of Fraud and Bribery);
 - vi. Clause 36.1.2 (Compliance with the Law);
 - vii. Clause 41.3 (Conflicts of Interest);
 - viii. paragraph 6.2 of Framework Schedule 9 (Management Information); and/or
 - ix. anywhere that is stated in this Framework Agreement that the Provider by its act or omission will have committed a material Default;
- (g) the Provider commits a material Default of any of the following Clauses or Framework Schedules:
 - i. Clause 7 (Representations and Warranties) except Clause 7.2.6;
 - ii. Clause 11 (Framework Agreement Performance);
 - iii. Clause 18 (Records, Audit Access and Open Book Data);
 - iv. Clause 20 (Management Charge);
 - v. Clause 21 (Promoting Tax Compliance);
 - vi. Clause 25 (Supply Chain Rights and Protection);
 - vii. Clause 27.1 (Provision of Management Information);
 - viii. Clause 27.4 (Freedom of Information);

- ix. Clause 27.5(Protection of Personal Data); and
 - x. paragraph 1.2 of Part B of Framework Schedule 2 (Services and Key Performance Indicators); and
- (h) the representation and warranty given by the Provider pursuant to Clause 7.2.6 is materially untrue or misleading, and the Provider fails to provide details of proposed mitigating factors which in the reasonable opinion of the Authority are acceptable;
 - (i) the Provider commits any material Default which is not, in the reasonable opinion of the Authority, capable of remedy; and/or
 - (j) the Provider commits a Default, including a material Default, which in the opinion of the Authority is remediable but has not remedied such Default to the satisfaction of the Authority within twenty (20) Working Days, or such other period as may be specified by the Authority, after issue of a written notice from the Authority to the Provider specifying the remediable Default and requesting it to be remedied in accordance with any instructions of the Authority.

33.3. Termination in Relation to Financial Standing

- 33.3.1. The Authority may terminate this Framework Agreement by issuing a Termination Notice to the Provider where in the reasonable opinion of the Authority there is a material detrimental change in the financial standing and/or the credit rating of the Provider which:
 - (a) adversely impacts on the Provider's ability to supply the Services under this Framework Agreement; or
 - (b) could reasonably be expected to have an adverse impact on the Providers ability to supply the Services under this Framework Agreement;

33.4. Termination on Insolvency

- 33.4.1. The Authority may terminate this Framework Agreement by issuing a Termination Notice to the Provider where an Insolvency Event affecting the Provider occurs.

33.5. Termination on Change of Control

- 33.5.1. The Provider shall notify the Authority immediately in writing and as soon as the Provider is aware (or ought reasonably to be aware) that it is anticipating, undergoing, undergoes or has undergone a Change of Control and provided such notification does not contravene any Law.
- 33.5.2. The Provider shall ensure that any notification made pursuant to Clause 33.5.1 shall set out full details of the Change of Control

including the circumstances suggesting and/or explaining the Change of Control.

33.5.3. The Authority may terminate this Framework Agreement under Clause 33.5 by issuing a Termination Notice to the Provider within six (6) Months of:

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

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

33.6. Termination for breach of Regulations

33.6.1. The Authority may terminate this Framework Agreement by issuing a Termination Notice to the Provider on the occurrence of any of the statutory provisos contained in Regulation 73 (1) (a) to (c).

33.7. Termination Without Cause

33.7.1. The Authority shall have the right to terminate this Framework Agreement with effect from at any time following nine (9) Months after the Framework Commencement Date by giving at least three (3) Months written notice to the Provider.

33.8. Partial Termination

33.8.1. Where the Authority has the right to terminate this Framework Agreement, the Authority is entitled to terminate all or part of this Framework Agreement pursuant to this Clause 32.8 provided always that, if the Authority elects to terminate this Framework Agreement in part, the parts of this Framework Agreement not terminated or suspended can, in the Authority's reasonable opinion, operate effectively to deliver the intended purpose of the surviving parts of this Framework Agreement.

33.8.2. The Parties shall endeavour to agree the effect of any Variation necessitated by a partial termination in accordance with Clause 18.1 (Variation Procedure) including the effect that the partial termination may have on the on the provision of any other Services and the Framework Prices provided that:

- (a) the Provider shall not be entitled to an increase in the Framework Prices in respect of the Services that have not been terminated if the partial termination arises due to the exercise of any of the Authority's termination rights under Clause 33 (Authority

Termination Rights) with the exception of Clause 33.7 (Termination Without Cause); and

(b) the Provider shall not be entitled to reject the variation.

34. SUSPENSION OF PROVIDER'S APPOINTMENT

- 34.1. If the Authority is entitled to terminate this Framework Agreement pursuant to Clause 33 (Authority Termination Rights), the Authority may instead elect in its sole discretion to suspend the Provider's ability to accept Orders under this Framework Agreement by giving notice in writing to the Provider, and the Provider agrees that it shall not be entitled to enter into any new Call Off Agreement during the period specified in the Authority's notice.
- 34.2. Any suspension under Clause 34.1 shall be without prejudice to any right of termination which has already accrued, or subsequently accrues, to the Authority.
- 34.3. The Parties acknowledge that suspension shall not affect the Provider's obligation to perform any existing Call Off Agreements concluded prior to the suspension notice.
- 34.4. If the Authority provides notice to the Provider in accordance with this Clause 34.1, the Provider's appointment under this Framework Agreement shall be suspended for the period set out in the notice or such other period notified to the Provider by the Authority in writing from time to time.
- 34.5. For the avoidance of doubt, no period of suspension under this Clause 34 shall result in an extension of the Framework Period.

35. CONSEQUENCES OF EXPIRY OR TERMINATION

- 35.1.1. Notwithstanding the service of a notice to terminate this Framework Agreement, the Provider shall continue to fulfil its obligations under this Framework Agreement until the date of expiry or termination of this Framework Agreement or such other date as required under this Clause 35.
- 35.1.2. Termination or expiry of this Framework Agreement shall not cause any Call Off Agreements to terminate automatically. For the avoidance of doubt, all Call Off Agreements shall remain in force unless and until they are terminated or expire in accordance with the provisions of the Call Off Agreement and the Provider shall continue to pay any Management Charge due to the Authority in relation to such Call Off Agreements, notwithstanding the termination or expiry of this Framework Agreement.
- 35.1.3. If the Authority terminates this Framework Agreement under Clause 33.2 (Termination on Material Default) and then makes other arrangements for the supply of the Services to Contracting Authorities, the Provider shall indemnify the Authority in full upon demand for the cost of procuring, implementing and operating any alternative or replacement services to the Services and no further payments shall be

payable by the Authority until the Authority has established and recovered from the Provider the full amount of such cost.

- 35.1.4. Within ten (10) Working Days of the date of termination or expiry of this Framework Agreement, the Provider shall return to the Authority any and all of the Authority's Confidential Information in the Provider's possession, power or control, either in its then current format or in a format nominated by the Authority, and any other information and all copies thereof owned by the Authority, save that it may keep one copy of any such data or information to the extent reasonably necessary to comply with its obligations under this Framework Agreement or under any Law, for a period of up to twelve (12) Months (or such other period as Approved by the Authority and is reasonably necessary for such compliance).
- 35.1.5. Termination or expiry of this Framework Agreement shall be without prejudice to any rights, remedies or obligations of either Party accrued under this Framework Agreement prior to termination or expiry.
- 35.1.6. Termination or expiry of this Framework Agreement shall be without prejudice to the survival of any provision of this Framework Agreement which expressly (or by implication) is to be performed or observed notwithstanding termination or expiry of this Framework Agreement, including the provisions of:
 - 35.1.6.1. Clauses 1 (Definitions and Interpretation), 7 (Representations and Warranties), 9 (Cyber Essentials Scheme Condition), 11 (Framework Agreement Performance), 17 (Records, Audit Access and Open Book Data), 20 (Management Charge), 26 (Intellectual Property Rights), 27.1 (Provision of Management Information), 27.2 (Confidentiality), 27.3 (Transparency), 27.4 (Freedom of Information), 27.5 (Protection of Personal Data), 30 (Liability), 31 (Insurance), 35 (Consequences of Expiry or Termination), 36 (Compliance), 38 (Waiver and Cumulative Remedies), 40 (Prevention of Fraud and Bribery), 42 (Severance), 44 (Entire Agreement), 45 (Third Party Rights), 46 (Notices), 47 (Complaints Handling), 48 (Dispute Resolution) and 49 (Governing Law and Jurisdiction); and
 - 35.1.6.2. Framework Schedules 2 (Services and Key Performance Indicators), 3 (Framework Prices and Charging Structure), 7 (Key Sub-Contractors), 8 (Framework Management), 9 (Management Information), 10 (Annual Self Audit Certificate), 15 (Continuous Improvement and Benchmarking), 8 (Guarantee), 31 (Insurance Requirements) 17 (Commercially Sensitive Information) and 21 (Tender).

J. MISCELLANEOUS AND GOVERNING LAW

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

© Crown copyright 2016

36. COMPLIANCE

36.1. Compliance with Law

- 36.1.1. The Provider shall comply with all applicable Law in connection with the performance of this Framework Agreement.
- 36.1.2. In the event that the Provider or the Provider Personnel fails to comply with Clause 36.1.1, this shall be deemed to be a material Default and the Authority reserves the right to terminate this Framework Agreement by giving notice in writing to the Provider.

36.2. Equality and Diversity

36.2.1. The Provider shall:

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

36.3. Official Secrets Act and Finance Act

- 36.3.1. The Provider shall comply with the provisions of:
 - (a) the Official Secrets Acts 1911 to 1989; and
 - (b) section 182 of the Finance Act 1989.

37. ASSIGNMENT AND NOVATION

- 37.1. The Provider shall not assign, novate, or otherwise dispose of or create any trust in relation to any or all of its rights, obligations or liabilities under this Framework Agreement or any part of it without Approval.
- 37.2. The Authority may assign, novate or otherwise dispose of any or all of its rights, liabilities and obligations under this Framework Agreement or any part thereof to:
- 37.2.1. any Other Contracting Authority; or
 - 37.2.2. any Central Government Body or other body established by the Crown or under statute in order substantially to perform any of the functions that had previously been performed by the Authority; or
 - 37.2.3. any private sector body which substantially performs the functions of the Authority,
- and the Provider shall, at the Authority's request, enter into a novation agreement in such form as the Authority shall reasonably specify in order to enable the Authority to exercise its rights pursuant to this Clause 37.2.
- 37.3. A change in the legal status of the Authority such that it ceases to be a Contracting Authority shall not, subject to Clause 37.4 affect the validity of this Framework Agreement and this Framework Agreement shall be binding on any successor body to the Authority.
- 37.4. If the Authority assigns, novates or otherwise disposes of any of its rights, obligations or liabilities under this Framework Agreement to a body which is not a Contracting Authority or if a body which is not a Contracting Authority succeeds the Authority (both "Transferee" in the rest of this Clause) the right of termination of the Authority in Clause 33.4 (Termination on Insolvency) shall be available to the Provider in the event of the insolvency of the Transferee (as if the references to Provider in Clause 33.4 (Termination on Insolvency)) and to Provider or the Framework Guarantor or Call Off Guarantor in the definition of Insolvency Event were references to the Transferee.

38. WAIVER AND CUMULATIVE REMEDIES

- 38.1. The rights and remedies under this Framework Agreement may be waived only by notice in accordance with Clause 46 (Notices) and in a manner that expressly states that a waiver is intended. A failure or delay by a Party in ascertaining or exercising a right or remedy provided under this Framework Agreement or by Law shall not constitute a waiver of that right or remedy, nor shall it prevent or restrict the further exercise thereof.
- 38.2. Unless otherwise provided in this Framework Agreement, rights and remedies under this Framework Agreement are cumulative and do not exclude any rights or remedies provided by Law, in equity or otherwise.

39. RELATIONSHIP OF THE PARTIES

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

40. PREVENTION OF FRAUD AND BRIBERY

- 40.1. The Provider represents and warrants that neither it, nor to the best of its knowledge any Provider Personnel, have at any time prior to the Framework Commencement Date:
- 40.1.1. committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act; and/or
 - 40.1.2. been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act.
- 40.2. The Provider shall not during the Framework Period:
- 40.2.1. commit a Prohibited Act; and/or
 - 40.2.2. do or suffer anything to be done which would cause the Authority or any of the Authority's employees, consultants, contractors, sub-contractors or agents to contravene any of the Relevant Requirements or otherwise incur any liability in relation to the Relevant Requirements.
- 40.3. The Provider shall during the Framework Period:
- 40.3.1. establish, maintain and enforce policies and procedures which are adequate to ensure compliance with the Relevant Requirements and prevent the occurrence of a Prohibited Act;
 - 40.3.2. require that its Sub-Contractors establish, maintain and enforce the policies and procedures referred to in Clause 40.3.1;
 - 40.3.3. keep appropriate records of its compliance with its obligations under Clause 40.3.1 and make such records available to the Authority on request;
 - 40.3.4. if so required by the Authority, within twenty (20) Working Days of the Framework Commencement Date, and annually thereafter, certify in writing to the Authority, the compliance with this Clause 40.3 of all

persons associated with the Provider or its Sub-Contractors who are responsible for supplying the Services in connection with this Framework Agreement. The Provider shall provide such supporting evidence of compliance as the Authority may reasonably request; and

- 40.3.5. have, maintain and where appropriate enforce an anti-bribery policy (which shall be disclosed to the Authority on request) to prevent it and any Provider Personnel or any person acting on the Provider's behalf from committing a Prohibited Act.
- 40.4. The Provider shall immediately notify the Authority in writing if it becomes aware of any breach of Clauses 40.1, 40.2 and 40.3.2, or has reason to believe that it has or any of the Provider Personnel has:
 - 40.4.1. been subject to an investigation or prosecution which relates to an alleged Prohibited Act;
 - 40.4.2. been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act; and/or
 - 40.4.3. received a request or demand for any undue financial or other advantage of any kind in connection with the performance of this Framework Agreement or otherwise suspects that any person or Party directly or indirectly connected with this Framework Agreement has committed or attempted to commit a Prohibited Act.
- 40.5. If the Provider makes a notification to the Authority pursuant to Clause 40.4, the Provider shall respond promptly to the Authority's enquiries, co-operate with any investigation, and allow the Authority to audit any books, records and/or any other relevant documentation in accordance with Clause 18 (Records, Audit Access and Open Book Data).
- 40.6. If the Provider breaches Clause 40.1, the Authority may by notice:
 - 40.6.1. require the Provider to remove from the performance of this Framework Agreement any Provider Personnel whose acts or omissions have caused the Provider's breach; or
 - 40.6.2. immediately terminate this Framework Agreement for material Default.
- 40.7. Any notice served by the Authority under Clause 40.6 shall specify the nature of the Prohibited Act, the identity of the Party who the Authority believes has committed the Prohibited Act and the action that the Authority has elected to take (including, where relevant, the date on which this Framework Agreement shall terminate).

41. CONFLICTS OF INTEREST

- 41.1. The Provider shall take appropriate steps to ensure that neither the Provider nor the Provider Personnel 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 Provider or the Provider Personnel and the duties owed to the Authority and Other Contracting Authorities under the provisions of this Framework Agreement or any Call Off Agreement.
- 41.2. The Provider shall promptly notify and provide full particulars to the Authority or the relevant Other Contracting Authority if such conflict referred to in Clause 41.1 arises or may reasonably be foreseen as arising.
- 41.3. The Authority reserves the right to terminate this Framework Agreement immediately by giving notice in writing to the Provider 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 Provider and the duties owed to the Authority under the provisions of this Framework Agreement or any Call Off Agreement. The action of the Authority pursuant to this Clause 40.3 shall not prejudice or affect any right of action or remedy which shall have accrued or shall thereafter accrue to the Authority.

42. SEVERANCE

- 42.1. If any provision of this Framework Agreement (or part of any provision) is held to be void or otherwise unenforceable by any court of competent jurisdiction, such provision (or part) shall to the extent necessary to ensure that the remaining provisions of this Framework Agreement are not void or unenforceable be deemed to be deleted and the validity and/or enforceability of the remaining provisions of this Framework Agreement shall not be affected.
- 42.2. In the event that any deemed deletion under Clause 42.1 is so fundamental as to prevent the accomplishment of the purpose of this Framework Agreement or materially alters the balance of risks and rewards in this Framework Agreement, either Party may give notice to the other Party requiring the Parties to commence good faith negotiations to amend this Framework Agreement so that, as amended, it is valid and enforceable, preserves the balance of risks and rewards in this Framework Agreement and, to the extent that is reasonably practicable, achieves the Parties' original commercial intention.
- 42.3. If the Parties are unable to resolve any Dispute arising under Clause 42 within twenty (20) Working Days of the date of the notice given pursuant to Clause 42.2, this Framework Agreement shall automatically terminate with immediate effect. The costs of termination incurred by the Parties shall lie where they fall if this Framework Agreement is terminated pursuant to this Clause 42.3.

43. FURTHER ASSURANCES

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

- 43.1. Each Party undertakes at the request of the other, and at the cost of the requesting Party to do all acts and execute all documents which may be necessary to give effect to the meaning of this Framework Agreement.

44. ENTIRE AGREEMENT

- 44.1. This Framework Agreement constitutes the entire agreement between the Parties in respect of the subject matter and supersedes and extinguishes all prior negotiations, course of dealings or agreements made between the Parties in relation to its subject matter, whether written or oral.
- 44.2. Neither Party has been given, nor entered into this Framework Agreement in reliance on, any warranty, statement, promise or representation other than those expressly set out in this Framework Agreement.
- 44.3. Nothing in this Clause 44 shall exclude any liability in respect of misrepresentations made fraudulently.

45. THIRD PARTY RIGHTS

- 45.1. The provisions of:
- 45.1.1. Clauses: 4 (Scope of Framework Agreement), 5 (Call Off Procedure), 6 (Assistance in Related Procurements), 7 (Representations and Warranties), 8 (Guarantee), 16 (Call Off Performance Under Framework Agreement Performance), 18 (Records, Audit Access and Open Book Data), 27.5 (Protection of Personal Data), 31 (Insurance), 36.2 (Equality and Diversity) and 45 (Third Party Rights); and
 - 45.1.2. Framework Schedules 3 (Framework Prices and Charging Structure), 5 (Call Off Procedure), 13 (Guarantee), 14 (Insurance Requirements), and 21 (Tender),
- (together “Third Party Provisions”) confer benefits on persons named in such provisions other than the Parties (each such person a “Third Party Beneficiary”) and are intended to be enforceable by Third Parties Beneficiaries by virtue of the CRTPA.
- 45.2. Subject to Clause 45.1, a person who is not Party to this Framework Agreement has no right to enforce any term of this Framework Agreement under the CRTPA but this does not affect any right or remedy of any person which exists or is available otherwise than pursuant to the CRTPA.
- 45.3. No Third Party Beneficiary may enforce, or take any step to enforce, any Third Party Provision without Approval, which may, if given, be given on and subject to such terms as the Authority may determine.
- 45.4. Any amendments or modifications to this Framework Agreement may be made, and any rights created under Clause 45.1 may be altered or extinguished, by the Parties without the consent of any Third Party Beneficiary.

- 45.5. The Authority may act as agent and trustee for each Third Party Beneficiary and/or enforce on behalf of that Third Party Beneficiary any Third Party Provision and/or recover any Loss suffered by that Third Party Beneficiary in connection with a breach of any Third Party Provision.

46. NOTICES

- 46.1. Except as otherwise expressly provided within this Framework Agreement, any notices issued under this Framework Agreement must be in writing. For the purpose of this Clause 46, an e-mail is accepted as being "in writing".
- 46.2. Subject to Clause 46.3, the following table sets out the method by which notices may be served under this Framework Agreement and the respective deemed time and proof of service:

Manner of delivery	Deemed time of delivery	Proof of Service
Email (Subject to Clause 0)	9.00am on the first Working Day after sending	Dispatched as a pdf attachment to an e-mail to the correct e-mail address without any error message
Personal delivery	On delivery, provided delivery is between 9.00am and 5.00pm on a Working Day. Otherwise, delivery will occur at 9.00am on the next Working Day	Properly addressed and delivered as evidenced by signature of a delivery receipt
Royal Mail Signed For™ 1st Class or other prepaid, next Working Day service providing proof of delivery	At the time recorded by the delivery service, provided that delivery is between 9.00am and 5.00pm on a Working Day. Otherwise, delivery will occur at 9.00am on the same Working Day (if delivery before 9.00am) or on the next Working Day (if after 5.00pm)	Properly addressed prepaid and delivered as evidenced by signature of a delivery receipt

- 46.3. The following notices may only be served as an attachment to an email if the original notice is then sent to the recipient by personal delivery or Royal Mail Signed For™ 1st Class or other prepaid in the manner set out in the table in Clause 46.2 within twenty four (24) hours of transmission of the email:

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

46.3.1. any Termination Notice under Clause 33 (Authority Termination Rights), including in respect of partial termination;

- (a) any notice in respect of:
- (b) Suspension of Provider's appointment (Clause 34)
- (c) Waiver (Clause 38);
- (d) Default or Authority Cause; and

46.3.2. any Dispute Notice.

46.4. Failure to send any original notice in accordance with Clause 45.3 shall invalidate the service of the related e-mail transmission. The deemed time of delivery of such notice shall be the deemed time of delivery of the original notice sent by personal delivery or Royal Mail Signed For™ 1st Class delivery (as set out in the table in Clause 46.2) or, if earlier, the time of response or acknowledgement by the receiving Party to the email attaching the notice.

46.5. This Clause 46 does not apply to the service of any proceedings or other documents in any legal action or, where applicable, any arbitration or other method of dispute resolution (other than the service of a Dispute Notice under Framework Schedule 18 (Dispute Resolution Procedure).

46.6. For the purposes of this Clause 46, the address of each Party shall be:

For the Authority:

Crown Commercial Service
9th Floor
The Capital
Old Hall Street
Liverpool
L3 9PP

For the attention of: [insert CCS contact name]

For the Provider:

[insert name of Provider]

Address: [insert address of Provider]

For the attention of: [insert Provider contact name]

Note: Name of supplier contact and contact's email address published at time of publication of contract award notice.

46.7. Either Party may change its address for service by serving a notice in accordance with this Clause 46.

46.8. This Clause 46 does not apply to the service of any proceedings or other documents in any legal action or, where applicable, any arbitration or other method of dispute resolution (other than the service of a Dispute Notice under the Dispute Resolution Procedure)

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

47. COMPLAINTS HANDLING

- 47.1. Either Party shall notify the other Party of any Complaints made by Other Contracting Authorities, which are not resolved by operation of the Provider's usual complaints handling procedure within five (5) Working Days of becoming aware of that Complaint and, if the Provider is the Party providing the notice, such notice shall contain full details of the Provider's plans to resolve such Complaint.
- 47.2. Without prejudice to any rights and remedies that a complainant may have at Law (including under this Framework Agreement and/or a Call Off Agreement), and without prejudice to any obligation of the Provider to take remedial action under the provisions of this Framework Agreement and/or a Call Off Agreement, the Provider shall use its best endeavours to resolve the Complaint within ten (10) Working Days and in so doing, shall deal with the Complaint fully, expeditiously and fairly.
- 47.3. Within two (2) Working Days of a request by the Authority, the Provider shall provide full details of a Complaint to the Authority, including details of steps taken to achieve its resolution.

48. DISPUTE RESOLUTION

- 48.1. The Parties shall resolve Disputes arising out of or in connection with this Framework Agreement in accordance with the Dispute Resolution Procedure.
- 48.2. The Provider shall continue to provide the Services in accordance with the terms of this Framework Agreement until a Dispute has been resolved.

49. GOVERNING LAW AND JURISDICTION

- 49.1. This Framework Agreement and any issues, disputes or claims (whether contractual or non-contractual) arising out of or in connection with it or its subject matter or formation shall be governed by and construed in accordance with the laws of England and Wales.
- 49.2. Subject to Clause 48 (Dispute Resolution) and Framework Schedule 18 (Dispute Resolution Procedure) (including the Authority's right to refer the Dispute to arbitration), the Parties agree that the courts of England and Wales shall have exclusive jurisdiction to settle any Dispute or claim (whether contractual or non-contractual) that arises out of or in connection with this Framework Agreement or its subject matter or formation.

IN WITNESS of which this Framework Agreement has been duly executed by the Parties.

Signed duly authorised for and on behalf of the PROVIDER

Signature: **Redacted**

Name: **Redacted**

Position: **Redacted**

Date **Redacted**

[Guidance Note: this document should be signed by the same Provider entity that submitted the Tender.]

Signed for and on behalf of the AUTHORITY

Signature: **Redacted**

Name: **Redacted**

Position: **Redacted**

Date **Redacted**

FRAMEWORK SCHEDULE 1: DEFINITIONS

1. In accordance with Clause 1 (Definitions), in this Framework Agreement including its Recitals the following expressions shall have the following meaning“:

"Admin Fees" means the costs incurred by the Authority in dealing with MI Failures calculated in accordance with the tariff of administration charges published by the Authority at the following link: <http://CCS.cabinetoffice.gov.uk/i-am-supplier/management-information/admin-fees>;

"Access Point" means the points through which information passes between a Provider and a Contracting Body.

"Access Point Provider" is the meaning given to a provider providing the Services through which information passes between a Provider and a Contracting Body.

"Affiliates" means in relation to a body corporate, any other entity which directly or indirectly Controls, is Controlled by, or is under direct or indirect common Control of that body corporate from time to time;

"Approval" means the prior written consent of the Authority and "Approve" and "Approved" shall be construed accordingly;

"Audit" means an audit carried out pursuant to Clause 18 (Records, Audit Access and Open Book Data);

"Audit Report" means a report summarising the testing completed and the actions arising following an Audit;

"Auditor" means the Authority, and/or Other Contracting Authority who is a party to a Call Off Agreement, and/or the National Audit Office and/or any auditor appointed by the Audit Commission, and /or the representatives of any of them;

"Authority"	means THE MINISTER FOR THE CABINET OFFICE ("Cabinet Office") as represented by Crown Commercial Service, a trading fund of the Cabinet Office, whose offices are located at 9th Floor, The Capital, Old Hall Street, Liverpool L3 9PP;
"Authority Cause"	means any breach of the obligations of the Authority (including but not limited to any fundamental breach or breach of a fundamental term) or any other default, act, omission, misrepresentation, negligence or negligent statement of the Authority in connection with or in relation to this Framework Agreement or the subject matter of this Framework Agreement and in respect of which the Authority is liable to the Provider;
"Authority Personal Data"	means any Personal Data supplied for the purposes of or in connection with this Framework Agreement by the Authority to the Provider;
"Authority Representative"	means the representative appointed by the Authority from time to time in relation to this Framework Agreement;
"Authority's Confidential Information"	means all Authority Personal Data and any information, however it is conveyed, that relates to the business, affairs, developments, trade secrets, Know How, personnel, and Providers of the Authority and/or Other Contracting Authorities, including all IPR, together with all information derived from any of the above, and any other information clearly designated as being confidential (whether or not it is marked "confidential") or which ought reasonably to be considered to be confidential;
"Call Off Agreement"	means a legally binding agreement (entered into pursuant to the provisions of this Framework Agreement) for the provision of the Services made between a Contracting Authority and the Provider pursuant to Framework Schedule 5 (Call Off Procedure);
"Call Off Guarantee"	means a deed of guarantee in favour of a Contracting Authority in the form set out in Framework Schedule 13 (Guarantee) and granted pursuant to Clause 3 of the Template Call Off terms;
"Call Off Guarantor"	means the person acceptable to a Contracting Authority to give a Call Off Guarantee;
"Call Off Procedure"	means the process for awarding a Call Off Agreement pursuant to Clause Error! Reference source not found.

(Call Off Procedure) and Framework Schedule 5 (Call Off Procedure);

"CEDR"	means the Centre for Effective Dispute Resolution;
"Central Government Body"	<p>means a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics:</p> <ul style="list-style-type: none">(a) Government Department;(b) Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal);(c) Non-Ministerial Department; or <p>Executive Agency;</p>
"Change in Law"	(d) means any change in Law which impacts on the supply of the Services and performance of the Template Call Off Terms which comes into force after the Framework Commencement Date;
"Change of Control"	means a change of control within the meaning of Section 450 of the Corporation Tax Act 2010;
"Charges"	means the charges raised under or in connection with a Call Off Agreement from time to time, which Charges shall be calculated in a manner which is consistent with the Charging Structure;
"Charging Structure"	means the structure to be used in the establishment of the charging model which is applicable to each Call Off Agreement, which structure is set out in Framework Schedule 3 (Framework Prices and Charging Structure);
"Clauses"	means
"Commercially Sensitive Information"	<p>means the Provider's Confidential Information listed in Framework Schedule 17 (Commercially Sensitive Information) comprised of commercially sensitive information:</p> <ul style="list-style-type: none">(a) relating to the Provider, its IPR or its business or information which the Provider has indicated to the Authority that, if disclosed by the Authority, would cause the Provider significant commercial disadvantage or material financial loss; and <p>that constitutes a trade secret;</p>

"Comparable Supply"	(b) means the supply of Services to another customer of the Provider that are the same or similar to the Services;
"Complaint"	means any formal written complaint raised by a Contracting Authority in relation to the performance of this Framework Agreement or any Call Off Agreement in accordance with Clause Error! Reference source not found. (Complaints Handling);
"Confidential Information"	means the Authority's Confidential Information and/or the Provider's Confidential Information, as the context requires;
"Continuous Improvement Plan"	means a plan for improving the provision of the Services and/or reducing the Charges produced by the Provider pursuant to Framework Schedule 12 (Continuous Improvement and Benchmarking);
"Contract Year"	means a consecutive period of twelve (12) Months commencing on the Framework Commencement Date or each anniversary thereof;
"Contracting Authorities"	means the bodies listed in the OJEU Notice and "Contracting Authority" shall be construed accordingly;
"Control"	means control in either of the senses defined in sections 450 and 1124 of the Corporation Tax Act 2010 and "Controlled" shall be construed accordingly;
"CPI"	means the Consumer Prices Index as published by the Office of National Statistics
"Costs"	<p>means the following costs (without double recovery) to the extent that they are reasonably and properly incurred by the Provider in providing the Services:</p> <p>the cost to the Provider or the Key Sub-Contractor (as the context requires), calculated per Man Day, of engaging the Provider Personnel, including:</p> <ul style="list-style-type: none"> (a) base salary paid to the Provider Personnel; <ul style="list-style-type: none"> i. employer's national insurance contributions; ii. pension contributions; iii. car allowances; iv. any other contractual employment benefits; v. staff training; vi. work place accommodation; vii. work place IT equipment and tools reasonably necessary to provide the Services (but not including items included within limb (b) below); and

- viii. reasonable recruitment costs, as agreed with the Contracting Authorities under any Call Off Agreements;
- (b) costs incurred in respect of those Provider Assets which are detailed on the Registers ("Provider Assets" and "Register" shall have the meaning given to them under Call Off Schedule 1 (Definitions)) and which would be treated as capital costs according to generally accepted accounting principles within the UK, which shall include the cost to be charged in respect of Provider Assets by the Provider to the Contracting Authorities or (to the extent that risk and title in any Provider Asset is not held by the Provider) any cost actually incurred by the Provider in respect of those Provider Assets;
- (c) operational costs which are not included within (a) or (b) above, to the extent that such costs are necessary and properly incurred by the Provider in the provision of the Services;

but excluding:

- i. Overhead;
- ii. financing or similar costs;
- iii. maintenance and support costs to the extent that these relate to maintenance and/or support services provided beyond the Framework Period and term of any Call Off Agreements whether in relation to Provider Assets or otherwise;
- iv. taxation;
- v. fines and penalties;
- vi. amounts payable under the benchmarking provisions of Framework Schedule 12 (Continuous Improvement and Benchmarking); and

non-cash items (including depreciation, amortisation, impairments and movements in provisions);

"Crown"

- vii. means the government of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Executive and the National Assembly for Wales), including, but not limited to, government ministers and government departments and particular bodies, persons, commissions or agencies from time to time carrying out functions on its behalf;

"Crown Body"	means any department, office or executive agency of the Crown;
"CRTPA"	means the Contracts (Rights of Third Parties) Act 1999;
"Cyber Essentials Scheme"	means the Cyber Essentials Scheme developed by the Government which provides a clear statement of the basic controls all organisations should implement to mitigate the risk from common internet based threats (as may be amended from time to time). Details of the Cyber Essentials Scheme can be found here: https://www.gov.uk/government/publications/cyber-essentials-scheme-overview ;
"Cyber Essentials Scheme Basic Certificate"	means the certificate awarded on the basis of self-assessment, verified by an independent certification body, under the Cyber Essentials Scheme and is the basic level of assurance;
"Data Controller"	has the meaning given to it in the Data Protection Act 1998, as amended from time to time;
"Data Processor"	has the meaning given to it in the Data Protection Act 1998, as amended from time to time;
"Data Protection Legislation"	means the Data Protection Act 1998, as amended from time to time and all applicable laws and regulations relating to processing of personal data and privacy, including where applicable the guidance and codes of practice issued by the Information Commissioner or relevant Government department in relation to such legislation;
"Data Subject"	has the meaning given to it in the Data Protection Act 1998, as amended from time to time;
"Data Subject Access Request"	means a request made by a Data Subject in accordance with rights granted pursuant to the DPA to access his or her Personal Data;
"Default"	means any breach of the obligations of the Provider (including but not limited to any fundamental breach or breach of a fundamental term) or any other default, act, omission, misrepresentation, negligence or negligent statement of the Provider or the Provider Personnel in connection with or in relation to this Framework Agreement or the subject matter of this Framework Agreement and in respect of which the Provider is liable to the Authority;

"Default Management Charge"	has the meaning given to it in paragraph Error! Reference source not found. of Framework Schedule 9 (Management Information);
Department of Health	the first central Government contracting body publically committing to the adoption of PEPPOL across all NHS Trusts, and who have to comply with PEPPOL standards the same as all other Contracting Bodies;
"Direct Award Criteria"	means the award criteria to be applied for the direct award of Call Off Agreements for Services set out in Part A of Framework Schedule 6 (Award Criteria);
"Dispute"	means any dispute, difference or question of interpretation arising out of or in connection with this Framework Agreement, including any dispute, difference or question of interpretation relating to the Services, failure to agree in accordance with the procedure for variations in Clause 19.1 (Variation Procedure) or any matter where this Framework Agreement directs the Parties to resolve an issue by reference to the Dispute Resolution Procedure;
"Dispute Notice"	means a written notice served by one Party on the other stating that the Party serving the notice believes that there is a Dispute;
"Dispute Resolution Procedure"	means the dispute resolution procedure set out in Framework Schedule 18 (Dispute Resolution);
"DOTAS"	means the Disclosure of Tax Avoidance Schemes rules which require a promoter of tax schemes to tell HMRC of any specified notifiable arrangements or proposals and to provide prescribed information on those arrangements or proposals within set time limits as contained in Part 7 of the Finance Act 2004 and in secondary legislation made under vires contained in Part 7 of the Finance Act 2004 and as extended to national insurance contributions by the National Insurance Contributions (Application of Part 7 of the Finance Act 2004) Regulations 2012, SI 2012/1868) made under section 132A of the Social Security Administration Act 1992;
"DPA"	means the Data Protection Act 1998 as amended from time to time;
"Due Diligence Information"	means any information supplied to the Provider by or on behalf of the Authority prior to the Framework Commencement Date;
"Environmental Information Regulations or EIRs"	means the Environmental Information Regulations 2004 together with any guidance and/or codes of practice issued

	by the Information Commissioner or relevant Government department in relation to such regulations;
"Equivalent Services"	means services which the Provider can supply which are the same or similar to the Services;
"Estimated Year 1 Management Charge"	means the sum of £136,863.00 in pounds estimated by the Authority to be payable to it by the Provider as the total aggregate Management Charge from the Framework Commencement Date until the end of the first Contract Year;
"Extension Framework Period"	means such period or periods up to a maximum of two years in total as may be specified by the Authority pursuant to Clause 10.2 (Framework Period);
"FOIA"	means the Freedom of Information Act 2000 as amended from time to time and any subordinate legislation made under that Act from time to time together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government department in relation to such legislation;
"Framework"	means the framework arrangements established by the Authority for the provision of the Services to Contracting Authorities by Providers (including the Provider) pursuant to the OJEU Notice;
"Framework Agreement"	means this agreement consisting of the Clauses together with the Framework Schedules and any appendices and annexes to the same;
"Framework Commencement Date"	Means 07 November 2016;
"Framework Guarantee"	means a deed of guarantee in favour of the Authority in the form set out in Framework Schedule 13 (Framework Guarantee) granted pursuant to Clause Error! Reference source not found. (Guarantee);
"Framework Guarantor"	means any person acceptable to the Authority to give a Framework Guarantee;
"Framework Period"	means the period from the Framework Commencement Date until the expiry or earlier termination of this Framework Agreement;
"Framework Price(s)"	means the price(s) applicable to the provision of the Services set out in Framework Schedule 3 (Framework Prices and Charging Structure);
"Framework Schedules"	means the schedules to this Framework Agreement;
"Framework Providers"	means the Providers (including the Provider) appointed under this Framework Agreement or agreements on the

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

	same or similar terms to this Framework Agreement as part of the Framework;
"Fraud"	means any offence under any Laws creating offences in respect of fraudulent acts (including the Misrepresentation Act 1967) or at common law in respect of fraudulent acts including acts of forgery;
"Further Competition Award Criteria"	means the award criteria set out in Part B of Framework Schedule 6 (Award Criteria);
"Further Competition Procedure"	means the further competition procedure described in paragraph Error! Reference source not found. of Framework Schedule 5 (Call Off Procedure);
"General Anti-Abuse Rule"	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;
"General Change in Law"	means a Change in Law where the change is of a general legislative nature (including taxation or duties of any sort affecting the Provider) or which affects or relates to a Comparable Supply;
"Good Industry Practice"	means standards, practices, methods and procedures conforming to the Law and the exercise of the degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged within the relevant industry or business sector;
"Services Requirements"	means the requirements of the Authority or any other Contracting Authority (as appropriate) for the Services from time to time;
"Government"	means the government of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Executive and the National Assembly for Wales), including government ministers and government departments and other bodies, persons, commissions or agencies from time to time carrying out functions on its behalf;
"Halifax Abuse Principle"	means the principle explained in the CJEU Case C-255/02 Halifax and others;
"Holding Company"	has the meaning given to it in section 1159 of the Companies Act 2006;
"Improvement Plan"	means the plan required by the Authority from the Provider which shall detail how the Provider will improve the provision

of the Services pursuant to Clause 32.1.1 (Authority Remedies);

"Improvement Notice"

means the notice issued by the Authority to the Provider pursuant to Clause 32.1.3 (Authority Remedies) which will detail how the Provider shall improve the provision of the Services;

"Information"

has the meaning given under section 84 of the Freedom of Information Act 2000 as amended from time to time;

"Initial Framework Period"

means the period from the Framework Commencement Date until its second anniversary;

"Insolvency Event"

means, in respect of the Provider or Framework Guarantor or Call Off Guarantor (as applicable):

(a) a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or of any other composition scheme or arrangement with, or assignment for the benefit of, its creditors; or

(b) a shareholders' meeting is convened for the purpose of considering a resolution that it be wound up or a resolution for its winding-up is passed (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation); or

(c) a petition is presented for its winding up (which is not dismissed within fourteen (14) Working Days of its service) or an application is made for the appointment of a provisional liquidator or a creditors' meeting is convened pursuant to section 98 of the Insolvency Act 1986; or

(d) a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets; or

(e) an application order is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given; or

(f) it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986; or

(g) being a "small company" within the meaning of section 382(3) of the Companies Act 2006, a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or

(h) where the Provider or Framework Guarantor is an individual or partnership, any event analogous to those listed in limbs (a) to (g) (inclusive) occurs in relation to that individual or partnership; or

any event analogous to those listed in limbs (a) to (h) (inclusive) occurs under the law of any other jurisdiction; ()

"Intellectual Property Rights" or "IPR"	<p>means:</p> <ul style="list-style-type: none"> (a) copyright, rights related to or affording protection similar to copyright, rights in databases, patents and rights in inventions, semi-conductor topography rights, trade marks, rights in Internet domain names and website addresses and other rights in trade names, designs, Know-How, trade secrets and other rights in Confidential Information; (b) applications for registration, and the right to apply for registration, for any of the rights listed at (a) that are capable of being registered in any country or jurisdiction; and (a) all other rights having equivalent or similar effect in any country or jurisdiction;()
"Invitation to Tender" or "ITT"	(c) has the meaning given to it in Recital C to this Framework Agreement;
"Key Sub-Contract"	means each Sub-Contract with a Key Sub-Contractor;
"Key Sub-Contractor"	means any Sub-Contractor which is listed in Framework Schedule 7 (Key Sub-Contractors), that in the opinion of the Authority, performs (or would perform if appointed) a critical role in the provision of all or any part of the Services;
"IPR Claim"	means any claim of infringement or alleged infringement (including the defence of such infringement or alleged infringement) of any IPR used to provide the Services or as otherwise provided and/or licensed by the Provider (or to which the Provider has provided access) to the Authority in the fulfilment of its obligations under this Framework Agreement;
"Key Performance Indicators" or "KPIs"	means the performance measurements and targets set out in Part B of Framework Schedule 2 (Services and Key Performance Indicators);
"Know-How"	means all ideas, concepts, schemes, information, knowledge, techniques, methodology, and anything else in the nature of know-how relating to the Services but excluding know-how already in the other Party's possession before the Framework Commencement Date;
"KPI Target"	means the acceptable performance level for a KPI as set out in relation to each KPI;
"Law"	means any law, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of Section 2 of the European Communities Act 1972, regulation, order, regulatory policy, mandatory guidance or code of practice,

judgment of a relevant court of law, or directives or requirements with which the Provider is bound to comply;

"Legacy Services"	means services similar to the New Services and services which interface with or are intended to interface with or be replaced by the New Services;
"Losses"	means all losses, liabilities, damages, costs, expenses (including legal fees), disbursements, costs of investigation, litigation, settlement, judgment, interest and penalties whether arising in contract, tort (including negligence), breach of statutory duty, misrepresentation or otherwise and "Loss" shall be interpreted accordingly;
"Man Day"	means 7.5 Man Hours, whether or not such hours are worked consecutively and whether or not they are worked on the same day;
"Man Hours"	means the hours spent by the Provider Personnel properly working on the provision of the Services including time spent travelling (other than to and from the Provider's offices, or to and from the Sites) but excluding lunch breaks;
"Management Charge"	means the sum payable by the Provider to the Authority being an amount equal to 2 per cent (2%) of all Charges for the Services invoiced to the Contracting Authorities by the Provider (net of VAT) in each Month throughout the Framework Period and thereafter until the expiry or earlier termination of all Call Off Agreements entered pursuant to this Framework Agreement;
"Management Information" or "MI"	means the management information specified in Framework Schedule 9 (Management Information);
"MI Default"	has the meaning given to it in paragraph 6.1 of Framework Schedule 9 (Management Information);
"MI Failure"	<p>means when an MI report:</p> <ul style="list-style-type: none">(a) contains any material errors or material omissions or a missing mandatory field; or(b) is submitted using an incorrect MI reporting Template; or <p>is not submitted by the reporting date(including where a Nil Return should have been filed);()</p>
"MI Report"	<p>(a) means a report containing Management Information submitted to the Authority in accordance with Framework Schedule 9 (Management Information);</p>
"MI Reporting Template"	means the form of report set out in the Annex to Framework Schedule 9 (Management Information) setting out the

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

	information the Provider is required to supply to the Authority;
"Ministry of Justice Code"	means the Ministry of Justice's Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the Freedom of Information Act 2000 as amended from time to time;
"MISO"	means 'Management Information System Online'. An online portal located at https://miso.buyingsolutions.gov.uk provided by the Authority for collection and receipt of Management Information;
"Month"	means a calendar month and "Monthly" shall be interpreted accordingly;
"New Services"	means services which a Contracting Authority wishes to procure from a third party which are the same or similar to the Services;
"Nil Return"	has the meaning given to it in paragraph 3.3 of Framework Schedule 9 (Management Information);
"Occasion of Tax Non – Compliance"	<p>means where:</p> <ul style="list-style-type: none"> (a) any tax return of the Provider submitted to a Relevant Tax Authority on or after 1 October 2012 which is found on or after 1 April 2013 to be incorrect as a result of: <ul style="list-style-type: none"> i. a Relevant Tax Authority successfully challenging the Provider under the General Anti-Abuse Rule or the Halifax abuse principle or under any tax rules or legislation in any jurisdiction that have an effect equivalent or similar to the General Anti-Abuse Rule or the Halifax abuse principle; ii. the failure of an avoidance scheme which the Provider was involved in, and which was, or should have been, notified to a Relevant Tax Authority under the DOTAS or any equivalent or similar regime in any jurisdiction; and/or <p>any tax return of the Provider submitted to a Relevant Tax Authority on or after 1 October 2012 which gives rise, on or after 1 April 2013, to a criminal conviction in any jurisdiction for tax related offences which is not spent at the Framework Commencement Date or to a civil penalty for fraud or evasion;</p>
"OJEU Notice"	(b) has the meaning given to it in Recital A to this Framework Agreement;
"Open Book Data"	means complete and accurate financial and non-financial information which is sufficient to enable the Authority to verify the Charges already paid or payable and Charges

forecast to be paid during the Framework Period and term of any Call Off Agreements, including details and all assumptions relating to:

- (a) the Provider's Costs broken down against each Good and/or Service and/or deliverable, including actual capital expenditure (including capital replacement costs) and the unit cost and total actual costs of all services;
- (b) operating expenditure relating to the provision of the Services including an analysis showing:
 - i. the unit costs and quantity of any services;
 - ii. manpower resources broken down into the number and grade/role of all Provider Personnel (free of any contingency) together with a list of agreed rates against each manpower grade;
 - iii. a list of Costs underpinning those rates for each manpower grade, being the agreed rate less the Provider Profit Margin; and
- (c) Overheads;
- (d) all interest, expenses and any other third party financing costs incurred in relation to the provision of the Services;
- (e) the Provider Profit achieved over the Framework Period and term of any Call Off Agreements and on an annual basis;
- (f) confirmation that all methods of Cost apportionment and Overhead allocation are consistent with and not more onerous than such methods applied generally by the Provider;
- (g) an explanation of the type and value of risk and contingencies associated with the provision of the Services, including the amount of money attributed to each risk and/or contingency; and

the actual Costs profile for each Service Period under any Call Off Agreements;

"Order"	(h) means an order for the provision of the Services placed by a Contracting Authority with the Provider under a Call Off Agreement;
"Other Contracting Authorities"	means all Contracting Authorities except the Authority and "Other Contracting Authority" shall be construed accordingly;
"Overhead"	means those amounts which are intended to recover a proportion of the Provider's or the Key Sub-Contractor's (as the context requires) indirect corporate costs (including financing, marketing, advertising, research and development and insurance costs and any fines or penalties) but excluding allowable indirect costs apportioned to facilities and

administration in the provision of Provider Personnel and accordingly included within limb (a) of the definition of "Costs";

"Parent Company"	means any company which is the ultimate Holding Company of the Supplier and/or Customer
"Party"	means the Authority or the Provider and "Parties" shall mean both of them;
"Personal Data"	has the meaning given to it in the Data Protection Act 1998 as amended from time to time;
"PEPPOL"	means the Pan-European Public Procurement Online
"PEPPOL Standards"	is the meaning for the standards applied to the IT Transport Infrastructure through Access Points and the services provided for eProcurement with standardised electronic document formats.
"PEPPOL Authority"	means a government entity with a responsibility to facilitate e-procurement, and e-government at regional or national levels within Europe, as defined in http://www.peppol.eu/peppol_elements/-transport-infrastructure/governance/peppol-coordinating-authority ;
"Processing"	has the meaning given to it in the Data Protection Legislation but, for the purposes of this Framework Agreement, it shall include both manual and automatic processing and "Process" and "Processed" shall be interpreted accordingly;
"Prohibited Act"	means any of the following: <ul style="list-style-type: none">(a) to directly or indirectly offer, promise or give any person working for or engaged by a Contracting Authority and/or the Authority a financial or other advantage to:<ul style="list-style-type: none">i. induce that person to perform improperly a relevant function or activity; orii. reward that person for improper performance of a relevant function or activity;(b) to directly or indirectly request, agree to receive or accept any financial or other advantage as an inducement or a reward for improper performance of a relevant function or activity in connection with this Agreement;(c) committing any offence:

	<ul style="list-style-type: none"> i. under the Bribery Act 2010 (or any legislation repealed or revoked by such Act); or ii. under legislation creating offences concerning Fraud; or iii. at common law concerning Fraud; or committing (or attempting or conspiring to commit) Fraud; .
"Regulations"	<ul style="list-style-type: none"> i. means the Public Contracts Regulations 2015 and/or the Public Contracts (Scotland) Regulations 2012 (as the context requires) as amended from time to time;
"Relevant Person"	means any employee, agent, servant, or representative of the Authority, or of any Other Contracting Authority or other public body;
"Relevant Requirements"	means all applicable Law relating to bribery, corruption and fraud, including the Bribery Act 2010 and any guidance issued by the Secretary of State for Justice pursuant to section 9 of the Bribery Act 2010;
"Relevant Tax Authority"	means HMRC, or, if applicable, the tax authority in the jurisdiction in which the Provider is established;
"Relevant Provider"	means a third party bidding to provide New Services;
"Replacement Services"	means any services which are substantially similar to any of the Services and which are received in substitution for the Services following the expiry or termination of this Framework Agreement;
"Replacement Provider"	means any third party provider of Replacement Services appointed by or at the direction of the Authority from time to time;
"Reporting Date"	means the 7th day of each Month following the Month to which the relevant Management Information relates, or such other date as may be agreed between the Parties;
"Requests for Information"	means a request for information relating to this Framework Agreement or the provision of the Services or an apparent request for such information under the Code of Practice on Access to Government Information, FOIA or the EIRs;
"Restricted Countries"	shall have the meaning given to it in Clause 27.5.3 (Protection of Personal Data);
"Self Audit Certificate"	means the certificate in the form as set out in Framework Schedule 10 (Annual Self Audit Certificate) to be provided to the Authority in accordance with Clause 18 (Records, Audit Access and Open Book Data);

"Service Period"	has the meaning given to it in Framework Schedule 4 (Template Order Form and Template Call Off Terms) as refined by a Contracting Authority in a Call Off Agreement between that Contracting Authority and the Provider;
"Services"	means the services described in Framework Schedule 2 (Services and Key Performance Indicators) which the Provider shall make available to Contracting Bodies;
"Specific Change in Law"	means a Change in Law that relates specifically to the business of the Authority and which would not affect a Comparable Supply;
"Standards"	<p>means:</p> <ul style="list-style-type: none"> (a) any standards published by BSI British Standards, the National Standards Body of the United Kingdom, the International Organisation for Standardisation or other reputable or equivalent bodies (and their successor bodies) that a skilled and experienced operator in the same type of industry or business sector as the Provider would reasonably and ordinarily be expected to comply with; (b) any standards detailed in the specification in Framework Schedule 2 (Services and Key Performance Indicators); (c) any Standards detailed by a Contracting Authority in a Call Off Agreement following a Further Competition Procedure; <p>any relevant Government codes of practice and guidance applicable from time to time.</p>
"Statement of Requirements"	(d) means a statement issued by the Authority or any Other Contracting Authority detailing its Services Requirements issued in accordance with the Call Off Procedure;
"Sub-Contract"	<p>means any contract or agreement (or proposed contract or agreement), other than this Framework or a Call Off Agreement, pursuant to which a third party:</p> <ul style="list-style-type: none"> (a) provides the Services (or any part of them); (b) provides facilities or services necessary for the provision of the Services (or any part of them); and/or (c) is responsible for the management, direction or control of the provision of the Services (or any part of them);
"Sub-Contractor"	means any person other than the Provider who is a party to a Sub-Contract and the servants or agents of that person;
"Provider"	means the person, firm or company stated in the preamble to this Framework Agreement;

"Provider Action Plan"	means a document, maintained by the Authority, capturing information about the relationship between the Parties including, but not limited to strategic objectives, actions, initiatives, communication channels, risks and Provider performance;
"Provider Personnel"	means all persons employed or engaged by the Provider together with the Provider's servants, agents, Providers, consultants and Sub-Contractors (and all persons employed by any Sub-Contractor together with the Sub-Contractor's servants, consultants, agents, Providers and sub-contractors) used in the performance of its obligations under this Framework Agreement or any Call Off Agreements;
"Provider Profit"	means, in relation to a period, the difference between the total Charges (in nominal cash flow terms but excluding any Deductions (as defined in Call Off Schedule 1 (Definitions)) and total Costs (in nominal cash flow terms) in respect of any Call Off Agreements for the relevant period;
"Provider Profit Margin"	means, in relation to a period, the Provider Profit for the relevant period divided by the total Charges over the same period in respect of any Call Off Agreements and expressed as a percentage;
"Provider Representative"	means the representative appointed by the Provider from time to time in relation to this Framework Agreement;
"Provider's Confidential Information"	means any information, however it is conveyed, that relates to the business, affairs, developments, trade secrets, Know-How, personnel and Providers of the Provider, including IPRs, together with information derived from the above, and any other information clearly designated as being confidential (whether or not it is marked as "confidential") or which ought reasonably to be considered to be confidential;
"Template Call Off Terms"	means the template terms and conditions in Annex 2 to Framework Schedule 4 (Template Order Form and Template Call Off terms);
"Template Order Form"	means the template form in Annex 1 to Framework Schedule 4 (Template Order Form and Template Call Off terms);
"Tender"	means the tender submitted by the Provider to the Authority on a copy of which is set out in Framework Schedule 21 (Tender);
"Termination Notice"	means a written notice of termination given by one Party to the other, notifying the Party receiving the notice of the intention of the Party giving the notice to terminate this Agreement on a specified date and setting out the grounds for termination;

Transparency Principles	means the principles set out at https://www.gov.uk/government/publications/transparency-of-Providers-and-government-to-the-public (and as may be amended from time to time) detailing the requirement for the proactive release of information under the Government's transparency commitment to publish contract information. They set a presumption in favour of disclosure, to encourage both Government and Providers to consider the information that should be made available when government signs a contract with a Provider.
"Transparency Reports"	means the information relating to the Services and performance of this Framework Agreement which the Provider is required to provide to the Authority in accordance with the reporting requirements in Framework Schedule 22;
"Trojans"	means a type of software, usually downloaded from the internet, that seems to be an ordinary program but that can destroy, or allow someone to steal, data
"Variation"	has the meaning given to it in Clause 19.1.1 (Variation Procedure);
"Variation Form"	means the form that will be completed and signed by the Parties to effect a Variation which shall be in the form set out in Framework Schedule 19 (Variation Form);
"Variation Procedure"	means the procedure for carrying out a Variation as set out in Clause 19.1 (Variation Procedure);
"VAT"	means value added tax in accordance with the provisions of the Value Added Tax Act 1994;
"Working Days"	means any day other than a Saturday, Sunday or public holiday in England and Wales.

FRAMEWORK SCHEDULE 2: SERVICES AND KEY PERFORMANCE INDICATORS

Part A – Services

1. GENERAL

- 1.1. The purpose of this Part A of Framework Schedule 2 (Services and Key Performance Indicators) is to lay down the characteristics of the Services that the Provider will be required to make available to all Contracting Authorities under this Framework Agreement together with any specific Standards applicable to the Services.
- 1.2. The Services and any Standards set out in paragraph 2.2 below may be refined (to the extent permitted and set out in Framework Schedule 5 (Call Off Procedure)) by a Contracting Authority during a Further Competition Procedure to reflect its Services Requirements for entering a particular Call Off Agreement.
- 1.3. Call Off requirements must reflect the Services available under the scope of this Framework Agreement.
- 1.4. Call Off requirements may be for one, any number and combination of, or all the Services within the Lot.
- 1.5. The Services and any Standards set out in this Part A - Services will apply equally to the Provider and any Sub-Contractor and/or Key Sub-Contractor who is party to the provision of any of the Services.

2. Scope of Requirement

- 2.1. Providers will provide message exchange services in accordance with relevant prevailing PEPPOL Transport Infrastructure Agreements. The Provider will receive purchase orders from Contracting Bodies, validate and map them to the PEPPOL message specifications and send on to the Providers PEPPOL Access Point using the PEPPOL Transport Infrastructure. It will also receive relevant Invoices from PEPPOL Access Points for onward mapping and transmission to its Contracting Body. The Provider shall be able to receive and transmit business documents to its Contracting Body in the format and transmission method its Contracting Body requires. The Provider may provide additional services such as general professional services including change management, project management and integration directly to the Contracting Body's host system and testing.
- 2.2. The following services are not within the scope of this Framework Agreement:
 - 2.2.1. Archiving services
 - 2.2.2. Invoice Retrieval
 - 2.2.3. Remapping

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

2.2.4. Buyer connection

3. Required Services

3.1. General

- 3.1.1. The services covered by this procurement will be under 1 single Lot.
- 3.1.2. Providers shall have a valid membership of Open PEPPOL AISBL
 - 3.1.2.1. OpenPEPPOL is a non-profit international association under Belgian law OpenPEPPOL “AISBL (Association Internationale Sans But Lucratif)”.
- 3.1.3. The Provider shall provide the required PEPPOL Access Point services in accordance with the minimum requirements prescribed by the PEPPOL Transport Infrastructure Agreements set out at Annex 1 to this Schedule 2.
 - 3.1.3.1. Annex 1 to this Schedule 2 provides the terms of the PEPPOL Transport Infrastructure Agreement to which all Providers must have a valid and signed Agreement for an Access Point provider with a PEPPOL Authority.
- 3.1.4. The Provider shall accept documents from Contracting Bodies in an unstructured format and have the ability to map these to the prevailing PEPPOL Standards.
- 3.1.5. The Provider shall map documents from the PEPPOL prevailing Standards to the format requested by the Contracting Body.
- 3.1.6. The Provider shall have Testing infrastructure relevant to the Services and robust test plans and methodologies
- 3.1.7. The Provider shall ensure the Contracting Body understands who their (the Contracting Body's) relevant PEPPOL Authority is.
 - 3.1.7.1. The Provider shall be responsible for liaising with the relevant PEPPOL Authority to obtain the security key to the access point required by Contracting Body.
- 3.1.8. The Provider shall provide a service desk to resolve any issues with it's Contracting Bodies
- 3.1.9. The Provider shall ensure Contracting Bodies are aware of suppliers relevant to them (part of the Contracting Body's supply chain), that are utilising the PEPPOL network.

- 3.1.10. Providers shall have a documented capacity planning process that ensures sufficient system capacity based on statistics of work load, availability and response time.
- 3.1.11. Provider shall have an escalation procedure and a contingency plan to handle service disruption.
- 3.1.12. Providers shall log service downtime and document availability in monthly reports.

3.2. Implementation Plan

- 3.2.1. Providers shall provide Contracting Bodies, where required by a Contracting Body (and which will be detailed by the Contracting Body on their Order Form), an Implementation Plan detailing how they will provide PEPPOL Access Point Services from inception to delivery.

3.3. Reporting Requirements

- 3.3.1. As a minimum requirement Providers will submit the following Management Information to:
 - 3.3.1.1. The Authority - Management Information as detailed in Schedule 9 of the Framework Agreement.
 - 3.3.1.2. The Authority quarterly reporting to include:
 - (a) Activities during the relevant quarter period
 - (b) Add Planned activity for the next quarter
 - (c) Risks and issues
 - (d) Customer feedback
 - (e) New business opportunities during period
 - 3.3.1.3. The Authority monthly reporting to include:
 - (a) Spend including Month total and year to date
 - (b) Name of new Contracting Bodies on-boarded during month
 - (c) Total number of customers
 - (d) Total number of transactions
 - (e) Number of transactions per customer – invoices and purchase orders
 - (f) Professional Services – total spend and description of services being delivered.
 - (g) Number of service level failures.
 - 3.3.1.4. The PEPPOL Authority –
 - (a) the number of transactions
 - (b) service levels to include number of errors, failures.
 - (c) The data above is to be submitted to the PEPPOL Authority on a monthly basis by the 15th of each calendar

month and in accordance with the PEPPOL Transport Agreement at Annex 3 PEPPOL AP Provider Agreement (as listed under Annex 1 of this Schedule 2)

3.3.1.5. Contracting Bodies - comprehensive Management information on a monthly basis to include as a minimum:

- (a) Service levels to include number of errors and failures
- (b) Number of transactions
- (c) Costs to the Contracting Body, to be broken down by transaction, Annual Subscription and a combined cost.

Contracting Bodies will set the date for provision of Management Information and may further define this requirement in the Order Form.

3.3.2. The above Management Information requirements are a minimum standard and do not limit in any way additional reporting requirements by either the Authority, PEPPOL Authority or Contracting Bodies.

3.4. Staff and Customer Service

3.4.1. Providers shall provide a sufficient level of resource throughout the duration of the RM3784: PEPPOL Access Point Services Framework Agreement and Call Off Agreements thereunder in order to consistently deliver a quality Service to all Parties.

3.4.2. All Provider's assigned staff to the RM3784: PEPPOL Access Point Services Framework Agreement and Call Off Agreements thereunder shall have the capability (and including qualifications and experience) deemed necessary by the Potential Providers to deliver the Services

3.4.3. For all work undertaken via this Framework Agreement, the Provider shall ensure that their staff understand the Contracting Body's vision and objectives and shall provide excellent customer service to the Contracting Body throughout the duration of the Call Off Agreement.

3.5. Additional Services

3.5.1. Providers shall have the capability to provide, where required by a Contracting Body (and which will be detailed by the Contracting Body on their Order Form), additional professional services which shall include (but not be limited to) the following:

- (a) Implementation planning including a robust methodology outlining logical steps such as project definition, scope, risk management, phased take on, Understanding of how to inform the trust of pre-registered suppliers (VIA SMP)

- (b) Document mapping including how the Provider can work with the Contracting Body irrespective of document types (including spreadsheet/paper) that need to be transmitted across the PEPPOL TI)
 - (c) technical expertise that is capable of integrating to Host ERP systems using multiple mainstream methods
 - (d) Provision of robust methodology and testing process that outlines how the Provider will mitigate risk of document transmissions
 - (e) increasing a Contracting Body's maturity in the automated exchange of documents through the provision of stakeholder management, change management and provision of clear and concise examples of Returns on Investment (ROI) as the Contracting Body moves through the maturity curve
- 3.5.2. The Provider warrants and undertakes to the Authority that it shall comply with any eProcurement Guidance applicable to the Contracting Body for which it is carrying out the Services and shall carry out all reasonable acts required of the Provider to enable the Contracting Body to comply with such eProcurement Guidance.'

For example, the eProcurement Guidance relevant to NHS Trusts is the NHS eProcurement Strategy:

<https://www.gov.uk/government/publications/nhs-e-procurement-strategy>

3.6. Standards

- 3.6.1. Providers shall adhere to the PEPPOL standards laid out in the Annexes to this Schedule 2
- 3.6.2. Providers shall adhere to the following standards in addition:
 - 3.6.2.1. Cyber Essentials Basic
 - 3.6.2.2. Data Protection Act 2009

4. Service Levels and Performance

- 4.1. The Key Performance Indicators (KPIs) that all Providers are required to meet are described at Part B to this Schedule 2.
 - 4.1.1. The Provider will note that the KPIs for these Services require adherence to the KPIs required by the PEPPOL Standard as described at Annex 3 to the PEPPOL AP Provider Agreement (as listed under Annex 1 of this Schedule 2)

- 4.1.2. Providers will be required to attend regular Provider Review Meetings with the Authority in accordance with Schedule 8 Framework Management, paragraph 2.2 throughout the Framework Period and thereafter until the Framework Expiry Date.
- 4.1.3. Providers will be required to attend regular PEPPOL Review Meetings with the PEPPOL Authority in accordance with Schedule 8 Framework Management, Clause 2.3 throughout the Framework Period and thereafter until the Framework Expiry Date.

ANNEX 1 – PEPPOL TRANSPORT INFRASTRUCTURE AGREEMENT

1. The current version of the PEPPOL Transport Infrastructure Agreement can be located by following the below URL link:

Link to PEPPOL Transport Infrastructure Agreement:

<http://www.peppol.eu/ressource-library/technical-specifications/infrastructure-resources>

2. The PEPPOL Transport Infrastructure Agreement includes all of the following documents;

PEPPOL AP Provider Agreement

Annex 1 - Contact Points

Annex 2 - Definitions

Annex 3 - Services

Annex 4 - Technical Standards

Annex 5 - Regional Domain

Annex 6 - Change Procedure

Part B – Key Performance Indicators

1. General

- 1.1. The purpose of this Part B is to set out the KPIs by which the Provider's overall performance under this Framework Agreement shall be monitored and managed. The Authority reserves the right to adjust, introduce new, or remove KPIs throughout the Framework Period, however any significant changes to KPIs shall be agreed between the Authority and the Provider in accordance with Clause 19.1 (Variation Procedure).
- 1.2. The Provider shall comply with all its obligations related to KPIs set out in this Framework Agreement including Framework Schedule 8 (Framework Management) and shall use all reasonable endeavours to meet the KPI Targets identified in the table below.
- 1.3. The KPIs from which performance by the Provider of this Framework Agreement will be reported against are set out below:

[Guidance Note: The KPI targets in the table below including any applicable KPI weightings and scoring methodology will be set out in the Provider Action Plan – see Framework Schedule 8 (Framework Management)]

Key Performance Indicator (KPI)	KPI Target	Measured by
1. FRAMEWORK MANAGEMENT		
1.1 MI returns: All MI returns to be returned to CCS by the 5 th Working Day of each month	100%	Confirmation of receipt and time of receipt by the Authority (as evidenced within the Authority's data warehouse (MISO) system)
1.2 All undisputed invoices to be paid within 30 calendar days of issue	100%	Confirmation of receipt and time of receipt by the Authority (as evidenced within the Authority's CODA system)

1.3 Provider self-audit certificate to be issued to the Authority in accordance with the Framework Agreement	100%	Confirmation of receipt and time of receipt by the Authority
1.4 Actions identified in an Audit Report to be delivered by the dates set out in the Audit Report	100%	Confirmation by the Authority of completion of the actions by the dates identified in the Audit Report
2. OPERATIONAL EFFICIENCY/PRICE SAVINGS		
2.1 The Provider to deliver against the Provider Action Plan to derive further cost savings over the Framework Period via continuous improvement and innovation		Confirmation by the Authority of the cost savings achieved by the dates identified in the Provider Action Plan
3. DEMAND MANAGEMENT SAVINGS		
3.1 The Provider to deliver against the Provider Action Plan to derive further cost savings over the Framework Period continuous improvement and innovation	100%	Confirmation by the Authority of the cost savings achieved by the dates identified in the Provider Action Plan
4. CUSTOMER SATISFACTION		
4.1 Services to be provided under Call Off Agreements to the satisfaction of Contracting Authorities	95%	Confirmation by the Authority of the Provider's performance against customer satisfaction surveys
5. PEPPOL SERVICES		
5.1 Service Levels detailed under the <i>PEPPOL Access Point Sourcing Definition V3 – Annex 1.3</i> PEPPOL Transport Infrastructure agreements – Section 3 (PEPPOL Service Levels).	100%	Confirmation by the Authority of the Provider's performance against the PEPPOL Transport Infrastructure

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

http://www.peppol.eu/ressource-library/technical-specifications/infrastructure-resources		Agreement Service Levels.
---	--	---------------------------------

FRAMEWORK SCHEDULE 3: FRAMEWORK PRICES AND CHARGING STRUCTURE

1. NOT USED

2. General Provision

- 2.1. The Framework Prices set out in Annex 3 to this Framework Schedule 3 are the maximum that the Provider may charge pursuant to any Call Off Agreement.
- 2.2. The Provider acknowledges and agrees that any prices submitted in relation to a further competition held in accordance with Framework Schedule 5 (Call Off Procedure) shall be equal to or lower than the Framework Prices.
- 2.3. The Provider acknowledges and agrees that, subject to paragraph 6 of this Framework Schedule 3 (Adjustment of the Framework Prices), the Framework Prices cannot be increased during the Framework Period.

3. PRICING MECHANISM FOR THE CALCULATION OF FRAMEWORK PRICES

- 3.1. Framework Prices shall be calculated on the basis of the rates and prices specified in Annex 2 to this Framework Schedule 3.
 - 3.1.1. Not Used.
 - 3.1.2. Not Used.
 - 3.1.3. Not Used.

4. COSTS AND EXPENSES

- 4.1. The Framework Prices shall include all costs and expenses relating to the Services provided to Contracting Authorities and/or the Provider's performance of its obligations under any Call Off Agreements and no further amounts shall be payable by a Contracting Authority to the Provider in respect of such performance, including in respect of matters such as:
 - 4.1.1. any incidental expenses that the Provider incurs, including travel, subsistence and lodging, document or report reproduction, shipping, desktop or office equipment costs required by the Provider Personnel, network or data interchange costs or other telecommunications charges; or
 - 4.1.2. any amount for any services provided or costs incurred by the Provider prior to the commencement date of any Call Off Agreement.

5. NOT USED

6. ADJUSTMENT OF THE FRAMEWORK PRICES

6.1. The Framework Prices shall only be varied:

- 6.1.1. due to a Specific Change in Law in relation to which the Parties agree that a change is required to all or part of the Framework Prices in accordance with Clause 19.2 of this Framework Agreement (Legislative Change);
- 6.1.2. where all or part of the Framework Prices are reviewed and reduced following the process outlined at Framework Schedule 12 (Continuous Improvement and Benchmarking);
- 6.1.3. where all or part of the Framework Prices are reviewed and reduced in accordance with paragraph 7 of this Framework Schedule 3 (Provider Periodic Assessment of Framework Prices);

Subject to paragraphs 6.1.1 to 6.1.3 of this Framework Schedule, the Framework Prices will remain fixed for the first 12 months of the Contract.

7. PROVIDER PERIODIC ASSESSMENT OF FRAMEWORK PRICES

- 7.1. Every six (6) Months during the Framework Period, the Provider shall assess the level of the Framework Prices to consider whether it is able to reduce them.
- 7.2. Such assessments by the Provider under paragraph 7.1 shall be carried out after a twelve (12) month period on the 3 October and then every 6 months thereafter (starting on the 1 May 2018) in each Contract Year (or in the event that such dates do not, in any Contract Year, fall on a Working Day, on the next Working Day following such dates). To the extent that the Provider is able to decrease all or part of the Framework Prices it shall promptly notify the Authority in writing and such reduction shall be implemented in accordance with paragraph 8.1.3 below.

8. NOT USED

9. NOT USED

10. PROVIDER IMPLEMENTATION OF ADJUSTED FRAMEWORK PRICES

- 10.1. Variations in accordance with the provisions of this Framework Schedule 3 to all or part the Framework Prices (as the case may be) shall be made by the Authority to take effect:
 - 10.1.1. in accordance with Clause 19.2 (Legislative Change) where an adjustment to the Framework Prices is made in accordance with paragraph 6.1.1 of this Framework Schedule;
 - 10.1.2. within 3 months of a benchmarking exercise if price adjustments have been identified following the process outlined in Framework Schedule

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

12 (Continuous Improvement and Benchmarking) in accordance with paragraph 6.1.2 of this Framework Schedule 3; or

10.1.3. on 1 June for assessments made on 1 May and on 1 November for assessments made on 1 October where an adjustment to the Framework Prices is made in accordance with paragraph 6.1.3 of this Framework Schedule 3

10.1.4. and the Parties shall amend the Framework Prices shown in Annex 3 to this Framework Schedule 3 to reflect such variations.

11. CHARGES UNDER CALL OFF AGREEMENTS

- 11.1. For the avoidance of doubt any change to the Framework Prices implemented pursuant to this Framework Schedule 3 are made independently of, and, subject always to paragraphs 2.1 and 2.2 of this Framework Schedule 3 and shall not affect the Charges payable by a Contracting Authority under a Call Off Agreement in force at the time a change to the Framework Prices is implemented.
- 11.2. Any variation to the Charges payable under a Call Off Agreement must be agreed between the Provider and the relevant Contracting Authority and implemented in accordance with the provisions applicable to the Call Off Agreement.

12. E-COMMERCE TRANSACTIONS WITH CENTRAL GOVERNMENT BODIES

- 12.1. The Provider acknowledges and agrees that the Government's wide strategy of 'Digital by Default' (<https://www.gov.uk/government/publications/government-digital-strategy>) endorses a commitment to implement e-commerce systems, including, for example, purchase-to-pay (P2P) automated systems, as the preferred transacting model for all Government's purchasing transactions. The intent is to migrate, wherever practically possible, all Government's purchasing to an e-commerce environment.
- 12.2. The Provider acknowledges and agrees that when contracting with Central Government Bodies, the latter may use a specific e-commerce application and the Provider shall be required to comply with the relevant requirements set out by the relevant Central Government Body in their Statement of Requirements during the Further Competition Procedure and/or terms of the relevant Call Off Agreement.

ANNEX 1: NOT USED

ANNEX 2: RATES AND PRICES

Redacted

Service Offering	Number of Transactions	Price (£)		Additional Services	Price (£)		
ADVANCED / STRUCTURED Annual Subscription Charge (including reporting and basic infrastructure)	0 - 100,000			Additional Services Day Rate where additional services are required			
	100,001 - 250,000						
	250,001 - 500,000						
	500,001 +						
BASIC / UNSTRUCTURED Annual Subscription Charge (including reporting and basic infrastructure)	0 - 100,000						
	100,001 - 250,000						
	250,001 - 500,000						
	500,001 +						
ADVANCED / STRUCTURED Charge per Transaction (purchase order & invoice)	0 - 100,000						
	100,001 - 250,000						
	250,001 - 500,000						
	500,001 +						
BASIC / UNSTRUCTURED Charge per Transaction (purchase order & invoice)	0 - 100,000						
	100,001 - 250,000						
	250,001 - 500,000						
	500,001 +						
		Subscription Fee (£)	Charge per Transaction (£)				
ADVANCED / STRUCTURED Annual Subscription Charge + Charge per Transaction	0 - 100,000						
	100,001 - 250,000						
	250,001 - 500,000						
	500,001 +						
BASIC / UNSTRUCTURED Annual Subscription Charge + Charge per Transaction	0 - 100,000						
	100,001 - 250,000						
	250,001 - 500,000						
	500,001 +						

Additional services may be required. These will therefore be charged as a blended day rate and can be used in conjunction with any of the above pricing models.

ANNEX 3: FRAMEWORK PRICES

[Guidance Note: Prior to the commencement of the Framework Agreement, the Authority will incorporate here, the Provider's tendered Framework Prices including any discounts.]

Redacted

**FRAMEWORK SCHEDULE 4: TEMPLATE ORDER FORM AND TEMPLATE
CALL OFF TERMS**

ANNEX 1: TEMPLATE ORDER FORM

ANNEX 2: TEMPLATE CALL OFF TERMS

FRAMEWORK SCHEDULE 5: CALL OFF PROCEDURE

1. AWARD PROCEDURE

1.1. If the Authority or any Other Contracting Authority decides to source the Services through this Framework Agreement then it will award its Services Requirements in accordance with the procedure in this Framework Schedule 5 (Call Off Procedure) and the requirements of the Regulations and the Guidance. For the purposes of this Framework Schedule 5, "Guidance" shall mean any guidance issued or updated by the UK Government from time to time in relation to the Regulations.

1.2. If a Contracting Authority can determine that:

- 1.2.1. its Services Requirements can be met by the Framework Providers' catalogues and description of the Services as set out in Framework Schedule 2 (Services and Key Performance Indicators); and
- 1.2.2. all of the terms of the proposed Call Off Agreement are laid down in this Framework Agreement and the Template Call Off Terms do not require amendment or any supplementary terms and conditions (other than the inclusion of optional provisions already provided for in the Template Call Off Terms);

then the Contracting Authority may award a Call Off Agreement in accordance with the procedure set out in paragraph 2 below.

1.3. If all of the terms of the proposed Call Off Agreement are not laid down in this Framework Agreement and a Contracting Authority:

- 1.3.1. requires the Provider to develop proposals or a solution in respect of such Contracting Authority's Services Requirements; and/or
- 1.3.2. needs to amend or refine the Template Call Off Terms to reflect its Services Requirements to the extent permitted by and in accordance with the Regulations and Guidance;

then the Contracting Authority shall award a Call Off Agreement in accordance with the Further Competition Procedure set out in paragraph 3 below.

2. DIRECT ORDERING WITHOUT A FURTHER COMPETITION

2.1. Subject to paragraph 1.2 above any Contracting Authority awarding a Call Off Agreement under this Framework Agreement without holding a further competition shall:

- 2.1.1. develop a clear Statement of Requirements;
- 2.1.2. apply the Direct Award Criteria to the Framework Providers' catalogues and description of the Services as set out in Framework Schedule 2 (Services and Key Performance Indicators) for all Providers capable of meeting the Statement of Requirements in order to establish which of the Framework Providers the most economically advantageous solution; and

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

- 2.1.2.1. on the basis set out above, award the Call Off Agreement with the successful Framework Provider in accordance with paragraph 8 below.

3. FURTHER COMPETITION PROCEDURE

3.1. Contracting Authority's Obligations

- 3.1.1. Any Contracting Authority awarding a Call Off Agreement under this Framework Agreement through a Further Competition Procedure shall:

- 3.1.1.1. develop a Statement of Requirements setting out its requirements for the Services and identify the Framework Providers capable of supplying the Services;
- 3.1.1.2. amend or refine the Template Call Off Form and Template Call Off Terms to reflect its Services Requirements only to the extent permitted by and in accordance with the requirements of the Regulations and Guidance;
- 3.1.1.3. invite tenders by conducting a Further Competition Procedure for its Services Requirements in accordance with the Regulations and Guidance and in particular:

(a) the Contracting Authority shall:

- i. invite the Framework Providers identified in accordance with paragraph 3.1.1 to submit a tender in writing for each proposed Call Off Agreement to be awarded by giving written notice by email to the relevant Provider Representative of each Framework Provider;
 - ii. set a time limit for the receipt by it of the tenders which takes into account factors such as the complexity of the subject matter of the proposed Call Off Agreement and the time needed to submit tenders; and
 - iii. keep each tender confidential until the time limit set out for the return of tenders has expired.
- 3.1.2. apply the Further Competition Award Criteria to the Framework Providers' compliant tenders submitted through the Further Competition Procedure as the basis of its decision to award a Call Off Agreement for its Services Requirements;
 - 3.1.3. on the basis set out above, award its Call Off Agreement to the successful Framework Provider in accordance with paragraph 8 which Call Off Agreement shall:

- (a) state the Services Requirements;
 - (b) state the tender submitted by the successful Framework Provider;
 - (c) state the charges payable for the Services Requirements in accordance with the tender submitted by the successful Framework Provider; and
 - (d) incorporate the Template Call Off Form and Template Call Off Terms (as may be amended or refined by the Contracting Authority in accordance with paragraph 3.1.1.2 above) applicable to the Services,
- 3.1.4. provide unsuccessful Framework Providers with written feedback in relation to the reasons why their tenders were unsuccessful.

3.2. The Provider's Obligations

- 3.2.1. The Provider shall in writing, by the time and date specified by the Contracting Authority following an invitation to tender pursuant to paragraph 3.1.3 above, provide the Contracting Authority with either:
- 3.2.1.1. a statement to the effect that it does not wish to tender in relation to the relevant Services Requirements; or
 - 3.2.1.2. the full details of its tender made in respect of the relevant Statement of Requirements. In the event that the Provider submits such a tender, it should include, as a minimum:
 - (a) an email response subject line to comprise unique reference number and Provider name, so as to clearly identify the Provider;
 - (b) a brief summary, in the email (followed by a confirmation letter), stating that the Provider is bidding for the Statement of Requirements;
 - (c) a proposal covering the Services Requirements.
 - (d) confirmation of discounts applicable to the Services, as referenced in Framework Schedule 3 (Framework Prices and Charging Structure).
- 3.2.2. The Provider shall ensure that any prices submitted in relation to a Further Competition Procedure held pursuant to this paragraph 3 shall be based on the Charging Structure and take into account any discount to which the Contracting Authority may be entitled as set out in Framework Schedule 3 (Framework Prices and Charging Structure).

3.2.3. The Provider agrees that:

- (a) all tenders submitted by the Provider in relation to a Further Competition Procedure held pursuant to this paragraph 3 shall remain open for acceptance by the Contracting Authority for ninety (90) Working Days (or such other period specified in the invitation to tender issued by the relevant Contracting Authority in accordance with the Call Off Procedure); and
- (b) all tenders submitted by the Provider are made and will be made in good faith and that the Provider has not fixed or adjusted and will not fix or adjust the price of the tender by or in accordance with any agreement or arrangement with any other person. The Provider certifies that it has not and undertakes that it will not:
 - i. communicate to any person other than the person inviting these tenders the amount or approximate amount of the tender, except where the disclosure, in confidence, of the approximate amount of the tender was necessary to obtain quotations required for the preparation of the tender; and
 - ii. enter into any arrangement or agreement with any other person that he or the other person(s) shall refrain from submitting a tender or as to the amount of any tenders to be submitted.

4. E-AUCTIONS

- 4.1. The Contracting Authority shall be entitled to formulate its Statement of Requirements in accordance with paragraph 3 above and invite the Provider to a Further Competition Procedure including a reverse auction in accordance with the rules laid down by the Contracting Authority and in accordance with the Regulations.
- 4.2. The Provider acknowledges that Contracting Authorities may wish to undertake an electronic reverse auction, where Framework Providers compete in real time by bidding as the auction unfolds ("Electronic Reverse Auction").
- 4.3. Before undertaking an Electronic Reverse Auction, the relevant Contracting Authority will make an initial full evaluation of all tenders, received in response to its Statement of Requirements. The Contracting Authority will then invite to the Electronic Reverse Auction only those tenders that are admissible in accordance with the Regulations. The invitation shall be accompanied by the outcome of the full initial evaluation of the relevant tenders.
- 4.4. The Contracting Authority will inform the Framework Providers of the specification for the Electronic Reverse Auction which shall include:
 - 4.4.1. the information to be provided at auction, which must be expressed in figures or percentages of the specified quantifiable features;
 - 4.4.2. the mathematical formula to be used to determine automatic ranking of bids on the basis of new prices and/or new values submitted;

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

- 4.4.3. any limits on the values which may be submitted;
 - 4.4.4. a description of any information which will be made available to Framework Providers in the course of the Electronic Reverse Auction, and when it will be made available to them;
 - 4.4.5. the conditions under which Framework Providers will be able to bid and, in particular, the minimum differences which will, where appropriate, be required when bidding;
 - 4.4.6. relevant information concerning the electronic equipment used and the arrangements and technical specification for connection;
 - 4.4.7. subject to paragraph 4.5 the date and time of the start of the Electronic Reverse Auction; and
 - 4.4.8. details of when and how the Electronic Reverse Auction will close.
- 4.5. The Electronic Reverse Auction may not start sooner than two (2) Working Days after the date on which the specification for the Electronic Reverse Auction has been issued.
- 4.6. Throughout each phase of the Electronic Reverse Auction the Contracting Authority will communicate to all Framework Providers sufficient information to enable them to ascertain their relative ranking.
- 4.7. The Providers acknowledges and agrees that:
- 4.7.1. the Contracting Authority and its officers, servants, agents, group companies, assignees and customers (including the Authority) do not guarantee that its access to the Electronic Reverse Auction will be uninterrupted or error-free;
 - 4.7.2. its access to the Electronic Reverse Auction may occasionally be restricted to allow for repairs or maintenance; and
 - 4.7.3. it will comply with all such rules that may be imposed by the Contracting Authority in relation to the operation of the Electronic Reverse Auction.
- 4.8. The Contracting Authority will close the Electronic Reverse Auction on the basis of:
- 4.8.1. a date and time fixed in advance;
 - 4.8.2. when no new prices or values meeting the minimum differences required pursuant to paragraph 4.4.5 have been received within the prescribed elapsed time period; or
 - 4.8.3. when all the phases have been completed.

5. NO AWARD

- 5.1. Notwithstanding the fact that the Contracting Authority has followed a procedure as set out above in paragraph 2 or 3 (as applicable), the Contracting Authority shall be entitled at all times to decline to make an award for its Services Requirements. Nothing in this Framework Agreement shall oblige any Contracting Authority to award any Call Off Agreement.

6. RESPONSIBILITY FOR AWARDS

- 6.1. The Provider acknowledges that each Contracting Authority is independently responsible for the conduct of its award of Call Off Agreements under this Framework Agreement and that the Authority is not responsible or accountable for and shall have no liability whatsoever in relation to:
- 6.1.1. the conduct of Other Contracting Authorities in relation to this Framework Agreement; or
 - 6.1.2. the performance or non-performance of any Call Off Agreements between the Provider and Other Contracting Authorities entered into pursuant to this Framework Agreement.

7. CALL OFF AWARD PROCEDURE

- 7.1. Subject to paragraphs 1 to 7 above, a Contracting Authority may award a Call Off Agreement with the Provider by sending (including electronically) a signed order form substantially in the form (as may be amended or refined by the Contracting Authority in accordance with paragraph 3.1.2 above) of the Template Order Form set out in Framework Schedule 4 (Template Order Form and Template Call Off Terms). The Parties agree that any document or communication (including any document or communication in the apparent form of a Call Off Agreement) which is not as described in this paragraph 8 shall not constitute a Call Off Agreement under this Framework Agreement.
- 7.2. On receipt of an order form as described in paragraph 8.1 from a Contracting Authority the Provider shall accept the Call Off Agreement by promptly signing and returning (including by electronic means) a copy of the order form to the Contracting Authority concerned.
- 7.3. On receipt of the signed order form from the Provider, the Contracting Authority shall send (including by electronic means) a written notice of receipt to the Provider within two (2) Working Days and a Call Off Agreement shall be formed.

FRAMEWORK SCHEDULE 6: AWARD CRITERIA

1. General

- 1.1. This Framework Schedule 6 is designed to assist Contracting Authorities seeking to award a Call Off Agreement on the basis of direct award or through reopening competition under a Further Competition Procedure in accordance with the Call Off Procedure.
- 1.2. A Call Off Agreement shall be awarded on the basis of most economically advantageous tender ("MEAT") from the point of view of the Contracting Authority.
- 1.3. This Framework Schedule 6 includes details of the evaluation criteria and any weightings that will be applied to that criteria.

Part A: Direct Award

1. The following criteria and weightings shall be applied to the Framework Providers' compliant tenders submitted through direct award.

Criteria Number	Criteria - ranked in order of importance	Percentage Weightings (or rank order of importance where applicable) - to be set by the Contracting Authority conducting the direct award
1	<p>Quality</p> <p>(Quality <i>may</i> include:</p> <p>Security of customer information</p> <p>Service levels, key performance indicators (KPIs) and customer service</p> <p>Capacity planning and contingency procedures</p> <p>Implementation plan</p> <p>Testing protocols</p> <p>Mapping document formats)</p>	<p>60%</p> <p>(the Contracting Authority can modify this weighting with a variance of +/- 10%)</p>
2	Price	<p>40%</p> <p>(the Contracting Authority can modify this weighting with a variance of +/- 10%)</p>

Part B: Further Competition Award Criteria

1. The following criteria shall be applied to the Services set out in the Providers' compliant tenders submitted through the Further Competition Procedure:

Criteria Number	Criteria	Percentage Weightings (or rank order of importance where applicable) - to be set by the Contracting Authority conducting the further competition
1	<p>Quality</p> <p>(Quality <i>may</i> include:</p> <p>Security of customer information</p> <p>Service levels, key performance indicators (KPIs) and customer service</p> <p>Capacity planning and contingency procedures</p> <p>Implementation plan</p> <p>Testing protocols</p> <p>Mapping document formats)</p>	<p>60%</p> <p>(the Contracting Authority can modify this weighting with a variance of +/- 10%)</p>
2	Price	<p>40%</p> <p>(the Contracting Authority can modify this weighting with a variance of +/- 10%)</p>

FRAMEWORK SCHEDULE 7: KEY SUB-CONTRACTORS

1. In accordance with Clause 25.1 (Appointment of Key Sub-Contractors), the Provider is entitled to sub-contract its obligations under this Framework Agreement and any Call Off Agreements entered into pursuant to this Framework Agreement, to the Key Sub-Contractors listed below.

[Guidance Note: the list of Key Sub-Contractors as approved by CCS should be inserted here]

Redacted

FRAMEWORK SCHEDULE 8: FRAMEWORK MANAGEMENT

1. INTRODUCTION

1.1. The following definitions shall apply in addition to the definitions contained in the Framework Schedule 1 (Definitions):

"Provider Framework Manager"	has the meaning given to it in paragraph 2.1.1 of this Framework Schedule 8; and
"Provider Review Meetings"	has the meaning given to it in paragraph 2.2.1. of this Framework Schedule 8
"PEPPOL Authority Review Meetings"	has the meaning given to it in paragraph 2.3.1. of this Framework Schedule 8

1.2. The successful delivery of this Framework Agreement will rely on the ability of the Provider and the Authority in developing a strategic relationship immediately following the conclusion of this Framework Agreement with the Provider and maintaining this relationship throughout the Framework Period.

1.3. To achieve this strategic relationship, there will be a requirement to adopt proactive framework management activities which will be informed by quality Management Information, and the sharing of information between the Provider and the Authority.

1.4. This Framework Schedule 8 outlines the general structures and management activities that the Parties shall follow during the Framework Period.

2. FRAMEWORK MANAGEMENT

2.1. Framework Management Structure:

2.1.1. The Provider shall provide a suitably qualified nominated contact (the "Provider Framework Manager") who will take overall responsibility for delivering the Services required within this Framework Agreement, as well as a suitably qualified deputy to act in their absence.

2.1.2. The Provider shall put in place a structure to manage the Framework in accordance with Framework Schedule 2 (Services and Key Performance Indicators).

2.1.3. A full governance structure for the Framework will be agreed between the Parties during the Framework Agreement implementation stage.

2.1.4. Following discussions between the Parties following the Framework Commencement Date, the Authority shall produce and issue to the Provider

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

a draft Provider Action Plan. The Provider shall not unreasonably withhold its agreement to the draft Provider Action Plan. The Provider Action Plan shall, unless the Authority otherwise Approves, be agreed between the Parties and come into effect within two weeks from receipt by the Provider of the draft Provider Action Plan.

- 2.1.5. The Provider Action Plan shall be maintained and updated on an ongoing basis by the Authority. Any changes to the Provider Action Plan shall be notified by the Authority to the Provider. The Provider shall not unreasonably withhold its agreement to any changes to the Provider Action Plan. Any such changes shall, unless the Authority otherwise Approves, be agreed between the Parties and come into effect within two weeks from receipt by the Provider of the Authority's notification.

2.2. Provider Review Meetings

- 2.2.1. Regular performance review meetings will take place at the Authority's premises throughout the Framework Period and thereafter until the Framework Expiry Date ("**Provider Review Meetings**").
- 2.2.2. The exact timings and frequencies of such Provider Review Meetings will be determined by the Authority following the conclusion of the Framework Agreement. It is anticipated that the frequency of the Provider Review Meetings will be once every month or less. The Parties shall be flexible about the timings of these meetings.
- 2.2.3. The purpose of the Provider Review Meetings will be to review the Provider's performance under this Framework Agreement and, where applicable, the Provider's adherence to the Provider Action Plan. The agenda for each Provider Review Meeting shall be set by the Authority and communicated to the Provider in advance of that meeting.
- 2.2.4. The Provider Review Meetings shall be attended, as a minimum, by the Authority Representative(s) and the Provider Framework Manager.

2.3. PEPPOL Authority Provider Review Meetings

- 2.3.1. Regular performance review meetings will take place at the PEPPOL Authority's premises throughout the Framework Period and thereafter until the Framework Expiry Date ("**PEPPOL Review Meetings**").
- 2.3.2. The exact timings and frequencies of such PEPPOL Provider Review Meetings will be determined by the PEPPOL Authority following the conclusion of the Framework Agreement. It is anticipated that the frequency of the Provider Review Meetings will be once every 6 months. The Parties shall be flexible about the timings of these meetings.
- 2.3.3. The purpose of the PEPPOL Provider Review Meetings will be to review the Provider's performance under this Framework Agreement and, where applicable, the Provider's adherence to the Provider Action Plan. The agenda

for each PEPPOL Provider Review Meeting shall be set by the Authority and communicated to the Provider in advance of that meeting.

- 2.3.4. The PEPPOL Provider Review Meetings shall be attended, as a minimum, by the PEPPOL Authority Representative(s) and the Provider Framework Manager.

[Guidance Note to bidders: for further information on Provider Action Plans and Provider's management see the "Provider Guidance on Provider Management" published by the Authority at <https://www.gov.uk/guidance/current-crown-commercial-service-suppliers-what-you-need-to-know>]

3. KEY PERFORMANCE INDICATORS

- 3.1. The KPIs applicable to this Framework Agreement are set out in Framework Schedule 2 (Services and Key Performance Indicators).
- 3.2. The Provider shall establish processes to monitor its performance against the agreed KPIs. The Provider shall at all times ensure compliance with the standards set by the KPIs.
- 3.3. The Authority shall review progress against these KPIs to evaluate the effectiveness and efficiency of which the Provider performs its obligations to fulfil this Framework Agreement.
- 3.4. The Provider's achievement of KPIs shall be reviewed during the Provider Review Meetings, in accordance with paragraph 2.2 above, and the review and ongoing monitoring of KPIs will form a key part of the framework management process as outlined in this Framework Schedule 8.
- 3.5. The Authority reserves the right to adjust, introduce new, or remove KPIs throughout the Framework Period, however any significant changes to KPIs shall be agreed between the Authority and the Provider.
- 3.6. The Authority reserves the right to use and publish the performance of the Provider against the KPIs without restriction.

4. EFFICIENCY TRACKING PERFORMANCE MEASURES

- 4.1. The Provider shall cooperate in good faith with the Authority to develop efficiency tracking performance measures for this Framework Agreement. This shall include but is not limited to:
- 4.1.1. tracking reductions in product volumes and product costs, in order to demonstrate that Contracting Authorities are consuming less and buying more smartly;
- 4.1.2. developing additional KPIs to ensure that the Framework Agreement supports the emerging target operating model across central government (particularly in

line with centralised sourcing and category management, procurement delivery centres and payment processing systems and shared service centres).

- 4.2. The list in paragraph 4.1 is not exhaustive and may be developed during the Framework Period.
- 4.3. The metrics that are to be implemented to measure efficiency shall be developed and agreed between the Authority and the Provider. Such metrics shall be incorporated into the list of KPIs set out in Framework Schedule 2 (Services and Key Performance Indicators).
- 4.4. The ongoing progress and development of the efficiency tracking performance measures shall be reported through framework management activities as outlined in this Framework Schedule 8.

5. ESCALATION PROCEDURE

- 5.1. In the event that the Authority and the Provider are unable to agree the performance score for any KPI during a Provider Review Meeting, the disputed score shall be recorded and the matter shall be referred to the Authority Representative and the Provider Representative in order to determine the best course of action to resolve the matter (which may involve organising an ad-hoc meeting to discuss the performance issue specifically).
- 5.2. In cases where the Authority Representative and the Provider Representative fail to reach a solution within a reasonable period of time, the matter shall be dealt with in accordance with the procedure set out in Clause 48 (Dispute Resolution).

FRAMEWORK SCHEDULE 9: MANAGEMENT INFORMATION

1. GENERAL REQUIREMENTS

- 1.1. The Provider shall operate and maintain appropriate systems, processes and records to ensure that it can, at all times, deliver timely and accurate Management Information to the Authority in accordance with the provisions of this Framework Schedule 9.
- 1.2. The Provider shall also supply such Management Information as may be required by a Contracting Authority in accordance with the terms of a Call Off Agreement.

2. MANAGEMENT INFORMATION AND FORMAT

- 2.1. The Provider agrees to provide timely, full, accurate and complete MI Reports to the Authority which incorporates the data, in the correct format, required by the MI Reporting Template. The initial MI Reporting Template is set out in the Annex to this Framework Schedule 9.
- 2.2. The Authority may from time to time make changes to the MI Reporting Template including to the data required or format of the report and issue a replacement version of the MI Reporting Template to the Provider. The Authority shall give notice in writing of any such change to the MI Reporting Template and shall specify the date from which the replacement MI Reporting Template must be used for future MI Reports which date shall be at least thirty (30) calendar days following the date of the notice.
- 2.3. If the MI Reporting Template is amended by the Authority at any time, then the Provider agrees to provide all future MI Reports in accordance with the most recent MI Reporting Template issued by the Authority.
- 2.4. The Authority may provide the Provider with supplemental guidance for completing the MI Reporting Template or submitting MI Reports from time to time which may for example indicate which fields are mandatory and which are optional. The Provider agrees to complete the Monthly MI Report in accordance with any such guidance.
- 2.5. The Provider may not make any amendment to the current MI Reporting Template without the prior Approval of the Authority.
- 2.6. The Authority shall have the right from time to time (on reasonable written notice) to amend the nature of the Management Information which the Provider is required to supply to the Authority.

3. FREQUENCY AND COVERAGE

- 3.1. All MI Reports must be completed by the Provider using the MI Reporting Template and returned to the Authority on or prior to the Reporting Date every Month during the Framework Period and thereafter, until all transactions relating to Call Off Agreements have permanently ceased.
- 3.2. The MI Report should be used (among other things) to report Orders received and transactions occurring during the Month to which the MI Report relates, regardless of when the work was actually completed. For example, if an invoice is raised for October but the work was actually completed in September, the Provider must report

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

the invoice in October's MI Report and not September's. Each Order received by the Provider must be reported only once when the Order is received.

3.3. The Provider must return the MI Report for each Month even where there are no transactions to report in the relevant Month (a "Nil Return").

3.4. The Provider must inform the Authority of any errors or corrections to the Management Information:

3.4.1. in the next MI Report due immediately following discovery of the error by the Provider; or

3.4.2. as a result of the Authority querying any data contained in an MI Report.

4. SUBMISSION OF THE MONTHLY MI REPORT

4.1. The completed MI Report shall be completed electronically and returned to the Authority by uploading the electronic MI Report computer file to MISO in accordance with the instructions provided in MISO.

4.2. The Authority reserves the right (acting reasonably) to specify that the MI Report be submitted by the Provider using an alternative communication to that specified in paragraph 4.1 above such as email. The Provider agrees to comply with any such instructions provided they do not materially increase the burden on the Provider.

5. DEFECTIVE MANAGEMENT INFORMATION

5.1. The Provider acknowledges that it is essential that the Authority receives timely and accurate Management Information pursuant to this Framework Agreement because Management Information is used by the Authority to inform strategic decision making and allows it to calculate the Management Charge.

5.2. Following an MI Failure the Authority may issue reminders to the Provider or require the Provider to rectify defects in the MI Report provided to the Authority. The Provider shall rectify any deficient or incomplete MI Report as soon as possible and not more than five (5) Working Days following receipt of any such reminder.

Meetings

5.3. The Provider agrees to attend meetings between the Parties in person to discuss the circumstances of any MI Failure(s) at the request of the Authority (without prejudice to any other rights the Authority may have). If the Authority requests such a meeting the Provider shall propose measures to ensure that the MI Failures are rectified and do not occur in the future. The Parties shall document these measures and continue to monitor the Provider's performance.

Admin Fees

5.4. If, in any rolling three (3) Month period, two (2) or more MI Failures occur, the Provider acknowledges and agrees that the Authority shall have the right to invoice the Provider Admin Fees and (subject to paragraph 5.5) in respect of any MI Failures as they arise in subsequent Months.

RM3784 PEPOL Access Point Services Framework Agreement V1.0

- 5.5. If, following activation of the Authority's right to charge Admin Fee(s) in respect of MI Failures pursuant to paragraph 5.4, the Provider submits the Monthly MI Report for two (2) consecutive Months and no MI Failure occurs then the right to charge the Admin Fee(s) shall lapse. For the avoidance of doubt the Authority shall not be prevented from exercising such right again during the Framework Period if the conditions in paragraph 5.4 are met.
- 5.6. The Provider acknowledges and agrees that the Admin Fees are a fair reflection of the additional costs incurred by the Authority as a result of the Provider failing to supply Management Information as required by this Framework Agreement.
- 5.7. The Authority shall notify the Provider if any Admin Fees arise pursuant to paragraph 5.4 above and shall be entitled to invoice the Provider for such Admin Fees which shall be payable in accordance with Clause 20 (Management Charge) as a supplement to the Management Charge. Any exercise by the Authority of its rights under this paragraph 5.7 shall be without prejudice to any other rights that may arise pursuant to the terms of this Framework Agreement.

6. DEFAULT MANAGEMENT CHARGE

6.1. If:

6.1.1. Two (2) MI Failures occur in any rolling six (6) Month period;

6.1.2. Two (2) consecutive MI Failures occur;

then a "MI Default" shall be deemed to have occurred.

6.2. If an MI Default occurs the Authority shall (without prejudice to any other rights or remedies available to it under this Framework Agreement) be entitled to determine the level of Management Charge in accordance with paragraph 6.3, which the Provider shall be required to pay to the Authority ("Default Management Charge") and/or to terminate this Framework Agreement.

6.3. The Default Management Charge shall be calculated as the higher of:

6.3.1. the average Management Charge paid or payable by the Provider to the Authority based on any Management Information submitted in the six (6) Month period preceding the date on which the MI Default occurred or, if the MI Default occurred within less than six (6) Months from the commencement date of the first Call Off Agreement, in the whole period preceding the date on which the MI Default occurred; or

6.3.2. the sum of five hundred pounds (£500).

- 6.4. If an MI Default occurs, the Authority shall be entitled to invoice the Provider the Default Management Charge (less any Management Charge which the Provider has already paid to the Authority in accordance with Clause 20 for any Months in which the Default Management Charge is payable) calculated in accordance with paragraph 6.3 above:
- 6.4.1. in arrears for those Months in which an MI Failure occurred; and
 - 6.4.2. on an ongoing Monthly basis,
- until all and any MI Failures have been rectified to the reasonable satisfaction of the Authority.
- 6.5. For the avoidance of doubt the Parties agree that:
- 6.5.1. the Default Management Charge shall be payable as though it was the Management Charge due in accordance with the provisions of Clause 20 of this Framework Agreement; and
 - 6.5.2. any rights or remedies available to Authority under this Framework Agreement in respect of the payment of the Management Charge shall be available to the Authority also in respect of the payment of the Default Management Charge.
- 6.6. If the Provider provides sufficient Management Information to rectify any MI Failures to the satisfaction of the Authority and the Management Information demonstrates that:
- 6.6.1. the Provider has overpaid the Management Charges as a result of the application of the Default Management Charge then the Provider shall be entitled to a refund of the overpayment, net of any Admin Fees where applicable; or
 - 6.6.2. the Provider has underpaid the Management Charges during the period when a Default Management Charge was applied, then the Authority shall be entitled to immediate payment of the balance as a debt together with interest pursuant to Clause 20 (Management Charge).

ANNEX 1: MI REPORTING TEMPLATE

1. Reference to Clause within Schedule 2 Services and Key Performance Indicators Reporting Requirements:

1.1. Clause 3.3.1.1 the Authority Management Information requirement – MISO template:



RM3784 PEPPOL
Access Services MIS

1.2. Clause 3.3.1.2 the Authority quarterly reporting requirement template:



RM3784 PEPPOL
CCS Quarterly Busin

1.3. Clause 3.3.1.3 the Authority monthly reporting requirement template:



RM3784 PEPPOL
CCS Monthly Busine

1.4. Clause 3.3.1.4 the PEPPOL Authority monthly reporting template:



Template_PEPPOLA
uthorityReporting.xl

FRAMEWORK SCHEDULE 10: ANNUAL SELF AUDIT CERTIFICATE

[To be signed by Head of Internal Audit, Finance Director or company's external auditor]

[Guidance Note: Please seek guidance from the CCS audit team in relation to this point]

Dear Sirs

In accordance with the Framework Agreement entered into on [insert Framework Commencement Date dd/mm/yyyy] between [insert name of Provider] and the Authority, we confirm the following:

1. In our opinion based on the testing undertaken [name of Provider] has in place suitable systems for identifying and recording the transactions taking place under the provisions of the above Framework Agreement.
2. We have tested the systems for identifying and reporting on framework activity and found them to be operating satisfactorily.
3. We have tested a sample of [] [insert number of sample transactions tested] Orders and related invoices during our audit for the financial year ended [insert financial year] and confirm that they are correct and in accordance with the terms and conditions of the Framework Agreement.
4. We have tested from the order processing and invoicing systems a sample of [] [Insert number of sample transactions tested] public sector orders placed outside the Framework Agreement during our audit for the financial year ended [insert financial year] and confirm they have been identified correctly as orders placed outside the Framework Agreement, an appropriate and legitimately tendered procurement route has been used to place those orders, and those orders should not otherwise have been routed via centralised and mandated procurement processes executed by the Authority.
5. We have also attached an Audit Report which provides details of the methodology applied to complete the review, the sampling techniques applied, details of any issues identified and remedial action taken.

[Guidance Note: see Clause 18 (Records, Audit Access and Open Book Data) for details of what is required]

Name:.....

Signed:.....

Head of Internal Audit/ Finance Director/ External Audit firm (delete as applicable)

Date:.....

Professional Qualification held by Signatory:.....

Note to Providers: where CCS identifies independently that data accuracy supporting this certificate is flawed we will consider action on a case by case basis, and in some cases where

the issues identified are clearly systemic we will consider whether this behaviour goes beyond poor commercial practice and will seek further guidance from the GLD.

FRAMEWORK SCHEDULE 11: MARKETING

1. INTRODUCTION

- 1.1. This Framework Schedule 11 describes the activities that the Provider will carry out as part of its ongoing commitment to the marketing of the Services to Contracting Authorities.

2. MARKETING

- 2.1. Marketing contact details:

[NAME]

[ADDRESS]

[Telephone and email]

3. AUTHORITY PUBLICATIONS

- 3.1. The Authority will periodically update and revise marketing materials. The Provider shall supply current information for inclusion in such marketing materials when required by the Authority.
- 3.2. Such information shall be provided in the form of a completed template, supplied by the Authority together with the instruction for completion and the date for its return.
- 3.3. Failure to comply with the provisions of paragraphs 3.1 and 3.2 may result in the Provider's exclusion from the use of such marketing materials.

4. PROVIDER PUBLICATIONS

- 4.1. Any marketing materials in relation to this Framework Agreement that the Provider produces must comply in all respects with any branding guidance issued by the Authority. The Provider will periodically update and revise such marketing materials.
- 4.2. The Provider shall be responsible for keeping under review the content of any information which appears on the Provider's website and which relates to this Framework Agreement and ensuring that such information is kept up to date at all times.

FRAMEWORK SCHEDULE 12: CONTINUOUS IMPROVEMENT AND BENCHMARKING

1. The Provider acknowledges that the Authority wishes to ensure that the Services, represent value for money to the taxpayer throughout the Framework Period.
2. There may be occasions when the Authority will request Providers to carry out a benchmarking exercise to ascertain the value of their Service Provision and inform continuous improvement processes both within the Authority and the Provider.
3. If such an activity is required the following will apply:
 - 3.1. The Authority undertakes to:
 - 3.1.1. inform Providers of the timescales to meet the benchmarking requirement.
 - 3.1.2. inform Providers of the Services to be benchmarked.
 - 3.1.3. inform Providers of benchmark against which their Service provision is to be measured.
 - 3.1.4. inform Providers of the overall objective of the benchmarking exercise.
 - 3.1.5. inform Providers of the format of information provision to the Authority – formal report, data template (such as excel), informal email, recipients.
 - 3.1.6. inform Providers of 3.1.1 to 3.1.5 above in writing.
 - 3.2. The Provider undertakes to:
 - 3.2.1. carry out benchmark reviews of the Services when so requested by the Authority, providing the information required in the format required and to the timescales requested by the Authority.
 - 3.3. There is no obligation to request benchmarking activity during the Framework Period.

FRAMEWORK SCHEDULE 13: GUARANTEE

[Guidance Note: this is a draft form of guarantee which can be used to procure either a Framework Guarantee or a Call Off Guarantee, and so it will need to be amended to reflect the Beneficiary's requirements. See Clause 8 of the Framework Agreement and Clause 4 of the Template Call Off Terms.]

[Insert the name of the Guarantor]

- and -

[Insert the name of the Beneficiary]

DEED OF GUARANTEE

DEED OF GUARANTEE

THIS DEED OF GUARANTEE is made the day of 20[]

BETWEEN:

(1) [Insert the name of the Guarantor] [a company incorporated in England and Wales] with number [insert company no.] whose registered office is at [insert details of the Guarantor's registered office here] [OR] [a company incorporated under the laws of [insert country], registered in [insert country] with number [insert number] at [insert place of registration], whose principal office is at [insert office details] ("Guarantor"); in favour of

(2) [The Authority] [Insert name of Contracting Authority who is Party to the Guaranteed Agreement] whose principal office is at [] ("Beneficiary")

[Guidance note: Where this deed of guarantee is used to procure a Framework Guarantee in favour of the Authority, this paragraph numbered (2) above will set out the details of the Authority. Where it is used to procure a Call Off Guarantee in favour of a Contracting Authority this paragraph numbered (2) above will set out the details of the relevant Contracting Authority]

WHEREAS:

(A) The Guarantor has agreed, in consideration of the Beneficiary entering into the Guaranteed Agreement with the Provider, to guarantee all of the Provider's obligations under the Guaranteed Agreement.

(B) It is the intention of the Parties that this document be executed and take effect as a deed.

Now in consideration of the Beneficiary entering into the Guaranteed Agreement, the Guarantor hereby agrees with the Beneficiary as follows:

1. Definitions and Interpretation

1.1. In this Deed of Guarantee:

1.1.1. unless defined elsewhere in this Deed of Guarantee or the context requires otherwise, defined terms shall have the same meaning as they have for the purposes of the Guaranteed Agreement;

1.1.2. the words and phrases below shall have the following meanings:

[Guidance Note: Insert and/or settle Definitions, including from the following list, as appropriate to either Framework Guarantee or Call Off Guarantee]

["Authority" has the meaning given to it in the Framework Agreement;]

["Beneficiary" means [the Authority] [insert name of the Contracting Authority with whom the Provider enters into a Call Off Agreement] and "Beneficiaries" shall be construed accordingly;]

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

© Crown copyright 2016

"Call Off Agreement" has the meaning given to it in the Framework Agreement;]

["Framework Agreement" means the Framework Agreement for the Services dated on or about the date hereof made between the Authority and the Provider;]

["Guaranteed Agreement" means [the Framework Agreement] [the Call Off Agreement] made between the Beneficiary and the Provider on [insert date];]

"Guaranteed Obligations" means all obligations and liabilities of the Provider to the Beneficiary under the Guaranteed Agreement together with all obligations owed by the Provider to the Beneficiary that are supplemental to, incurred under, ancillary to or calculated by reference to the Guaranteed Agreement;

"Services" has the meaning given to it in the Framework Agreement;]

- 1.2. references to this Deed of Guarantee and any provisions of this Deed of Guarantee or to any other document or agreement (including to the Guaranteed Agreement) are to be construed as references to this Deed of Guarantee, those provisions or that document or agreement in force for the time being and as amended, varied, restated, supplemented, substituted or novated from time to time;
- 1.3. unless the context otherwise requires, words importing the singular are to include the plural and vice versa;
- 1.4. references to a person are to be construed to include that person's assignees or transferees or successors in title, whether direct or indirect;
- 1.5. the words "other" and "otherwise" are not to be construed as confining the meaning of any following words to the class of thing previously stated where a wider construction is possible;
- 1.6. unless the context otherwise requires, reference to a gender includes the other gender and the neuter;
- 1.7. unless the context otherwise requires, references to an Act of Parliament, statutory provision or statutory instrument include a reference to that Act of Parliament, statutory provision or statutory instrument as amended, extended or re-enacted from time to time and to any regulations made under it;
- 1.8. unless the context otherwise requires, any phrase introduced by the words "including", "includes", "in particular", "for example" or similar, shall be construed as illustrative and without limitation to the generality of the related general words;
- 1.9. references to Clauses and Schedules are, unless otherwise provided, references to Clauses of and Schedules to this Deed of Guarantee; and
- 1.10. references to liability are to include any liability whether actual, contingent, present or future.

2. Guarantee and indemnity

- 2.1. The Guarantor irrevocably and unconditionally guarantees and undertakes to the Beneficiary to procure that the Provider duly and punctually performs all of the Guaranteed Obligations now or hereafter due, owing or incurred by the Provider to the Beneficiary.
- 2.2. The Guarantor irrevocably and unconditionally undertakes upon demand to pay to the Beneficiary all monies and liabilities which are now or at any time hereafter shall have become payable by the Provider to the Beneficiary under or in connection with the Guaranteed Agreement or in respect of the Guaranteed Obligations as if it were a primary obligor.
- 2.3. If at any time the Provider shall fail to perform any of the Guaranteed Obligations, the Guarantor, as primary obligor, irrevocably and unconditionally undertakes to the Beneficiary that, upon first demand by the Beneficiary it shall, at the cost and expense of the Guarantor:
 - 2.3.1. fully, punctually and specifically perform such Guaranteed Obligations as if it were itself a direct and primary obligor to the Beneficiary in respect of the Guaranteed Obligations and liable as if the Guaranteed Agreement had been entered into directly by the Guarantor and the Beneficiary; and
 - 2.3.2. as a separate and independent obligation and liability, indemnify and keep the Beneficiary indemnified against all losses, damages, costs and expenses (including VAT thereon, and including, without limitation, all court costs and all legal fees on a solicitor and own client basis, together with any disbursements,) of whatever nature which may result or which such Beneficiary may suffer, incur or sustain arising in any way whatsoever out of a failure by the Provider to perform the Guaranteed Obligations save that, subject to the other provisions of this Deed of Guarantee, this shall not be construed as imposing greater obligations or liabilities on the Guarantor than are purported to be imposed on the Provider under the Guaranteed Agreement.
 - 2.3.3. As a separate and independent obligation and liability from its obligations and liabilities under Clauses 2.1 to 2.3 above, the Guarantor as a primary obligor irrevocably and unconditionally undertakes to indemnify and keep the Beneficiary indemnified on demand against all losses, damages, costs and expenses (including VAT thereon, and including, without limitation, all legal costs and expenses), of whatever nature, whether arising under statute, contract or at common law, which such Beneficiary may suffer or incur if any obligation guaranteed by the Guarantor is or becomes unenforceable, invalid or illegal as if the obligation guaranteed had not become unenforceable, invalid or illegal provided that the Guarantor's liability shall be no greater than the Provider's liability would have been if the obligation guaranteed had not become unenforceable, invalid or illegal.

3. Obligation to enter into a new contract

- 3.1. If the Guaranteed Agreement is terminated for any reason, whether by the Beneficiary or the Provider, or if the Guaranteed Agreement is disclaimed by a liquidator of the Provider or the obligations of the Provider are declared to be void or voidable for any reason, then the Guarantor will, at the request of the Beneficiary enter into a contract with the Beneficiary in terms mutatis mutandis the same as the Guaranteed Agreement and the obligations of the Guarantor under such substitute agreement shall be the same as if the Guarantor had been original obligor under the Guaranteed Agreement or under an agreement entered into on the same terms and at the same time as the Guaranteed Agreement with the Beneficiary.

4. Demands and Notices

- 4.1. Any demand or notice served by the Beneficiary on the Guarantor under this Deed of Guarantee shall be in writing, addressed to:

4.1.1. [Address of the Guarantor in England and Wales]

4.1.2. [Facsimile Number]

4.1.3. For the Attention of [insert details]

or such other address in England and Wales or facsimile number as the Guarantor has from time to time notified to the Beneficiary in writing in accordance with the terms of this Deed of Guarantee as being an address or facsimile number for the receipt of such demands or notices.

- 4.2. Any notice or demand served on the Guarantor or the Beneficiary under this Deed of Guarantee shall be deemed to have been served:

4.2.1. if delivered by hand, at the time of delivery; or

4.2.2. if posted, at 10.00 a.m. on the second Working Day after it was put into the post; or

4.2.3. if sent by facsimile, at the time of despatch, if despatched before 5.00 p.m. on any Working Day, and in any other case at 10.00 a.m. on the next Working Day.

- 4.3. In proving service of a notice or demand on the Guarantor or the Beneficiary it shall be sufficient to prove that delivery was made, or that the envelope containing the notice or demand was properly addressed and posted as a prepaid first class recorded delivery letter, or that the facsimile message was properly addressed and despatched, as the case may be.

- 4.4. Any notice purported to be served on the Beneficiary under this Deed of Guarantee shall only be valid when received in writing by the Beneficiary.

5. Beneficiary's protections

- 5.1. The Guarantor shall not be discharged or released from this Deed of Guarantee by any arrangement made between the Provider and the Beneficiary (whether or not such arrangement is made with or without the assent of the Guarantor) or by any amendment to or termination of the Guaranteed Agreement or by any forbearance or indulgence whether as to payment, time, performance or otherwise granted by the Beneficiary in relation thereto (whether or not such amendment, termination, forbearance or indulgence is made with or without the assent of the Guarantor) or by the Beneficiary doing (or omitting to do) any other matter or thing which but for this provision might exonerate the Guarantor.
- 5.2. This Deed of Guarantee shall be a continuing security for the Guaranteed Obligations and accordingly:
- 5.2.1. it shall not be discharged, reduced or otherwise affected by any partial performance (except to the extent of such partial performance) by the Provider of the Guaranteed Obligations or by any omission or delay on the part of the Beneficiary in exercising its rights under this Deed of Guarantee;
 - 5.2.2. it shall not be affected by any dissolution, amalgamation, reconstruction, reorganisation, change in status, function, control or ownership, insolvency, liquidation, administration, appointment of a receiver, voluntary arrangement, any legal limitation or other incapacity, of the Provider, the Beneficiary, the Guarantor or any other person;
 - 5.2.3. if, for any reason, any of the Guaranteed Obligations shall prove to have been or shall become void or unenforceable against the Provider for any reason whatsoever, the Guarantor shall nevertheless be liable in respect of that purported obligation or liability as if the same were fully valid and enforceable and the Guarantor were principal debtor in respect thereof; and
 - 5.2.4. the rights of the Beneficiary against the Guarantor under this Deed of Guarantee are in addition to, shall not be affected by and shall not prejudice, any other security, guarantee, indemnity or other rights or remedies available to the Beneficiary.
- 5.3. The Beneficiary shall be entitled to exercise its rights and to make demands on the Guarantor under this Deed of Guarantee as often as it wishes and the making of a demand (whether effective, partial or defective) in respect of the breach or non performance by the Provider of any Guaranteed Obligation shall not preclude the Beneficiary from making a further demand in respect of the same or some other default in respect of the same Guaranteed Obligation.
- 5.4. The Beneficiary shall not be obliged before taking steps to enforce this Deed of Guarantee against the Guarantor to obtain judgment against the Provider or the Guarantor or any third party in any court, or to make or file any claim in a bankruptcy or liquidation of the Provider or any third party, or to take any action whatsoever against the Provider or the Guarantor or any third party or to resort to any other security or guarantee or other means of payment. No action (or inaction) by the

Beneficiary in respect of any such security, guarantee or other means of payment shall prejudice or affect the liability of the Guarantor hereunder.

- 5.5. The Beneficiary's rights under this Deed of Guarantee are cumulative and not exclusive of any rights provided by law and may be exercised from time to time and as often as the Beneficiary deems expedient.
- 5.6. Any waiver by the Beneficiary of any terms of this Deed of Guarantee, or of any Guaranteed Obligations shall only be effective if given in writing and then only for the purpose and upon the terms and conditions, if any, on which it is given.
- 5.7. Any release, discharge or settlement between the Guarantor and the Beneficiary shall be conditional upon no security, disposition or payment to the Beneficiary by the Guarantor or any other person being void, set aside or ordered to be refunded pursuant to any enactment or law relating to liquidation, administration or insolvency or for any other reason whatsoever and if such condition shall not be fulfilled the Beneficiary shall be entitled to enforce this Deed of Guarantee subsequently as if such release, discharge or settlement had not occurred and any such payment had not been made. The Beneficiary shall be entitled to retain this security after as well as before the payment, discharge or satisfaction of all monies, obligations and liabilities that are or may become due owing or incurred to the Beneficiary from the Guarantor for such period as the Beneficiary may determine.

6. Guarantor intent

- 6.1. Without prejudice to the generality of Clause 5 (Beneficiary's protections), the Guarantor expressly confirms that it intends that this Deed of Guarantee shall extend from time to time to any (however fundamental) variation, increase, extension or addition of or to the Guaranteed Agreement and any associated fees, costs and/or expenses.

7. Rights of subrogation

- 7.1. The Guarantor shall, at any time when there is any default in the performance of any of the Guaranteed Obligations by the Provider and/or any default by the Guarantor in the performance of any of its obligations under this Deed of Guarantee, exercise any rights it may have:

- 7.1.1. of subrogation and indemnity;
- 7.1.2. to take the benefit of, share in or enforce any security or other guarantee or indemnity for the Provider's obligations; and
- 7.1.3. to prove in the liquidation or insolvency of the Provider,

only in accordance with the Beneficiary's written instructions and shall hold any amount recovered as a result of the exercise of such rights on trust for the Beneficiary and pay the same to the Beneficiary on first demand. The Guarantor hereby acknowledges that it has not taken any security from the Provider and agrees not to do so until Beneficiary receives all moneys payable hereunder and will hold any security taken in breach of this Clause on trust for the Beneficiary.

8. Deferral of rights

- 8.1. Until all amounts which may be or become payable by the Provider under or in connection with the Guaranteed Agreement have been irrevocably paid in full, the Guarantor agrees that, without the prior written consent of the Beneficiary, it will not:
- 8.1.1. exercise any rights it may have to be indemnified by the Provider;
 - 8.1.2. claim any contribution from any other guarantor of the Provider's obligations under the Guaranteed Agreement;
 - 8.1.3. take the benefit (in whole or in part and whether by way of subrogation or otherwise) of any rights of the Beneficiary under the Guaranteed Agreement or of any other guarantee or security taken pursuant to, or in connection with, the Guaranteed Agreement;
 - 8.1.4. demand or accept repayment in whole or in part of any indebtedness now or hereafter due from the Provider; or
 - 8.1.5. claim any set off or counterclaim against the Provider;
- 8.2. If the Guarantor receives any payment or other benefit or exercises any set off or counterclaim or otherwise acts in breach of this Clause 8, anything so received and any benefit derived directly or indirectly by the Guarantor therefrom shall be held on trust for the Beneficiary and applied in or towards discharge of its obligations to the Beneficiary under this Deed of Guarantee.

9. Representations and warranties

- 9.1. The Guarantor hereby represents and warrants to the Beneficiary that:
- 9.1.1. the Guarantor is duly incorporated and is a validly existing company under the laws of its place of incorporation, has the capacity to sue or be sued in its own name and has power to carry on its business as now being conducted and to own its property and other assets;
 - 9.1.2. the Guarantor has full power and authority to execute, deliver and perform its obligations under this Deed of Guarantee and no limitation on the powers of the Guarantor will be exceeded as a result of the Guarantor entering into this Deed of Guarantee;
 - 9.1.3. the execution and delivery by the Guarantor of this Deed of Guarantee and the performance by the Guarantor of its obligations under this Deed of Guarantee including, without limitation entry into and performance of a contract pursuant to Clause 3) have been duly authorised by all necessary corporate action and do not contravene or conflict with:
 - 9.1.3.1. the Guarantor's memorandum and articles of association or other equivalent constitutional documents;

- 9.1.3.2. any existing law, statute, rule or regulation or any judgment, decree or permit to which the Guarantor is subject; or
- 9.1.3.3. the terms of any agreement or other document to which the Guarantor is a Party or which is binding upon it or any of its assets;
- 9.1.4. all governmental and other authorisations, approvals, licences and consents, required or desirable, to enable it lawfully to enter into, exercise its rights and comply with its obligations under this Deed of Guarantee, and to make this Deed of Guarantee admissible in evidence in its jurisdiction of incorporation, have been obtained or effected and are in full force and effect; and
- 9.1.5. this Deed of Guarantee is the legal valid and binding obligation of the Guarantor and is enforceable against the Guarantor in accordance with its terms.

10. Payments and set-off

- 10.1. All sums payable by the Guarantor under this Deed of Guarantee shall be paid without any set-off, lien or counterclaim, deduction or withholding, howsoever arising, except for those required by law, and if any deduction or withholding must be made by law, the Guarantor will pay that additional amount which is necessary to ensure that the Beneficiary receives a net amount equal to the full amount which it would have received if the payment had been made without the deduction or withholding.
- 10.2. The Guarantor shall pay interest on any amount due under this Deed of Guarantee 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.
- 10.3. The Guarantor will reimburse the Beneficiary for all legal and other costs (including VAT) incurred by the Beneficiary in connection with the enforcement of this Deed of Guarantee.

11. Guarantor's acknowledgement

- 11.1. The Guarantor warrants, acknowledges and confirms to the Beneficiary that it has not entered into this Deed of Guarantee in reliance upon, nor has it been induced to enter into this Deed of Guarantee by any representation, warranty or undertaking made by or on behalf of the Beneficiary (whether express or implied and whether pursuant to statute or otherwise) which is not set out in this Deed of Guarantee.

12. Assignment

- 12.1. The Beneficiary shall be entitled to assign or transfer the benefit of this Deed of Guarantee at any time to any person without the consent of the Guarantor being required and any such assignment or transfer shall not release the Guarantor from its liability under this Guarantee.

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

- 12.2. The Guarantor may not assign or transfer any of its rights and/or obligations under this Deed of Guarantee.

13. Severance

- 13.1. If any provision of this Deed of Guarantee is held invalid, illegal or unenforceable for any reason by any court of competent jurisdiction, such provision shall be severed and the remainder of the provisions hereof shall continue in full force and effect as if this Deed of Guarantee had been executed with the invalid, illegal or unenforceable provision eliminated.

14. Third party rights

- 14.1. A person who is not a Party to this Deed of Guarantee shall have no right under the Contracts (Rights of Third Parties) Act 1999 to enforce any term of this Deed of Guarantee. This Clause does not affect any right or remedy of any person which exists or is available otherwise than pursuant to that Act.

15. Governing Law

- 15.1. This Deed of Guarantee and any non-contractual obligations arising out of or in connection with it shall be governed by and construed in all respects in accordance with English law.
- 15.2. The Guarantor irrevocably agrees for the benefit of the Beneficiary that the courts of England shall have jurisdiction to hear and determine any suit, action or proceedings and to settle any dispute which may arise out of or in connection with this Deed of Guarantee and for such purposes hereby irrevocably submits to the jurisdiction of such courts.
- 15.3. Nothing contained in this Clause shall limit the rights of the Beneficiary to take proceedings against the Guarantor in any other court of competent jurisdiction, nor shall the taking of any such proceedings in one or more jurisdictions preclude the taking of proceedings in any other jurisdiction, whether concurrently or not (unless precluded by applicable law).
- 15.4. The Guarantor irrevocably waives any objection which it may have now or in the future to the courts of England being nominated for the purpose of this Clause on the ground of venue or otherwise and agrees not to claim that any such court is not a convenient or appropriate forum.

- 15.5. [The Guarantor hereby irrevocably designates, appoints and empowers [the Provider] [a suitable alternative to be agreed if the Provider's registered office is not in England or Wales] either at its registered office or on facsimile number [insert fax no.] from time to time to act as its authorised agent to receive notices, demands, service of process and any other legal summons in England and Wales for the purposes of any legal action or proceeding brought or to be brought by the Beneficiary in respect of this Deed of Guarantee. The Guarantor hereby irrevocably consents to the service of notices and demands, service of process or any other legal summons served in such way.]

[Guidance Note: Include the above provision when dealing with the appointment of English process agent by a non English incorporated Guarantor]

IN WITNESS whereof the Guarantor has caused this instrument to be executed and delivered as a Deed the day and year first before written.

EXECUTED as a **DEED** by

[Insert name of the Guarantor] acting by **[Insert/print names]**

Director

Director/Secretary

FRAMEWORK SCHEDULE 14: INSURANCE REQUIREMENTS

1. OBLIGATION TO MAINTAIN INSURANCES

- 1.1. Without prejudice to its obligations to the Authority under this Framework Agreement, including its indemnity obligations, the Provider shall for the periods specified in this Schedule 14 take out and maintain, or procure the taking out and maintenance of the insurances as set out in Annex 1 (Required Insurances) and any other insurances as may be required by applicable Law (together the "Insurances"). The Provider shall ensure that each of the Insurances is effective no later than the Framework Commencement Date.
- 1.2. The Insurances shall be maintained in accordance with Good Industry Practice and (so far as is reasonably practicable) on terms no less favourable than those generally available to a prudent contractor in respect of risks insured in the international insurance market from time to time.
- 1.3. The Insurances shall be taken out and maintained with insurers who are of good financial standing and of good repute in the international insurance market.
- 1.4. The Provider shall ensure that the public and products liability policy shall contain an indemnity to principals clause under which the Authority shall be indemnified in respect of claims made against the Authority in respect of death or bodily injury or third party property damage arising out of or in connection with the Services and for which the Provider is legally liable.

2. GENERAL OBLIGATIONS

- 2.1. Without limiting the other provisions of this Framework Agreement, the Provider shall:
 - 2.1.1. take or procure the taking of all reasonable risk management and risk control measures in relation to the Services as it would be reasonable to expect of a prudent contractor acting in accordance with Good Industry Practice, including the investigation and reports of relevant claims to insurers;
 - 2.1.2. promptly notify the insurers in writing of any relevant material fact under any Insurances of which the Provider is or becomes aware; and
 - 2.1.3. hold all policies in respect of the Insurances and cause any insurance broker effecting the Insurances to hold any insurance slips and other evidence of placing cover representing any of the Insurances to which it is a party.

3. FAILURE TO INSURE

- 3.1. The Provider shall not take any action or fail to take any action or (insofar as is reasonably within its power) permit anything to occur in relation to it which would entitle any insurer to refuse to pay any claim under any of the Insurances.

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

- 3.2. Where the Provider has failed to purchase any of the Insurances or maintain any of the Insurances in full force and effect, the Authority may elect (but shall not be obliged) following written notice to the Provider to purchase the relevant Insurances, and the Authority shall be entitled to recover the reasonable premium and other reasonable costs incurred in connection therewith as a debt due from the Provider.

4. EVIDENCE OF POLICIES

- 4.1. The Provider shall upon the Framework Commencement Date and within 15 Working Days after the renewal of each of the Insurances, provide evidence, in a form satisfactory to the Authority, that the Insurances are in force and effect and meet in full the requirements of this Framework Schedule 14. Receipt of such evidence by the Authority shall not in itself constitute acceptance by the Authority or relieve the Provider of any of its liabilities and obligations under this Agreement.

5. AGGREGATE LIMIT OF INDEMNITY

- 5.1. Where the minimum limit of indemnity required in relation to any of the Insurances is specified as being "in the aggregate":
- 5.1.1. if a claim or claims which do not relate to this Framework Agreement are notified to the insurers which, given the nature of the allegations and/or the quantum claimed by the third party(ies), is likely to result in a claim or claims being paid by the insurers which could reduce the level of cover available below that minimum, the Provider shall immediately submit to the Authority:
- 5.1.1.1. details of the policy concerned; and
- 5.1.1.2. its proposed solution for maintaining the minimum limit of indemnity specified; and
- 5.1.2. if and to the extent that the level of insurance cover available falls below that minimum because a claim or claims which do not relate to this Framework Agreement are paid by insurers, the Provider shall:
- 5.1.2.1. ensure that the insurance cover is reinstated to maintain at all times the minimum limit of indemnity specified for claims relating to this Framework Agreement; or
- 5.1.2.2. if the Provider is or has reason to believe that it will be unable to ensure that insurance cover is reinstated to maintain at all times the minimum limit of indemnity specified, immediately submit to the Authority full details of the policy concerned and its proposed solution for maintaining the minimum limit of indemnity specified.

6. CANCELLATION

- 6.1. The Provider shall notify the Authority in writing at least five (5) Working Days prior to the cancellation, suspension, termination or non-renewal of any of the Insurances.

7. INSURANCE CLAIMS

- 7.1. The Provider shall promptly notify to insurers any matter arising from, or in relation to, the Services and/or this Framework Agreement for which it may be entitled to claim under any of the Insurances. In the event that the Authority receives a claim relating to or arising out of the Services or this Framework Agreement, the Provider shall co-operate with the Authority and assist it in dealing with such claims including without limitation providing information and documentation in a timely manner.
- 7.2. Except where the Authority is the claimant party, the Provider shall give the Authority notice within twenty (20) Working Days after any insurance claim in excess of £10,000.00 relating to or arising out of the provision of the Services or this Framework Agreement on any of the Insurances or which, but for the application of the applicable policy excess, would be made on any of the Insurances and (if required by the Authority) full details of the incident giving rise to the claim.
- 7.3. Where any Insurance requires payment of a premium, the Provider shall be liable for and shall promptly pay such premium.
- 7.4. Where any Insurance is subject to an excess or deductible below which the indemnity from insurers is excluded, the Provider shall be liable for such excess or deductible. The Provider shall not be entitled to recover from the Authority any sum paid by way of excess or deductible under the Insurances whether under the terms of this Framework Agreement or otherwise.

ANNEX 1: REQUIRED INSURANCES

Part A: Third Party Public & Products Liability Insurance

1. Insured

1.1. The Provider

2. Interest

2.1. To indemnify the Insured in respect of all sums which the Insured shall become legally liable to pay as damages, including claimant's costs and expenses, in respect of accidental:

2.1.1. death or bodily injury to or sickness, illness or disease contracted by any person;

2.1.2. loss of or damage to property;

happening during the period of insurance (as specified in Paragraph 5 of this Annex 1 to this Schedule 14) and arising out of or in connection with the provision of the Services and in connection with this Framework Agreement.

3. Limit of indemnity

3.1. Not less than £1,000,000 in respect of any one occurrence, the number of occurrences being unlimited, but £1,000,000 any one occurrence and in the aggregate per annum in respect of products and pollution liability.

4. Territorial limits

4.1. To include the UK and any other territories as specified by the Customer.

5. Period of insurance

5.1. From the Framework Commencement Date for the Framework Period and renewable on an annual basis unless agreed otherwise by the Authority in writing.

6. Cover features and extensions

6.1. Indemnity to principals clause.

7. Principal exclusions

7.1. War and related perils.

7.2. Nuclear and radioactive risks.

7.3. Liability for death, illness, disease or bodily injury sustained by employees of the Insured during the course of their employment.

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

© Crown copyright 2016

- 7.4. Liability arising out of the use of mechanically propelled vehicles whilst required to be compulsorily insured by applicable Law in respect of such vehicles.
- 7.5. Liability in respect of predetermined penalties or liquidated damages imposed under any contract entered into by the Insured.
- 7.6. Liability arising out of technical or professional advice other than in respect of death or bodily injury to persons or damage to third party property.
- 7.7. Liability arising from the ownership, possession or use of any aircraft or marine vessel.
- 7.8. Liability arising from seepage and pollution unless caused by a sudden, unintended and unexpected occurrence.

8. Maximum deductible threshold

- 8.1. Not to exceed £1000 for each and every third party property damage claim (personal injury claims to be paid in full).

Part B: Professional Indemnity Insurance

1. Insured

1.1. The Provider

2. Interest

- 2.1. To indemnify the Insured for all sums which the Insured shall become legally liable to pay (including claimants' costs and expenses) as a result of claims first made against the Insured during the Period of Insurance by reason of any negligent act, error and/or omission arising from or in connection with the provision of the Services.

3. Limit of indemnity

- 3.1. Not less than £1,000,000 in respect of any one claim and in the aggregate per annum.

4. Territorial Limits

- 4.1. UK or equivalent insurance as required by the country in which you are carrying out the Service(s)]

5. Period of insurance

- 5.1. From the date of this Framework Agreement and renewable on an annual basis unless agreed otherwise by the Authority in writing (a) throughout the Framework Period or until earlier termination of this Framework Agreement and (b) for a period of 6 years thereafter.

6. Cover features and extensions

- 6.1. Retroactive cover to apply to any claims made policy wording in respect of this Framework Agreement or retroactive date to be no later than the Framework Commencement Date.

7. Principal exclusions

- 7.1. War and related perils
7.2. Nuclear and radioactive risks

8. Maximum deductible threshold

- 8.1. Not to exceed £1000 each and every claim.

Part C: United Kingdom Compulsory Insurances

8.2. General

- 8.2.1. The Provider shall meet its insurance obligations under applicable Law in full, including, UK employers' liability insurance and motor third party liability insurance.

FRAMEWORK SCHEDULE 16: Not Used

FRAMEWORK SCHEDULE 17: COMMERCIALLY SENSITIVE INFORMATION

1. INTRODUCTION

- 1.1. In this Framework Schedule 17 (Commercially Sensitive Information) the Parties have sought to identify the Provider's Confidential Information that is genuinely commercially sensitive and the disclosure of which would be the subject of an exemption under the FOIA.
- 1.2. Where possible, the Parties have sought to identify when any relevant Information will cease to fall into the category of Information to which this Framework Schedule 17 applies.
- 1.3. Without prejudice to the Authority's obligation to disclose Information in accordance with FOIA or Clause 27.4 (Freedom of Information), the Authority will, in its sole discretion, acting reasonably, seek to apply the relevant exemption set out in the FOIA to the following Information:

No.	Date	Item(s)	Duration of Confidentiality
	Redacted	Redacted	Redacted

[Guidance note: Any information provided in this Framework Schedule should be information which would be exempt under the FOIA. If the information would not be exempt under FOIA the Authority may publish it under Clause 27.3 (Transparency) of this Framework Agreement.]

[Guidance note: where any information listed in this Framework Schedule 17 is considered to be Management Information for the purposes of Clause 27.1 of the Framework Agreement and is provided by the Provider to the Authority, the Authority may disclose the Management Information to other Contracting Authorities in accordance with Clause 27.1.2 of this Framework Agreement.]

FRAMEWORK SCHEDULE 18: DISPUTE RESOLUTION PROCEDURE

1. DEFINITIONS

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

1.1. In this Framework Schedule 18, the following definitions shall apply:

"CEDR"	means the Centre for Effective Dispute Resolution of International Dispute Resolution Centre, 70 Fleet Street, London, EC4Y 1EU;
"Counter Notice"	has the meaning given to it in paragraph 6.2;
"Exception"	means a deviation of project tolerances in accordance with PRINCE2 methodology in respect of this Framework Agreement or in the supply of the Services;
"Expedited Dispute Timetable"	means the accelerated timetable for the resolution of disputes as set out in paragraph 2.6;
"Expert"	means the person appointed by the Parties in accordance with paragraph 5.2 of this Framework Schedule 18;
"Mediation Notice"	has the meaning given to it in paragraph 3.2; and
"Mediator"	means the independent third party appointed in accordance with paragraph 4.2 of this Framework Schedule 18.

1. INTRODUCTION

1.1. If a Dispute arises then:

RM3784 PEPPOL Access Point Services Framework Agreement V1.0

© Crown copyright 2016

- 1.1.1. the Authority Representative and the Provider Representative shall attempt in good faith to resolve the Dispute; and
 - 1.1.2. if such attempts are not successful within a reasonable time either Party may give to the other a Dispute Notice.
 - 1.2. The Dispute Notice shall set out:
 - 1.2.1. the material particulars of the Dispute;
 - 1.2.2. the reasons why the Party serving the Dispute Notice believes that the Dispute has arisen; and
 - 1.2.3. if the Party serving the Dispute Notice believes that the Dispute should be dealt with under the Expedited Dispute Timetable as set out in paragraph 2.6, the reason why.
 - 1.3. Unless agreed otherwise in writing, the Parties shall continue to comply with their respective obligations under this Framework Agreement regardless of the nature of the Dispute and notwithstanding the referral of the Dispute to the Dispute Resolution Procedure set out in this Framework Schedule 18.
 - 1.4. Subject to paragraph 3.2, the Parties shall seek to resolve Disputes:
 - 1.4.1. first by commercial negotiation (as prescribed in paragraph 3);
 - 1.4.2. then by mediation (as prescribed in paragraph 4); and
 - 1.4.3. lastly by recourse to arbitration (as prescribed in paragraph 6) or litigation (in accordance with Clause 49 (Governing Law and Jurisdiction)).
 - 1.5. Specific issues shall be referred to Expert Determination (as prescribed in paragraph 5) where specified under the provisions of this Framework Agreement and may also be referred to Expert Determination where otherwise appropriate as specified in paragraph 5 (Expert Determination).
 - 1.6. In exceptional circumstances where the use of the times in this Framework Schedule 18 would be unreasonable, including (by way of example) where one Party would be materially disadvantaged by a delay in resolving the Dispute, the Parties may agree to use the Expedited Dispute Timetable. If the Parties are unable to reach agreement on whether to use of the Expedited Dispute Timetable within five (5) Working Days of the issue of the Dispute Notice, the use of the Expedited Dispute Timetable shall be at the sole discretion of the Authority.
 - 1.7. If the use of the Expedited Dispute Timetable is determined in accordance with paragraph 2.5 or is otherwise specified under the provisions of this Framework Agreement, then the following periods of time shall apply in lieu of the time periods specified in the applicable paragraphs of this Framework Schedule 18:
 - 1.7.1. in paragraph 3.2.3, ten (10) Working Days;
 - 1.7.2. in paragraph 4.2, ten (10) Working Days;

1.7.3. in paragraph 5.2, five (5) Working Days; and

1.7.4. in paragraph 6.2, ten (10) Working Days.

1.8. If at any point it becomes clear that an applicable deadline cannot be met or has passed, the Parties may (but shall be under no obligation to) agree in writing to extend the deadline. Any agreed extension shall have the effect of delaying the start of the subsequent stages by the period agreed in the extension.

2. COMMERCIAL NEGOTIATIONS

2.1. Following the service of a Dispute Notice, the Authority and the Provider shall use reasonable endeavours to resolve the Dispute as soon as possible, by discussion between the Authority's [insert role] and the Provider's [insert role], such discussions being commercial negotiations.

2.2. If:

2.2.1. either Party is of the reasonable opinion that the resolution of a Dispute by commercial negotiation, or the continuance of commercial negotiations, will not result in an appropriate solution; or

2.2.2. the Parties have already held discussions of a nature and intent (or otherwise were conducted in the spirit) that would equate to the conduct of commercial negotiations in accordance with this paragraph 3; or

2.2.3. the Parties have not settled the Dispute in accordance with paragraph 3.1 within thirty (30) Working Days of service of the Dispute Notice,

2.2.4. either Party may serve a written notice to proceed to mediation (a "Mediation Notice") in accordance with paragraph 4.

3. MEDIATION

3.1. If a Mediation Notice is served, the Parties shall attempt to resolve the dispute in accordance with CEDR's Model Mediation Agreement which shall be deemed to be incorporated by reference into this Framework Agreement.

3.2. If the Parties are unable to agree on the joint appointment of a Mediator within thirty (30) Working Days from service of the Mediation Notice then either Party may apply to CEDR to nominate the Mediator.

3.3. If the Parties are unable to reach a settlement in the negotiations at the mediation, and only if the Parties so request and the Mediator agrees, the Mediator shall produce for the Parties a non-binding recommendation on terms of settlement. This shall not attempt to anticipate what a court might order but shall set out what the Mediator suggests are appropriate settlement terms in all of the circumstances.

3.4. Any settlement reached in the mediation shall not be legally binding until it has been reduced to writing and signed by, or on behalf of, the Parties (in accordance with the

procedure for variations under Clause 16.1 (Variation Procedure) where appropriate). The Mediator shall assist the Parties in recording the outcome of the mediation.

4. EXPERT DETERMINATION

- 4.1. If a Dispute relates to any aspect of the technology underlying the provision of the Services or otherwise relates to an ICT technical, financial technical or other aspect of a technical nature (as the Parties may agree) and the Dispute has not been resolved by discussion or mediation, then either Party may request (which request will not be unreasonably withheld or delayed) by written notice to the other that the Dispute is referred to an Expert for determination.
- 4.2. The Expert shall be appointed by agreement in writing between the Parties, but in the event of a failure to agree within ten (10) Working Days, or if the person appointed is unable or unwilling to act, the Expert shall be appointed on the instructions of the President of the British Computer Society (or any other association that has replaced the British Computer Society).
- 4.3. The Expert shall act on the following basis:
 - 4.3.1. he/she shall act as an expert and not as an arbitrator and shall act fairly and impartially;
 - 4.3.2. the Expert's determination shall (in the absence of a material failure by either Party to follow the agreed procedures) be final and binding on the Parties;
 - 4.3.3. the Expert shall decide the procedure to be followed in the determination and shall be requested to make his/her determination within thirty (30) Working Days of his/her appointment or as soon as reasonably practicable thereafter and the Parties shall assist and provide the documentation that the Expert requires for the purpose of the determination;
 - 4.3.4. any amount payable by one Party to another as a result of the Expert's determination shall be due and payable within twenty (20) Working Days of the Expert's determination being notified to the Parties;
 - 4.3.5. the process shall be conducted in private and shall be confidential; and
 - 4.3.6. the Expert shall determine how and by whom the costs of the determination, including his/her fees and expenses, are to be paid.

5. ARBITRATION

- 5.1. The Authority may at any time before court proceedings are commenced refer the Dispute to arbitration in accordance with the provisions of paragraph 6.4.
- 5.2. Before the Provider commences court proceedings or arbitration, it shall serve written notice on the Authority of its intentions and the Authority shall have fifteen (15) Working Days following receipt of such notice to serve a reply (a "Counter Notice") on the Provider requiring the Dispute to be referred to and resolved by arbitration in accordance with paragraph 6.4 or be subject to the jurisdiction of the courts in

accordance with Clause 48 (Governing Law and Jurisdiction). The Provider shall not commence any court proceedings or arbitration until the expiry of such fifteen (15) Working Day period.

5.3. If:

- 5.3.1. the Counter Notice requires the Dispute to be referred to arbitration, the provisions of paragraph 6.4 shall apply;
- 5.3.2. the Counter Notice requires the Dispute to be subject to the exclusive jurisdiction of the courts in accordance with Clause 48 (Governing Law and Jurisdiction), the Dispute shall be so referred to the courts and the Provider shall not commence arbitration proceedings;
- 5.3.3. the Authority does not serve a Counter Notice within the fifteen (15) Working Day period referred to in paragraph 6.2, the Provider may either commence arbitration proceedings in accordance with paragraph 6.4 or commence court proceedings in the courts in accordance with Clause 48 (Governing Law and Jurisdiction) which shall (in those circumstances) have exclusive jurisdiction.

5.4. In the event that any arbitration proceedings are commenced pursuant to paragraphs 6.1 to 6.3, the Parties hereby confirm that:

- 5.4.1. all disputes, issues or claims arising out of or in connection with this Framework Agreement (including as to its existence, validity or performance) shall be referred to and finally resolved by arbitration under the Rules of the London Court of International Arbitration ("LCIA") (subject to paragraphs 6.4.5, 6.4.6 and 6.4.7);
- 5.4.2. the arbitration shall be administered by the LCIA;
- 5.4.3. the LCIA procedural rules in force at the date that the Dispute was referred to arbitration shall be applied and are deemed to be incorporated by reference into this Framework Agreement and the decision of the arbitrator shall be binding on the Parties in the absence of any material failure to comply with such rules;
- 5.4.4. if the Parties fail to agree the appointment of the arbitrator within ten (10) days from the date on which arbitration proceedings are commenced or if the person appointed is unable or unwilling to act, the arbitrator shall be appointed by the LCIA;
- 5.4.5. the chair of the arbitral tribunal shall be British;
- 5.4.6. the arbitration proceedings shall take place in London and in the English language; and
- 5.4.7. the seat of the arbitration shall be London.

6. URGENT RELIEF

- 6.1. Either Party may at any time take proceedings or seek remedies before any court or tribunal of competent jurisdiction:
- 6.1.1. for interim or interlocutory remedies in relation to this Framework Agreement or infringement by the other Party of that Party's Intellectual Property Rights; and/or
 - 6.1.2. where compliance with paragraph 2.1 and/or referring the Dispute to mediation may leave insufficient time for that Party to commence proceedings before the expiry of the limitation period.

FRAMEWORK SCHEDULE 19: VARIATION FORM

Variation Form No:

.....

BETWEEN:

[insert name of Authority] ("the Authority")

and

[insert name of Provider] ("the Provider")

This Framework Agreement is varied as follows and shall take effect on the date signed by both Parties:

[Guidance Note: Insert details of the Variation]

Words and expressions in this Variation shall have the meanings given to them in the Framework Agreement.

The Framework Agreement, including any previous Variations, shall remain effective and unaltered except as amended by this Variation.

Signed by an authorised signatory for and on behalf of the Authority

Signature

Date

Name (in Capitals)

Address

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

Signature

Date

Name (in Capitals)

Address

FRAMEWORK SCHEDULE 20: CONDUCT OF CLAIMS

1. INDEMNITIES

- 1.1. This Schedule shall apply to the conduct by a Party from whom an indemnity is sought under this Framework Agreement or any Call Off Agreement (the “Indemnifier”), of claims made by a third person against a party having (or claiming to have) the benefit of the indemnity (the “**Beneficiary**”).
- 1.2. If the Beneficiary receives any notice of any claim for which it appears that the Beneficiary is, or may become, entitled to indemnification under this Framework Agreement or any Call Off Agreement (a “Claim”), the Beneficiary shall give notice in writing to the Indemnifier as soon as reasonably practicable and in any event within 10 Working Days of receipt of the same.
- 1.3. Subject to Paragraph 1.5, on the giving of a notice by the Beneficiary, where it appears that the Beneficiary is or may be entitled to indemnification from the Indemnifier in respect of all (but not part only) of the liability arising out of the Claim, the Indemnifier shall (subject to providing the Beneficiary with a secured indemnity to its reasonable satisfaction against all costs and expenses that it may incur by reason of such action) be entitled to dispute the Claim in the name of the Beneficiary at the Indemnifier’s own expense and take conduct of any defence, dispute, compromise or appeal of the Claim and of any incidental negotiations relating to the Claim. If the Indemnifier does elect to conduct the Claim, the Beneficiary shall give the Indemnifier all reasonable cooperation, access and assistance for the purposes of such Claim, and the Beneficiary shall not make any admission which could be prejudicial to the defence or settlement of the Claim without the prior written consent of the Indemnifier.
- 1.4. With respect to any Claim conducted by the Indemnifier pursuant to Paragraph 1.3:
 - 1.4.1. the Indemnifier shall keep the Beneficiary fully informed and consult with it about material elements of the conduct of the Claim;
 - 1.4.2. the Indemnifier shall not bring the name of the Beneficiary into disrepute;
 - 1.4.3. the Indemnifier shall not pay or settle such Claim without the prior written consent of the Beneficiary, such consent not to be unreasonably withheld or delayed; and
 - 1.4.4. the Indemnifier shall conduct the Claim with all due diligence.
- 1.5. The Beneficiary shall be entitled to have conduct of the Claim and shall be free to pay or settle any Claim on such terms as it thinks fit and without prejudice to its rights and remedies under this Framework Agreement or any Call Off Agreement if:
 - 1.5.1. the Indemnifier is not entitled to take conduct of the Claim in accordance with Paragraph 1.3;

- 1.5.2. the Indemnifier fails to notify the Beneficiary in writing of its intention to take conduct of the relevant Claim within 10 Working Days of the notice from the Beneficiary or if the Indemnifier notifies the Beneficiary in writing that it does not intend to take conduct of the Claim; or
- 1.5.3. the Indemnifier fails to comply in any material respect with the provisions of Paragraph 1.4.

2. RECOVERY OF SUMS

- 2.1. If the Indemnifier pays to the Beneficiary an amount in respect of an indemnity and the Beneficiary subsequently recovers (whether by payment, discount, credit, saving, relief or other benefit or otherwise) a sum which is directly referable to the fact, matter, event or circumstances giving rise to the Claim, the Beneficiary shall forthwith repay to the Indemnifier whichever the lesser is of:
 - 2.1.1. an amount equal to the sum recovered (or the value of the discount, credit, saving, relief, other benefit or amount otherwise obtained) less any out-of-pocket costs and expenses properly incurred by the Beneficiary in recovering or obtaining the same; and
 - 2.1.2. the amount paid to the Beneficiary by the Indemnifier in respect of the Claim under the relevant indemnity.

3. MITIGATION

- 3.1. Each of the Authority or Contracting Authority and the Provider shall at all times take all reasonable steps to minimise and mitigate any loss for which the relevant Party is entitled to bring a claim against the other Party pursuant to the indemnities in this Schedule.

FRAMEWORK SCHEDULE 21: TENDER

1. General

- 1.1. This Framework Schedule 21 sets out a copy of the Provider's Tender including the Provider's responses to the whole award questionnaire in accordance with section AQA1 of the award questionnaire to the ITT.
- 1.2. Subject to Clauses 1.1.1 and 1.2.3, in addition to any other obligations on the Provider under this Framework Agreement and any Call Off Agreement the Provider shall provide the Services to Contracting Authorities in accordance with the Tender.

[Guidance Note: Include here a copy of the Provider's Tender, including the Provider's responses to the whole award questionnaire in accordance with section A of the award questionnaire to the ITT]

Redacted

FRAMEWORK SCHEDULE 22: TRANSPARENCY REPORTS

1. General

- 1.1. Within three (3) months of the **11/7/2016** the Provider shall submit to the Authority for Approval (such Approval not to be unreasonably withheld or delayed) draft Transparency Reports consistent with the content requirements and format set out in Annex 1 of this Schedule 22 below.
- 1.2. If the Authority rejects any proposed Transparency Report submitted by the Provider, the Provider shall submit a revised version of the relevant report for Approval by the Authority within five (5) days of receipt of any notice of rejection, taking account of any recommendations for revision and improvement to the report provided by the Authority. This process shall be repeated until the Parties have agreed versions of each Transparency Report.
- 1.3. The Provider shall provide accurate and up-to-date versions of each Transparency Report to the Authority at the frequency referred to in Annex 1 of this Schedule 22 below.
- 1.4. Any Dispute in connection with the preparation and/or approval of Transparency Reports shall be resolved in accordance with the Dispute Resolution Procedure.
- 1.5. The requirements in this Schedule 22 are in addition to any other reporting requirements set out in this Framework Agreement.

ANNEX 1: LIST OF TRANSPARENCY REPORTS

Title of Report	Content	Format	Frequency
[Headline Service performance]	[]	[]	[]
[Charges]	[]	[]	[]
[Key Sub-Contractors]	[]	[]	[]
[Technical]	[]	[]	[]
[Performance management arrangements]	[]	[]	[]