

DPS FRAMEWORK SCHEDULE 4: LETTER OF APPOINTMENT AND CONTRACT TERMS

Part 1: Letter of Appointment

**The Department for Business
Energy and Industrial Strategy (BEIS)
1 Victoria Street
London, SW1H 0ET**

Dear Sirs

Letter of Appointment

This letter of Appointment dated **Friday 21st January 2022**, is issued in accordance with the provisions of the DPS Agreement (RM6018) between CCS and the Supplier.

Capitalised terms and expressions used in this letter have the same meanings as in the Contract Terms unless the context otherwise requires.

| | |
|---------------|--|
| Order Number: | 650419739 |
| From: | The Department for Business, Energy and Industrial Strategy (BEIS), 1 Victoria Street, London, SW1H 0ET ("Customer") |
| To: | DG Cities, Ravensbourne University London, 1 st Floor Incubation, London, SE10 0EW ("Supplier") |

| | |
|-----------------|--|
| Effective Date: | Thursday 27 th January 2022 |
| Expiry Date: | Thursday 31 st March 2022 |

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| Services required: | Set out in Section 2, Part B (Specification) of the DPS Agreement and refined by: The Customer's Project Specification attached at Annex A and the Supplier's Proposal attached at Annex B; Contract Terms at Annex C; and Non-Disclosure Contract at Annex D; |
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|------------------|--|
| Key Individuals: | Information redacted in line with Section 40 of the FOIA [REDACTED] |
|------------------|--|

| | |
|----------------|---|
| | <p>Information redacted in line with Section 40 of the FOIA</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> |
| [Guarantor(s)] | N/A |

| | |
|---|---|
| Contract Charges (including any applicable discount(s), but excluding VAT): | Up to £50,000.00 ex VAT in alignment with the supplier's proposal Annex A: Pricing Schedule and Call Off Contract Terms, Schedule 6: Contract Charges, Annex 1 – Contract Charges |
| Insurance Requirements | <p>Public liability insurance to cover all risks in the performance of this DPS Agreement and any Contract, with a minimum limit of one (£1,000,000.00) million for each individual claim</p> <p>Employers' liability insurance with a minimum limit of indemnity as required by Law</p> <p>Professional indemnity insurance adequate to cover all risks in the performance of this DPS Agreement and any Contract with a minimum limit of indemnity of one (£1,000,000.00) million for each individual claim</p> <p>Product liability insurance cover all risks in the provision of Deliverables under the Contract, with a minimum limit of one (£1,000,000.00) million for each individual claim</p> |
| Liability Requirements | Suppliers limitation of Liability (Clause 18.2 of the Contract Terms); |
| Customer billing address for invoicing: | finance@services.ukpbs.co.uk or Billingham (UKPBS Queensway House, West Precinct, Billingham, TS23 2NF). |

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| GDPR | As per Contract Terms Schedule 7 (Processing, Personal Data and Data Subjects |
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FORMATION OF CONTRACT

BY SIGNING AND RETURNING THIS LETTER OF APPOINTMENT (which may be done by electronic means) the Supplier agrees to enter a Contract with the Customer to provide the Services in accordance with the terms of this letter and the Contract Terms.

The Parties hereby acknowledge and agree that they have read this letter and the Contract Terms.

The Parties hereby acknowledge and agree that this Contract shall be formed when the Customer acknowledges (which may be done by electronic means) the receipt of the signed copy of this letter from the Supplier within two (2) Working Days from such receipt

For and on behalf of the Supplier:

Name and Title:

Information redacted in line with Section 40 of FOIA

Information redacted in line with Section 40 of FOIA

Signature:

Information redacted in line with
Section 40 of FOIA

Date:

27.01.2022

For and on behalf of the Customer:

Name and Title:

Information redacted in line with Section 40 of FOIA

Information redacted in line with Section 40 of FOIA

Signature:

Information redacted in line with
Section 40 of FOIA

Date:

27.01.2022

ANNEX A

Customer Project Specification

1. Background

The UK electric vehicle (EV) market is growing at pace. In January 2021, 6,260 new battery electric vehicles (BEVs) and 6,124 new plug-in hybrid electric vehicles (PHEVs) were registered in the UK, representing a 54% and 28% increase in sales relative to the same month the previous year¹. There are now more than 500,000 plug-in vehicles on the road as of the end of April 2021² and we expect demand to continue to grow rapidly in response to the Government's announcement to end the sale of new petrol and diesel cars and vans by 2030, with all vehicles being required to have a significant zero emissions capability (e.g. plug-in and full hybrids) from 2030 and be 100% zero emissions from 2035³.

The Committee on Climate Change (CCC) estimate that there could be 14m-18m electric cars, vans and heavy good vehicles (HGVs) on the road by 2030. This could increase total electricity demand by approximately 30TWh in 2030, and by 65-100TWh in 2050⁴. This represents about a five-fold increase from current EV electricity demand.

Currently, most EV charging is done at home and we expect significant home charging in future given it is often the most convenient and cost-effective form of charging when available⁵.

Analysis of real-world charging event data indicates that domestic charging during the week is likely to occur during existing electricity system peak demand times, such as between 5pm and 7pm, when people arrive home from work. At workplaces drivers tend to plug in when they arrive in the morning (08:00 - 10:00) which could add to the existing morning peak of demand⁶.

Smart functionality, can be described as the ability for a chargepoint to receive and respond to a signal by changing the time and rate at which electricity flows through the chargepoint. This form of demand side response (DSR) allows an EV owner to shift their charging to different periods of the day such as overnight when demand is low or when there is high renewable generation on the system, Smart charging will enable users to access lower electricity prices and reduce the cost of charging their EV. It can also provide convenience to consumers by allowing them to manage their EV charging remotely and alongside other smart household appliances.

The benefits of smart charging are not limited to EV owners. Smart charging could result in lower greenhouse gas emissions and lower electricity bills for all households

1 SMMT (2021) – 'EV & AFD Registrations' -<https://www.smmt.co.uk/vehicle-data/evs-and-afvs-registrations/>

2 ZapMap (2021) – 'EV Charging Stats 2021' -<https://www.zap-map.com/statistics/#EVs>

3 HMG (2020) – 'The Ten Point Plan for a green industrial revolution' -<https://www.gov.uk/government/publications/the-ten-point-plan-for-a-green-industrial-revolution>

4 6th Carbon Budget Database, CCC, 2021

5 A number of studies show that the vast majority of current EV owners charge their car at home. These findings are summarised in: Hardman, S, et al (2018) 'A review of consumer preferences of and interactions with electric vehicle charging infrastructure', Transportation Research Part D: Transport and Environment (Volume 62).

6 Electric Vehicle Charging Behaviour Study, Element Energy for National Grid ESO, 2019

by minimising the impact additional electricity demand from EVs has on the energy system. Shifting electricity demand has the following benefits to the power sector:

- Reducing peak demand and the amount of generation capacity needed on the system
- Optimising use of renewable technologies
- Reducing or avoiding network reinforcement.

It is vital that consumers and the energy system are protected from the potential risks posed by smart charging. Such risks include grid stability, cyber and data security and a lack of smart interoperability. Grid stability issues can occur where large numbers of smart chargepoints start or stop charging simultaneously, such as in response to a change in electricity prices. This could lead to issues for network operators when balancing the electricity system. Similarly, cyber-attacks, such as hacking of chargepoint control systems, could threaten the stability of the electricity system if large numbers were manipulated simultaneously. Smart interoperability will also be essential for a competitive market, for example to ensure consumers are not unfairly disadvantaged by their choice of smart chargepoint.

On 28 October 2021, Government laid the ‘Electric Vehicles (Smart Charge Points) Regulations⁷’ (the ‘regulations’) to mandate that all new private EV chargepoints sold and installed in GB will need to meet requirements around smart functionality, cyber security, data privacy and grid stability. These regulations would be enforced from around May 2022.

The objectives of the regulations are outlined below:

- Maximise the use of smart charging technologies
- Provide consumer protection
 - Interoperability – avoid unfair disadvantage towards consumers switching between energy tenderers and avoid excluding consumers from access to smart charging services and tariffs
 - Safety and data privacy – data and safety controls beyond the standard framework if smart functionality presents specific new risks
- Provide grid protection
 - Cyber and data security – include robust security measures to mitigate the risk that EV smart charging presents to the security of the grid
 - Grid stability – controls to prevent outages on the grid caused by erroneous smart operation

An impact assessment was carried out to estimate the potential benefits and costs of the regulation. The regulation could reduce costs to the power system by £0.3-£1.1bn up to 2050. This does not include unmonetized benefits such as enhanced grid stability and cyber security. However, mandating that private off-street chargepoints need to

⁷ <https://www.legislation.gov.uk/ukdsi/2021/9780348228434/contents>

be smart will create costs for manufacturers, which will likely be passed onto consumers. The published impact assessment is available [here](#).

We are procuring this research to fill evidence gaps around attitudes and behaviour of current EV drivers. We will use this evidence as a benchmark to measure and isolate the impact of the regulations through a 5-year impact evaluation.

The table below summarises some of the recent sources for evidence around UK EV home charging behaviour. These sources have provided us with useful evidence on:

- Access to off-street parking
- Share of charging sessions by location
- Proportion of home charger ownership
- Internet connected chargers
- Type of electricity contract

Table 1. Sources for evidence around UK EV home charging behaviour

| Source | Summary |
|---|--|
| 'Who is the EV consumer and how do they charge?', Delta-EE, 2021 | An annual survey with around 200 UK drivers exploring current charging attitudes and behaviours. |
| EV Driver Survey, New Motion, 2019 | A survey with over 10,000 EV drivers in 5 European countries, including over 500 EV drivers in the UK. |
| EV Charging Survey, Zap Map, 2020 | A survey with over 2,000 UK EV owners to better understand their charging needs. |
| Charger Use Study, UK Power Networks, 2019 | A study which brings together the findings from a stakeholder consultation and analysis of existing trial data and real-world data sets on charging use. |
| Electric Vehicle Charging Behaviour Study, National Grid ESO, 2019 | Analysis of charging event datasets from the National Grid ESO and OZEV |
| Consumer Charging Trials Report, Energy Technologies Institute, 2019 | The report details the charging behaviours observed with EV drivers without Managed Charging and under two forms of Managed Charging |

However, these sources do not provide sufficient evidence to be confident in suggested results or leave evidence gaps which we would like this survey to address. These are outlined below:

- Consumer demand for smart chargepoints and how they engage with different smart functionalities
- How EV owners charge at home, specifically, the equipment that is used; e.g. a dedicated smart/non-smart chargepoint, a 3-pin plug cable
- Motivations for and barriers to using different equipment which charging at home
- Where EV owners purchase charging infrastructure and how they are influenced during the purchasing decision process
- How EV owners use their smart chargepoint
- The use of smart chargepoints in combination with flexible and green electricity tariffs
- Whether specific groups have home charging behaviours and different preferences towards smart/non-smart dedicated chargepoints and 3-pin cables

2. Aims and Objectives

We are commissioning consumer research primarily to inform the evaluation of smart charge point regulations which will be implemented around May 2022, in order to feedback to further policy development in this rapidly expanding market. The research aims to fill evidence gaps around consumer access to and use of private and off-street dedicated EV chargepoints at home, including those which have smart functionalities. This will provide important context to inform the baseline evaluation which is required in order to provide a robust assessment of the extent to which the regulations meet their objectives, and to inform further change that may be needed. We may consider repeating the survey in the future in order to measure the changes in access to and use of chargepoints and smart functionalities. For this reason, it is important the survey could be repeatable and comparable.

We also intend to use the research to address wider questions around charging behaviour. These might not be directly required for the needs of the evaluation but would inform future policy development such as developing evidence on barriers to smart charging.

The aims of the project are as follows:

- Understand how EV drivers charge at home, including what equipment they use as well as when and how regularly they charge.
- Understand the current engagement of EV drivers with smart charging, including the uptake and use of smart chargepoints.

- Explore consumer awareness around the benefits of smart charging and their attitudes to future engagement.

We ask that the contractors demonstrate and provide clear details on their methodology and sample and why they believe this to be sufficient for the aims of this research. The sample must be large enough to provide a good representation of the population, to allow for meaningful sub-group comparisons, and to enable robust baselining for future comparisons. We could for example expect the research to consist of a quantitative survey of a consumer panel, with a sample of over 500 EV drivers in the UK which have access to off-street parking.

The sample should aim to provide a good representation of different groups of EV drivers across GB – this includes both BEV and PHEV drivers. Representation should try to take into account the following consumer characteristics:

- BEV/PHEV owner
- UK region
- Rural/urban location
- Gender
- Age
- Ethnicity
- Income

The research should aim to answer the following research questions:

- What are the typical charging habits of EV drivers?
- How do consumers charge at home?
- What is the cost to the consumer of installing a chargepoint at home?
- Where do consumers purchase their chargepoint from and why?
- What is the cost of charging at home?
- How are consumers engaging with smart charging?
 - Who is using smart charging?
 - Where is smart charging happening?
 - What functionalities do they use?
 - Why are/why aren't consumers using smart charging?
 - What are the barriers to using smart charging?
 - What are the motivations for using smart charging?
- What is the level of awareness around smart charging and associated products (e.g. time-of use tariffs)?
- Do consumers use a time of use tariff for their charging?
- Will smart charging at home encourage consumers to charge more/less at home?

Following the confirmation of the contract, we will be able to provide further guidance on the priority of research questions.

3. Suggested Methodology

We encourage contractors to suggest quantitative survey methodologies for delivering this research. We ask that they demonstrate and provide clear details on why they believe their sample size/strategy to be sufficient for the aims of this research. Given the requirement to carry out the survey within a short time frame of around a month (see timelines) and the desire for the sample to provide good representation, we expect a consumer panel to be the most appropriate option. We would like the sample size to be sufficiently large e.g over 500 EV drivers with access to off-street parking, but we do not want the size of the sample to reduce the quality of the sample or approach taken.

3.1 Population of interest

The aim of this research is to produce a dataset of EV driver views and behaviours which can provide a good representation of the target population of EV drivers. The target population for this research is households who have a BEV or PHEV and who have access to off-street charging.

Within the population of EV drivers there are a number of potential sub-populations of interest including:

- Dwelling type (owner occupied, private rented, local authority, housing association)
- EV type (BEV or PHEV)
- Vehicle Type (Car or Van)
- EV purchase year
- UK region
- Location (rural, suburban, and city and urban)
- Parking provision (garage, other off-street parking, adequate street parking, inadequate street parking and no parking provision)
- EV ownership status (e.g. own their EV vs lease their EV vs EV provided by employer)

3.2 Consumer panel survey

In order to achieve generalisable results we anticipate that a GB-wide random probability consumer panel would be the most appropriate approach. A random probability consumer panel would give us the best chance of having a representative dataset which has good representation of different driver groups for understanding the EV driver population of interest. However, we invite contractors to suggest alternative methods and demonstrate how these would provide robust results and include different driver groups.

A consumer panel could also be filtered to include just BEV and PHEV drivers with access to off-street charging. It would be ideal to target this population however this may not be possible. If it is not possible to filter the sample, we would welcome suggestions for how to target and maximise the responses from this population. For example, filtering by characteristics commonly associated with EV ownership. We would require the bid to outline how this could be done and what limitations and biases this is likely to introduce.

We would welcome views on the optimal length and complexity of the questionnaire itself but we would anticipate around 20-30 questions plus additional demographic information of respondents (e.g. age, gender, region/urban/rural)

3.3 Analysis

The tenderer is not expected to carry out any thorough exploratory analysis of the data however the following analysis is required:

- Cleaning of the dataset (including removal of extreme outliers, common notation for non-response/missing responses etc.)
- Creation of survey weights
- High-level, cross-tabulation analysis of the dataset and high-level comparisons where possible (e.g. between EV driver sub-populations)
- Comprehensive quality assurance on the dataset and above analysis
- Clear and easily navigable excel sheet to host the dataset, with options to filter data by sub-populations

4. Outputs Required

The tenderer should note that BEIS will own the intellectual property rights of any and all intermediate products, including final deliverables, and in particular including presentation slide packs, reports and data.

The following outputs are required within the project, irrespective of whether the proposed methodologies are used or whether alternatives are proposed. Alternative reporting approaches or timing may be proposed so long as they meet the needs outlined below and the tenderer's reasoning is clearly set out.

4.1 A full raw dataset of survey responses and weightings

This dataset should include all valid responses to all survey questions and respondent demographic details. The data should be in excel format and must be cleaned and quality assured and include appropriate weightings. It should be in a clear and easily navigable format, with the option to filter the data by consumer characteristics.

4.2 Short methodology and key findings report (around 15 pages)

Whilst we are not asking for a full detailed analysis of the survey data we do require a brief research report which provides a clear summary of the methodology used

(including limitations and cleaning approach), information about correct use of survey weightings, and a high-level summary of key research findings (e.g. cross-tab comparisons). The report must be completed to a publishable standard.

5. Ownership and Publication

Tenderers should note that BEIS will own the intellectual property rights of any and all intermediate products, including final deliverables, and in particular including presentation slide packs, reports and data.

We intend for the report to be published, with interest in exploring potential for this to be hosted on the contractor's website. If the contractor uses a template from BEIS for the report, the report will need to meet the requirements of the [Accessibility Legislation](#) in order to be published. We are likely to only publish the report but this should contain some cross-tabs of data in the annex. The dataset in excel should still be delivered to a publishable standard.

6. Quality Assurance

Tenderers must set out their approach to quality assurance (QA) in their response to this ITT with a QA plan.

Sign-off for quality assurance must be done by someone of sufficient seniority within the contractor organisation to be able to take responsibility for the work done. Acceptance of the work by BEIS will take this into consideration. BEIS reserves the right to refuse to sign off outputs which do not meet the required standard specified in this invitation to tender and/or the tenderer's QA plan. QA should cover all aspects of the project undertaken by the contractors, including data collection, data analysis and reporting.

To demonstrate an effective process to produce high quality reporting, the contractor/s must ensure that quality assurance is done by individuals who were not directly involved in that particular research, analysis, or reporting process.

Outputs will be subject to BEIS internal approvals, and the more substantive the output the longer the approval time required.

The tenderer will be responsible for any work supplied by sub-contractors. For primary research, contractors should be willing to facilitate BEIS research staff attending interviews as part of the quality assurance process if appropriate.

Other useful sources of guidance and advice that will help bids and the resulting work be of the highest quality include:

- The [BEIS Monitoring and Evaluation Framework](#), which sets out BEIS's ambitions and standards for monitoring and evaluation
- The [Government Social Research Code](#), in particular those that relate to GSR Products

- [Quality in Qualitative Research: A Framework for assessing research evidence](#) provides a Framework for appraising the quality of qualitative research

7. Timetable

The contract is expected to close on 25 March 2022 and all deliverables must be provided to BEIS and signed-off by BEIS project manager prior to this date. Contractors must demonstrate that they can meet the following provisional timetable for the delivery of the evaluation:

- [week after end of competition e.g. 17 January] – Inception meeting and project kick-off.
- Mid-late January – Questionnaire design.
- End January – End February – Survey fieldwork period.
- Early March – high-level analysis and report drafting + BEIS review.
- Friday 25th March - Final report and dataset delivered to BEIS and signed-off.

Tenderers may propose alternative timetables provided these will deliver the required outputs by the end of March 2022 and allow time for BEIS to review and comment on outputs and for these to be actioned.

Bids should outline how they will ensure the work is delivered to meet this deadline, including project Gantt charts factoring sufficient time for quality assurance.

8. Challenges

There may be a number of challenges in conducting this evaluation; some are detailed in the following section. tenderers must explain how these and any other challenges will be addressed through the project's design and delivery.

8.1 Timing of outputs

Tenderers should consider how they can deliver outputs to the proposed timetable. Tenderers are welcome to propose innovative methods and outline a delivery plan which splits the required activities in stages to meet the requirement.

8.2 Sampling EV drivers

Tenderers should explain how they propose selecting the sample of EV drivers from within the consumer panel population in order to achieve the maximum number of responses from this group and ensure the sample provides a good representation of the population of interest.

9. Ethics

All applicants will need to identify and propose arrangements for initial scrutiny and

on-going monitoring of ethical issues. The appropriate handling of ethical issues is part of the tender assessment exercise and proposals will be evaluated on this as part of the 'consideration of challenges' criterion.

We expect contractors to adhere to the following [Government Social Research \(GSR\) Principles](#):

- Research should have a clear user need and public benefit
- Research should be based on sound research methods and protect against bias in the interpretation of findings
- Research should adhere to data protection regulations and the secure handling of personal data
- Participation in research should be based on specific and informed consent
- Research should enable participation of the groups it seeks to represent
- Research should be conducted in a manner that minimises personal and social harm

10. Working Arrangements

The successful contractor will be expected to identify one named point of contact through whom all enquiries can be filtered. A BEIS project manager will be assigned to the project and will be the central point of contact.

Where a consortium or sub-contractors are in place, BEIS expects that they are included in relevant meetings, workshops and review points to ensure their full engagement in the project. All contractors and sub-contractors are responsible for the delivery of outputs to the appropriate time and quality. It is expected that the lead contractor takes an active role in oversight of all workstreams and bears the overall responsibility for the delivery of the evaluation activities and outputs.

We expect the appointment offer to be confirmed in the week commencing 17th January 2022. Note that tenderers must be available to attend an inception meeting in the week commencing 17th January.

We envisage the need for close interaction between the BEIS Project Manager and contractor throughout the process, to ensure that emerging issues are dealt with promptly and that BEIS fully understand the assumptions and approach taken. tenderers should assume that engagement with BEIS will include fortnightly project management phone calls, weekly progress updates, and any ad hoc meetings as required to design and deliver the project. Throughout the project, BEIS will review and sign off all final data collection instruments and analytical approaches (including sampling approaches, surveys and interview questions) before they can be used. BEIS will also review and sign off all outputs.

11. Performance

BEIS will manage the contract and have ad hoc performance discussions with the Contractor. Where the quality of deliverables are failing to meet BEIS' expectations

identified in both these requirements and the Contractor's tender submission, BEIS will work with the Contractor to identify measures to remedy these performance issues.

ANNEX B
Supplier Proposal

A01: Approach

Methodology

This research is to be undertaken to help inform the 5-year evaluation of smart chargepoint regulations due for implementation in May 2022. To deliver this project to a high quality, on time and to budget we propose the following project team:

- DG Cities, an innovation company which brings extensive experience of leading EV research and delivering insights for the public and private sector. DG Cities is the lead organisation and will subcontract to two key partners.
- Peter Wells, Professor of Business and Sustainability, Director of the Centre for Automotive Industry Research at Cardiff University. Professor Wells will be subcontracted by DG Cities and brings technical expertise of research methods, and deep domain knowledge of EV infrastructure. Professor Wells will ensure academic rigour through the quality assurance (QA) process.
- YouGov, the global research agency. YouGov will be subcontracted to provide access to a large public panel of participants, enabling delivery of fieldwork on time and to budget.

We believe our project team provides a unique set of skills to deliver the following objectives, which we have developed from those outlined in call for proposals. Objectives 1-3 are developed from the requirements of the call for proposals. Objectives 4 and 5 are additional builds that we believe provide valuable insights and longevity to the programme of work.

- **Objective 1:** To determine how EV drivers charge at home, including what equipment they use and how regularly they charge.
- **Objective 2:** To determine how EV drivers currently engage with smart charging including the uptake and use of smart charge points.
- **Objective 3:** To understand consumer awareness of the benefits of smart charging and consumer attitudes towards future engagement.
- **Objective 4:** To utilise evidence from behavioural science to understand EV owner's charging behaviour, and seek evidence and insights for understanding behavioural barriers to smart charging.
- **Objective 5:** To develop a robust methodology with evidence-based measures that can be repeated to develop a longitudinal data set for BEIS.

By meeting objectives 1-3 we will provide missing evidence which BEIS has highlighted is critical for informing future policy. These evidence gaps include: (1) understanding consumer demand for smart charge points and how they engage with different smart functionalities; (2) how EV owners charge at home and the specific equipment that they use; (3) motivations for and barriers to using different equipment for charging at home; (4) where EV owners purchase charging infrastructure and how they are influenced during the purchasing decision process; (5) How EV owners use their smart chargepoint; (6) The use of smart charge points in combination with flexible and green electricity tariffs; (7) How charging behaviours and equipment preferences differ across groups. We propose two additional objectives: objective 4 will provide useful insights in an accessible and practical format that will support future policy interventions. Objective 5 provides important foundations for future data capture by providing a robust and replicable methodology.

We have designed the following work packages to meet the above objectives, which align to those outlined in Annex A – Pricing Schedule. We present the work packages in the following table and throughout this document in chronological order:

Table 1: Work package overview

| Work package (WP) |
|---|
| WP4 - Project Management: in this work package we will agree the overall project scope and project research questions, develop and agree the project plan and risk register, map key stakeholders, and deliver the ethical approval process. |
| WP1 - Questionnaire Design: in this work package we will develop the survey instrument by conducting a rapid evidence assessment and expert interviews, and developing a question framework against the overall project research questions. We will also undertake extensive quality assurance. |
| WP2 - Survey Fieldwork: in this work package YouGov will deliver the survey. |
| WP3 - Analysis and Reporting: in this work package we will clean and prepare the data for analysis, conduct a data synthesis process and workshop, and develop the data set for delivery. We will develop the final report and presentation and conduct final QA activity, including sign off from BEIS. |

Our proposed research methodology (WP1, WP2 and WP3) is as follows:

Table 2: Methodology

| | |
|------------------------------------|---|
| WP1: Questionnaire Design | <ul style="list-style-type: none"> • Develop and agree research protocol including project research questions • Agree rapid evidence assessment search terms with BEIS • Conduct a rapid evidence assessment • Review findings and develop survey questions • Host a question development workshop • Develop interview script • Conduct expert interviews • Design survey • Review with BEIS and academic partner and make changes • Conduct testing with YouGov, review and make changes |
| WP2: Survey Fieldwork | <ul style="list-style-type: none"> • Data collection and delivery by YouGov • YouGov Fieldwork |
| WP3: Analysis and Reporting | <ul style="list-style-type: none"> • Data cleaning and preparation • Development of output 1: Excel data table document • Analysis • Host analysis and synthesis workshop • Internal and academic review • Deliver Output 1 and analysis/interim findings to BEIS • Review and update following BEIS review • Develop Output 2: Summary Report • Develop Output 3: Powerpoint Presentation |

We will conduct an online cross-sectional survey via our subcontractor YouGov which will provide access to a panel of EV owners. An online survey is an effective methodology for collecting data on self-reported measures of preferences, attitudes, and interests as per the requirements of this project. To begin **WP1: Questionnaire Design** we will develop the research protocol and define the project research questions to meet our above objectives, which we will agree with BEIS. To understand the latest evidence, we will undertake rapid-evidence assessment (REA) to develop measures of EV charging attitudes and behaviours. Within this we will also define current EV home charging technology standards to develop questions relating to technology requirements.

For the REA we will develop search terms and agree these with BEIS and our academic partner. We will scan published peer-reviewed and grey literature via publications including Wiley, SAGE Journals and Taylor & Francis. We will also draw on Delta-EE's 2021 survey; EV Driver Survey, (New Motion, 2019); EV Charging Survey (Zap Map, 2020); Charger Use Study (UK Power Networks, 2019); Electric Vehicle Charging Behaviour Study (National Grid ESO, 2019); Consumer Charging Trials Report (Energy Technologies Institute, 2019). We will determine inclusion and exclusion criteria with BEIS, which may include: geography, date published. A review and data capture process will be undertaken using a Microsoft Excel review template which will provide recommendations for the items to be included in the online questionnaire. Data arising from this process will include insights for the behaviour framework that details the system of charging behaviours with recommendations of the most influential behaviours that may require policy intervention. This framework can then be updated through subsequent surveys to reflect the changing demographics of citizens with EVs and the integration of smart charging into their daily lives.

To validate the outputs of the REA process we will undertake up to 5 one-hour expert interviews with academics, industry leaders and policy experts. This exercise will ensure we capture the most up-to-date perspectives, and any outlier or "wild-card" insights for inclusion in the survey design stage. Experts we will target for interview include: Professor Marcus Enoch, Professor in Transport Strategy at Loughborough University; Professor Jillian Anable, Chair in Transport and Energy at the Institute for Transport Studies and steering group member of the Electric Vehicle Energy Taskforce; and Graeme Cooper, Head of Future Markets at National Grid. We will also interview our existing EV infrastructure partners on Innovate UK funded projects at Clenergy and EDF. The QA process we outline later in this proposal will ensure quality of the final instrument.

The instrument will consist of 25 questions. YouGov has existing demographic data of their panel, so we do not need to ask these questions in the questionnaire, providing more opportunities to ask research questions. We will split the questionnaire into the following modules, which include Likert scale and open questions:

Module 1: Current charging behaviour at home

This section will address all aspects of charging behaviour including frequency of charging, time of day, and the sequence of actions that an individual does to charge. To understand charging behaviour, we develop questions based on a theoretical behaviour framework. From our initial research, there is one behaviour model specific to EV-charging which draws upon control theory and self-regulation theory. However, it has been criticised as hard to operationalise (Daina et al., 2017) and it disregards multiple other possible behavioural mechanisms at play. Therefore, we will likely use a generalised model such as the COM-B (Capability, Opportunity, Motivation-Behaviour) model to develop the questions. The benefit of this framework is that it is easily replicable and will help to establish facilitators and barriers to charging, important evidence for future behaviour change interventions, and will support future hypothesis testing by BEIS. These questions will meet objectives 1, 4 and 5.

Module 2: Charging technology used to charge at home

To address Objective 1, the questions in this section will assess what technology is currently used to charge at home, for example, 3 pin plugs or EV adaptors and the choice model for these technologies. We will also incorporate cost questions, both financial costs of purchasing and upkeep and non-financial costs such as convenience, space and ease of installation.

Module 3: Smart charging

To address Objective 2, we will seek to understand if and how EV drivers currently engage with Smart Chargers, and their attitudes and perceptions of these technologies. To address Objective 4, we will incorporate questions to understand specific smart charging behaviours and compare these to standard charging behaviour. This section will be developed using the same behavioural framework as the general EV charging behaviour questions to allow for comparison and to enable us to identify additional barriers to smart charging.

Module 4: Attitudes and perceptions of Smart Charging and EV charging

We will utilise and adapt validated scales to understand perceptions of EV charging behaviour, such as scales detailed in Hardman and colleagues' (2018) review. However, at present there does not appear to be a validated scale for Smart Charging perceptions therefore we will develop and test a new scale, incorporating measures to establish overall attitudes towards smart charging and time of use tariffs. To understand consumers' attitudes to future engagement with smart charging, we propose applying choice scenarios, adapted from Jabeen and colleagues (2013), which will present choices around the most preferred and least preferred scenarios for using smart charging. This will address Objective 3 and 5.

We will use a cross-sectional survey to meet the project objectives for several reasons.

Cross-sectional surveys:

- Are relatively quick and cost-effective for producing good quality data sets.
- Enable the formulation of hypotheses for future hypothesis testing research.
- Collect case data at one time point, and by using a panel provider many variables are already known about panel members, increasing survey efficiency and quality.
- Are subject to reduced ethical risks compared to other experimental study designs.

Cross-sectional surveys provide the most effective and efficient way to support descriptive analysis of distributions across certain demographics. This meets the requirements of this study to support analysis of attitudes and behaviours across key demographics within the defined sample frame and to provide BEIS with insights for the development of future studies and policy interventions. We will deploy a non-probability based quota sample via YouGov. Quota-based samples are recommended by the Government Social Research (GSR) profession for: *"helping to scope a policy intervention and understanding the range of concerns facing respondents about potential policy decisions"*. This approach is recommended over the probability-based sample requested in the ITT for several reasons. We estimate that there are approximately 1 million BEV and PHEV vehicles in the UK. Assuming these vehicles are all in use, are for private use and aren't clustered in households, this means that less than 2% of the UK population has one. Probability sampling methods via panel providers we have liaised with can reach c. 12,000 people, so would only provide a sample of 200-250 respondents. Additionally, this sample would require significant and expensive screening which would extend delivery timelines. We therefore recommend a non-probability sample using the YouGov panel.

WP2: Survey Fieldwork will be delivered by YouGov using their online panel. YouGov deploys a sampling procedure called Active Sampling which utilises online based survey methods. Emails are sent to panellists selected at random from the base sample of UK EV owners. The Email invites panel members to take part in a survey and provides a generic

survey link. Once a panel member clicks on the link they are sent to the survey that they are most required for, according to the sample definition and quotas. Only registered members of the YouGov panel are able to complete YouGov surveys. This improves the quality of information known about each panel member.

A good sample size is critical to a study of this nature. YouGov is able to guarantee a minimum sample size of 1000 EV owners, within budget, which is above the target of 500 requested by BEIS. Given that the non-probability methodology reduces generalisability we strongly recommend targeting 1000 responses, which would provide good quality evidence to meet the department's needs and is more appropriate for a non-probability study of the type we propose. This would also allow for potential risks associated with over sampling of EV owners without off-street parking. We have budgeted and planned for 500 responses as requested, and have provided flexibility in our proposed budget to reach 1000 responses should BEIS agree with this approach.

YouGov has a comprehensive set of variables about all members of its panel, including home location, ownership status and type of abode as well as standard demographic variables including: age, gender, region, social grade, working status, marital status, parental status, and social media use. We will utilise this information alongside up front inclusion/exclusion questions relating to access to off-street parking to reach the target sample. The sample will be weighted to be representative of the UK by age, gender, and ethnicity. We will also capture BE/PHEV ownership, UK region, and rural/urban location. During the pilot we will be able to test response rates for those with and without off-street parking. We also suggest comparing across access to off-street parking, should a larger proportion than expected be found during the pilot stage. We will work with YouGov to mitigate the risk of over sampling of those without off-street parking and review response rates with BEIS during the pilot and on an ongoing basis. We believe there is significant additional value in comparing those with off-street parking to those without off-street parking with regards to attitudes towards charging, charging behaviour, and opinions of existing technology, and will conduct this analysis for BEIS should it be of interest.

We will design a survey which can easily be replicated to provide a longitudinal data set. By working with an established panel, it is possible to develop a matched sample data set for future survey waves, and to explore the development of a probability-based sample. Future iterations may require updates to account for new technologies but the structure and sampling procedure will be replicable by BEIS and others with minor alterations.

BEIS will be engaged during the survey question development process to input into, verify and agree final survey questions, and during the fieldwork, analysis and reporting phase:

- Reviewing and agreeing overall project research questions.
- Reviewing and agreeing the rapid evidence assessment search terms.
- Joining a facilitated workshop with DG Cities to map and define research questions.
- Reviewing and agreeing the final survey instrument and cross checking the survey questions with the overall project research questions.
- Reviewing response data and outcomes from the pilot fieldwork phase.
- Reviewing and providing feedback on the interim data analysis, including joining a workshop facilitated by DG Cities to explore the analysis and synthesise results.
- Reviewing and signing off the final outputs

We will pilot the survey with YouGov to determine understandability and accessibility of the instrument, checking language, question order and general structure, and whether respondents have the necessary information (e.g. definitions) to respond.

Processing

WP3: Analysis and Reporting will be undertaken on delivery of the data in MS Excel from YouGov. We will clean the data in the following ways to remove anomalous and out of scope responses:

- Remove straight-lining responses or responses in intentional patterns.
- Remove duplicate responses.
- Remove responses with significant gaps/missed questions.

We will prepare the data for analysis through several steps:

- Case response times will be analysed and outliers will be removed from the analysis. The sensitivity of this analysis will be determined with BEIS.
- Graphical analysis and heat mapping of survey data to determine response quality and identify cases for removal.
- Review responses to open-ended questions and remove those with nonsense text.
- Review responses to questions which have positive and negative framing, to deduce whether questions have been read and interpreted correctly.

We will provide the following outputs to BEIS:

Table 3: Output descriptions

| Output | Description | Timeline |
|-----------------------------------|---|--|
| Output 1: Excel data tables | An Excel spreadsheet which contains the following tabs (1) Title slide, which includes document information and index (2) Fully cleaned data set of individual cases per line, variable codes in the top row (3) Codebook describing the variables and response codes (4) Pivot Tables of summary data relevant to the research questions. The dataset tab will include filtered first row labels for ease of navigation. | Delivered: 11th March |
| Output 2: Summary report | A high-quality publishable report in BEIS branding specifying the findings for each research topic area. This will include an in-depth analysis of key relationships and recommendations for further research. An annex of SPSS outputs will also be provided. | BEIS review interim: w/c 14th March Delivered: 28th March |
| Output 3: PowerPoint presentation | A high-quality publishable PowerPoint presentation in BEIS branding detailing key findings, utilising infographics and shareable insights for internal and external dissemination. | BEIS review interim: w/c 14th March Delivered: 28th March |

We will collect data on a sample of the population. We will weight the data to enable BEIS and its stakeholders to make inferences from this sample about the entire eligible population, and to address uncertainty in the data set. This involves assigning each responding case a weight, which describes the number of people in that population that the case represents. Case weights in total will sum to a set of known population totals. Weighting is useful as it enables totals, means and proportions, to be estimated easily. YouGov weights cases by age, gender, social class, region and level of education. Population weighting ensures that estimates meet the requirement of the sample design, for example cases with a lower probability of selection will receive a higher weight to compensate. Population weighting also

reduces potential non-response bias across sub-groups in the population. Target weights for the dataset will be derived by YouGov from several sources including: the census, large scale random probability sampling surveys e.g. the Labour Force Survey, official ONS population estimates, and the most recent UK general election results. The target weights will be developed by YouGov for DG Cities and agreed with BEIS.

Following data cleaning and preparation of Output 1: Excel data tables, we will undertake a data synthesis process using Microsoft Excel and IBM SPSS. Output 2: Summary Report and Output 3: PowerPoint Presentation will include cross-tabs and analysis of differences between groups. Appropriate statistical tests including T-tests and ANOVA, or non-parametric equivalents, will be used to explore differences between key demographic groups. We will also present a theoretical framework of EV charging behaviours to support future hypothesis testing.

Risks and limitations

Non-probability cross-sectional surveys use samples of the population to generate estimates and do not provide exact measures. Non-probability methods are prone to biases including:

- Self-selection bias: respondents with extreme positive or negative attitudes towards EV home charging may be more likely to complete a survey. This will be mitigated through screening questions.
- Non-response bias: non-respondents may differ systematically from respondents in some way. YouGov monitors non-response estimates and manages accordingly.
- Under-coverage error: Those without internet access may be excluded. YouGov estimates this is unlikely to be an issue for a sample of EV owners.
- Pre-screening bias: pre-screening questions may bias the sample. YouGov will administer and review the effect of pre-screening on successful completions.

YouGov will limit the effect of biases in several ways. YouGov blocks blacklisted email domains and over-active IP addresses and all respondents must complete a Captcha before joining. Respondents are also required to complete image checks and country of residence checks, and during the sign-up process, panellists are required to complete a double opt-in that ensures their email address is valid. YouGov undertakes checks to ensure that the panellist correctly confirms details across surveys (e.g. date of birth) and checks for duplicate accounts (e.g. cookie sharing, multiple referrals. Attention checks on how respondents complete surveys (e.g. consistent speeders) are also implemented. YouGov also administers incentives to reduce attrition: panel members are typically paid up to 100 points per survey depending on its length. Panel members can redeem 5000 points for a £50 shopping voucher.

Cross-sectional surveys limit the ability of hypothesis testing of relationships between variables due to their influence of factors that may not be adequately controlled, which may introduce errors related to unobserved heterogeneity or exogeneity. Retrospective questions can be introduced but these may introduce measurement bias. We will therefore review literature to assess the relevant factors to be included into the design of the instrument. Data from cross-sectional surveys are also subject to recall bias due to the use of self-reported measures. Respondents may omit memories or incorrectly recall past behaviours or attitudes. Recall bias will be reduced in the study through careful question design and use of positive and negative framing of attitudinal measures which will be piloted.

DG Cities will deploy an ethical review and approval process by Professor Wells, an independent academic and the project's Technical Assurance Lead (TAL). We will ensure the ethics approval and review process aligns with best practice recommended by the British Psychological Society and the Economic and Social Research Council. The purpose of the process is to ensure all survey participants are treated with respect, fairness and care

throughout the project. In addition to this YouGov also applies an ethical review of all instruments before they enter the field.

We will establish and maintain a risk register of key risks to the project. This will be reviewed on a monthly basis at the monthly update meeting with BEIS. The Delivery Lead will be responsible for overseeing risk management and mitigation procedures. We will:

- Conduct a risk analysis to identify risks, document and prioritise them.
- Evaluate and assess the consequences, impact and probability of each risk
- Develop preventative strategies and action plans for each risk.
- Develop and agree a contingency plan for delivery for major risks.
- Measures project risk threshold and agree with BEIS.
- Regularly monitor and report on risks at monthly meetings.

Dissemination

DG Cities are expert researchers, authors and science communicators, and have extensive experience writing scientific and policy reports, blogs, and press articles for audiences including academia, policy makers, industry, public and private sector organisations, and the general public. Examples include the [D-Risk Community Insights Report](#) (Figure 1) for Innovate UK and the Centre for Connected and Autonomous Vehicles.

Figure 1: Example DG Cities outputs



As part of **WP3: Analysis and Reporting** we will work with BEIS to review the interim findings and develop a 15-page summary which we expect will have the following structure: (1) Introduction; (2) Methodology; (3) Key findings; (4) Limitations; (5) Conclusions. DG Cities will also produce an easy-to-understand PowerPoint presentation for dissemination by BEIS to internal and external stakeholders as required. This will include key charts and infographics of main findings. We can adapt outputs for external audiences if required. BEIS will review and sign-off all final outputs with the Research Lead.

A02: Staff to Deliver

Our team and capabilities

DG Cities is a multidisciplinary research organisation with extensive experience delivering research for public and private sector clients, as well as research of academic quality as part of several Innovate UK and academic partnerships. DG Cities are experts in smart mobility, electrification, consumer research and behaviour change. Our delivery team consists of:

Name: Ed Houghton (MEng)

Role at DG Cities: Head of Research and Service Design

Role on project: Research Lead

Ed has a decade of experience delivering evaluation and measurement programmes in academia and the public and private sectors. Ed is a mixed methods researcher with extensive experience designing and delivering large scale quantitative surveys. Ed's experience includes: **UK Working Lives**, Ed led the delivery of the UK's first nationally representative study of UK job quality for the CIPD. Ed oversaw end-to-end delivery, including literature review, survey design, sample design, ethics and data quality assurance and external reporting in partnership with YouGov, and **Project Endeavour** on which Ed led the delivery of quantitative and qualitative surveys of perception and attitudes towards future mobility for an Innovate UK funded consortium of private sector and government partners.

Name: Isobel Madle (MSc)

Role at DG Cities: Behavioural Scientist

Role on project: Research Associate

Isobel is a qualified behavioural scientist with experience designing and analysing quantitative surveys and delivering analytical outputs to clients. Isobel's experience includes behaviour change work for the investment bank **William Blair** which included a literature review, qualitative interviews and the delivery of a quantitative survey and insights report. For her MSc Isobel developed an end-to-end quantitative research study, including literature review, survey design, recruitment, analysis and reporting. Her work was shortlisted for the Jonathan Sime award for contributions to research into the human-environment relationship.

Name: Dr Kim Smith (MSc, PhD)

Role at DG Cities: Head of Future Mobility

Role on project: Technical Assurance Lead

Kim is a transport specialist and researcher with over 25 years experience in transport planning, complex project management and delivery, policy formation and strategy. Kim has acted as expert witness at Public Enquiries (such as Silvertown's DCO) and Select Committee (for Crossrail and Thames Gateway Bridge). Kim has extensive experience in project oversight, output management and audit. Kim's relevant recent experience includes the **Rural Electric Mobility Enhancer (REME)**: An Innovate UK funded project investigating the barriers to uptake of EVs in rural areas. Kim leads research and engagement with local authority, tourism and business partners.

Name: Balazs Csuvar (MEng)

Role at DG Cities: Head of Delivery

Role on project: Delivery Lead

Balazs leads the delivery of DG Cities projects and is an electric vehicle infrastructure and transition expert. Balazs relevant experience includes delivering the **Smart Mobility Living Lab** for which Balazs project managed the design, development and fit of the £13.4m future mobility test-bed in Greenwich London with the Transport Research Laboratory and Innovate UK on time and to budget, and the **Birchmere EV Transition** project, where Balazs is the lead consultant for ongoing work with Royal Borough of Greenwich council fleet's transition to EV vehicles. Balazs oversees project management, budget control and risk management.

Our team capabilities are outlined in the Team Capability Matrix below:
Figure 2: Team Capability Matrix

| Requirement | Research Lead | Research Associate | Technical Assurance Lead | Delivery Lead |
|---|---------------|--------------------|--------------------------|---------------|
| Ability to design quantitative survey methodologies (make reference to sample sizes/strategy) | Y | Y | - | - |
| Ability to design methods and deliver research within short timescales. | Y | Y | Y | - |
| Experience in utilising consumer panels | Y | Y | - | - |
| Experience in managing subcontractors | Y | Y | Y | Y |
| Ability to analyse the data | Y | Y | Y | Y |
| Ability to present data in excel to a publishable standard (a clear and easily navigable format, with the option to filter the data by consumer characteristics). | Y | Y | Y | - |
| Ability to produce research reports to a publishable standard | Y | Y | Y | - |
| Ability to demonstrate an effective QA process to produce high quality reporting | Y | - | Y | - |
| Ability to ensure initial scrutiny and on-going monitoring of ethical issues. | Y | Y | Y | - |
| Ability to design delivery plans with tools and process to mitigate delivery risk (e.g. timing and sampling challenges) | Y | - | Y | Y |
| Understanding of data protection legislation | Y | Y | Y | - |
| The ability to design data handling and transfer processes that are GDPR compliant | Y | Y | Y | Y |
| A demonstrated understanding of electric vehicle charging infrastructure in the UK, and specifically smart charging technologies, and their present and future role in the energy system. | - | - | Y | Y |
| Knowledge relevant to the project and policy/programme area, including any data sources or research relevant to the project. | Y | Y | Y | - |
| Expertise in managing projects of this nature. | Y | Y | Y | Y |

We will conduct weekly meetings to review the work plan and allocate tasks. The Delivery Lead (DL) will oversee delivery via project digital project management tools. DG Cities uses Trello and Slack but is happy to use BEIS preferred services. Contingency staff will be available from other projects if required and resource planning will occur on a fortnightly basis to review and plan for forthcoming tasks, and manage planned and unplanned absences.

Delivering with expert subcontractors

By working with expert subcontractors, we will complete the project within the proposed timescales. Subcontractors include:

- Professor Peter Wells, Professor of Business and Sustainability at Cardiff Business School will act in an independent advisory capacity. Professor Wells has refereed 80 academic journal publications, 6 authored academic books; 6 edited academic books; 33 academic book chapters, and 114 academic conference presentations. Recent EV-related work includes an assessment of the future uptake of EVs in the UK market on behalf of an independent finance company with an interest in investing in charge point infrastructure; assisting a vehicle manufacturer finance company with the design and analysis of a survey of consumer EV purchasing intentions; and work on behalf of an insurance company to provide insights on battery longevity, range anxiety, as well as an analysis of a survey of purchasing considerations when buying a used EV. Peter Wells has committed 5 days of time to the project.
- YouGov, an international market research and analysis firm; is a market leader in accurate market research through its established public panels. We will maximise the quality of our sample by working closely with YouGov to deliver 1000 responses.

Ensuring quality throughout the project

DG Cities reputation for rigour and high-quality public research is underpinned by its commitment to follow the Government Social Research (GSR) and the MRS Codes of Conduct. Dr Kim Smith will act in an independent capacity to the project as the Technical Assurance Lead (TAL). Dr Smith will review outputs at key stages in the project and work with Professor Wells to provide assurance, ensuring accuracy, scientific rigor, and relevance to the project's objectives including a robust methodology following established protocols and scientific principles. They will oversee the development of an accessible, inclusive, safe and ethically appropriate survey instrument. The TAL and academic partner will ensure the final outputs are accurate, clear and concise and meet the needs of BEIS. The three project outputs will be independently reviewed and signed off by the TAL before delivery to BEIS.

A03: Understanding the Project Environment

This project aims to create a baseline understanding of how smart home charging is currently being selected, procured, installed and used within the UK. This baseline understanding is essential to be able to quantify any changes that are to happen following the implementation of the 'Electric Vehicles (Smart Charge Points) Regulations in May, 2022.

This study will provide valuable evidence of consumer behaviour, attitudes and access to technology including understanding whether existing home chargers are already smart charging capable or not. Barriers identified by those who do not procure smart charging will be used to highlight key areas where policy interventions could be focused to accelerate the uptake of smart-charging technology. We can expect some of these barriers to be costs (smart chargers are more expensive than using a 3-pin plug) and lack of variable tariffs (with flat tariffs it does not matter when charging occurs), but their specifics will be reviewed as part of this project. Through our public engagement we will also focus on identifying actionable steps that are likely to reduce these barriers and provide policymakers evidence to support the development of targeted interventions:

Further to the barriers, it is important to understand the nature of the consumer home charging market. Smart charging is a new technology which consumers are unlikely to have knowledge or experience of. Many will be first time buyers. It is therefore important to understand where consumers access information, how they select between available options, and important factors which drive purchasing intentions. Understanding this in greater detail will help to encourage/regulate sellers to provide specific standardised information online, so comparison is fair and possible.

Installation of home chargers needs to be managed so that it is done safely, both in terms of physical installation and cybersecurity. Data as to how the public are installing chargers and their practical considerations will help policy makers and industry to understand whether there are any gaps or likely poor practises that should be regulated against. The interface of smart chargers with the rest of the home electricity system provides additional opportunities. For instance, flexible tariffs may encourage users to adopt smart charging practises, however their benefits can be difficult to evaluate before a trial. Understanding whether there are barriers that exist would be key.

While smart home charging is a technological solution, to be successful, the product needs to be integrated into citizen's lives. So, an important aspect of this research is to develop an evidence base of the current charging behaviours of EV and PEV drivers. This research will act as supplementary evidence to current choice-models within the literature (Daina et al., 2017), by looking at self-reported behaviour rather than predicted choices. This survey will address the behaviours that surround charging from purchase to usage in the home. Using this data we will create a behaviour framework from which policymakers can test in future studies and develop behaviour change strategies that will have the most impact in encouraging smart charging uptake.

DG Cities has significant experience as project leads and consortia partners working on projects within complex and fluid project environments. DG Cities manages the risks associated with complex projects in several ways:

- Regular, open and transparent communication with the project funder and partners to discuss live project delivery, ongoing and future anticipated risks.
- Agile project management delivery through virtual project management tools, e.g. Trello and Slack, and regular project update and review meetings.

- High quality record-keeping for project outcomes evaluation and assessment for process and delivery improvement.
- Deep and purposeful partnership with a respected third-party academic partner for quality assurance and deep technical expertise.

During COVID-19 DG:Cities is operating a work-from-home policy for all employees. All project team members are equipped to work safely from home throughout the full period of the project. Fieldwork by YouGov will be digital, limiting risks for project participants. DG:Cities reviews government advice when it is published, and consults with employees as to their preferred approach to working. Reasonable adjustments are made for employees to support their personalised approach to work during the pandemic.

Our experience understanding the EV transition

DG:Cities, currently and historically, has both independently and as a member of consortia been researching and developing various aspects of the transition to net zero mobility as a core part of its work. We believe the research BEIS has proposed will offer vital insights for the development of evidence-based EV infrastructure policy. Below we detail two examples of projects which we believe will further add value to the methodology we propose, and highlight how we can gather valuable insights for policy and R&D purposes.

Project REME (Rural Electric Mobility Enabler), is a current project, funded by Innovate UK exploring rural EV charging in Devon. The project is looking to understand the barriers to rural EV uptake and seasonal fluctuations in demand, and will begin to scope technology solutions. The project is creating a replicable mapping tool which gives an overview of a number of variables including grid capacity, connectivity, and kerbside and off-road capacity for infrastructure. This is being used by project partners to help inform two other work packages - an off-grid PV/battery storage solution, which is being modelled for car parks, and a peer to peer software solution, creating a smart, preference based, booking and recharging platform, giving public access to privately owned chargers. DG:Cities is leading on stakeholder engagement for REME with organisations including English Heritage, Dartmoor and Exmoor National Parks and the National Trust, to better understand their route to net zero, the part which car based visitors plays in their plans and whether the solutions being developed as part of the project are of interest. With project partner EDF we have designed, delivered and analysed a survey of 1,000 rural respondents, and sought to better understand attitudes and barriers for both rural EV and non EV owners.

Fleet Electrification Project. Partnering with Clenergy EV and Ashfield, Nottingham and Greenwich Council's fleet operators, we are delivering an Innovate UK funded project investigating practical infrastructure solutions for zero emission vehicles. To meet emission and transition targets municipal and commercial fleet managers must accelerate the move to zero-carbon operation, but often lack the necessary resources, tools, skills and experience to do so. The aim of this project is to help fleets transition to electric power successfully and more cheaply, whilst also streamlining EV fleet operations once electrification is implemented. We are developing a single system that enables EV fleet management to account for vehicle data (e.g. charge levels) as well as vehicle allocation and task scheduling to drivers. This system will allow fleet managers to do the following two things for the first time:

- Assign vehicles to tasks based on current charge levels and expected consumption.
- Assign EV chargers to vehicles (at the depot or off-site), based on charger speed and grid availability as well as upcoming tasks for the following days.

Although various components exist to some extent, this project bridges that gap by providing a tool which integrates vehicle data (telematics/charge levels), charger availability (power,

allocation and speed) and fleet scheduling (future workloads, in-transit routing) into one platform.

In addition to working on transition delivery, DG:Cities has been commissioned by the **Royal Borough of Greenwich** to define and develop key objectives for its **EV Strategy**. DG Cities is developing the authority's overarching strategy for meeting its EV transition targets. This includes understanding:

- How to increase equitable availability of EV charging stations.
- How to support residents in making an EV transition.
- How to optimise available grid capacity to provide charging supply to all.
- How to enable private companies to provide optimal charging infrastructure.

We are also defining a set of actions (investment, policy, regulation, etc.) that the Council can use to meet its objectives. As part of the strategy's development we have run workshops with relevant teams internally to road test the strategy and/or define an operating model through which the Council could operate to deliver the strategy.

Why our methodology is most appropriate for this project

We understand that it is critical that BEIS receives high quality and timely insight for the development and review of evidence-based policy ahead of May 2022. As a result, we have focused on developing an effective methodology that delivers the best possible outputs in under 12 weeks and within the budget envelope stipulated. The timescales and budget required in the ITT are tight, so we have put forward a refined and detailed methodology delivered by an established team, with clear roles and responsibilities to ensure delivery is successful. We have also lined up academic support and a panel provider who can begin immediately when the contract is awarded. By working with YouGov we are able to minimise delivery risks and deliver 500 responses as required, but can accommodate 1000 responses if requested. The total cost of the project for 500 responses is £46,428. The total cost for 1000 responses would be £48,739, which is below the £50,000 maximum. YouGov are able to deliver all data within 10 working days of fieldwork initiation, which further reduces risks to the project.

Our methodology also carries fewer risks due to its design. We have proposed a non-probability-based sample study which is built through a REA and expert interview process for several reasons. Non-probability-based studies are an efficient study design for a hypothesis generating and scoping study of the type required. The REA we conduct will support future probability surveys and the development of a longitudinal data set meaning this exercise doesn't need to be extensively replicated in the coming 18 months. Finally, expert interviews will map gaps and enable DG Cities and BEIS to make an informed decision as to the final questionnaire structure, given the rapidly evolving nature of the EV and energy markets.

A04: Project Plan and Timescale

Milestones and deadlines

We will deliver the project by meeting the following milestones and deadlines (see also Project Plan below). The Delivery Lead will ensure adherence to these dates to enable delivery of the project within 12 weeks:

Table 4: Project milestones and deadlines

| Milestone (M) and Deadline(D) | Description | Deadline |
|--|--|-----------------|
| M1: Project plan and ethics procedure agreed. | BEIS agrees project plan. BEIS, Professor Wells and TAL sign-off ethics procedure. | 21.01.22 |
| M2: Research protocol agreed. | BEIS, Professor Wells and TAL sign-off and research protocol. | 26.02.22 |
| M3: Rapid evidence assessment completed | Professor Wells and TAL sign-off review and sign off REA output. | 04.02.22 |
| M4: Survey signed off. | BEIS, TAL, and Professor Wells sign-off survey instrument. | 18.02.22 |
| M5: Fieldwork completed and data delivered. | YouGov delivers a full data set to DG:Cities. | 04.03.22 |
| M6: Internal and academic data review completed. | TAL and Professor Wells review and sign-off data analysis and database. | 18.03.22 |
| D1: Three outputs delivered. | BEIS signs-off all deliverables. | 28.03.22 |

We will provide updates to BEIS in the following formats, on the following timescales:

- A 1 page (A4) weekly progress report, delivered by email at the end of each week (e.g., Midday Friday) detailing progress against tasks and milestones.
- Four 1-hour video-conferences at pre-determined intervals, aligned to milestones.

On completion of deadline D1 the Delivery Lead will close the project with BEIS. This will include a review of all deliverables to ensure all objectives have been met, a review of changes that are reconciled against objectives, completion of invoicing, and a “lessons learned” exercise to be completed in the final project meeting.

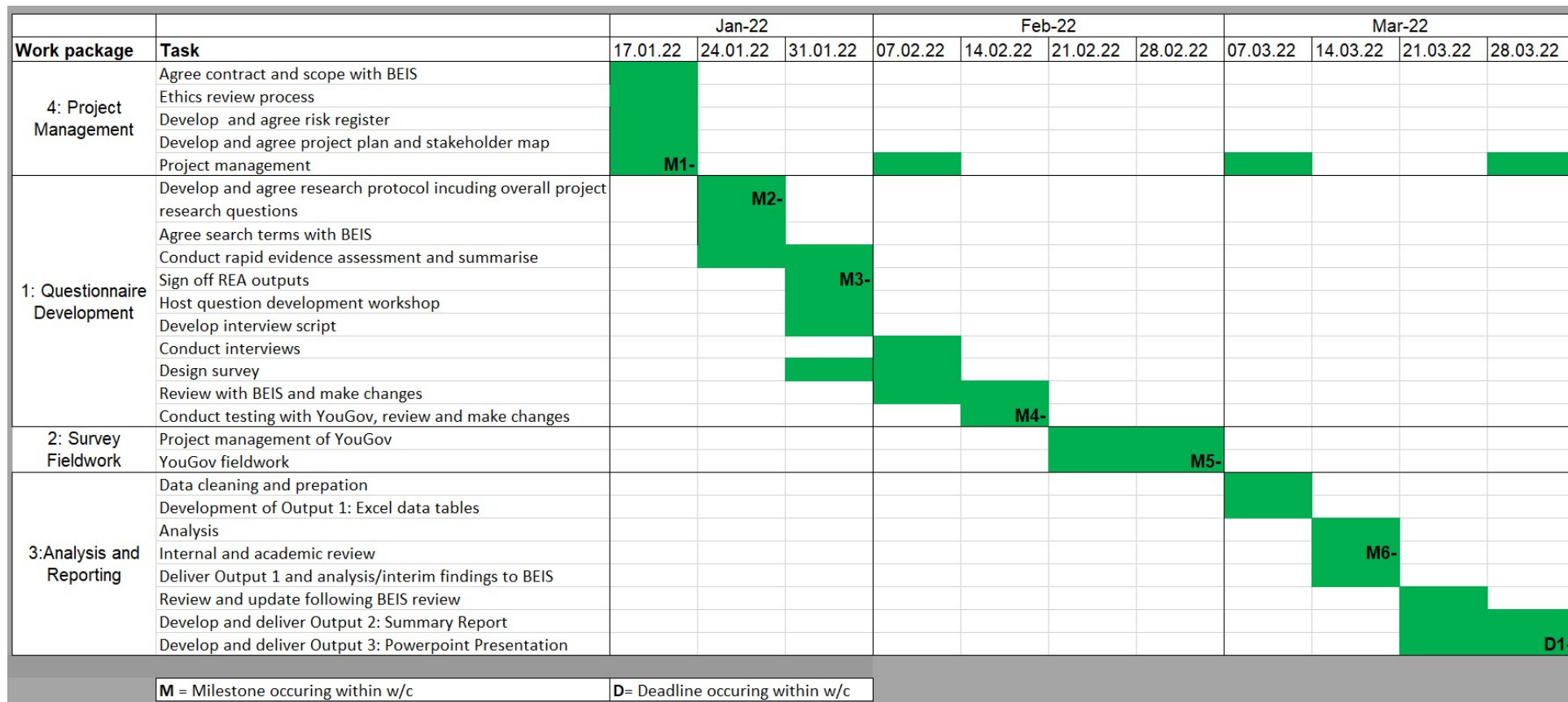
Managing risks to delivery and GDPR

We will manage risks to delivery by developing a comprehensive Risk Register (see below) and conducting regular risk reviews at the monthly meetings with BEIS. The Delivery Lead will follow the established risk management procedure outlined earlier, and update the Risk Register. Should any risks to the project be identified we will put in place a risk mitigation procedure. We will implement with BEIS approval and review the outcomes of the risk mitigation procedure against defined objectives. BEIS will agree and be engaged throughout implementation and review impact on timelines, project budgets, and ability to meet overall project objectives. Public research requires a focus on data protection. The Research Lead is responsible for data protection and will undertake a Data Protection Impact Assessment (DPIA) for the project with YouGov. YouGov is the sole Data Controller of the survey data that is collected and determines the purposes and means of processing. No personally identifiable information is transferred and all data is anonymised. YouGov adheres to the GDPR and subsequent data retention periods and data destruction requirements.

Project plan

The following Gantt chart details the timetable for delivery of the proposed approach and method, and includes the milestones and deliverables:

Figure 3: Project plan



Risk Register

The risk register will be updated at project initiation and managed by the Delivery Lead.

| Risk | Impact | Impact score (1-5) | Likelihood (1-5) | Priority Level (1-25) | Mitigation | Owner |
|---|---|--------------------|------------------|-----------------------|---|--------------------|
| Low response rate of target sample. | Not able to draw conclusions | 4 | 3 | 12 | YouGov piloting; analyse response rates during rollout | Research Lead (RL) |
| Increased personnel absence (e.g. COVID) | Project delivery slips; timelines are missed | 3 | 3 | 9 | Develop contingency resource plan; Ensure clear notes & plans | Delivery Lead (DL) |
| Personal data breach | Respondents are harmed; reputation damaged | 5 | 2 | 10 | Conduct DPIA; YouGov limit data sharing | RL and YouGov |
| Instrument causes participant distress | Respondents are harmed; reputation damaged | 5 | 1 | 5 | Independent QA process; Ethics review of instrument | RL |
| Complex instrument reduces response quality | Respondents are unable to respond effectively | 4 | 2 | 8 | QA assessment; YouGov piloting; Expert interviews | RL |

Project resourcing

Our approach to resourcing and project management allows us to develop efficiencies across the programme. The key drivers for our resource plan are to ensure project management and technical expertise are sufficiently resourced, planning is aligning skills most effectively, utilising available resources and ensuring rapid and high-quality delivery in under 12 weeks as required.

As Research Lead, Ed Houghton will be responsible for overall account management with BEIS and will ensure objectives of the project are understood and that the solution meets the priorities set out by BEIS. The Research Lead will oversee the implementation of the research programme by the Research Associate and will manage delivery against the Research Protocol, including adherence to data and output quality criteria. As Delivery Lead, Balazs Csuvár will ensure delivery of the project is on time and within budget, including overseeing management of subcontractors. Balazs Csuvár will be the single point of contact for BEIS and will maintain regular contact with the BEIS project manager via email and digital communications tools. The Delivery Lead will maintain the Project Plan, Risk Register and Stakeholder Map documents for update at the regular project meetings with BEIS. The Research Lead, Delivery Lead and Research Associate will maintain regular contact via internal DG Cities communications tools or other methods identified by BEIS. In the event of significant risks to the project, the Research Lead and Research Associate will escalate to the Delivery Lead, who will engage with BEIS to develop and agree a solution.

Resources and budgets are split in the following ways: DG Cities (£31,350; 67.5% of the total budget); YouGov (£10,578; 22.8%) and Professor Peter Wells (£4500; 9.7%)

Figure 4: Project Resource Plan

| Work Package | Task | Ed Houghton <i>Research Lead</i> | Isobel Madle <i>Research Associate</i> | Kim Smith <i>Technical Assurance Lead</i> | Balazs Csucar <i>Delivery Lead</i> | YouGov <i>Subcontractor</i> | Professor Wells <i>Subcontractor</i> |
|---------------------------|--|-------------------------------------|---|--|---------------------------------------|---------------------------------|---|
| 4: Project management | Agree contract and scope with BEIS | 0.5 | 0.5 | 0 | 0 | 0 | 0 |
| | Ethics review process | 0.5 | 1 | 0.5 | 0 | 0 | 1 |
| | Develop and agree risk register | 0 | 0.5 | 0 | 0.5 | 0 | 0 |
| | Develop and agree project plan and stakeholder map | 0 | 1 | 0.5 | 0.5 | 0 | 0 |
| | Project management | 0.5 | 1 | 0 | 5 | 0 | 0 |
| | WP Total Days | 1.5 | 4 | 1 | 6 | 0 | 1 |
| 1: Questionnaire Design | Develop and agree research protocol including overall project research questions | 0.5 | 1 | 0.5 | 0 | 0 | 1 |
| | Agree search terms with BEIS | 0 | 0.5 | 0 | 0 | 0 | 0 |
| | Conduct rapid evidence assessment and summarise | 0.5 | 2 | 0 | 0 | 0 | 0 |
| | Sign-off REA outputs | 0 | 0 | 0.5 | 0 | 0 | 1 |
| | Host question development workshop | 0.5 | 1 | 0 | 0.5 | 0 | 0 |
| | Develop interview script | 0 | 0.5 | 0 | 0 | 0 | 0 |
| | Conduct expert interviews | 0 | 1 | 0 | 0 | 0 | 0 |
| | Design survey | 0.5 | 2 | 0 | 0 | 0 | 0 |
| | Review with BEIS and make changes | 0 | 0.5 | 0 | 0 | 0 | 0 |
| | Conduct testing with YouGov, review and make changes | 0 | 0.5 | 0.5 | 0 | 2 | 0 |
| | WP Total Days | 2 | 9 | 1.5 | 0.5 | 2 | 2 |
| 2: Survey Fieldwork | Project management of YouGov | 0 | 0 | 0 | 0.5 | 0 | 0 |
| | YouGov Fieldwork | 0 | 0 | 0 | 0 | 9.753 | 0 |
| | WP Total Days | 0 | 0 | 0 | 0.5 | 9.753 | 0 |
| 3: Analysis and Reporting | Data cleaning and preparation | 0 | 1 | 0 | 0 | 0 | 0 |
| | Development Output 1: Excel data tables | 0.5 | 1 | 0.5 | 0 | 0 | 0 |
| | Analysis | 0.5 | 2 | 0 | 0 | 0 | 0 |
| | Host analysis and synthesis workshop | 0.5 | 0.5 | 0.5 | 0.5 | 0 | 0 |
| | Internal and academic review | 0 | 0 | 0.5 | 0 | 0 | 1 |
| | Deliver Output 1 and analysis/interim findings to BEIS | 0.5 | 1 | 0 | 0 | 0 | 0 |
| | Review and update following BEIS review | 0.5 | 1.5 | 0.5 | 0 | 0 | 0 |
| | Develop and deliver Output 2: Summary Report | 0.5 | 2.5 | 0.5 | 0 | 0 | 1 |
| | Develop and deliver Output 3: Powerpoint Presentation | 0 | 0.5 | 0.5 | 0 | 0 | 0 |
| | WP Total Days | 3 | 10 | 3 | 0.5 | 0 | 2 |
| | Project Days = | 6.5 | 23 | 5.5 | 7.5 | 11.753 | 5 |
| | | | | Total DG Cities Days | 42.5 | Total subcontractor days | 16.753 |

Quality assurance arrangements

The Technical Assurance Lead (TAL), Dr Kim Smith and Professor Wells will deliver the following quality assurance (QA) arrangements to ensure outputs meet requirements. Both will operate independently and provide feedback to the Research Lead. The Research Lead will release final outputs to BEIS on confirmation from the TAL that high quality is achieved.

During WP4 Project Management tasks:

- Ethics review process: TAL and Professor Wells will review and give ethical approval.
- Develop and agree project plan and stakeholder map: TAL will review project plan and assess ability to meet objectives. BEIS will assess at this stage also.

During WP1 Questionnaire Design tasks:

- Develop and agree research protocol and overall research questions: TAL and Professor Wells will independently review the research protocol and project research questions, providing input and recommendations.
- Sign-off REA outputs: TAL and Professor Wells sign-off outputs.
- Conduct testing with YouGov and make changes: TAL will review test data, sample frame, and agree the final survey questionnaire.

During WP3 Analysis and Reporting

- Develop and deliver Output 1 - Excel Data Tables: TAL will review the output and provide independent assurance to its quality and relevance to project objectives.
- Host analysis and synthesis workshop: TAL will join the analysis workshop and ensure analysis quality and input.
- Internal & academic review: TAL and Professor Wells will review data analysis.
- Review and update following BEIS review: TAL will review BEIS feedback and ensure changes made are appropriate.
- Develop and deliver Output 2: Summary Report: TAL and Professor Wells will independently review and make recommendations for the final deliverable.
- Develop and deliver Output 3: PowerPoint Presentation: TAL will independently review and make recommendations for the final deliverable.

ANNEX C

RM6018-Call-Off-Contract-Terms



Crown
Commercial
Service

CONTRACT TERMS

RESEARCH

MARKETPLACE

DYNAMIC PURCHASING

SYSTEM

REFERENCE NUMBER

RM6018

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Contract Terms

This Contract is made on the **27th of January 2022** between:

The Department for Business, Energy and Industrial Strategy (BEIS) with offices at
1 Victoria Street, London, SW1H 0ET (“the **Customer**”); and

DG Cities, a company registered in England and Wales under Company Number
09765525, whose registered office is at Ravensbourne University London, 1st Floor
Incubation, London, SE10 0EW (“the **Supplier**”),

Both the Customer and the Supplier can be referred to as a “**Party**” or together the “**Parties**”.

INTRODUCTION

- (1) The Supplier is one of a number of organisations appointed by Crown Commercial Service (**CCS**) to the Dynamic Purchasing System (DPS) and is therefore able to enter into this Contract to provide the Project(s) to the Customer.
- (2) This Contract, made between the Customer and the Supplier, sets out the terms of the Supplier’s appointment as a provider of the Project to the Customer. The Project will be delivered according to the terms of this Contract, any agreed Statement of Work, and the DPS Agreement.
- (3) The Supplier’s appointment has been confirmed in the Letter of Appointment.
- (4) The Parties agree that the Project and associated Deliverables shall be supplied in accordance with the terms of the DPS Agreement and this Contract.

1. **APPOINTMENT & STATEMENTS OF WORK**

- 1.1. Throughout the Term of this Contract, the Supplier will perform Projects in accordance with agreed Statements of Work.
- 1.2. Subject to Clause 1.4 the Parties may agree new Projects to be delivered under this Contract by agreeing a new Statement of Work. This must be done in writing and using the form set out at Schedule 2 (Statement of Work). Once both Parties have signed a Statement of Work, it shall form part of this Contract.
- 1.3. Any schedule attached to a Statement of Work will describe in detail the different types of Services to be provided under that Statement of Work. A schedule attached to a Statement of Work only applies to the relevant Project to be delivered under that Statement of Work, and not to any other Statement of Work, or to the provision of the Project as a whole.
- 1.4. Where a Customer requires changes to the Project being provided this shall be dealt with as a proposed Variation to this Contract in accordance with the Variation procedure set out in Clause 9.

2. **TERM**

- 2.1. This Contract starts on the **Effective Date** and ends on the **Expiry Date**, as stated in the Letter of Appointment unless changed in accordance with the terms of this Contract.
- 2.2. The Customer may extend this Contract for any period up to the Extension Expiry Date by giving the Supplier notice in writing before the Expiry Date. The minimum notice which must be given in order to amend the Expiry Date is specified in the Letter of Appointment.
- 2.3. The revised date the contract will end (the **New Expiry Date**) will be set out in the notice given under Clause 2.2 above.
- 2.4. The terms and conditions of this Contract will apply throughout any extended period.
- 2.5. Each Project starts on the Project Commencement Date and ends on the Project Completion Date, unless it is terminated earlier in accordance with Clause 23.

3. **CONTRACT GUARANTEE**

- 3.1. Where the Customer has stated in the Letter of Appointment that this Contract is conditional on receipt of a Guarantee, then, on or prior to the Effective Date (or on any other date specified by the Customer), the Supplier must provide:
 - 3.1.1. an executed Guarantee from a Guarantor; and

- 3.1.2. a certified copy extract of the board minutes and/or resolution of the Guarantor approving the execution of the Guarantee.
- 3.2. The Customer may at any time agree to waive compliance with the requirement in Clause 3.1 by giving the Supplier notice in writing.

4. CUSTOMER'S OBLIGATIONS

- 4.1. The Customer will give the Supplier instructions as to its requirements for the Project. These will be included in a Statement of Work and may include start and end dates for each stage of the proposed Project.

5. SERVICE DELAY, DELIVERY & RECTIFICATION

Service Delivery

- 5.1. The Supplier will give the Customer full and clear instructions as to what, if any, Customer Materials it reasonably requires to perform the Project.
 - 5.1.1 comply with all Law;
 - 5.1.2 use all reasonable and proper skill and care in its performance of Project;
 - 5.1.3 comply with all reasonable Customer instructions regarding the Project, as long as these instructions do not materially amend the Statement of Work (unless the amendment has been agreed in accordance with Clause 9.1);
 - 5.1.4 keep Customer Materials under its control safe and secure and in accordance with any security policy provided by the Customer; and
 - 5.1.5 provide all Deliverables by any dates set out in the applicable Statement of Work or any other date(s) agreed by the parties in writing.

Delay

- 5.2. If the Customer materially breaches its obligations in connection with this Contract (including its payment obligations), and consequently delays or prevents the Supplier from performing any of the agreed Services or providing any of the agreed Deliverables this will be a **"Customer Cause"**. In the event of a Customer Cause, the Supplier will be granted an appropriate extension of time (to be approved by the Customer, acting reasonably) to perform the agreed Services or provide the agreed Deliverables. The Supplier will not be liable for any Losses incurred by the Customer as a result of Customer Cause, provided the Supplier complies with its obligations set out at Clause 5.4.
- 5.3. The Supplier must notify the Customer within two (2) Working Days of the Supplier becoming aware that the Customer has breached, or is likely to breach, its obligations in connection with this Contract. This notice must detail:
 - 5.3.1 the Customer Cause and its actual or potential effect on the Supplier's ability to meet its obligations under this Contract, and
 - 5.3.2 any steps which the Customer can take to eliminate or mitigate the consequences and impact of such Customer Cause.

- 5.4. The Supplier must use all reasonable endeavours to eliminate or mitigate the consequences and impact of a Customer Cause. The Supplier must try to mitigate against any Losses that the Customer or the Supplier may incur, and the duration and consequences of any delay or anticipated delay.
- 5.5. If at any time the Supplier becomes aware that it may not be able to deliver the Project by any date set out in the applicable Statement of Work (or any other deadline agreed by the Parties in writing), this will constitute a Default and the Supplier will immediately notify the Customer of the Default and the reasons for the Default.
- 5.6. If the Default described in Clause 5.5 above is in the Customer's opinion capable of remedy the Customer may, up to 10 Working Days from being notified of the Default, instruct the Supplier to comply with the Rectification Plan Process.

Rectification Plan Process

- 5.7. If instructed to comply with the Rectification Plan Process by the Customer under Clause 5.6 above, the Supplier will submit a draft Rectification Plan to the Customer to review as soon as possible and in any event within ten (10) Working Days (or such other period as may be agreed between the Parties) from being instructed to do so. The Supplier shall submit a draft Rectification Plan even if the Supplier does not agree that the Default is capable of remedy.
- 5.8. The draft Rectification Plan shall set out:
 - 5.8.1 full details of the Default that has occurred, including the underlying reasons for it;
 - 5.8.2 the actual or anticipated effect of the Default; and
 - 5.8.3 the steps which the Supplier proposes to take to rectify or mitigate the Default and to prevent any recurrence of the Default, including timescales for such steps and for the rectification of the Default (where applicable).
- 5.9. The Supplier shall promptly provide to the Customer any further documentation that the Customer requires to assess the Supplier's reasoning behind the default. If the Parties do not agree on the root cause set out in the draft Rectification Plan, either Party may refer the matter to be determined in accordance with paragraph 5 of Schedule 4 (Dispute Resolution Procedure).
- 5.10. The Customer may reject the draft Rectification Plan by notice to the Supplier if, acting reasonably, it considers that the draft Rectification Plan is inadequate. An example of an inadequate draft Rectification Plan is one which:
 - 5.10.1 is insufficiently detailed to be capable of proper evaluation;
 - 5.10.2 will take too long to complete;
 - 5.10.3 will not prevent reoccurrence of the Default;
 - 5.10.4 will rectify the Default but in a manner which is unacceptable to the Customer; or

5.10.5 will not rectify the Default.

- 5.11 The Customer will tell the Supplier as soon as reasonably practicable if it agrees to or rejects the draft Rectification Plan.
- 5.12 If the customer rejects the draft Rectification Plan, the customer will give reasons for its decision in its rejection notice. The Supplier must take these reasons into account in the preparation of a revised Rectification Plan. The Supplier shall submit a revised draft of the Rectification Plan to the Customer for review within five (5) Working Days (or such other period as agreed between the Parties) of the Customer's rejection notice.
- 5.13 If the Customer agrees the draft Rectification Plan, or any revised draft Rectification Plan, the Supplier shall immediately start work on the actions set out in the Rectification Plan.

6. SUPPLIER: OTHER APPOINTMENTS

- 6.1 Adverse public perception could have a detrimental impact on the Customers desired outcomes for the Project. To minimise this risk, the Supplier must not, without the Customer's Approval (not to be unreasonably withheld), provide research services to a third party during the Term of this Contract where the provision of such services (in the reasonable opinion of the Customer):
- 6.1.1 has the potential to adversely affect the Customer's desired outcome of the Project or diminish the trust that the public places in the Customer; or
 - 6.1.2 is likely to cause embarrassment to the Customer or bring the Customer into disrepute or may result in a conflict of interest for the Customer.
- 6.2 Where the Supplier is already providing research services to a third party in the situations set out in 6.1 prior to the Effective Date, the Supplier warrants that it has informed the Customer of this before entering into this Contract.
- 6.3 If the Supplier becomes aware of a breach, or potential breach, of its obligations under Clause 6.1, the Supplier must notify the Customer immediately, providing full details of the nature of the breach and the likely impact on any Projects
- 6.4 If the Supplier breaches Clause 6.1, the Customer may terminate this Contract, a Project, or any part of a Project with immediate effect in accordance with Clause 23.3.

7. CUSTOMER: OTHER APPOINTMENTS

- 7.1 Subject to Clause 6 the relationship between the Parties is non-exclusive. The Customer is entitled to appoint any other Supplier to perform the Project which are the same or similar to the Project.

8. PERSONNEL

- 8.1 The Supplier must ensure that Supplier personnel who provide the Project:
- 8.1.1 are appropriately experienced, qualified and trained to provide the Project in accordance with this Contract;
 - 8.1.2 apply all reasonable skill, care and diligence in providing the Project;
 - 8.1.3 obey all lawful instructions and reasonable directions of the Customer and provide the Project to the reasonable satisfaction of the Customer, and
 - 8.1.4 are vetted in accordance with Good Industry Practice and where applicable, the security requirements of the Customer and the Standards.

- 8.2 The Supplier will be liable for all acts or omissions of the Supplier personnel. Any act or omission of a member of any Supplier personnel which results in a breach of this Contract is a breach by the Supplier.
- 8.3 The Customer acknowledges and agrees that it may be necessary for the Supplier to replace the personnel providing the Project with alternative personnel with similar levels of seniority and experience.
- 8.4 The Supplier will seek to ensure that any Key Individual responsible for the provision of the Project will remain involved in the Project. If any Key Individual leaves the Supplier, or ceases to be involved in the provision of the Project for any reason (for example, if they are promoted to a different role within the Supplier), the Supplier will consult with the Customer and, subject to the Customer's Approval, appoint a suitable replacement.
- 8.5 If the Customer reasonably believes that any of the Supplier personnel are unsuitable to undertake work on this Contract, it will notify the Supplier who will then end the person's involvement in providing the Project.

9. VARIATIONS AND CANCELLATIONS

- 9.1 Either Party may request a change to this Contract, a Project or a Statement of Work. Any requested change must not amount to a material change of this Contract (within the meaning of the Regulations and the Law). A change, once implemented, is called a "**Variation**".
- 9.2 A Party may request a Variation by completing, signing and sending the Variation Form to the other Party. The requesting Party must give sufficient information for the receiving Party to assess the extent of the proposed Variation and any additional cost that may be incurred by it.
- 9.3 Subject to Clause 9.5, the receiving Party must respond to the request within the time limits specified in the Variation Form. The time limits shall be reasonable and ultimately at the discretion of the Customer, having regard to the nature of the Project and the proposed Variation.
- 9.4 If the Supplier requests a Variation, the Customer can ask the Supplier to carry out an assessment of the effects of the proposed Variation (an **Impact Assessment**). The Impact Assessment must consider:
- 9.4.1 the impact of the proposed Variation on the Project and Supplier's ability to meet its other obligations under this Contract (including in relation to other Statements of Work);
 - 9.4.2 the initial cost of implementing the proposed Variation and any ongoing costs post- implementation;

- 9.4.3 any increase or decrease in the Contract Charges, any alteration in the resources or expenditure required by either Party and any alteration to the working practices of either Party;
 - 9.4.4 a timetable for the implementation, together with any proposals for the testing of the Variation; and
 - 9.4.5 any other information the Customer reasonably asks for in response to the Variation request.
- 9.5 The Parties may agree to adjust the time limits specified in the Variation Form so the Impact Assessment can be carried out.
- 9.6 If the Parties agree the Variation, the Supplier will implement it, and be bound by it as if it was part of this Contract.
- 9.7 Until a Variation is agreed, the Supplier must continue to perform and be paid for the Project as originally agreed, unless otherwise notified by the Customer.
- 9.8 Subject to Clauses 9.9 and 23.1 the Customer can require the Supplier to suspend or cancel any Project or Statement of Work, or any part of a Project, including any plans, schedules or work in progress at any time, regardless of whether a Variation has been requested. Any request shall be made by an Authorised Customer Approver in writing. The Supplier will take all reasonable steps to comply with any such request as soon as possible.
- 9.9 In the event of any cancellation under Clause 9.8, the Customer will pay the Supplier all Contract Charges reasonably and properly incurred by the Supplier during the Project Notice Period, provided that the Supplier uses all reasonable endeavours to mitigate any charges or expenses.

10. APPROVALS AND AUTHORITY

- 10.1 For the purposes of this Contract, any reference to Customer Approval means written approval in one of the following ways:
- 10.1.1 the Customer issuing a purchase order bearing the signature of an Authorised Customer Approver, or
 - 10.1.2 e-mail from the individual business e-mail address of an Authorised Customer Approver, or
 - 10.1.3 the signature of an Authorised Customer Approver on the Supplier's documentation
- 10.2 Any reference to Supplier Approval means written approval in one of the following ways:
- 10.2.1 e-mail from the individual business e-mail address of an Authorised Supplier Approver, or

- 10.2.2 the signature of an Authorised Supplier Approver on the Customer's documentation
- 10.3 The Supplier will seek the Customer's Approval of:
 - 10.3.1 any estimates or quotations for any costs to be paid by the Customer that are not agreed in a Statement of Work.
- 10.4 The Supplier will seek the Customer's Approval of any draft Deliverables. The Customer's Approval will be the Supplier's authority to proceed with the use of the relevant Deliverables.
- 10.5 If the Customer does not approve of any matter requiring Approval, it must notify the Supplier of its reasons for disapproval within fourteen (14) days of the Supplier's request.
- 10.6 If the Customer delays giving Approval or notifying the Supplier as to its disapproval, the Supplier will not be liable for any resulting delays or adverse impact caused to the delivery of the Project.

11. PROJECT MANAGEMENT

- 11.1 During the Term of this Contract, the Supplier will:
 - 11.1.1 keep the Customer fully informed as to the progress and status of all Services and Deliverables, by preparing and submitting written reports at such intervals and in such format as is agreed by the Parties.
 - 11.1.2 promptly inform the Customer of any actual or anticipated problems relating to provision of the Deliverables.
- 11.2 During the Term, the Parties' respective project managers will arrange and attend meetings to review the status and progress of the Project(s) and to seek to resolve any issues that have arisen. These meetings will be held at locations and intervals as agreed by the parties.
- 11.3 Unless otherwise agreed in the Statement of Work, the Supplier will produce contact reports providing each Party with a written record of matters of substance discussed at meetings or in telephone conversations between the parties within three (3) Working Days of such discussions. If the Customer does not question any of the subject matter of a contact report within seven (7) Working Days of its receipt, it will be taken to be a correct record of the meeting or telephone conversation.

12. FEES AND INVOICING

- 12.1. The Contract Charges for the Project will be the full and exclusive remuneration of the Supplier for supplying the Project. Unless expressly agreed in writing by the Customer in the Statements of Work, the Contract Charges will include every cost and expense of the Supplier directly or indirectly incurred in connection with the performance of the Project.
- 12.2. All amounts stated are exclusive of VAT which will be charged at the prevailing rate. The Customer shall, following the receipt of a valid VAT invoice, pay to the Supplier a sum equal to the VAT chargeable in respect of the Project.
- 12.3. The Supplier will invoice the Customer in accordance with the payment profile agreed in the Statements of Work. Each invoice will include all supporting information required by the Customer to verify the accuracy of the invoice, including the relevant Purchase Order Number and a breakdown of the Project supplied in the invoice period.
- 12.4. The Customer will pay the Supplier the invoiced amounts no later than thirty (30) days after verifying that the invoice is valid and undisputed and includes a valid Purchase Order Number. The Customer may, without prejudice to any other rights and remedies under this Contract, withhold or reduce payments in the event of unsatisfactory performance.
- 12.5. If the Customer does not pay an undisputed amount properly invoiced by the due date, the Supplier has the right to charge interest on the overdue amount at the interest rate specified in the Late Payment of Commercial Debts (Interest) Act 1998.
- 12.6. The Customer is entitled to deduct from any sum due any money that the Supplier owes the Customer. This includes any sum which the Supplier is liable to pay to the Customer in respect of breach of this Contract. In these circumstances, the Supplier may not assert any credit, set-off or counterclaim against the Customer.
- 12.7. The Supplier will indemnify the Customer on a continuing basis against any liability (to include any interest, penalties or costs incurred, levied, demanded or assessed) on the Customer at any time in respect of the Supplier's failure to account for or to pay any VAT on payments made to the Supplier under this Contract. Any amounts due under Clause 12.2 will be paid by the Supplier to the Customer not less than five (5) Working Days before the date upon which the tax or other liability is payable by the Customer.
- 12.8. If there is a dispute between the Parties about an amount invoiced, the Customer will pay the undisputed amount by the due date. The Supplier will not suspend the supply of the Project in any Project, unless the Supplier is entitled to terminate that Project for a failure to pay undisputed sums in accordance with Clause 23.7.7.

13. THIRD PARTY AGENCIES: ASSIGNMENT AND SUB-

CONTRACTING Assignment and Sub-Contracting

- 13.1. Other than where a Sub-Contractor is agreed in the Letter of Appointment or a Statement of Work, the Supplier will not, without the Approval of the Customer, assign, sub-contract, novate or in any way dispose of the benefit or the burden of this Contract or any part of it.
- 13.2. In requesting Approval to sub-contract, the Supplier will:
 - 13.2.1 use reasonable care and skill in the selection of proposed Sub-Contractors;
 - 13.2.2 if the Customer requests, the Supplier will obtain more than one quote for a particular sub-contracted service; and
 - 13.2.3 provide the Customer with a business case for sub-contracting all or part of the Project, identifying the reasons for the Supplier to sub-contract to its proposed Sub-Contractor. The Customer may reject the Supplier's request to appoint a proposed Sub-Contractor if it considers the proposed Sub-Contractor does not provide value for money.
- 13.3. If the Customer consents to the Supplier's proposed Sub-Contractor, it shall be a Sub- Contractor as the term is defined in Schedule 1 (Definitions).
- 13.4. In granting consent to any assignment, novation sub-contracting or disposal, the Customer may set additional terms and conditions it considers necessary.
- 13.5. The Supplier shall ensure that its Sub-Contractor does not further sub-contract all or part of the Project or Deliverables without the Customer's Approval.
- 13.6. Any contracts the Supplier enters into with third party suppliers for Services and Deliverables ("**Sub-Contracts**") must be on terms that are in line with the Supplier's standard contractual terms and conditions, must not permit further sub-contracting, and must not conflict with the terms of this Contract.
- 13.7. Provided that the Supplier has notified the Customer of any significant restrictions or contract terms contained in any Sub-Contracts, the Customer hereby acknowledges that:
 - 13.7.1. its right to use or otherwise benefit from any Services or Deliverables acquired under Sub-Contracts will be as set out in the Sub-Contracts; and
 - 13.7.2. it will be responsible for any reasonable and proper charges or liabilities (including cancellation payments) that the Supplier is directly liable for under Sub-Contracts only to the extent that that these are caused by an act or omission of the Customer or its Affiliates.
- 13.8. The Supplier will promptly provide the Customer with a copy of any Sub-Contract if requested to do so.
- 13.9. The Supplier will be responsible for the acts and omissions of its sub-contractors as though those acts and omissions were its own.
- 13.10. The Supplier will obtain the Customer's Approval before commissioning services from any Supplier Affiliate.

Supply Chain Protection

13.11. The Supplier will ensure that all Sub-Contracts contain provisions:

- 13.11.1 Requiring the Supplier to pay any undisputed sums which are due from it to the Sub-Contractor within a specified period not exceeding thirty (30) days from the receipt of a Valid Invoice;
- 13.11.2. requiring the Supplier to verify any invoices submitted by a Sub-Contractor in a timely manner;
- 13.11.3. giving the Customer the right to publish the Supplier's compliance with its obligation to pay undisputed invoices to the Sub-Contractor within the specified payment period;
- 13.11.4. giving the Supplier a right to terminate the Sub-Contract if the Sub-Contractor fails to comply with legal obligations in the fields of environmental, social or labour law; and
- 13.11.5. requiring the Sub-Contractor to include in any Sub-Contract which it in turn awards provisions to the same effect as those required by this Clause 13.11.

14. DISCOUNTS AND REBATES

- 14.1. The Supplier will disclose to the Customer any commission, discount or rebate earned by the Supplier arising in respect of third party costs directly related to the Projects. The Customer will receive the full benefit of such commission, discount or rebate.

15. CONFIDENTIALITY, TRANSPARENCY AND FREEDOM OF INFORMATION

CONFIDENTIALITY

- 15.1. For the purposes of the Clauses below, a Party which receives or obtains, directly or indirectly, Confidential Information is a "**Recipient**". A Party which discloses or makes available Confidential Information is a "**Disclosing Party**".
- 15.2. Unless a Recipient has express permission to disclose Confidential Information, it must:
 - 15.2.1. treat the Disclosing Party's Confidential Information as confidential and store it securely;
 - 15.2.2. not disclose the Disclosing Party's Confidential Information to any other person except as expressly set out in this Contract or with the owner's prior written consent;
 - 15.2.3. not use or exploit the Disclosing Party's Confidential Information in any way except for the purposes anticipated under this Contract, and
 - 15.2.4. immediately notify the Disclosing Party if it suspects or becomes aware of any unauthorised access, copying, use or disclosure in any form of any of the Disclosing Party's Confidential Information.
- 15.3 A Recipient is entitled to disclose Confidential Information if:

- 15.3.1. where disclosure is required by applicable Law or by a court with the required jurisdiction if the Recipient Party notifies the Disclosing Party of the full circumstances, the affected Confidential Information Contract and extent of the disclosure;
- 15.3.2. if the Recipient already had the information without obligation of confidentiality before it was disclosed by the Disclosing Party;
- 15.3.3. if the information was given to it by a third party without obligation of confidentiality;
- 15.3.4. if the information was in the public domain at the time of the disclosure;
- 15.3.5. if the information was independently developed without access to the Disclosing Party's Confidential Information;
- 15.3.6. to its auditors or for the purposes of regulatory requirements;
- 15.3.7. on a confidential basis, to its professional advisers on a need-to-know basis; and/or
- 15.3.8. to the Serious Fraud Office where the Recipient has reasonable grounds to believe that the Disclosing Party is involved in activity that may be a criminal offence under the Bribery Act 2010.
- 15.4 If the Recipient is required by Law to disclose Confidential Information, it should notify the Disclosing Party as soon as reasonably practicable and to the extent permitted by Law. It may advise the Disclosing Party of what Law or regulatory body requires such disclosure and what Confidential Information it will be required to disclose.
- 15.5 Subject to Clauses 15.3 the Supplier may disclose Confidential Information, on a confidential basis, to:
 - 15.5.1. Supplier personnel or Sub-Contractors who are directly involved in the provision of the Project and need to know the Confidential Information to enable performance under this Contract, and
 - 15.5.2. its professional advisers for the purposes of obtaining advice in relation to this Contract.
- 15.6 Where the Supplier discloses Confidential Information in such circumstances, it remains responsible for ensuring the persons to whom the information was disclosed comply with the confidentiality obligations set out in this Contract.
- 15.7 The Customer may disclose the Confidential Information of the Supplier:
 - 15.7.1. to any Central Government Body, on the basis that the information may only be further disclosed to Central Government Bodies
 - 15.7.2. to Parliament, including any Parliamentary committees, or if required by any British Parliamentary reporting requirement
 - 15.7.3. if disclosure is necessary or appropriate in the course of carrying out its public functions
 - 15.7.4. on a confidential basis to a professional adviser, consultant, supplier or other person engaged by a Central Government Body or Contracting Body (including any benchmarking organisation) for any purpose relating to or connected with this Contract
 - 15.7.5. on a confidential basis for the purpose of the exercise of its rights under this Contract, or

- 15.7.6. to a proposed successor in title (transferee, assignee or novatee) of the Customer.
- 15.8 Any references to disclosure on a confidential basis means disclosure subject to a confidentiality agreement or arrangement containing terms no less stringent than those placed on the Customer under this clause 15.
- 15.9 Nothing in this Clause 15 will prevent a Recipient from using any techniques, ideas or know-how gained during the performance of this Contract in the course of its normal business, as long as this use does not result in a disclosure of the Disclosing Party's Confidential Information or an infringement of Intellectual Property Rights.
- 15.10 If the Supplier fails to comply with this Clause 15, the Customer can terminate this Contract.

TRANSPARENCY

- 15.11 Except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of this Contract (and any Transparency Reports submitted by the Supplier under it) is not Confidential Information. This will be made available in accordance with the procurement policy note 13/15 www.gov.uk/government/uploads/system/uploads/attachment_data/file/458554/Procurement_Policy_Note_13_15.pdf and the Transparency Principles referred to therein.
- 15.12 The Customer will determine whether any of the content of this Contract is exempt from disclosure in accordance with the provisions of the FOIA. The Customer may consult with the Supplier to inform its decision regarding any redactions but will have absolute discretion over the final decision.
- 15.13 Notwithstanding any other provision of this Contract, the Supplier consents to the Customer publishing this Contract in its entirety (including any agreed changes). Any information which is exempt from disclosure in accordance with the provisions of the FOIA will be redacted).
- 15.14 The Supplier will cooperate with the Customer to enable publication of this Contract.

FREEDOM OF INFORMATION

- 15.15 The Customer is subject to the requirements of the FOIA and the EIRs. The Supplier will:
- 15.15.1. provide all necessary assistance to the Customer to enable it to comply with its Information disclosure obligations.
 - 15.15.2. send all Requests for Information it receives relating to this Contract to the Customer as soon as practicable and within a maximum of two (2) Working Days from receipt.
 - 15.15.3. provide the Customer with a copy of all Information belonging to the Customer requested in the Request for Information which is in its possession or control in the form that the Customer requires within five (5) Working Days of the Customer's request.
- 15.16 The Supplier must not respond directly to a Request for Information without the Customer's Approval.

- 15.17 The Customer may be required under the FOIA and EIRs to disclose Information (including Commercially Sensitive Information) without consulting or obtaining consent from the Supplier. The Customer will take reasonable steps to notify the Supplier of a Request for Information where it is permissible and reasonably practical for it to do so. However, the Customer will be responsible for determining in its absolute discretion whether any Commercially Sensitive Information and/or any other information are exempt from disclosure in accordance with the FOIA and/or the EIRs.

16. SUPPLIER WARRANTIES

- 16.1. The Supplier warrants that:
- 16.1.1 it has full capacity and authority to enter into this Contract and that by doing so it will not be in breach of any obligation to a third party;
 - 16.1.2 the personnel who perform the Project are competent and suitable to do so;
- 16.2. The Supplier undertakes that:
- 16.2.1. the use of the Deliverables by the Customer in accordance with this Contract and for the purposes set out in the Statement of Work will not infringe the copyright of any third party; and
 - 16.2.2. as at the date they are delivered, the Deliverables of this Contract may be used for the purposes set out in the Statement of Work and comply with all relevant regulations and standards stipulated within the Statement of Work.
- 16.3. The Supplier hereby indemnifies the Customer against any Losses incurred by the Customer as a result of breach by the Supplier of its warranty and undertaking in Clauses 16.1 and 16.2.

17. CUSTOMER WARRANTIES

- 17.1. The Customer warrants that:
- 17.1.1 it has full capacity and authority to enter into this Contract and that by doing so it will not be in breach of any obligation to a third party; and
 - 17.1.2 the Customer Materials will not, when used in accordance with this Contract and any written instructions given by the Customer, infringe third party copyright.

18. LIABILITY

- 18.1. Nothing in this Contract will exclude or in any way limit either Party's liability for fraud, death or personal injury caused by its negligence.
- 18.2. Subject always to Clauses 18.1 and 18.3, the maximum amount the Supplier can be liable for in respect of all Defaults shall in no event exceed:
- 18.2.1. in relation to any Defaults occurring from the Effective Date to the end of the first Contract Year, the higher of the figure specified in the Letter of Appointment or a sum equal to 125% of the Contract Charges

estimated by the Customer for the first Contract Year;

- 18.2.2. in relation to any Defaults occurring in each subsequent Contract Year that commences during the remainder of the Term, the higher of the figure specified in the Letter of Appointment or a sum equal to 125% of the Contract Charges payable to the Supplier under this Contract in the previous Contract Year; and
 - 18.2.3. in relation to any Defaults occurring in each Contract year that commences after the end of the Initial Term, the higher of the figure specified in the Letter of Appointment or a sum equal to 125% of the Contract charges payable to the Supplier under this Contract in the last Contract Year commencing during the Term.
- 18.3. Subject to Clause 18.1 and except for any claims arising under Clause 20.12, neither Party will be liable to the other in any situation for any:
- 18.3.1. loss of profits
 - 18.3.2. loss of goodwill or reputation
 - 18.3.3. loss of revenue
 - 18.3.4. loss of savings whether anticipated or otherwise; or
 - 18.3.5. indirect or consequential loss or damage of any kind
- 18.4. Without prejudice to its obligation to pay the undisputed Contract Charges as and when they fall due for payment, the Customer's total aggregate liability in respect of all defaults, claims, losses or damages howsoever caused will in no event exceed the figure specified in the Letter of Appointment.

19. INSURANCE

- 19.1. The Supplier will hold insurance policies to the value sufficient to meet its liabilities in connection with this Contract (including any specific insurance requirements as are set out in the Statements of Work). The Supplier will provide the Customer with evidence that such insurance is in place at the Customer's request.
- 19.2. The Supplier will effect and maintain the policy or policies of insurance as stipulated in the Letter of Appointment.
- 19.3. If, for whatever reason, the Supplier fails to comply with the provisions of this Clause 19 the Customer may make alternative arrangements to protect its interests. If the Customer does so, it may recover the premium and other costs of such arrangements as a debt due from the Supplier.
- 19.4. Any insurance effected by the Supplier will not relieve it of any liability under this Contract. It is the Supplier's responsibility to determine the amount of insurance cover that will be adequate to enable the Supplier to satisfy any liability in relation to the performance of its obligations under this Contract.
- 19.5. The Supplier must ensure that the policies of insurance it holds pursuant to this Clause 19 are not cancelled, suspended or vitiated. The Supplier will use all reasonable endeavours to notify the Customer (subject to third party confidentiality

obligations) as soon as practicable when it becomes aware of any circumstance whereby the relevant insurer could give notice to cancel, rescind, suspend or void any insurance, or any cover or claim under any insurance in whole or in part.

20. INTELLECTUAL PROPERTY RIGHTS (IPR)

- 20.1. The Supplier acknowledges that the Customer retains ownership of Customer Materials and all Intellectual Property Rights in them. This includes any modifications or adaptations of Customer Materials produced by the Supplier in the course of delivering the Project. The Customer hereby grants to the Supplier a non-exclusive license to use the Customer Materials during the applicable Project Term solely for the purposes of delivering the Project.
- 20.2. The Supplier hereby:
 - 20.2.1. assigns to the Customer all of the Intellectual Property Rights other than copyright and database rights in the Supplier Materials which are capable of being assigned, together with the right to sue for past infringement of such Intellectual Property Rights in the Supplier Materials; and
 - 20.2.2. assigns to the Crown all of the copyright and database rights in the Supplier Materials which are capable of being assigned, together with the right to sue for past infringement of such copyright and database rights in the Supplier Materials.
- 20.3. All Intellectual Property Rights in the Supplier Proprietary Materials remain the property of the Supplier. The Supplier grants to the Customer a non-exclusive, royalty-free license to use any Supplier Proprietary Materials as are included in the Deliverables, in the Territory, for the period of time and for the purposes set out in the Statement of Work.
- 20.4. All Intellectual Property Rights in Project Specific Materials shall be owned by the Customer and the Customer hereby grants a non-exclusive, royalty-free license to use any Project Specific Materials for the purposes of providing the Project throughout the Term.
- 20.5. Prior to delivery of the Deliverables to the Customer, the Supplier will obtain all licenses or consents in respect of Third Party Materials that are required so the Customer can use these Third Party Materials for the purposes set out in the Statement of Work. The Supplier will notify the Customer of any restrictions on usage and any other contractual restrictions arising in respect of such Third Party Materials.
- 20.6. The Supplier agrees:
 - 20.6.1. at the Customer's request and expense, to take all such actions and execute all such documents as are necessary (in the Customer's reasonable opinion) to enable the Customer to obtain, defend or enforce its rights in the Supplier Materials and Deliverables; and

- 20.6.2. neither to do nor fail to do any act which would or might prejudice the Customer's rights under this Clause 20.
- 20.7. To the extent permitted by law, the Supplier shall ensure that all Moral Rights in the Supplier Materials are waived. Where it is not lawfully possible to waive Moral Rights, the Supplier agrees not to assert any Moral Rights in respect of the Supplier Materials.
- 20.8. The Supplier will use its reasonable endeavours to ensure that all Moral Rights in Third Party Materials are waived. Where it is not lawfully possible to waive Moral Rights, the Supplier will work with the owner or creator of the Third Party Materials to procure that Moral Rights are not asserted in respect of Third Party Materials. If the Supplier cannot obtain such waiver of (or agreement not to assert) such Moral Rights in respect of any Third Party Materials, the Supplier will notify the Customer and will obtain the Customer's Approval prior to incorporating such Third Party Materials into the Deliverables.
- 20.9. During the Term, if the Supplier is asked to take part in a competitive pitch or other similar process for the Customer, then notwithstanding any of the previous provisions of this Clause 20, the Supplier will retain ownership of all Intellectual Property Rights in any Materials forming part of the pitch process. If the Supplier is successful in such pitch and the Parties agree that such Materials will be used in a Project the Supplier will assign all such Intellectual Property Rights to the Customer.
- 20.10. The Supplier is not liable in connection with this Contract for any modifications, adaptations or amendments to any Deliverables made by the Customer or by a third party on the Customer's behalf after the Supplier has handed them over. The Supplier is also not liable if any fault, error, destruction or other degradation in the quality and/or quantity of the Deliverables arises due to the acts or omissions of the Customer or its Affiliates.
- 20.11. The terms of and obligations imposed by this Clause 20 continue after the termination of this Contract.
- 20.12. The Supplier will indemnify the Customer in full against all Losses (whether direct or indirect) in connection with any claim made against the Customer for actual or alleged infringement of a third party's intellectual property rights in connection with the supply or use of the Project, if the claim is attributable to the acts or omission of the Supplier any of its Associates. This indemnity extends to any interest, penalties, and reasonable legal and other professional fees awarded against or incurred or paid by the Customer.

21. AUDIT

21.1. The Supplier will keep and maintain full and accurate records and accounts of the operation of this Contract, the Project provided under it, any Sub-Contracts and the amounts paid by the Customer for at least seven (7) years after the Expiry Date or New Expiry Date, or such longer period as the Parties agree.

21.2. The Supplier will:

21.2.1. keep the records and accounts referred to in Clause 21.1 in accordance with Good Industry Practice and Law, and

21.2.2. afford any Auditor access to the records and accounts referred to in Clause 21.1 at the Supplier's premises and/or provide records and accounts (including copies of the Supplier's published accounts) or copies of the same to Auditors throughout the Term and the period specified in Clause 21.1. This is so the Auditor(s) can assess compliance by the Supplier and/or its Sub-Contractors with the Supplier's obligations under this Contract, and in particular to:

- a) verify the accuracy of the Contract Charges and any other amounts payable by the Customer under this Contract (and proposed or actual variations to them in accordance with this Contract);
- b) verify the costs of the Supplier (including the costs of all Sub-Contractors and any third party suppliers) in connection with the provision of the Project;
- c) verify the Supplier's and each Sub-Contractor's compliance with the applicable Laws;
- d) identify or investigate an actual or suspected act of fraud or bribery, impropriety or accounting mistakes or any breach or threatened breach of security. In these circumstances, the Customer is not obliged to inform the Supplier of the purpose or objective of its investigations;
- e) identify or investigate any circumstances which may impact upon the financial stability of the Supplier or any Sub-Contractors or their ability to perform the Project;
- f) obtain such information as is necessary to fulfil the Customer's obligations to supply information for parliamentary, ministerial, judicial or administrative purposes, including the supply of information to the Comptroller and Auditor General;
- g) review any books of account and the internal contract management accounts kept by the Supplier in connection with this Contract;
- h) carry out the Customer's internal and statutory audits and to

prepare, examine and/or certify the Customer's annual and interim reports and accounts

- i) enable the National Audit Office to carry out an examination under Section 6(1) of the National Audit Act 1983;
- j) review any records relating to the Supplier's performance of the provision of the Project and to verify that these reflect the Supplier's own internal reports and records;
- k) verify the accuracy and completeness of any information delivered or required by this Contract;
- l) inspect the Customer Materials, including the Customer's Intellectual Property Rights, equipment and facilities, for the purposes of ensuring that the Customer Materials are secure; and
- m) review the integrity, confidentiality and security of any Customer data.

21.2.3. audit does not unreasonably disrupt the Supplier or delay the provision of the Project (although the Supplier accepts and acknowledges that control over the conduct of audits carried out by the Auditor(s) is outside of the control of the Customer.)

21.3. Subject to the Supplier's rights in respect of Confidential Information, the Supplier will on demand, provide the Auditor(s) with all reasonable co-operation and assistance in providing:

21.3.1. all reasonable information requested by the Customer within the scope of the audit;

21.3.2. reasonable access to sites controlled by the Supplier and to any equipment used in the provision of the Project; and

21.3.3. access to the Supplier personnel.

21.4. The Parties agree that they will bear their own respective costs and expenses incurred during any Audit, unless the Audit reveals a default by the Supplier, whereby the Supplier will reimburse the Customer for the Customer's reasonable costs incurred in relation to the Audit.

21.5. If an Audit reveals that the Customer has been overcharged, the Supplier will reimburse to the Customer the amount of the overcharge within thirty (30) days. If an Audit reveals the Supplier has been underpaid, the Customer shall pay to the Supplier the amount of the underpayment within thirty (30) days.

22. NOT USED

23. TERMINATION

Customer Rights of Termination

23.1. The Customer may, by giving no less than three (3) month's written notice to the

Supplier, terminate this Contract without cause.

- 23.2. The Customer may terminate or cancel a Project at any time subject to Clause 9.8 and payment of all Contract Charges specifically set out at Clause 9.9 of Clause 9 (Variations and Cancellations).
- 23.3. The Customer may terminate this Contract or a Project by written notice to the Supplier with immediate effect if the Supplier:
 - 23.3.1. commits a material Default which cannot be remedied;
 - 23.3.2. repeatedly breaches any of the terms and conditions of this Contract in such a manner as to indicate that it does not have the intention or ability to adhere to the terms and conditions;
 - 23.3.3. commits a Default, including a material Default, which in the opinion of the Customer is remediable but has not remedied such Default to the satisfaction of the Customer within thirty (30) days of receiving notice specifying the Default and requiring it to be remedied or in accordance with the Rectification Plan Process;
 - 23.3.4. breaches any of the provisions of Clauses 6.1 (Supplier: Other Appointments), 10 (Approvals and Authority), 15 (Confidentiality, Transparency and Freedom of Information), and 32 (Prevention of Fraud and Bribery);
 - 23.3.5. is subject to an Insolvency Event; or
 - 23.3.6. fails to comply with legal obligations.
- 23.4. The Supplier must notify the Customer as soon as practicable of any Change of Control or any potential Change of Control.
- 23.5. The Customer may terminate this Contract with immediate effect by written notice to the Supplier within six (6) Months of:
 - 23.5.1. being notified in writing that a Change of Control is anticipated or in contemplation or has occurred; or
 - 23.5.2. where no notification has been made, the date that the Customer becomes aware that a Change of Control is anticipated or is in contemplation or has occurred,

but shall not be permitted to terminate where an Approval was granted prior to the Change of Control.
- 23.6. The Customer may terminate this Contract or a Project by giving the Supplier at least fourteen (14) days' notice if:
 - 23.6.1. the DPS Agreement is terminated for any reason;
 - 23.6.2. the Parties fail to agree a Variation under Clause 9; or
 - 23.6.3. the Supplier fails to implement an agreed Variation.

23.7. Where this Contract is conditional upon the Supplier procuring a Guarantee pursuant to Clause 3 (Contract Guarantee), the Customer may terminate this Contract by issuing a notice of termination Notice to the Supplier where:

23.7.1. the Guarantor withdraws the Guarantee for any reason;

23.7.2. the Guarantor is in breach or anticipatory breach of Guarantee;

23.7.3. an Insolvency Event occurs in respect of the Guarantor; or

23.7.4. the Guarantee becomes invalid or unenforceable for any reason whatsoever,

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

23.7.6. the Supplier fails to provide the documentation required by Clause 3.1 by the date so specified by the Customer.

Supplier Rights to Terminate

23.8. The Supplier may terminate a Project by written notice to the Customer if:

23.9. the Customer has not paid any undisputed amounts falling due under that Project, and

23.10. the undisputed sum due remains outstanding for forty (40) Working Days after the Customer has received a written notice of non-payment from the Supplier specifying:

a) the Customer's failure to pay;

b) the correct overdue and undisputed sum;

c) the reasons why the undisputed sum is due; and

d) the requirement on the Customer to remedy the failure to pay

This right of termination does not apply where the failure to pay is due to the Customer exercising its rights under this Contract (including the right to set off under Clause 29). This Contract shall then terminate on the date specified in the Termination Notice (which shall not be less than twenty (20) Working Days from the date of the issue of the Termination Notice), save that such right of termination shall not apply where the failure to pay is due to the Customer exercising its rights under this Contract including Clause 30 (Retention and Set off).

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

24. CONSEQUENCES OF TERMINATION

- 24.1. Termination of a Project in accordance with the terms of this Contract by either Party shall not serve to terminate this Contract, which will continue in full force and effect.
- 24.2. If this Contract is terminated, all ongoing and outstanding Projects will also terminate on the same date as this Contract.
- 24.3. Upon termination of this Contract or a Project for any reason:
 - 24.3.1. the Expiry Date or New Expiry Date shall be the date this Contract terminates;
 - 24.3.2. the Customer will pay the Supplier all Contract Charges falling properly due and payable to the Supplier prior to the date of termination (including in accordance with Clause 9 where relevant);
 - 24.3.3. each Party will, following a reasonable request by the other Party, promptly deliver or dispose of any and all materials and property belonging or relating to the other Party (including all Confidential Information) and all copies of the same, which are then in its possession, custody or control and which relate to all affected Projects. On the request of the other Party, each will certify in writing that the same has been done; and
 - 24.3.4. the Supplier and its staff will vacate any premises of the Customer occupied for any purpose of providing the Project or Deliverables.
- 24.4. Any provisions of this Contract which are to continue after termination will remain in full force and effect after this Contract is terminated. Such provisions may include (but are not limited to):
 - 24.4.1. Clause 15 (Confidentiality, Transparency and Freedom of Information)
 - 24.4.2. Clause 16 (Supplier warranties) Clause 17 (Customer warranties)
 - 24.4.3. Clause 18 (Liability)
 - 24.4.4. Clause 19 (Insurance)
 - 24.4.5. Clause 20 (Intellectual Property Rights)
 - 24.4.6. Clause 21 (Audit)
 - 24.4.7. Clause 23 (Termination)
 - 24.4.8. Clause 26 (Notices)
 - 24.4.9. Clause 27 (Staff Transfer)
 - 24.4.10. Clause 28 (Third Party Rights)
 - 24.4.11. Clause 29 (GDPR, Security & Publicity)
 - 24.4.12. Clause 32 (General) and
 - 24.4.13. Clause 34 (Governing law and jurisdiction)
 - 24.4.14. Contract Schedule 1 (Definitions and Interpretation), Contract Schedule 3 (Staff Transfer), Contract Schedule 4 (Dispute Resolution Procedure).

25. FORCE MAJEURE

- 25.1. Neither Party will have any liability under or be in breach of this Contract for any delays or failures in performance which result from circumstances beyond the reasonable control of the Party seeking to claim relief (a **Force Majeure Event** and the **Affected Party**).
- 25.2. Following a Force Majeure Event, the Affected Party must promptly notify the other Party in writing, both when the event causes a delay or failure in performance, and when the event has ended. If a Force Majeure Event continues for sixty (60) consecutive Working Days, the Party not affected by the Force Majeure Event can suspend or terminate this DPS Agreement. They must do so in writing, and state the date from which the suspension or termination will come into effect.
- 25.3. If a Force Majeure event occurs, the Parties will use all reasonable endeavours to prevent and mitigate the impact, and continue to perform their obligations under this Contract as far as is possible. Where the Supplier is the Affected Party, it will take all steps in accordance with Good Industry Practice to overcome or minimise the consequences of the Force Majeure Event.

26. NOTICES

- 26.1. Any notices sent under this Contract must be in writing and sent by hand, by post or by email. The table below sets out deemed time of delivery and proof of service for each.

| Notice delivered | Deemed time of delivery | Proof of service |
|--|--|--|
| In person | At the time of delivery | Proof that delivery was made (e.g. a signature is obtained) |
| By first class post, special delivery or other recorded delivery | 2 Working Days from the date of posting | Proof that the envelope was addressed and delivered into the custody of the postal authorities |
| Email | 09:00 hours on the first Working Day after sending | Dispatched in an emailed pdf to the correct email address without any error message |

- 26.2. The address and email address of each Party will be:

26.2.1. Supplier:

26.2.2. Customer:

- 26.3. For the purpose of this Clause and calculating receipt all references to time are

to local time in the place of receipt.

27. STAFF TRANSFER

27.1. The Parties agree that

27.1.1. if providing the Project means staff must be transferred from the Customer to the Supplier, where the commencement of the provision of the Project or any part of the Project results in one or more Relevant Transfers, Schedule 3 (Staff Transfer) will apply as follows:

- a) where the Relevant Transfer involves the transfer of Transferring Customer Employees, Part A of Schedule 3 (Staff Transfer) will apply
- b) where the Relevant Transfer involves the transfer of Transferring Former Supplier Employees, Part B of Schedule 3 (Staff Transfer) will apply
- c) where the Relevant Transfer involves the transfer of Transferring Customer Employees and Transferring Former Supplier Employees, Parts A and B of Schedule 3 (Staff Transfer) will apply, and
- d) Part C of Schedule 3 (Staff Transfer) will not apply

27.2. Where providing the Project does not result in a Relevant Transfer, Part C of Schedule 3 (Staff Transfer) will apply and Parts A and B of Schedule 3 (Staff Transfer) shall not apply; and

- 27.3. Part D of Schedule 3 (Staff Transfer) will apply on the expiry or termination of the Services or any part of the Project.
- 27.4. Both during and after the Term, the Supplier will indemnify the Customer against all Employee Liabilities that may arise as a result of any claims brought against the Customer due to any act or omission of the Supplier or any Supplier personnel.

28. THIRD PARTY RIGHTS

- 28.1. Except for CCS and the persons that the provisions of Schedule 3 of this Contract confer benefits on, a person who is not a Party to this Contract has no right to enforce any of its provisions which, expressly or by implication, confer a benefit on him, without the prior written agreement of the Parties.

29. DATA PROTECTION, SECURITY AND PUBLICITY

- 29.1. In addition to its general security obligations under this Contract, the Supplier shall comply with any security requirements specifically set out in the Statement of Work.

Data Protection

- 29.2. The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Supplier is the Processor. The only processing that the Supplier is authorised to do is listed in Contract Schedule 7 (Processing, Personal Data and Data Subjects) by the Customer and may not be determined by the Supplier.
- 29.3. The Supplier shall notify the Customer immediately if it considers that any of the Customer's instructions infringe the Data Protection Legislation.
- 29.4. The Supplier shall provide all reasonable assistance to the Customer in the preparation of any Data Protection Impact Assessment prior to commencing any processing. Such assistance may, at the discretion of the Customer, include:
- 29.4.1. a systematic description of the envisaged processing operations and the purpose of the processing;
 - 29.4.2. an assessment of the necessity and proportionality of the processing operations in relation to the Project;
 - 29.4.3. an assessment of the risks to the rights and freedoms of Data Subjects; and
 - 29.4.4. the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.
- 29.5. The Supplier shall, in relation to any Personal Data processed in connection with its obligations under this Agreement:
- 29.5.1. process that Personal Data only in accordance with Schedule 7 (Processing, Personal Data and Data Subjects), unless the Supplier is

required to do otherwise by Law. If it is so required the Supplier shall promptly notify the Customer before processing the Personal Data unless prohibited by Law;

- 29.5.2. ensure that it has in place Protective Measures, which have been reviewed and approved by the Customer as appropriate to protect against a Data Loss Event having taken account of the:
- (i) nature of the data to be protected;
 - (ii) harm that might result from a Data Loss Event;
 - (iii) state of technological development; and
 - (iv) cost of implementing any measures;
- 29.5.3. ensure that :
- (i) the Supplier Personnel do not process Personal Data except in accordance with this Agreement (and in particular Contract Schedule 7 (Processing, Personal Data and Data Subjects));
 - (ii) it takes all reasonable steps to ensure the reliability and integrity of any Contractor Personnel who have access to the Personal Data and ensure that they:
 - (A) are aware of and comply with the Supplier's duties under this clause;
 - (B) are subject to appropriate confidentiality undertakings with the Supplier or any Sub-processor;
 - (C) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third Party unless directed in writing to do so by the Customer or as otherwise permitted by this Agreement; and
 - (D) have undergone adequate training in the use , care, protection and handling of Personal Data; and
- 29.5.4. not transfer Personal Data outside of the EU unless the prior written consent of the Customer has been obtained and the following conditions are fulfilled:
- (i) the Customer or the Supplier has provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or LED Article 37) as determined by the Customer;
 - (ii) the Data Subject has enforceable rights and effective legal remedies;
 - (iii) the Supplier complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Customer in meeting its obligations); and

- (iv) the Supplier complies with any reasonable instructions notified to it in advance by the Customer with respect to the processing of the Personal Data;
- 29.5.5. at the written direction of the Customer, delete or return Personal Data (and any copies of it) to the Customer on termination of the Agreement unless the Supplier is required by Law to retain the Personal Data.
- 29.6. Subject to Clause 29.7, the Supplier shall notify the Customer immediately if it:
 - 29.6.1. notify the Customer promptly if the Supplier receives a Data Subject Access Request (or purported Data Subject Access Request);
 - 29.6.2. receives a request to rectify, block or erase any Personal Data;
 - 29.6.3. receives any other request, any complaint, notice or communication relating to either Party's obligations under the Data Protection Legislation;
 - 29.6.4. receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data processed under this Agreement;
 - 29.6.5. receives a request from any third Party for disclosure of Personal Data where that relates directly to its compliance with such request is required or purported to be required by Law; or Data Protection Legislation and/or the processing of personal data under or in connection with this Contract;
 - 29.6.6. becomes aware of a Data Loss Event.
- 29.7. The Supplier's obligation to notify under Clause 29.6 shall include the provision of further information to the Customer in phases, as details become available.
- 29.8. Taking into account the nature of the processing, the Supplier shall provide the Customer the Customer with full cooperation and assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under Clause 29.6 (and insofar as possible (within the timescales reasonably required by the Customer) including by promptly providing:
 - 29.8.1. the Customer with full details and copies of the complaint, communication or request;
 - 29.8.2. the Customer) in relation to any such assistance as is reasonably requested by the Customer to enable the Customer to comply with a Data Subject Access Request within the relevant timescales set out in the Data Protection Legislation; complaint, communication or request;
 - 29.8.3. the Customer, at its request, with any Personal Data it holds in relation to a Data Subject;
 - 29.8.4. assistance as if requested by the Customer following any Data Loss

Event;

- 29.8.5. assistance as requested by the Customer with respect to any request from the Information Commissioner's Office, or any consultation by the Customer with Customer, provide a written description of the Information Commissioner's Office.
- 29.9. The Supplier shall maintain complete and accurate records and information to demonstrate its compliance with this Clause. This requirement does not apply where the Supplier employs fewer than 250 staff, unless:
 - 29.9.1. the Customer determines that the processing is not occasional;
 - 29.9.2. the Customer determines the processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the GDPR; and
 - 29.9.3. the Customer determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects.
- 29.10. The Supplier shall allow for audits of its Data Processing activity by the Customer or the Customer's designated auditor.
- 29.11. The Supplier shall designate a data protection officer if required and use its reasonable endeavours to assist the Customer to comply with any obligations under the Data Protection Legislation.
- 29.12. Before allowing any Sub-processor to process any Personal Data related to this Agreement, the Supplier must:
 - 29.12.1. notify the Customer in writing of the intended Sub-processor and processing;
 - 29.12.2. obtain the written consent of the Customer;
 - 29.12.3. enter into a written agreement with the Sub-processor which give effect to the terms set out in this Clause 29.12 such that they apply to the Sub-processor; and
 - 29.12.4. provide the Customer with such information regarding the Sub-processor as the Customer may reasonably require.
- 29.13. The Supplier shall remain fully liable for all acts or omissions of any Sub-processor.
- 29.14. The Customer may, at any time on not less than 30 Working Days' notice, revise this clause by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to this Agreement).
- 29.15. The Parties agree to take account of any guidance issued by the Information

Commissioner's Office. The Customer may on not less than 30 Working Days' notice to the Supplier amend this agreement to ensure that it complies with any guidance issued by the Information Commissioner's Office.

- 29.16. The Supplier will not cause the Customer to breach any of the Customer's obligations under the Data Protection Legislation, to the extent the Supplier is aware (or ought reasonably to have been aware), that the same would be a breach of such obligations. It will 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 under Article 25(6) of Directive 95/46/EC without Approval from the Customer.
- 29.17. The Supplier will use the latest versions of anti-virus definitions and software available from an industry accepted anti-virus software vendor (unless otherwise agreed in writing between the Parties) to check for, contain the spread of, and minimise the impact of Malicious Software (or as otherwise agreed between the Parties).
- 29.18. Notwithstanding Clause 28.6, if Malicious Software is found, the Parties will co- operate to reduce its impact. If Malicious Software causes loss of operational efficiency or loss or corruption of Customer Data, the Parties will assist each other to mitigate any losses and to restore the provision of the Project.

Customer Data

- 29.19. The Supplier will not store, copy, disclose, or use the Customer Data except as necessary to perform its obligations under this Contract or where the Customer has given Approval.
- 29.20. If any Customer Data is held and/or Processed by the Supplier, the Supplier must supply that Customer Data to the Customer, at the time and in the format the Customer requests.
- 29.21. The Supplier is responsible for preserving the integrity of any Customer Data it holds or processes, and preventing its corruption or loss.
- 29.22. The Supplier will perform secure back-ups of all customer data and shall ensure that such back-ups are available to the Customer (or to such other person as the Customer may direct) on request.
- 29.23. The Supplier will ensure that any system it uses to holds any Customer Data, including back-up data, is secure. This system must comply with any security requirements and any government security requirement policy relating to this Customer Data.
- 29.24. If any time the Supplier suspects or has any reason to believe that the Customer Data is corrupted, lost or sufficiently degraded in any way, then the Supplier must notify the Customer immediately. This notification must contain information detailing the remedial action the Supplier proposes to take.

Publicity and Branding

- 29.25. The Supplier may not make any press announcements or publicise this Contract

or use the Customer's name or brand in any promotion or marketing or announcement of orders without Approval from the Customer.

- 29.26. The Supplier will seek the Customer's Approval before marketing their involvement in any Deliverable or draft Deliverable or entering into any industry awards or competition which will involve the disclosure of all or any part of any Deliverable or draft Deliverable.

30. RETENTION AND SET OFF

- 30.1. If the Supplier owes the Customer any money, the Customer may retain or set off this money against any amount owed to the Supplier under this Contract or any other agreement between the Supplier and the Customer. In order to exercise this right, the Customer will, within thirty (30) days of receipt of the relevant invoice, notify the Supplier of its reasons for retaining or setting off the relevant Contract Charges.
- 30.2. The Supplier will make any payments due to the Customer without any deduction. Deductions, whether by way of set-off, counterclaim, discount, abatement or otherwise, are not permitted unless the Supplier has obtained a sealed court order requiring an amount equal to such deduction to be paid by the Customer.

31. INCOME TAX AND NATIONAL INSURANCE CONTRIBUTIONS

- 31.1. Where the Supplier or any Supplier personnel are liable to be taxed in the UK or to pay national insurance contributions in respect of consideration received under this Contract, the Supplier will:
 - 31.1.1. comply with the Income Tax (Earnings and Pensions) Act 2003 and all other statutes and regulations relating to income tax, and the Social Security Contributions and Benefits Act 1992 and all other statutes and regulations relating to national insurance contributions, and
 - 31.1.2. indemnify the Customer against any income tax, national insurance and social security contributions and any other liability, deduction, contribution, assessment or claim arising from or made in connection with the provision of the Project by the Supplier or any Supplier Personnel.
- 31.2. If any of the Supplier Personnel is a Worker as defined in Contract Schedule 1 (Definitions) who receives consideration relating to the Project, then, in addition to its obligations under Clause 31.1, the Supplier must ensure that its contract with the Worker contains the following requirements:
 - 31.2.1. that the Customer may, at any time during the Term, request that the Worker provides information to demonstrate how the Worker complies with the requirements of Clause 31.1, or why those requirements do not apply to it. In such case, the Customer may specify the information which the Worker must provide and the period within which that information must be provided
 - 31.2.2. that the Worker's contract may be terminated at the Customer's request if:
 - a) the Worker fails to provide the information requested by the Customer within the time specified by the Customer under Clause 31.2.1 and/or
 - b) the Worker provides information which the Customer considers is inadequate to demonstrate how the Worker complies with Clause 31.2.1, or confirms that the Worker is not

complying with those requirements

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

32. PREVENTION OF FRAUD AND BRIBERY

- 32.1. The Supplier represents and warrants that neither it, nor to the best of its knowledge any of its staff or Sub-Contractors, have at any time prior to the Effective Date:
 - 32.1.1. committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act; or
 - 32.1.2. been listed by any government department or Supplier 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.
- 32.2. The Supplier must not:
 - 32.2.1. commit a Prohibited Act; or
 - 32.2.2. do or suffer anything to be done which would cause the Customer or any of the Customer's employees, consultants, contractors, sub-contractors or agents to contravene any of the Relevant Requirements or otherwise incur any liability in relation to the Relevant Requirements.
- 32.3. The Supplier shall during the Term:
 - 32.3.1. establish, maintain and enforce, and require that its Sub-Contractors establish, maintain and enforce, policies and procedures which are adequate to ensure compliance with the Relevant Requirements and prevent the occurrence of a Prohibited Act;
 - 32.3.2. keep appropriate records of its compliance with its obligations under 32.3.1 and make such records available to the Customer on request;
 - 32.3.3. if so required by the Customer, within 20 days of the Effective Date, and annually thereafter, certify to the Customer in writing that the Supplier and all persons associated with it or its Sub-Contractors or other persons who are supplying the Project in connection with this Contract are compliant with the Relevant Requirements. The Supplier shall provide such supporting evidence of compliance as the Customer may reasonably request; and
- 32.4. have, maintain and (where appropriate) enforce an anti-bribery policy to prevent it and any Supplier staff or Sub-Contractors or any person acting on the Supplier's behalf from committing a Prohibited Act. This anti-bribery policy must be disclosed to the Customer on request.
- 32.5. The Supplier shall immediately notify the Customer in writing if it becomes aware

of any breach of Clause 32.1, or has reason to believe that it has or any of the Supplier staff or Sub-Contractors have:

- 32.5.1. been subject to an investigation or prosecution which relates to an alleged Prohibited Act;
 - 32.5.2. been listed by any government department or Supplier 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;
 - 32.5.3. received a request or demand for any undue financial or other advantage of any kind in connection with the performance of this Contract; or
 - 32.5.4. otherwise suspects that any person or Party directly or indirectly connected with this Contract has committed or attempted to commit a Prohibited Act.
- 32.6. If the Supplier makes a notification to the Customer under to Clause 32.5, the Supplier shall respond promptly to the Customer's enquiries, co-operate with any investigation, and allow the Customer to audit any books, records and/or any other relevant documentation in accordance with Clause 21 (Audit).
- 32.7. If the Supplier breaches Clause 32.5, the Customer may by notice:
- 32.7.1. require the Supplier to remove any Supplier Personnel whose acts or omissions have caused the Supplier's breach from any Project; or
 - 32.7.2. immediately terminate this Contract for material Default.
- 32.8. Any notice served by the Customer under Clause 32.5 shall set out:
- 32.8.1. the nature of the Prohibited Act;
 - 32.8.2. the identity of the Party who the Customer believes has committed the Prohibited Act;
 - 32.8.3. the action that the Customer has elected to take; and
 - 32.8.4. if relevant, the date on which this Contract shall terminate.

33. GENERAL

- 33.1. Each of the Parties represents and warrants to the other that it has full capacity and authority, and all necessary consents, licenses and permissions to enter into and perform
- 33.2. its obligations under this Contract, and that this Contract is executed by its duly authorised representative.
- 33.3. This Contract contains the whole agreement between the Parties and supersedes and replaces any prior written or oral agreements, representations or understandings between them. The Parties confirm that they have not entered into this Contract on the basis of any representation that is not expressly incorporated into this Contract.
- 33.4. Nothing in this Clause excludes liability for fraud or fraudulent misrepresentation.
- 33.5. Any entire or partial waiver or relaxation of any of the terms and conditions of this Contract will be valid only if it is communicated to the other Party in writing, and expressly stated to be a waiver. A waiver of any right or remedy arising from a particular breach of this Contract will not constitute a waiver of any right or remedy arising from any other breach of the same Contract.
- 33.6. This Contract does not constitute or imply any partnership, joint venture, Supplier, fiduciary relationship between the Parties other than the contractual relationship expressly provided for in this Contract. Neither Party has, or has represented, any authority to make any commitments on the other Party's behalf.
- 33.7. Unless expressly stated in this Contract, all remedies available to either Party for breach of this Contract are cumulative and may be exercised concurrently or separately. The exercise of one remedy does not mean it has been selected to the exclusion of other remedies.
- 33.8. If any provision of this Contract is prohibited by law or judged by a court to be unlawful, void or unenforceable, the provision will, to the extent required, be severed from this Contract. Any severance will not, so far as is possible, modify the remaining provisions. It will not in any way affect any other circumstances of or the validity or enforcement of this Contract.

34. DISPUTE RESOLUTION

- 34.1. The Parties shall resolve Disputes in accordance with the Dispute Resolution Procedure.
- 34.2. The Supplier shall continue to provide the Project in accordance with the terms of this Contract until a Dispute has been resolved.

35. GOVERNING LAW AND JURISDICTION

- 35.1. This Agreement will be governed by the laws of England and Wales.
- 35.2. Each Party submits to the exclusive jurisdiction of the courts of England and Wales and agrees that all disputes shall be conducted within England and Wales.

36. Additional Clauses

- 36.1. Where the Customer has so specified in the Letter of Appointment, the Supplier shall comply with the provisions of set out in Schedule 6 (Additional Clauses).

SCHEDULE 1

Definitions and Interpretation

1. INTERPRETATION

- 1.1. In this Contract, any references to numbered Clauses and schedules refer to those within this Contract unless specifically stated otherwise. If there is any conflict between this Contract, the Letter of Appointment, the provisions of the DPS Agreement and the Statements of Work(s), the conflict shall be resolved in accordance with the following order of precedence:
 - 1.1.1. the Letter of Appointment (except the Supplier Proposal)
 - 1.1.2. the Statement of Work
 - 1.1.3. the Contract Terms
 - 1.1.4. the Supplier Proposal, and
- 1.2. The definitions and interpretations used in this Contract are set out in this Schedule 1 (Definitions).
- 1.3. Definitions which are relevant and used only within a particular Clause or Schedule are defined in that Clause or Schedule.
- 1.4. Unless the context otherwise requires:
 - 1.4.1. words importing the singular meaning include where the context so admits the plural meaning and vice versa
 - 1.4.2. words importing the masculine include the feminine and the neuter and vice versa
 - 1.4.3. the words 'include', 'includes' 'including' 'for example' and 'in particular' and words of similar effect will not limit the general effect of the words which precede them
 - 1.4.4. references to any person will include natural persons and partnerships, firms and other incorporated bodies and all other legal persons of whatever kind
 - 1.4.5. references to any statute, regulation or other similar instrument mean a reference to the statute, regulation or instrument as amended by any subsequent enactment, modification, order, regulation or instrument as subsequently amended or re-enacted
 - 1.4.6. headings are included in this Contract for ease of reference only and will not affect the interpretation or construction of this Contract
- 1.5. If a capitalised expression does not have an interpretation in Contract Schedule 1 (Definitions) or relevant Schedule, it shall have the meaning given to it in the DPS Agreement. If no meaning is given to it in the DPS Agreement, it shall be interpreted in accordance with the relevant market sector/ industry meaning. Otherwise it shall be interpreted in accordance with the dictionary.
- 1.6. In this contract the following terms have the following meaning:

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| Agreement | means this Contract; |
| Approval | means the Approval given in accordance with Clause 10.1 or 10.2 as the context requires and " Approve ", " Approving " and " Approved " shall be construed accordingly. |
| Affected Party | means the Customer or the Supplier affected by the event |
| Associates | A Party's employees, officers, agents, sub-contractors or authorised representatives. |
| Authorised Supplier Approver | Any personnel of the Supplier who have the authority to contractually bind the Supplier in all matters relating to Contract. They must be named in the applicable Statement of Work, and the Customer must be notified if they change. |
| Authorised Customer Approver | Any personnel of the Customer who have the authority to contractually bind the Customer in all matters relating to this Contract. They must be named in the applicable Statement of Work, and the Supplier must be notified if they change. |
| Contract | This contract between the Customer and the Supplier (entered into under the provisions of the DPS Agreement), which consists of the terms set out in the Letter of Appointment, the Contract Terms, the Schedules and any Statement of Work. |
| Contract Terms | The terms and conditions set out in this Contract including this Schedule 1 but not including any other Schedules or Statement of Work. |
| Central Government Body | A body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics: Government Department; Non- Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal); Non-Ministerial Department; or Executive Supplier. |
| Change of Control | Change of Control has the same meaning as in section 416 of the Income and Corporation Taxes Act 1988. |
| Customer Affiliates | Any organisation associated with the Customer that will directly receive the benefit of the Project. Customer Affiliates must be named in a Statement of Work, or subsequently notified to the Supplier. |
| Customer Project Specification | The document containing the Customer's requirements issued either as part of the Call For Competition Process set out in Section 3 of the DPS Agreement or as set out in a Statement of Work from time to time. |
| Customer Cause | A situation where the Customer does not fulfil its obligations in connection with this Contract (including its payment obligations), and as a consequence the Supplier is prevented from performing any of the agreed Project. |
| Customer Confidential Information | All Customer Data and any information that the Customer or CCS gives to Agencies that is designated as being confidential, or which ought to be reasonably be considered to be confidential (whether or not it is marked "confidential"). This may include information, however conveyed, that is politically or security sensitive and/or |

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| | relates to the Customer's business, affairs, developments, trade secrets, Know-How, personnel and suppliers. |
| Customer Data | Data, text, drawings, diagrams, images or sounds (together with any database made up of any of these), including any Customer's Confidential Information, supplied to the Supplier by or on behalf of the Customer, or which the Supplier is required to generate, process, store or transmit in connection this Contract, and any Personal Data for which the Customer is the Data Controller. |
| Customer Materials | Any Customer Data, Customer equipment, computer systems, software, documents, copy, Intellectual Property Rights, artwork, logos and any other materials or information owned by or licensed to the Customer which are provided to the Supplier or its Associates by or on behalf of the Customer. |
| Contracting Body | CCS, the Customer and any other bodies listed in the OJEU Notice. |
| Contract Charges | All charges payable by the Customer for the Project provided under this Contract calculated in accordance with DPS Schedule 3 (Charging Structure) and the Letter of Appointment including all Approved costs properly incurred by the Customer including but not limited to all Expenses, disbursement, taxes, sub-contractor or third party costs, and fees. |
| Confidential Information | The Customers Confidential Information and/or the Supplier Confidential Information. |
| Contractor Personnel | means all directors, officers, employees, agents, consultants and contractors of the Contractor and/or of any Sub-Contractor engaged in the performance of its obligations under this Agreement. |
| Controller, Processor, Data Subject, Personal Data, Personal Data Breach, Data Protection Officer | The meaning given in the GDPR. |
| Contract Year | A consecutive 12- month period during the Term commencing on the Effective Date or each anniversary thereof. |
| Data Loss Event | any event that results, or may result, in unauthorised access to Personal Data held by the Contractor under this Agreement, and/or actual or potential loss and/or destruction of Personal Data in breach of this Agreement, including any Personal Data Breach. |
| DPA 2018 | Data Protection Act 2018 |
| Data Protection Impact Assessment | an assessment by the Controller of the impact of the envisaged processing on the protection of Personal Data. |
| Data Subject Access Request | a request made by, or on behalf of, a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation to access their Personal Data. |
| Data Protection Legislation or DPA | (i) the GDPR, the LED and any applicable national implementing Laws as amended from time to time (ii) the DPA 2018 [subject to Royal Assent] to the extent that it relates to processing of personal data and privacy; (iii) all applicable Law about the processing of personal data and privacy; |
| Default | Any breach of the obligations of the Supplier (including but not limited failing to provide any Deliverables by any date |

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| | set out in the applicable Statement of Work (or any other deadline agreed by the Parties in writing), and abandonment of this Contract in breach of its terms) or any other default (including material Default), act, omission, negligence or statement of the Supplier, of its Sub-Contractors or any of its staff howsoever arising in connection with or in relation to the subject-matter of this Contract and in respect of which the Supplier is liable to the Customer. |
| Deliverables | The applied research services from Section 2 of the DPS Agreement that are to be provided as specified in a Statement of Work. |
| Dispute | Any dispute, difference or question of interpretation arising out of or in connection with this Contract, including any dispute, difference or question of interpretation relating to the Project, failure to agree in accordance with the Variation Procedure or any matter where this Contract directs the Parties to resolve an issue by reference to the Dispute Resolution Procedure. |
| Dispute Resolution Procedure | The dispute resolution procedure set out in Contract Schedule 4 (Dispute Resolution Procedure). |
| DPS Agreement | The DPS Agreement between CCS and the Supplier reference number: RM6018 referred to in the Letter of Appointment |
| DPS | Means the dynamic purchasing system established by CCS for the provision of Research Services which are to be provided by the Supplier under the DPS Agreement. |
| Effective Date | The date this Contract starts, as set out in the Letter of Appointment. |
| Environmental Information Regulations or EIRs | The Environmental Information Regulations 2004 together with any related guidance and/or codes of practice issued by the Information Commissioner or relevant Government department. |
| Expenses | Reasonable travelling, hotel, subsistence and other expenses incurred by the Supplier in connection with the supply Services of and Deliverables, provided that such Expenses have either received the Customers Approval or are in accordance with any expenses policies which have been supplied to the Supplier and set out in the agreed Statement of Work. |
| Expiry Date | The date this Contract ends, as set out in the Letter of Appointment. |
| Extension Expiry Date | The latest date this Contract can end, as set out in the Letter of Appointment. |
| FOIA | 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. |
| Force Majeure | Means: <ul style="list-style-type: none"> • acts, events, omissions, happenings or non-happenings beyond the reasonable control of the Affected Party • riots, war or armed conflict, acts of terrorism, nuclear, biological or chemical warfare • fire, flood, any disaster and any failure or shortage |

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| | <p>of power or fuel</p> <ul style="list-style-type: none"> • an industrial dispute affecting a third party for which a substitute third party is not reasonably available but does not mean: <ul style="list-style-type: none"> • any industrial dispute relating to the Supplier, its staff, or any other failure in the Supplier's (or a subcontractor's) supply chain • any event or occurrence which is attributable to the wilful act, neglect or failure to take reasonable precautions against the event or occurrence by the Party concerned, and <p>any failure of delay caused by a lack of funds</p> |
| Further Competition Procedure | The process of a Customer issuing a Project Specification and the Supplier submitting a proposal in response to such Project Specification, as set out in DPS Clause 3.10. |
| GDPR | Means the General Data Protection Regulation (<i>Regulation (EU) 2016/679</i>) |
| Good Industry Practice | Standards, practices, methods and procedures conforming to the Law and the exercise of the degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged within the relevant industry or business sector. |
| Guarantee | A deed of guarantee that may be required under this Contract in favour of the Customer in the form set out in DPS Schedule 9 (Guarantee) granted pursuant to Clause 3 (Contract Guarantee). |
| Guarantor | The person, in the event that a Guarantee is required under this Contract, acceptable to the Customer to give a Guarantee. |
| Impact Assessment | The assessment to be carried out by a Party requesting a Variation in accordance with Clause 9.4. |
| Information | The same meaning given under section 84 of the Freedom of Information Act 2000 as amended from time to time |
| Insolvency Event | <p>Means, in respect of the Supplier [or DPS Guarantor (as applicable)]:</p> <ol style="list-style-type: none"> a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986; or a winding-up resolution is considered or passed (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation); or 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 a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets; or 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 it is or becomes insolvent within the meaning of |

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| | <p>section 123 of the Insolvency Act 1986; or</p> <p>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</p> <p>h) where the Supplier is an individual or partnership, any event analogous to these listed in this definition occurs in relation to that individual or partnership; or</p> <p>d) any event analogous to these listed in this definition occurs under the law of any other jurisdiction</p> |
| Intellectual Property Rights or IPR | <p>The following rights, wherever in the world enforceable, or such similar rights, which have equivalent effect, including all reversions and renewals and all applications for registration:</p> <ul style="list-style-type: none"> • any patents or patent applications • any trade marks (whether or not registered) • inventions, discoveries, utility models and improvements whether or not capable of protection by patent or registration • copyright or design rights (whether registered or unregistered) • database rights • performer's property rights as described in Part II of the Copyright Designs and Patents Act 1988 and any similar rights of performers anywhere in the world • any goodwill in any trade or service name, trading style or get-up and • any and all other intellectual or proprietary rights |
| Key Individuals | Individuals named by the Supplier in the Letter or Appointment or Statement of Work as having a major responsibility for delivering the Project. |
| 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 Contractor is bound to comply; |
| LCIA | means London Court of International Arbitration |
| LED | means Law Enforcement Directive (Directive (EU) 2016/680) |
| Letter of Appointment | The Letter of Appointment, substantially in the form set out in DPS Schedule 4, signed by both Parties and dated on the Effective Date. |
| Losses | Any losses, damages, liabilities, claims, demands, actions, penalties, fines, awards, costs and expenses (including reasonable legal and other professional expenses) to either Party subject to Clause 18.1 and 18.2. |
| Malicious Software | Any software program or code intended to destroy, interfere with, corrupt, or cause undesired effects on program files, data or other information, executable code or application software macros, whether or not its operation is immediate or delayed, and whether the malicious software is introduced wilfully, negligently or without knowledge of its existence. |

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| Materials | Any questionnaires, discussion guides, transcripts, tables, data files, reports, pre-notifications, stimulus materials or any other material protected by Intellectual Property Rights or produced as part of a Project. |
| Moral Rights | All rights described in Part I, Chapter IV of the Copyright Designs and Patents act 1988 and any similar rights of authors anywhere in the world. |
| New Expiry Date | Has the meaning given to it in Clause 2.3 |
| Party | Means a Party to this Agreement. |
| Personal Data | Personal Data has the same meaning as set out in the Data Protection Act 2018 |
| Prohibited Act | <p>To directly or indirectly offer, promise or give any person working for or engaged by a Customer or CCS a financial or other advantage to:</p> <ul style="list-style-type: none"> a) induce that person to perform improperly a relevant function or activity b) reward that person for improper performance of a relevant function or activity c) 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; d) commit any offence: <ul style="list-style-type: none"> • under the Bribery Act 2010 (or any legislation repealed or revoked by such Act); or • under legislation or common law concerning fraudulent acts; or • defrauding, attempting to defraud or conspiring to defraud the Customer ; or • any activity, practice or conduct which would constitute one of the offences listed above if such activity, practice or conduct had been carried out in the UK; |
| Project | Any project(s) agreed between the Parties from time to time whereby the Supplier performs the Project which are the subject of this Contract and supplies Deliverables to the Customer as more fully described in the applicable Statement of Work; |
| Project Commencement Date | The date a Project will start, as set out in the relevant Statement of Work. |
| Project Completion Date | The date by which a Project is to be completed, as set out in the relevant Statement of Work. |
| Project Notice Period | The period of notice for cancellation of a Project as set out in the Statement of Work. |
| Project Specific Materials | <p>Means:</p> <p>Intellectual Property Rights in items created by the Supplier (or by a third party on behalf of the Supplier) specifically for the purposes of this Contract and updates and amendments of these items including (but not limited to) database schema; and/or</p> <p>Intellectual Property Rights in or arising as a result of the performance of the Supplier's obligations under this Contract and all updates and amendments to the same.</p> |
| Project Term | The period during which the Project for each Project will be provided as specified in the applicable Statement of Work. |
| Protective Measures | means appropriate technical and organisational measures |

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| | which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of such measures adopted by it. |
| Purchase Order Number | The order number set out in the Letter of Appointment. |
| Records | The accounts and information maintained by the Supplier related to the operation and delivery of this Contract, including all expenditure which is reimbursable by the Customer, as are necessary for the provision of management information and to enable the Customer to conduct an audit as set out in Clause 21. |
| Rectification Plan | The rectification plan pursuant to the Rectification Plan Process. |
| Rectification Plan Process | The process set out in Clauses 5.8 to 5.14. |
| Regulations | The Public Contracts Regulations 2015. |
| Relevant Requirements | 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; |
| Request for Information | A request for information or an apparent request relating to this Contract or the provision of the Project or an apparent request for such information under the FOIA or the EIRs. |
| Schedule | Any Schedule attached to this Contract. |
| Services | The Project to be supplied by the Supplier under this Contract and in accordance with Section 2 of the DPS Agreement, as set out in the relevant Statement of Work. This includes the provision of Deliverables. |
| Special Terms | Any terms specifically designated as varying these Contract Terms or the terms of any schedule, as set out in the applicable Statement of Work. |
| Standards | 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 Supplier would reasonably and ordinarily be expected to comply with; <ul style="list-style-type: none"> standards detailed in the specification in DPS Section 2 (Services and Key Performance Indicators): standards detailed by the Customer in the Letter of Appointment and any Statement of Work or agreed between the Parties from time to time; relevant Government codes of practice and guidance applicable from time to time i.e. including but not limited to Market Research Society (MRS) Code of Conduct and Social Research Association (SRA). |
| Statement of Work | One or more documents describing the relevant Project(s) as agreed and signed by the parties and which shall comprise both the Customer Project Specification and the Supplier's Proposal (whether agreed as part of a Call for Competition or during the Term of this Contract). |
| Sub-Contract | A contract entered into between the Supplier and a Sub-Contractor. |

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| Sub-Contractor | Any person or Supplier appointed by the Supplier to provide elements of the Project on behalf of the Supplier to the Customer. |
| Sub-Processor | Means any third Party appointed to process Personal Data on behalf of the Contractor related to this Agreement |
| Supplier Affiliate | Any company, partnership or other entity which at any time directly or indirectly controls, is controlled by or is under common control with the Supplier, including as a subsidiary, parent or holding company. |
| Supplier Confidential Information | Any information that the Supplier gives to CCS or to Customer's that is designated as being confidential, or which ought to be reasonably be considered to be confidential (whether or not it is marked "confidential"). This may include information, however it is conveyed, that relates to the Supplier's business, affairs, developments, trade secrets, Know-How, personnel and suppliers including all Intellectual Property Rights. |
| Supplier Materials | Those Materials specifically created by any officers, employees, sub-contractors or freelancers of the Supplier for the purposes of a Project, whether or not these materials are incorporated into Deliverables during the Term. (Includes any Materials adapted, modified or derived from the Customer Materials). |
| Supplier Proprietary Materials | Software (including all programming code in object and source code form), methodology, know-how and processes and Materials in relation to which the Intellectual Property Rights are owned by (or licensed to) the Supplier and which: <ul style="list-style-type: none"> - were in existence prior to the date on which it is intended to use them for a Project, or are created by or for the Supplier outside of a Project and which are intended to be reused across its business |
| Supplier Proposal | The Supplier's solution in response to the Customer's Project Specification, as set out in the Letter of Appointment or in any Statement of Work. |
| Tender | The tender submitted by the Supplier in response to the Invitation to Tender. |
| Term | The period from the Effective Date to the earlier of: <ul style="list-style-type: none"> • the Expiry Date or New Expiry Date; and • any date of termination |
| Territory | The United Kingdom, unless specified otherwise in the applicable Statement of Work. Publication and marketing on globally accessible mediums such as the internet shall not mean that the Territory is deemed to be worldwide. |
| Third Party Materials | Any Materials used in the Deliverables which are either commissioned by the Supplier from third parties or which have already been created by a third party and the Supplier proposes to use. Excludes software which is owned or licensed by a third party. |
| Transparency Principles | The principles set out at www.gov.uk/government/publications/transparency-of-suppliers-and-government-to-the-public detailing the requirement for the proactive release of contract information under the Government's transparency commitment. |
| Transparency Reports | The information relating to the Project and performance of this Contract which the Supplier is required to provide to the CCS in accordance with its reporting requirements. |

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| Variation | A change in this Contract that is formally agreed by both Parties, as detailed in Clause 10.2. |
| Variation Form | The template form to process and record variations to this Contract as set out at Schedule 5. |
| Worker | Any Supplier personnel to whom the Customer considers Procurement Policy Note 08/15 (Tax Arrangements of Public Appointees) applies See https://www.gov.uk/government/publications/procurement-policy-note-0815-tax-arrangements-of-appointees |
| Working Day | Any day other than a Saturday, Sunday or public holiday in England and Wales. |

SCHEDULE 2
Statement of Work

~~This Statement of Work is issued under and in accordance with the Contract entered into between the parties dated *[insert date of signature of Contract.]*~~

(Original content deleted)

Statement of work is not required for this project. The reference of the statement of work throughout this Call-off Contract Terms should be referred to as customer's specification in the ITT and supplier's proposal, both attached with the DPS FRAMEWORK SCHEDULE 4: LETTER OF APPOINTMENT AND CONTRACT TERMS, i.e. Annex A Customer Project Specification; Annex B Supplier Proposal

SCHEDULE 3: STAFF TRANSFER

1. DEFINITIONS

In this Contract Schedule 3, the following definitions shall apply:

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| “Admission Agreement” | The agreement to be entered into by which the Supplier agrees to participate in the Schemes as amended from time to time; |
| “Eligible Employee” | any Fair Deal Employee who at the relevant time is an eligible employee as defined in the Admission Agreement; |
| “Employee Liabilities” | <p>all claims, actions, proceedings, orders, demands, complaints, investigations (save for any claims for personal injury which are covered by insurance) and any award, compensation, damages, tribunal awards, fine, loss, order, penalty, disbursement, payment made by way of settlement and costs, expenses and legal costs reasonably incurred in connection with a claim or investigation related to employment including in relation to the following:</p> <ul style="list-style-type: none">(a) redundancy payments including contractual or enhanced redundancy costs, termination costs and notice payments;(b) unfair, wrongful or constructive dismissal compensation;(c) compensation for discrimination on grounds of sex, race, disability, age, religion or belief, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation or claims for equal pay;(d) compensation for less favourable treatment of part-time workers or fixed term employees;(e) outstanding employment debts and unlawful deduction of wages including any PAYE and national insurance contributions;(f) employment claims whether in tort, contract or statute or otherwise; <p>any investigation relating to employment matters by the Equality and Human Rights Commission or other enforcement, regulatory or supervisory body and of implementing any requirements which may arise from such investigation;</p> |

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| “Fair Deal Employees” | those Transferring Customer Employees who are on the Relevant Transfer Date entitled to the protection of New Fair Deal and any Transferring Former Supplier Employees who originally transferred pursuant to a Relevant Transfer under the Employment Regulations (or the predecessor legislation to the Employment Regulations), from employment with a public sector employer and who were once eligible to participate in the Schemes and who at the Relevant Transfer Date become entitled to the protection of New Fair Deal; |
| “Former Supplier” | any Supplier supplying services to the Customer before the Relevant Transfer Date that are the same as or substantially similar to the Project (or any part of the Project) and shall include any sub-contractor of such Supplier (or any sub- contractor of any such sub-contractor); |
| “New Fair Deal” | the revised Fair Deal position set out in the HM Treasury guidance: <i>“Fair Deal for staff pensions: staff transfer from central government”</i> issued in October 2013; |
| “Notified Sub-Contractor” | a Sub-Contractor identified in the Annex to this Contract Schedule 3 to whom Transferring Customer Employees and/or Transferring Former Supplier Employees will transfer on a Relevant Transfer Date; |
| “Replacement Sub-Contractor” | a sub-contractor of the Replacement Supplier to whom Transferring Supplier Employees will transfer on a Service Transfer Date (or any sub-contractor of any such sub-contractor); |
| “Relevant Transfer” | a transfer of employment to which the Employment Regulations applies; |
| “Relevant Transfer Date” | in relation to a Relevant Transfer, the date upon which the Relevant Transfer takes place; |
| “Schemes” | the Principal Civil Service Pension Scheme available to employees of the civil service and employees of bodies under the Superannuation Act 1972, as governed by rules adopted by Parliament; the Partnership Pension Account and its (i) Ill health Benefits Scheme and (ii) Death Benefits Scheme; the Civil Service Additional Voluntary Contribution Scheme; and the 2015 New Scheme (with effect from a date to be notified to the Supplier by the Minister for the Cabinet Office); |
| “Service Transfer” | any transfer of the Project (or any part of the Project), for whatever reason, from the Supplier or any Sub-Contractor to a Replacement Supplier or a Replacement Sub-Contractor; |
| “Service Transfer Date” | the date of a Service Transfer; |
| “Staffing Information” | in relation to all persons identified on the Supplier's Provisional Supplier Personnel List or Supplier's Final Supplier Personnel List, as the case may be, such information as the Customer may reasonably request (subject to all |

applicable provisions of the DPA), but including in an anonymised format:

- (a) their ages, dates of commencement of employment or engagement and gender;
- (b) details of whether they are employed, self-employed contractors or consultants, Supplier workers or otherwise;
- (c) the identity of the employer or relevant contracting party;
- (d) their relevant contractual notice periods and any other terms relating to termination of employment, including redundancy procedures, and redundancy payments;
- (e) their wages, salaries and profit sharing arrangements as applicable;
- (f) details of other employment-related benefits, including (without limitation) medical insurance, life assurance, pension or other retirement benefit schemes, share option schemes and company car schedules applicable to them;
- (g) any outstanding or potential contractual, statutory or other liabilities in respect of such individuals (including in respect of personal injury claims);
- (h) details of any such individuals on long term sickness absence, parental leave, maternity leave or other authorised long term absence;
- (i) copies of all relevant documents and materials relating to such information, including copies of relevant contracts of employment (or relevant standard contracts if applied generally in respect of such employees); and
- (j) any other “employee liability information” as such term is defined in regulation 11 of the Employment Regulations;

“Supplier's Final Supplier Personnel List”

a list provided by the Supplier of all Supplier Personnel who will transfer under the Employment Regulations on the Relevant Transfer Date;

“Supplier's Provisional Supplier Personnel List”

a list prepared and updated by the Supplier of all Supplier Personnel who are engaged in or wholly or mainly assigned to the provision of the Project or any relevant part of the Project which it is envisaged as at the date of such list will no longer be provided by the Supplier;

“Transferring Customer Employees”

those employees of the Customer to whom the Employment Regulations will apply on the Relevant Transfer Date;

2. Where a provision in this Contract Schedule 3 imposes an obligation on the Supplier to provide an indemnity, undertaking or warranty, the Supplier shall procure that each of its Sub-Contractors shall comply with such obligation and provide such indemnity, undertaking or warranty to the Customer, Former Supplier, Replacement Supplier or Replacement Sub-Contractor, as the case may be.

PART A

TRANSFERRING CUSTOMER EMPLOYEES AT COMMENCEMENT OF SERVICES

3. RELEVANT TRANSFERS

3.1 The Customer and the Supplier agree that:

the commencement of the provision of the Project or of each relevant part of the Project will be a Relevant Transfer in relation to the Transferring Customer Employees; and

as a result of the operation of the Employment Regulations, the contracts of employment between the Customer and the Transferring Customer Employees (except in relation to any terms disapplied through operation of regulation 10(2) of the Employment Regulations) will have effect on and from the Relevant Transfer Date as if originally made between the Supplier and/or any Notified Sub-Contractor and each such Transferring Customer Employee.

3.2 The Customer shall comply with all its obligations under the Employment Regulations and shall perform and discharge all its obligations in respect of the Transferring Customer Employees in respect of the period arising up to (but not including) the Relevant Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions which in any case are attributable in whole or in part to the period up to (but not including) the Relevant Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between: (i) the Customer ; and (ii) the Supplier and/or any Notified Sub-Contractor (as appropriate).

4. CUSTOMER INDEMNITIES

4.1 Subject to Paragraph 4.2, the Customer shall indemnify the Supplier and any Notified Sub-Contractor against any Employee Liabilities in respect of any Transferring Customer Employee (or, where applicable any employee representative as defined in the Employment Regulations) arising from or as a result of:

4.1.1 any act or omission by the Customer occurring before the Relevant Transfer Date;

4.1.2 the breach or non-observance by the Customer before the Relevant Transfer Date of:

a) any collective agreement applicable to the Transferring Customer Employees; and/or

b) any custom or practice in respect of any Transferring Customer Employees which the Customer is contractually bound to honour;

4.1.3 any claim by any trade union or other body or person representing the Transferring Customer Employees arising from or connected with any failure by the Customer to comply with any legal obligation to such trade union, body or person arising before the Relevant Transfer Date;

4.1.4 any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:

a) in relation to any Transferring Customer Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority

relates to financial obligations arising before the Relevant Transfer Date; and

- b) in relation to any employee who is not a Transferring Customer Employee and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Customer to the Supplier and/or any Notified Sub-Contractor as appropriate, to the extent that the proceeding, claim or demand by the HMRC or other statutory authority relates to financial obligations arising before the Relevant Transfer Date.
- 4.1.5 a failure of the Customer to discharge, or procure the discharge of, all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Customer Employees arising before the Relevant Transfer Date;
- 4.1.6 any claim made by or in respect of any person employed or formerly employed by the Customer other than a Transferring Customer Employee for whom it is alleged the Supplier and/or any Notified Sub-Contractor as appropriate may be liable by virtue of the Employment Regulations and/or the Acquired Rights Directive; and
- 4.1.7 any claim made by or in respect of a Transferring Customer Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Customer Employee relating to any act or omission of the Customer in relation to its obligations under regulation 13 of the Employment Regulations, except to the extent that the liability arises from the failure by the Supplier or any Sub-Contractor to comply with regulation 13(4) of the Employment Regulations.
- 4.2 The indemnities in Paragraph 4.1 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Supplier or any Sub-Contractor (whether or not a Notified Sub-Contractor) whether occurring or having its origin before, on or after the Relevant Transfer Date including any Employee Liabilities:
 - 4.2.1 arising out of the resignation of any Transferring Customer Employee before the Relevant Transfer Date on account of substantial detrimental changes to his/her working conditions proposed by the Supplier and/or any Sub-Contractor to occur in the period from (and including) the Relevant Transfer Date; or
 - 4.2.2 arising from the failure by the Supplier or any Sub-Contractor to comply with its obligations under the Employment Regulations.
- 4.3 If any person who is not identified by the Customer as a Transferring Customer Employee claims, or it is determined in relation to any person who is not identified by the Customer as a Transferring Customer Employee, that his/her contract of employment has been transferred from the Customer to the Supplier and/or any Notified Sub-Contractor pursuant to the Employment Regulations or the Acquired Rights Directive then:
 - 4.3.1 the Supplier shall, or shall procure that the Notified Sub-Contractor shall, within 5 Working Days of becoming aware of that fact, give notice in writing to the Customer; and
 - 4.3.2 the Customer may offer (or may procure that a third party may offer) employment to such person within 15 Working Days of receipt of the notification by the Supplier and/or any Notified Sub-Contractor, or take such

other reasonable steps as the Customer considers appropriate to deal with the matter provided always that such steps are in compliance with Law.

- 4.4 If an offer referred to in Paragraph 4.3.2 is accepted, or if the situation has otherwise been resolved by the Customer, the Supplier shall, or shall procure that the Notified Sub-Contractor shall, immediately release the person from his/her employment or alleged employment.
- 4.5 If by the end of the 15 Working Day period specified in Paragraph 4.3.2:
- 4.5.1 no such offer of employment has been made;
 - 4.5.2 such offer has been made but not accepted; or
 - 4.5.3 the situation has not otherwise been resolved,
 - 4.5.4 the Supplier and/or any Notified Sub-Contractor may within 5 Working Days give notice to terminate the employment or alleged employment of such person.
- 4.6 Subject to the Supplier and/or any Notified Sub-Contractor acting in accordance with the provisions of Paragraphs 4.3 to 4.5 and in accordance with all applicable proper employment procedures set out in applicable Law, the Customer shall indemnify the Supplier and/or any Notified Sub-Contractor (as appropriate) against all Employee Liabilities arising out of the termination pursuant to the provisions of Paragraph 4.5 provided that the Supplier takes, or procures that the Notified Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities.
- 4.7 The indemnity in Paragraph 4.6:
- 4.7.1 shall not apply to:
 - a) any claim for:
 - discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief; or
 - equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees,
 - in any case in relation to any alleged act or omission of the Supplier and/or any Sub-Contractor; or
 - any claim that the termination of employment was unfair because the Supplier and/or Notified Sub-Contractor neglected to follow a fair dismissal procedure; and
 - b) shall apply only where the notification referred to in Paragraph 4.3.1 is made by the Supplier and/or any Notified Sub-Contractor (as appropriate) to the Customer within 6 months of the Contract Commencement Date.
- 4.8 If any such person as is referred to in Paragraph 4.3 is neither re-employed by the Customer nor dismissed by the Supplier and/or any Notified Sub-Contractor within the time scales set out in Paragraph 4.5 such person shall be treated as having transferred to the Supplier and/or any Notified Sub-Contractor and the Supplier shall, or shall procure that the Notified Sub-Contractor shall, comply with such obligations as may be imposed upon it under applicable Law.

5. SUPPLIER INDEMNITIES AND OBLIGATIONS

- 5.1 Subject to Paragraph 3.2 the Supplier shall indemnify the Customer against any Employee Liabilities in respect of any Transferring Customer Employee (or, where applicable any employee representative as defined in the Employment Regulations) arising from or as a result of:
- 5.1.1 any act or omission by the Supplier or any Sub-Contractor whether occurring before, on or after the Relevant Transfer Date;
 - 5.1.2 the breach or non-observance by the Supplier or any Sub-Contractor on or after the Relevant Transfer Date of:
 - a) any collective agreement applicable to the Transferring Customer Employees; and/or
 - b) any custom or practice in respect of any Transferring Customer Employees which the Supplier or any Sub-Contractor is contractually bound to honour;
 - 5.1.3 any claim by any trade union or other body or person representing any Transferring Customer Employees arising from or connected with any failure by the Supplier or any Sub-Contractor to comply with any legal obligation to such trade union, body or person arising on or after the Relevant Transfer Date;
 - 5.1.4 any proposal by the Supplier or a Sub-contractor made before the Relevant Transfer Date to make changes to the terms and conditions of employment or working conditions of any Transferring Customer Employees to their material detriment on or after their transfer to the Supplier or the relevant Sub-Contractor (as the case may be) on the Relevant Transfer Date, or to change the terms and conditions of employment or working conditions of any person who would have been a Transferring Customer Employee but for their resignation (or decision to treat their employment as terminated under regulation 4(9) of the Employment Regulations) before the Relevant Transfer Date as a result of or for a reason connected to such proposed changes;
 - 5.1.5 any statement communicated to or action undertaken by the Supplier or any Sub-Contractor to, or in respect of, any Transferring Customer Employee before the Relevant Transfer Date regarding the Relevant Transfer which has not been agreed in advance with the Customer in writing;
 - 5.1.6 any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:
 - a) in relation to any Transferring Customer Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on or after the Relevant Transfer Date; and
 - b) in relation to any employee who is not a Transferring Customer Employee, and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Customer to the Supplier or a Sub-Contractor, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on or after the Relevant Transfer Date;

- 5.1.7 a failure of the Supplier or any Sub-Contractor to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Customer Employees in respect of the period from (and including) the Relevant Transfer Date; and
 - 5.1.8 any claim made by or in respect of a Transferring Customer Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Customer Employee relating to any act or omission of the Supplier or any Sub-Contractor in relation to their obligations under regulation 13 of the Employment Regulations, except to the extent that the liability arises from the Customer's failure to comply with its obligations under regulation 13 of the Employment Regulations.
- 5.2 The indemnities in Paragraph 5.1 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Customer whether occurring or having its origin before, on or after the Relevant Transfer Date including, without limitation, any Employee Liabilities arising from the Customer's failure to comply with its obligations under the Employment Regulations.
- 5.3 The Supplier shall comply, and shall procure that each Sub-Contractor shall comply, with all its obligations under the Employment Regulations (including its obligation to inform and consult in accordance with regulation 13 of the Employment Regulations) and shall perform and discharge, and shall procure that each Sub-Contractor shall perform and discharge, all its obligations in respect of the Transferring Customer Employees, from (and including) the Relevant Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions which in any case are attributable in whole or in part to the period from and including the Relevant Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between the Customer and the Supplier.

6. INFORMATION

The Supplier shall, and shall procure that each Sub-Contractor shall, promptly provide to the Customer in writing such information as is necessary to enable the Customer to carry out its duties under regulation 13 of the Employment Regulations. The Customer shall promptly provide to the Supplier and each Notified Sub-Contractor in writing such information as is necessary to enable the Supplier and each Notified Sub-Contractor to carry out their respective duties under regulation 13 of the Employment Regulations.

7. PRINCIPLES OF GOOD EMPLOYMENT PRACTICE

- 7.1 The Parties agree that the Principles of Good Employment Practice issued by the Cabinet Office in December 2010 apply to the treatment by the Supplier of employees whose employment begins after the Relevant Transfer Date, and the Supplier undertakes to treat such employees in accordance with the provisions of the Principles of Good Employment Practice.
- 7.2 The Supplier shall, and shall procure that each Sub-Contractor shall, comply with any requirement notified to it by the Customer relating to pensions in respect of any Transferring Customer Employee as set down in:
- 7.2.1 the Cabinet Office Statement of Practice on Staff Transfers in the Public Sector of January 2000, revised 2007;
 - 7.2.2 HM Treasury's guidance "Staff Transfers from Central Government: A Fair Deal for Staff Pensions of 1999;

7.2.3 HM Treasury's guidance "Fair deal for staff pensions: procurement of Bulk Transfer Agreements and Related Issues" of June 2004; and/or

7.2.4 the New Fair Deal.

7.3 Any changes embodied in any statement of practice, paper or other guidance that replaces any of the documentation referred to in Paragraphs 7.1 or 7.2 shall be agreed in accordance with the Variation Procedure.

8. PENSIONS

The Supplier shall, and shall procure that each of its Sub-Contractors shall, comply with the pensions provisions in the following Annex to PART A (PENSIONS).

ANNEX TO PART A: PENSIONS

9. PARTICIPATION

- 9.1 The Supplier undertakes to enter into the Admission Agreement.
- 9.2 The Supplier and the Customer :
 - 9.2.1 undertake to do all such things and execute any documents (including the Admission Agreement) as may be required to enable the Supplier to participate in the Schemes in respect of the Fair Deal Employees;
 - 9.2.2 agree that the Customer is entitled to make arrangements with the body responsible for the Schemes for the Customer to be notified if the Supplier breaches the Admission Agreement;
 - 9.2.3 notwithstanding Paragraph 9.2.2 of this Annex, the Supplier shall notify the Customer in the event that it breaches the Admission Agreement; and
 - 9.2.4 agree that the Customer may terminate this Contract for material default in the event that the Supplier breaches the Admission Agreement.
- 9.3 The Supplier shall bear its own costs and all costs that the Customer reasonably incurs in connection with the negotiation, preparation and execution of documents to facilitate the Supplier participating in the Schemes.

10. FUTURE SERVICE BENEFITS

- 10.1 The Supplier shall procure that the Fair Deal Employees, shall be either admitted into, or offered continued membership of, the relevant section of the Schemes that they currently contribute to, or were eligible to join immediately prior to the Relevant Transfer Date and the Supplier shall procure that the Fair Deal Employees continue to accrue benefits in accordance with the provisions governing the relevant section of Schemes for service from (and including) the Relevant Transfer Date.
- 10.2 The Supplier undertakes that should it cease to participate in the Schemes for whatever reason at a time when it has Eligible Employees, that it will, at no extra cost to the Customer, provide to any Fair Deal Employee who immediately prior to such cessation remained an Eligible Employee with access to an occupational pension scheme certified by the Government Actuary's Department or any actuary nominated by the Customer in accordance with relevant guidance produced by the Government Actuary's Department as providing benefits which are broadly comparable to those provided by the Schemes at the relevant date.
- 10.3 The Parties acknowledge that the Civil Service Compensation Scheme and the Civil Service Injury Benefit Scheme (established pursuant to section 1 of the Superannuation Act 1972) are not covered by the protection of New Fair Deal.

11. FUNDING

- 11.1 The Supplier undertakes to pay to the Schemes all such amounts as are due under the Admission Agreement and shall deduct and pay to the Schemes such employee contributions as are required by the Schemes.
- 11.2 The Supplier shall indemnify and keep indemnified the Customer on demand against any claim by, payment to, or loss incurred by, the Schemes in respect of the failure to account to the Schemes for payments received and the non-payment or the late payment of any sum payable by the Supplier to or in respect of the Schemes.

12. PROVISION OF INFORMATION

The Supplier and the Customer respectively undertake to each other:

- 12.1 to provide all information which the other Party may reasonably request concerning matters referred to in this Annex and set out in the Admission Agreement, and to supply the information as expeditiously as possible; and
- 12.2 not to issue any announcements to the Fair Deal Employees prior to the Relevant Transfer Date concerning the matters stated in this Annex without the consent in writing of the other Party (not to be unreasonably withheld or delayed).

13. INDEMNITY

The Supplier undertakes to the Customer to indemnify and keep indemnified the Customer on demand from and against all and any Losses whatsoever arising out of or in connection with any liability towards the Fair Deal Employees arising in respect of service on or after the Relevant Transfer Date which relate to the payment of benefits under an occupational pension scheme (within the meaning provided for in section 1 of the Pension Schemes Act 1993) or the Schemes.

14. EMPLOYER OBLIGATION

The Supplier shall comply with the requirements of the Pensions Act 2008 and the Transfer of Employment (Pension Protection) Regulations 2005.

15. SUBSEQUENT TRANSFERS

The Supplier shall:

- 15.1 not adversely affect pension rights accrued by any Fair Deal Employee in the period ending on the date of the relevant future transfer;
- 15.2 provide all such co-operation and assistance as the Schemes and the Replacement Supplier and/or the Customer may reasonably require to enable the Replacement Supplier to participate in the Schemes in respect of any Eligible Employee and to give effect to any transfer of accrued rights required as part of participation under New Fair Deal; and
- 15.3 for the period either:
 - 15.3.1 after notice (for whatever reason) is given, in accordance with the other provisions of this Contract, to terminate the Agreement or any part of the Project; or
 - 15.3.2 after the date which is two (2) years prior to the date of expiry of this Contract,

ensure that no change is made to pension, retirement and death benefits provided for or in respect of any person who will transfer to the Replacement Supplier or the Customer, no category of earnings which were not previously pensionable are made pensionable and the contributions (if any) payable by such employees are not reduced without (in any case) the Approval of the Customer (such Approval not to be unreasonably withheld). Save that this sub-paragraph shall not apply to any change made as a consequence of participation in an Admission Agreement.

PART B

TRANSFERRING FORMER SUPPLIER EMPLOYEES AT COMMENCEMENT OF SERVICES

16. RELEVANT TRANSFERS

16.1 The Customer and the Supplier agree that:

16.1.1 the commencement of the provision of the Project or of any relevant part of the Project will be a Relevant Transfer in relation to the Transferring Former Supplier Employees; and

16.1.2 as a result of the operation of the Employment Regulations, the contracts of employment between each Former Supplier and the Transferring Former Supplier Employees (except in relation to any terms disapplied through the operation of regulation 10(2) of the Employment Regulations) shall have effect on and from the Relevant Transfer Date as if originally made between the Supplier and/or Notified Sub-Contractor and each such Transferring Former Supplier Employee.

16.2 Subject to Paragraph 6, the Customer shall procure that each Former Supplier shall comply with all its obligations under the Employment Regulations and shall perform and discharge all its obligations in respect of all the Transferring Former Supplier Employees in respect of the period up to (but not including) the Relevant Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions which in any case are attributable in whole or in part in respect of the period up to (but not including) the Relevant Transfer Date) and the Supplier shall make, and the Customer shall procure that each Former Supplier makes, any necessary apportionments in respect of any periodic payments.

17. FORMER SUPPLIER INDEMNITIES

17.1 Subject to Paragraphs 17.2 and 21, the Customer shall procure that each Former Supplier shall indemnify the Supplier and any Notified Sub-Contractor against any Employee Liabilities in respect of any Transferring Former Supplier Employee (or, where applicable any employee representative as defined in the Employment Regulations) arising from or as a result of:

17.1.1 any act or omission by the Former Supplier arising before the Relevant Transfer Date;

17.1.2 the breach or non-observance by the Former Supplier arising before the Relevant Transfer Date of:

a) any collective agreement applicable to the Transferring Former Supplier Employees; and/or

b) any custom or practice in respect of any Transferring Former Supplier Employees which the Former Supplier is contractually bound to honour;

17.1.3 any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:

a) in relation to any Transferring Former Supplier Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising before the Relevant Transfer Date; and

- b) in relation to any employee who is not a Transferring Former Supplier Employee and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Former Supplier to the Supplier and/or any Notified Sub-Contractor as appropriate, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations in respect of the period to (but excluding) the Relevant Transfer Date;
- 17.1.4 a failure of the Former Supplier to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Former Supplier Employees in respect of the period to (but excluding) the Relevant Transfer Date;
- 17.1.5 any claim made by or in respect of any person employed or formerly employed by the Former Supplier other than a Transferring Former Supplier Employee for whom it is alleged the Supplier and/or any Notified Sub-Contractor as appropriate may be liable by virtue of this Contract and/or the Employment Regulations and/or the Acquired Rights Directive;
- 17.1.6 any claim by any trade union or other body or person representing any Transferring Former Supplier Employees arising from or connected with any failure by the Former Supplier to comply with any legal obligation to such trade union, body or person arising before the Relevant Transfer Date; and
- 17.1.7 any claim made by or in respect of a Transferring Former Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Former Supplier Employee relating to any act or omission of the Former Supplier in relation to its obligations under regulation 13 of the Employment Regulations, except to the extent that the liability arises from the failure by the Supplier or any Sub-Contractor to comply with regulation 13(4) of the Employment Regulations.
- 17.2 The indemnities in Paragraph 17.1 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Supplier or any Sub-Contractor whether occurring or having its origin before, on or after the Relevant Transfer Date including, without limitation, any Employee Liabilities:
 - 17.2.1 arising out of the resignation of any Transferring Former Supplier Employee before the Relevant Transfer Date on account of substantial detrimental changes to his/her working conditions proposed by the Supplier or any Sub-Contractor to occur in the period from (and including) the Relevant Transfer Date; or
 - 17.2.2 arising from the failure by the Supplier and/or any Sub-Contractor to comply with its obligations under the Employment Regulations.
- 17.3 If any person who is not identified by the Customer as a Transferring Former Supplier Employee claims, or it is determined in relation to any person who is not identified by the Customer as a Transferring Former Supplier Employee, that his/her contract of employment has been transferred from a Former Supplier to the Supplier and/or any Notified Sub-Contractor pursuant to the Employment Regulations or the Acquired Rights Directive then:
 - 17.3.1 the Supplier shall, or shall procure that the Notified Sub-Contractor shall, within 5 Working Days of becoming aware of that fact, give notice in writing to the Customer and, where required by the Customer, to the Former Supplier; and
 - 17.3.2 the Former Supplier may offer (or may procure that a third party may offer)

employment to such person within fifteen (15) Working Days of the notification by the Supplier and/or the Notified Sub-Contractor or take such other reasonable steps as the Former Supplier considers appropriate to deal with the matter provided always that such steps are in compliance with applicable Law.

17.4 If an offer referred to in Paragraph 17.3.2 is accepted, or if the situation has otherwise been resolved by the Former Supplier and/or the Customer, the Supplier shall, or shall procure that the Notified Sub-Contractor shall, immediately release the person from his/her employment or alleged employment.

17.4.1 If by the end of the fifteen (15) Working Day period specified in Paragraph 17.3.2:

17.4.2 no such offer of employment has been made;

17.4.3 such offer has been made but not accepted; or

17.4.4 the situation has not otherwise been resolved,

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

17.5 Subject to the Supplier and/or any Notified Sub-Contractor acting in accordance with the provisions of Paragraphs 17.3 to 17.5 and in accordance with all applicable proper employment procedures set out in Law, the Customer shall procure that the Former Supplier indemnifies the Supplier and/or any Notified Sub-Contractor (as appropriate) against all Employee Liabilities arising out of the termination pursuant to the provisions of Paragraph 17.5 provided that the Supplier takes, or shall procure that the Notified Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities.

17.6 The indemnity in Paragraph 17.6:

17.6.1 shall not apply to:

a) any claim for:

- discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief; or
- equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees,

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

b) any claim that the termination of employment was unfair because the Supplier and/or Notified Sub-Contractor neglected to follow a fair dismissal procedure; and

17.6.2 shall apply only where the notification referred to in Paragraph 17.3.1 is made by the Supplier and/or any Notified Sub-Contractor (as appropriate) to the Customer and, if applicable, the Former Supplier, within 6 months of the Contract Commencement Date.

17.7 If any such person as is described in Paragraph 17.3 is neither re-employed by the Former Supplier nor dismissed by the Supplier and/or any Notified Sub-Contractor within the time scales set out in Paragraph 17.5, such person shall be treated as having transferred to the Supplier or Notified Sub-Contractor and the Supplier shall, or shall procure that the Notified Sub-Contractor shall, comply with such obligations as may be

imposed upon it under the Law.

18. SUPPLIER INDEMNITIES AND OBLIGATIONS

- 18.1 Subject to Paragraph 18.2, the Supplier shall indemnify the Customer and/or the Former Supplier against any Employee Liabilities in respect of any Transferring Former Supplier.
- 18.2 Employee (or, where applicable any employee representative as defined in the Employment Regulations) arising from or as a result of:
 - 18.2.1 any act or omission by the Supplier or any Sub-Contractor whether occurring before, on or after the Relevant Transfer Date;
 - 18.2.2 the breach or non-observance by the Supplier or any Sub-Contractor on or after the Relevant Transfer Date of:
 - a) any collective agreement applicable to the Transferring Former Supplier Employee; and/or
 - b) any custom or practice in respect of any Transferring Former Supplier Employees which the Supplier or any Sub-Contractor is contractually bound to honour;
 - 18.2.3 any claim by any trade union or other body or person representing any Transferring Former Supplier Employees arising from or connected with any failure by the Supplier or a Sub-Contractor to comply with any legal obligation to such trade union, body or person arising on or after the Relevant Transfer Date;
 - 18.2.4 any proposal by the Supplier or a Sub-Contractor prior to the Relevant Transfer Date to make changes to the terms and conditions of employment or working conditions of any Transferring Former Supplier Employees to their material detriment on or after their transfer to the Supplier or a Sub-Contractor (as the case may be) on the Relevant Transfer Date, or to change the terms and conditions of employment or working conditions of any person who would have been a Transferring Former Supplier Employee but for their resignation (or decision to treat their employment as terminated under regulation 4(9) of the Employment Regulations) before the Relevant Transfer Date as a result of or for a reason connected to such proposed changes;
 - 18.2.5 any statement communicated to or action undertaken by the Supplier or a Sub-Contractor to, or in respect of, any Transferring Former Supplier Employee before the Relevant Transfer Date regarding the Relevant Transfer which has not been agreed in advance with the Customer and/or the Former Supplier in writing;
 - 18.2.6 any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:
 - a) in relation to any Transferring Former Supplier Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on or after the Relevant Transfer Date; and
 - b) in relation to any employee who is not a Transferring Former Supplier Employee, and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Former Supplier to the Supplier or a Sub-

Contractor, to the extent that the proceeding, claim or demand by the HMRC or other statutory authority relates to financial obligations arising on or after the Relevant Transfer Date;

- c) a failure of the Supplier or any Sub-Contractor to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Former Supplier Employees in respect of the period from (and including) the Relevant Transfer Date; and;
- d) any claim made by or in respect of a Transferring Former Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Former Supplier Employee relating to any act or omission of the Supplier or any Sub-Contractor in relation to obligations under regulation 13 of the Employment Regulations, except to the extent that the liability arises from the Former Supplier's failure to comply with its obligations under regulation 13 of the Employment Regulations.

18.3 The indemnities in Paragraph 18.1 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Former Supplier whether occurring or having its origin before, on or after the Relevant Transfer Date including, without limitation, any Employee Liabilities arising from the Former Supplier's failure to comply with its obligations under the Employment Regulations.

18.4 The Supplier shall comply, and shall procure that each Sub-Contractor shall comply, with all its obligations under the Employment Regulations (including without limitation its obligation to inform and consult in accordance with regulation 13 of the Employment Regulations) and shall perform and discharge, and shall procure that each Sub-Contractor shall perform and discharge, all its obligations in respect of all the Transferring Former Supplier Employees, on and from the Relevant Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions which in any case are attributable in whole or in part to the period from (and including) the Relevant Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between the Supplier and the Former Supplier.

19. INFORMATION

The Supplier shall, and shall procure that each Sub-Contractor shall, promptly provide to the Customer and/or at the Customer's direction, the Former Supplier, in writing such information as is necessary to enable the Customer and/or the Former Supplier to carry out their respective duties under regulation 13 of the Employment Regulations. Subject to Paragraph 21, the Customer shall procure that the Former Supplier shall promptly provide to the Supplier and each Notified Sub-Contractor in writing such information as is necessary to enable the Supplier and each Notified Sub-Contractor to carry out their respective duties under regulation 13 of the Employment Regulations.

20. PRINCIPLES OF GOOD EMPLOYMENT PRACTICE

20.1 The Supplier shall, and shall procure that each Sub-Contractor shall, comply with any requirement notified to it by the Customer relating to pensions in respect of any Transferring Former Supplier Employee as set down in:

- 20.1.1 the Cabinet Office Statement of Practice on Staff Transfers in the Public Sector of January 2000, revised 2007;

- 20.1.2 HM Treasury's guidance "Staff Transfers from Central Government: A Fair Deal for Staff Pensions of 1999;
- 20.1.3 HM Treasury's guidance: "Fair deal for staff pensions: procurement of Bulk Transfer Agreements and Related Issues" of June 2004; and/or
- 20.1.4 the New Fair Deal

20.2 Any changes embodied in any statement of practice, paper or other guidance that replaces any of the documentation referred to in Paragraph 20.1 shall be agreed in accordance with the Variation Procedure.

21. PROCUREMENT OBLIGATIONS

Notwithstanding any other provisions of this Part B, where in this Part B the Customer accepts an obligation to procure that a Former Supplier does or does not do something, such obligation shall be limited so that it extends only to the extent that the Customer's contract with the Former Supplier contains a contractual right in that regard which the Customer may enforce, or otherwise so that it requires only that the Customer must use reasonable endeavours to procure that the Former Supplier does or does not act accordingly.

22. PENSIONS

The Supplier shall, and shall procure that each Sub-Contractor shall, comply with the pensions provisions in the following Annex in respect of any Transferring Former Supplier Employees who transfer from the Former Supplier to the Supplier.

ANNEX to PART B: PENSIONS

23. PARTICIPATION

- 23.1 The Supplier undertakes to enter into the Admission Agreement.
- 23.2 The Supplier and the Customer :
 - 23.2.1 undertake to do all such things and execute any documents (including the Admission Agreement) as may be required to enable the Supplier to participate in the Schemes in respect of the Fair Deal Employees;
 - 23.2.2 agree that the Customer is entitled to make arrangements with the body responsible for the Schemes for the Customer to be notified if the Supplier breaches the Admission Agreement;
 - 23.2.3 notwithstanding Paragraph 23.2.2 of this Annex, the Supplier shall notify the Customer in the event that it breaches the Admission Agreement; and
 - 23.2.4 agree that the Customer may terminate this Contract for material default in the event that the Supplier breaches the Admission Agreement.
- 23.3 The Supplier shall bear its own costs and all costs that the Customer reasonably incurs in connection with the negotiation, preparation and execution of documents to facilitate the Supplier participating in the Schemes.

24. FUTURE SERVICE BENEFITS

- 24.1 If the Supplier is rejoining the Schemes for the first time, the Supplier shall procure that the Fair Deal Employees shall be either admitted to or offered continued membership of the relevant section of the Schemes that they became eligible to join on the Relevant Transfer Date and shall continue to accrue or accrue benefits in accordance with the provisions governing the relevant section of the Schemes for service from (and including) the Relevant Transfer Date.
- 24.2 If staff have already been readmitted to the Schemes, the Supplier shall procure that the Fair Deal Employees, shall be either admitted into, or offered continued membership of, the relevant section of the Schemes that they currently contribute to, or were eligible to join immediately prior to the Relevant Transfer Date and the Supplier shall procure that the Fair Deal Employees continue to accrue benefits in accordance with the provisions governing the relevant section of the Schemes for service from (and including) the Relevant Transfer Date.
- 24.3 The Supplier undertakes that should it cease to participate in the Schemes for whatever reason at a time when it has Eligible Employees, that it will, at no extra cost to the Customer, provide to any Fair Deal Employee who immediately prior to such cessation remained an Eligible Employee with access to an occupational pension scheme certified by the Government Actuary's Department or any actuary nominated by the Customer in accordance with relevant guidance produced by the Government Actuary's Department as providing benefits which are broadly comparable to those provided by the Schemes at the relevant date.
- 24.4 The Parties acknowledge that the Civil Service Compensation Scheme and the Civil Service Injury Benefit Scheme (established pursuant to section 1 of the Superannuation Act 1972) are not covered by the protection of New Fair Deal.

25. FUNDING

- 25.1 The Supplier undertakes to pay to the Schemes all such amounts as are due under the

Admission Agreement and shall deduct and pay to the Schemes such employee contributions as are required by the Schemes.

- 25.2 The Supplier shall indemnify and keep indemnified the Customer on demand against any claim by, claim to, or loss incurred by the Schemes in respect of the failure to account to the Schemes for payments received and the non-payment or the late payment of any sum payable by the Supplier to or in respect of the Schemes.

26. PROVISION OF INFORMATION

The Supplier and the Customer respectively undertake to each other:

- 26.1 to provide all information which the other Party may reasonably request concerning matters (i) referred to in this Annex and (ii) set out in the Admission Agreement, and to supply the information as expeditiously as possible; and
- 26.2 not to issue any announcements to the Fair Deal Employees prior to the Relevant Transfer Date concerning the matters stated in this Annex without the consent in writing of the other Party (not to be unreasonably withheld or delayed).

27. INDEMNITY

The Supplier undertakes to the Customer to indemnify and keep indemnified the Customer on demand from and against all and any Losses whatsoever arising out of or in connection with any liability towards the Fair Deal Employees arising in respect of service on or after the Relevant Transfer Date which relate to the payment of benefits under an occupational pension scheme (within the meaning provided for in section 1 of the Pension Schemes Act 1993) or the Schemes.

28. EMPLOYER OBLIGATION

The Supplier shall comply with the requirements of the Pensions Act 2008 and the Transfer of Employment (Pension Protection) Regulations 2005.

29. SUBSEQUENT TRANSFERS

The Supplier shall:

- 29.1 not adversely affect pension rights accrued by any Fair Deal Employee in the period ending on the date of the relevant future transfer;
- 29.2 provide all such co-operation and assistance as the Schemes and the Replacement Supplier and/or the Customer may reasonably require to enable the Replacement Supplier to participate in the Schemes in respect of any Eligible Employee and to give effect to any transfer of accrued rights required as part of participation under the New Fair Deal; and
- 29.3 for the period either
- 29.3.1 after notice (for whatever reason) is given, in accordance with the other provisions of this Contract, to terminate the Agreement or any part of the Project; or
- 29.3.2 after the date which is two (2) years prior to the date of expiry of this Contract, ensure that no change is made to pension, retirement and death benefits provided for or in respect of any person who will transfer to the Replacement Supplier or the Customer, no category of earnings which were not previously pensionable are made pensionable and the contributions (if any) payable by such employees are not reduced without (in any case) the Approval of the Customer (such Approval not to be unreasonably

withheld). Save that this sub-paragraph shall not apply to any change made as a consequence of participation in an Admission Agreement.

PART C:
**NO TRANSFER OF EMPLOYEES AT COMMENCEMENT
OF SERVICES**

30. PROCEDURE IN THE EVENT OF TRANSFER

- 30.1 The Customer and the Supplier agree that the commencement of the provision of the Project or of any part of the Project will not be a Relevant Transfer in relation to any employees of the Customer and/or any Former Supplier.
- 30.2 If any employee of the Customer and/or a Former Supplier claims, or it is determined in relation to any employee of the Customer and/or a Former Supplier, that his/her contract of employment has been transferred from the Customer and/or the Former Supplier to the Supplier and/or any Sub-Contractor pursuant to the Employment Regulations or the Acquired Rights Directive then:
- 30.2.1 the Supplier shall, and shall procure that the relevant Sub-Contractor shall, within five (5) Working Days of becoming aware of that fact, give notice in writing to the Customer and, where required by the Customer, give notice to the Former Supplier; and
- 30.2.2 the Customer and/or the Former Supplier may offer (or may procure that a third party may offer) employment to such person within fifteen (15) Working Days of the notification by the Supplier or the Sub-Contractor (as appropriate) or take such other reasonable steps as the Customer or Former Supplier (as the case may be) considers appropriate to deal with the matter provided always that such steps are in compliance with applicable Law.
- 30.3 If an offer referred to in Paragraph 30.2.2 is accepted (or if the situation has otherwise been resolved by the Customer and/or the Former Supplier), the Supplier shall, or shall procure that the Sub-Contractor shall, immediately release the person from his/her employment or alleged employment.
- 30.4 If by the end of the fifteen (15) Working Day period specified in Paragraph 30.2.2:
- 30.4.1 no such offer of employment has been made;
- 30.4.2 such offer has been made but not accepted; or
- 30.4.3 the situation has not otherwise been resolved,
- the Supplier and/or the Sub-Contractor may within five (5) Working Days give notice to terminate the employment or alleged employment of such person.

31. INDEMNITIES

- 31.1 Subject to the Supplier and/or the relevant Sub-Contractor acting in accordance with the provisions of Paragraphs 30.2 to 30.4 and in accordance with all applicable employment procedures set out in applicable Law and subject also to Paragraph 31.4, the Customer shall:
- 31.1.1 indemnify the Supplier and/or the relevant Sub-Contractor against all Employee Liabilities arising out of the termination of the employment of any employees of the Customer referred to in Paragraph 30.2 made pursuant to the provisions of Paragraph 30.4 provided that the Supplier takes, or shall procure that the Notified Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities; and
- 31.1.2 subject to paragraph 32, procure that the Former Supplier indemnifies the Supplier and/or any Notified Sub-Contractor against all Employee Liabilities

arising out of termination of the employment of the employees of the former Supplier made pursuant to the provisions of Paragraph 30.4 provided that the Supplier takes, or shall procure that the relevant Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities.

31.2 If any such person as is described in Paragraph 30.2 is neither re employed by the Customer and/or the Former Supplier as appropriate nor dismissed by the Supplier and/or any Sub-Contractor within the fifteen (15) Working Day period referred to in Paragraph 30.4 such person shall be treated as having transferred to the Supplier and/or the Sub-Contractor (as appropriate) and the Supplier shall, or shall procure that the Sub-Contractor shall, comply with such obligations as may be imposed upon it under Law.

31.3 Where any person remains employed by the Supplier and/or any Sub-Contract pursuant to Paragraph 30.2, all Employee Liabilities in relation to such employee shall remain with the Supplier and/or the Sub-Contractor and the Supplier shall indemnify the Customer and any Former Supplier, and shall procure that the Sub-Contractor shall indemnify the Customer and any Former Supplier, against any Employee Liabilities that either of them may incur in respect of any such employees of the Supplier and/or employees of the Sub-Contractor.

31.4 The indemnities in Paragraph 31.1:

31.4.1 shall not apply to:

a) any claim for:

- discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief; or
- equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees,

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

b) any claim that the termination of employment was unfair because the Supplier and/or any Sub-Contractor neglected to follow a fair dismissal procedure; and

31.4.2 shall apply only where the notification referred to in Paragraph 30.2.1 is made by the Supplier and/or any Sub-Contractor to the Customer and, if applicable, Former Supplier within 6 months of the Contract Commencement Date.

32. PROCUREMENT OBLIGATIONS

Where in this Part C the Customer accepts an obligation to procure that a Former Supplier does or does not do something, such obligation shall be limited so that it extends only to the extent that the Customer's contract with the Former Supplier contains a contractual right in that regard which the Customer may enforce, or otherwise so that it requires only that the Customer must use reasonable endeavours to procure that the Former Supplier does or does not act accordingly.

PART D: EMPLOYMENT EXIT PROVISIONS

33. PRE-SERVICE TRANSFER OBLIGATIONS

- 33.1 The Supplier agrees that within twenty (20) Working Days of the earliest of:
- 33.1.1 receipt of a notification from the Customer of a Service Transfer or intended Service Transfer;
 - 33.1.2 receipt of the giving of notice of early termination or any Partial Termination of this Contract;
 - 33.1.3 the date which is twelve (12) months before the end of the Term; and
 - 33.1.4 receipt of a written request of the Customer at any time (provided that the Customer shall only be entitled to make one such request in any six (6) month period),
- it shall provide in a suitably anonymised format so as to comply with the DPA, the Supplier's Provisional Supplier Personnel List, together with the Staffing Information in relation to the Supplier's Provisional Supplier Personnel List and it shall provide an updated Supplier's Provisional Supplier Personnel List at such intervals as are reasonably requested by the Customer.
- 33.2 At least thirty (30) Working Days prior to the Service Transfer Date, the Supplier shall provide to the Customer or at the direction of the Customer to any Replacement Supplier and/or any Replacement Sub-Contractor:
- 33.2.1 the Supplier's Final Supplier Personnel List, which shall identify which of the Supplier Personnel are Transferring Supplier Employees; and
 - 33.2.2 the Staffing Information in relation to the Supplier's Final Supplier Personnel List (insofar as such information has not previously been provided).
- 33.3 The Customer shall be permitted to use and disclose information provided by the Supplier under Paragraphs 33.1 and 33.2 for the purpose of informing any prospective Replacement Supplier and/or Replacement Sub-Contractor.
- 33.4 The Supplier warrants, for the benefit of the Customer, any Replacement Supplier, and any Replacement Sub-Contractor that all information provided pursuant to Paragraphs 33.1 and 33.2 shall be true and accurate in all material respects at the time of providing the information.
- 33.5 From the date of the earliest event referred to in Paragraph 33.1, the Supplier agrees, that it shall not, and agrees to procure that each Sub-Contractor shall not, assign any person to the provision of the Project who is not listed on the Supplier's Provisional Supplier Personnel List and shall not without the Approval of the Customer (not to be unreasonably withheld or delayed):
- 33.5.1 replace or re-deploy any Supplier Personnel listed on the Supplier Provisional Supplier Personnel List other than where any replacement is of equivalent grade, skills, experience and expertise and is employed on the same terms and conditions of employment as the person he/she replaces;
 - 33.5.2 make, promise, propose or permit any material changes to the terms and conditions of employment of the Supplier Personnel (including any payments connected with the termination of employment);

- 33.5.3 increase the proportion of working time spent on the Project (or the relevant part of the Services) by any of the Supplier Personnel save for fulfilling assignments and projects previously scheduled and agreed;
- 33.5.4 introduce any new contractual or customary practice concerning the making of any lump sum payment on the termination of employment of any employees listed on the Supplier's Provisional Supplier Personnel List;
- 33.5.5 increase or reduce the total number of employees so engaged, or deploy any other person to perform the Project (or the relevant part of the Project); or
- 33.5.6 terminate or give notice to terminate the employment or contracts of any persons on the Supplier's Provisional Supplier Personnel List save by due disciplinary process,

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

- 33.6 During the Term, the Supplier shall provide, and shall procure that each Sub-Contractor shall provide, to the Customer any information the Customer may reasonably require relating to the manner in which the Project are organised, which shall include:

- 33.6.1 the numbers of employees engaged in providing the Project;
- 33.6.2 the percentage of time spent by each employee engaged in providing the Project; and
- 33.6.3 a description of the nature of the work undertaken by each employee by location.

- 33.7 The Supplier shall provide, and shall procure that each Sub-Contractor shall provide, all reasonable cooperation and assistance to the Customer, any Replacement Supplier and/or any Replacement Sub-Contractor to ensure the smooth transfer of the Transferring Supplier Employees on the Service Transfer Date including providing sufficient information in advance of the Service Transfer Date to ensure that all necessary payroll arrangements can be made to enable the Transferring Supplier Employees to be paid as appropriate. Without prejudice to the generality of the foregoing, within five (5) Working Days following the Service Transfer Date, the Supplier shall provide, and shall procure that each Sub-Contractor shall provide, to the Customer or, at the direction of the Customer, to any Replacement Supplier and/or any Replacement Sub-Contractor (as appropriate), in respect of each person on the Supplier's Final Supplier Personnel List who is a Transferring Supplier Employee:

- 33.7.1 the most recent month's copy pay slip data;
- 33.7.2 details of cumulative pay for tax and pension purposes;
- 33.7.3 details of cumulative tax paid;
- 33.7.4 tax code;
- 33.7.5 details of any voluntary deductions from pay; and
- 33.7.6 bank/building society account details for payroll purposes.

34. EMPLOYMENT REGULATIONS EXIT PROVISIONS

- 34.1 The Customer and the Supplier acknowledge that subsequent to the commencement of the provision of the Project, the identity of the Supplier of the Project (or any part of

the Services) may change (whether as a result of termination or Partial Termination of this Contract or otherwise) resulting in the Project being undertaken by a Replacement Supplier and/or a Replacement Sub-Contractor. Such change in the identity of the Supplier of such Services may constitute a Relevant Transfer to which the Employment Regulations and/or the Acquired Rights Directive will apply. The Customer and the Supplier further agree that, as a result of the operation of the Employment Regulations, where a Relevant Transfer occurs, the contracts of employment between the Supplier and the Transferring Supplier Employees (except in relation to any Contract Terms disapplied through operation of regulation 10(2) of the Employment Regulations) will have effect on and from the Service Transfer Date as if originally made between the Replacement Supplier and/or a Replacement Sub-Contractor (as the case may be) and each such Transferring Supplier Employee.

- 34.2 The Supplier shall, and shall procure that each Sub-Contractor shall, comply with all its obligations in respect of the Transferring Supplier Employees arising under the Employment Regulations in respect of the period up to (but not including) the Service Transfer Date and shall perform and discharge, and procure that each Sub-Contractor shall perform and discharge, all its obligations in respect of all the Transferring Supplier Employees arising in respect of the period up to (and including) the Service Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions which in any case are attributable in whole or in part to the period ending on (and including) the Service Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between: (i) the Supplier and/or the Sub-Contractor (as appropriate); and (ii) the Replacement Supplier and/or Replacement Sub-Contractor.
- 34.3 Subject to Paragraph 34.4, where a Relevant Transfer occurs the Supplier shall indemnify the Customer and/or the Replacement Supplier and/or any Replacement Sub-Contractor against any Employee Liabilities in respect of any Transferring Supplier Employee (or, where applicable any employee representative as defined in the Employment Regulations) arising from or as a result of:
- 34.3.1 any act or omission of the Supplier or any Sub-Contractor whether occurring before, on or after the Service Transfer Date;
 - 34.3.2 the breach or non-observance by the Supplier or any Sub-Contractor occurring on or before the Service Transfer Date of:
 - a) any collective agreement applicable to the Transferring Supplier Employees; and/or
 - b) any other custom or practice with a trade union or staff association in respect of any Transferring Supplier Employees which the Supplier or any Sub-Contractor is contractually bound to honour;
 - 34.3.3 any claim by any trade union or other body or person representing any Transferring Supplier Employees arising from or connected with any failure by the Supplier or a Sub-Contractor to comply with any legal obligation to such trade union, body or person arising on or before the Service Transfer Date;
 - 34.3.4 any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:
 - a) in relation to any Transferring Supplier Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority

relates to financial obligations arising on and before the Service Transfer Date; and

- b) in relation to any employee who is not a Transferring Supplier Employee, and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Supplier to the Customer and/or Replacement Supplier and/or any Replacement Sub-Contractor, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on or before the Service Transfer Date;
- 34.3.5 a failure of the Supplier or any Sub-Contractor to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Supplier Employees in respect of the period up to (and including) the Service Transfer Date);
- 34.3.6 any claim made by or in respect of any person employed or formerly employed by the Supplier or any Sub-Contractor other than a Transferring Supplier Employee for whom it is alleged the Customer and/or the Replacement Supplier and/or any Replacement Sub-Contractor may be liable by virtue of this Contract and/or the Employment Regulations and/or the Acquired Rights Directive; and
- 34.3.7 any claim made by or in respect of a Transferring Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Supplier Employee relating to any act or omission of the Supplier or any Sub-Contractor in relation to its obligations under regulation 13 of the Employment Regulations, except to the extent that the liability arises from the failure by the Customer and/or Replacement Supplier to comply with regulation 13(4) of the Employment Regulations.
- 34.4 The indemnities in Paragraph 34.3 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Replacement Supplier and/or any Replacement Sub-Contractor whether occurring or having its origin before, on or after the Service Transfer Date, including any Employee Liabilities:
- 34.4.1 arising out of the resignation of any Transferring Supplier Employee before the Service Transfer Date on account of substantial detrimental changes to his/her working conditions proposed by the Replacement Supplier and/or any Replacement Sub-Contractor to occur in the period on or after the Service Transfer Date; or
 - 34.4.2 arising from the Replacement Supplier's failure, and/or Replacement Sub-Contractor's failure, to comply with its obligations under the Employment Regulations.
- 34.5 If any person who is not a Transferring Supplier Employee claims, or it is determined in relation to any person who is not a Transferring Supplier Employee, that his/her contract of employment has been transferred from the Supplier or any Sub-Contractor to the Replacement Supplier and/or Replacement Sub-Contractor pursuant to the Employment Regulations or the Acquired Rights Directive, then:
- 34.5.1 the Customer shall procure that the Replacement Supplier shall, or any Replacement Sub-Contractor shall, within five (5) Working Days of becoming aware of that fact, give notice in writing to the Supplier; and

- 34.5.2 the Supplier may offer (or may procure that a Sub-Contractor may offer) employment to such person within fifteen (15) Working Days of the notification by the Replacement Supplier and/or any and/or Replacement Sub-Contractor or take such other reasonable steps as it considers appropriate to deal with the matter provided always that such steps are in compliance with Law.
- 34.6 If such offer is accepted, or if the situation has otherwise been resolved by the Supplier or a Sub-Contractor, the Customer shall procure that the Replacement Supplier shall, or procure that the Replacement Sub-Contractor shall, immediately release or procure the release of the person from his/her employment or alleged employment.
- 34.7 If after the fifteen (15) Working Day period specified in Paragraph 34.5.2 has elapsed:
- 34.7.1 no such offer of employment has been made;
- 34.7.2 such offer has been made but not accepted; or
- 34.7.3 the situation has not otherwise been resolved
- the Customer shall advise the Replacement Supplier and/or Replacement Sub-Contractor, as appropriate that it may within five (5) Working Days give notice to terminate the employment or alleged employment of such person.
- 34.8 Subject to the Replacement Supplier and/or Replacement Sub-Contractor acting in accordance with the provisions of Paragraphs 34.5 to 34.7, and in accordance with all applicable proper employment procedures set out in applicable Law, the Supplier shall indemnify the Replacement Supplier and/or Replacement Sub-Contractor against all Employee Liabilities arising out of the termination pursuant to the provisions of Paragraph 34.7 provided that the Replacement Supplier takes, or shall procure that the Replacement Sub-Contractor takes, all reasonable steps to minimise any such Employee Liabilities.
- 34.9 The indemnity in Paragraph 34.8:
- 34.9.1 shall not apply to:
- a) any claim for:
- discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief; or
 - equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees,
- in any case in relation to any alleged act or omission of the Replacement Supplier and/or Replacement Sub-Contractor; or
- b) any claim that the termination of employment was unfair because the Replacement Supplier and/or Replacement Sub-Contractor neglected to follow a fair dismissal procedure; and
- 34.9.2 shall apply only where the notification referred to in Paragraph 34.5.1 is made by the Replacement Supplier and/or Replacement Sub-Contractor to the Supplier within six (6) months of the Service Transfer Date.
- 34.10 If any such person as is described in Paragraph 34.5 is neither re-employed by the Supplier or any Sub-Contractor nor dismissed by the Replacement Supplier and/or Replacement Sub-Contractor within the time scales set out in Paragraphs 34.5 to 34.7, such person shall be treated as a Transferring Supplier Employee and the Replacement

Supplier and/or Replacement Sub-Contractor shall comply with such obligations as may be imposed upon it under applicable Law.

34.11 The Supplier shall comply, and shall procure that each Sub-Contractor shall comply, with all its obligations under the Employment Regulations and shall perform and discharge, and shall procure that each Sub-Contractor shall perform and discharge, all its obligations in respect of the Transferring Supplier Employees before and on the Service Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions which in any case are attributable in whole or in part in respect of the period up to (and including) the Service Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between:

34.11.1 the Supplier and/or any Sub-Contractor; and

34.11.2 the Replacement Supplier and/or the Replacement Sub-Contractor.

34.12 The Supplier shall, and shall procure that each Sub-Contractor shall, promptly provide to the Customer and any Replacement Supplier and/or Replacement Sub-Contractor, in writing such information as is necessary to enable the Customer, the Replacement Supplier and/or Replacement Sub-Contractor to carry out their respective duties under regulation 13 of the Employment Regulations. The Customer shall procure that the Replacement Supplier and/or Replacement Sub-Contractor shall promptly provide to the Supplier and each Sub-Contractor in writing such information as is necessary to enable the Supplier and each Sub-Contractor to carry out their respective duties under regulation 13 of the Employment Regulations.

34.13 Subject to Paragraph 34.14, where a Relevant Transfer occurs the Customer shall procure that the Replacement Supplier indemnifies the Supplier on its own behalf and on behalf of any Replacement Sub-contractor and its sub-contractors against any Employee Liabilities in respect of each Transferring Supplier Employee (or, where applicable any employee representative (as defined in the Employment Regulations) of any Transferring Supplier Employee) arising from or as a result of:

34.13.1 any act or omission of the Replacement Supplier and/or Replacement Sub-Contractor;

34.13.2 the breach or non-observance by the Replacement Supplier and/or Replacement Sub-Contractor on or after the Service Transfer Date of:

a) any collective agreement applicable to the Transferring Supplier Employees; and/or

b) any custom or practice in respect of any Transferring Supplier Employees which the Replacement Supplier and/or Replacement Sub-Contractor is contractually bound to honour;

34.13.3 any claim by any trade union or other body or person representing any Transferring Supplier Employees arising from or connected with any failure by the Replacement Supplier and/or Replacement Sub-Contractor to comply with any legal obligation to such trade union, body or person arising on or after the Relevant Transfer Date;

34.13.4 any proposal by the Replacement Supplier and/or Replacement Sub-Contractor to change the terms and conditions of employment or working conditions of any Transferring Supplier Employees on or after their transfer to the Replacement Supplier or Replacement Sub-Contractor (as the case may be) on the Relevant Transfer Date, or to change the terms and conditions of employment or working

conditions of any person who would have been a Transferring Supplier Employee but for their resignation (or decision to treat their employment as terminated under regulation 4(9) of the Employment Regulations) before the Relevant Transfer Date as a result of or for a reason connected to such proposed changes;

34.13.5 any statement communicated to or action undertaken by the Replacement Supplier or Replacement Sub-Contractor to, or in respect of, any Transferring Supplier Employee on or before the Relevant Transfer Date regarding the Relevant Transfer which has not been agreed in advance with the Supplier in writing;

34.13.6 any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:

a) in relation to any Transferring Supplier Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising after the Service Transfer Date; and

b) in relation to any employee who is not a Transferring Supplier Employee, and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Supplier or Sub-Contractor, to the Replacement Supplier or Replacement Sub-Contractor to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising after the Service Transfer Date;

34.13.7 a failure of the Replacement Supplier or Replacement Sub-Contractor to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Supplier Employees in respect of the period from (and including) the Service Transfer Date; and

14.13.8 any claim made by or in respect of a Transferring Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Supplier Employee relating to any act or omission of the Replacement Supplier or Replacement Sub-Contractor in relation to obligations under regulation 13 of the Employment Regulations.

34.14 The indemnities in Paragraph 34.13 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Supplier and/or any Sub-Contractor (as applicable) whether occurring or having its origin before, on or after the Relevant Transfer Date, including any Employee Liabilities arising from the failure by the Supplier and/or any Sub-Contractor (as applicable) to comply with its obligations under the Employment Regulations.

SCHEDULE 4:

DISPUTE RESOLUTION PROCEDURE

1. Nothing in this dispute resolution procedure will prevent the Parties from seeking an interim court order restraining the other Party from doing any act or compelling the other Party to do any act.
2. The obligations of the Parties under this Contract will not be suspended, cease or be delayed during a dispute.
3. If any dispute arises between the Parties in connection with this Contract or any Project, they must try to settle it within 20 Working Days of either Party notifying the other of the dispute.
4. If the Parties have not settled the Dispute in accordance with paragraph 3 above, they must notify CCS of the details of the Dispute and escalate the dispute to the Customer Representative, the Supplier Representative and CCS who will have a further 10 Working Days from the date of escalation to settle the dispute.
5. If the dispute cannot be resolved by the Parties within 30 Working Days of the notice given under paragraph 3 above, they must refer it to mediation, unless the Customer considers that the dispute is not suitable for resolution by mediation.
6. If a dispute is referred to mediation, the Parties must:
 - appoint a neutral adviser or mediator (the “**Mediator**”). Ideally, Parties will agree on this appointment. If they are unable to agree upon a Mediator within 10 Working Days of the proposal to appoint a mediator, or the chosen Mediator is unable or unwilling to act, either Party may apply to the Centre for Effective Dispute Resolution to appoint a Mediator
 - meet with the Mediator within 10 Working Days of the appointment, to agree how negotiations will take place and relevant information will be exchanged
7. Unless otherwise agreed, all negotiations connected with the dispute and any settlement agreement relating to it will be conducted in confidence and without prejudice to the rights of the Parties in any future proceedings.
8. If the Parties reach a resolution, a written agreement may be produced for both Parties to sign. Once signed, this agreement will be binding on both Parties.
9. If the Parties fail to reach a resolution, either Party may invite the Mediator to provide a non-binding but informative opinion in writing. This opinion will be provided without prejudice and cannot be used in evidence in any proceedings relating to this Contract without the prior written consent of both Parties.
10. If the Parties fail to reach a resolution within 90 Working Days of the Mediator being appointed, or such longer period as may be agreed by the Parties, then the dispute may be referred to arbitration, unless the Customer considers that it is not suitable for resolution by arbitration.
11. If a dispute is referred to arbitration, the Parties must comply with the following provisions:
 - the arbitration will be governed by the provisions of the Arbitration Act 1996

deemed to be incorporated into this Contract. It however there is any conflict between the LCIA procedural rules and this Contract, this Contract will prevail

- the decision of the arbitrator shall be binding on the Parties (in the absence of any material failure by the arbitrator to comply with the LCIA procedural rules)
- the tribunal shall consist of a sole arbitrator to be agreed by the Parties
- if the Parties fail to agree on the appointment of the arbitrator within 10 Working Days or, if the person appointed is unable or unwilling to act, LCIA will appoint an arbitrator, and
- the arbitration proceedings shall take place in a location to be agreed between the Parties.

SCHEDULE 5: VARIATION FORM

No of Letter of Appointment being varied:

.....

Variation Form No:

.....

BETWEEN:

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

and

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

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

[Insert details of the Variation]

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

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

Signature

Date

Name (in Capitals)

Address

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

Signature

Date

Name (in Capitals)

Address

SCHEDULE 6: CONTRACT CHARGES

1. General provisions

1.1 This Contract Schedule 6 details:

- 1.1.1 the Contract Charges for the Project under this Contract ; and
- 1.1.2 the procedure applicable to any adjustments of the Contract Charges.

2. Contract Charges

2.1 The Contract Charges which are applicable to this Contract are set out in Annex 1 of this Contract Schedule 6.

2.2 The Supplier acknowledges and agrees that:

- 2.2.1 in accordance with paragraph 1 (General Provisions) and of this Contract Schedule 6 (Contract Charges), the Contract Charges can in no event exceed the Contract Charges set out in Annex 1 to Contract Schedule 6 (Contract Charges); and
- 2.2.2 The Contract Charges comprise of the maximum daily rates for each category of the Supplier staff and (in each case exclusive of VAT) are as set out in Annex 1 of this Contract Schedule 6.
- 2.2.3 Daily rates are based on a Working Day consisting of eight (8) hours (excluding break).
- 2.2.4 Unless a Customer agrees otherwise under the terms of a specific Contract, the Supplier cannot charge for any more than eight (8) working hours in one (1) day.
- 2.2.5 All daily rates are inclusive of travel, subsistence, lodging and related expenses. Any additional Charges shall be calculated as detailed in the Letter of Appointment as detailed in DPS Schedule 4 (Letter of Appointment) and agreed with the Customer. The Supplier shall provide invoices detailing additional Charges to the Customer.

3. Adjustment of Contract Charges

3.1 The Contract Charges shall only be varied:

- 3.1.1 due to a specific change in Law in relation to which the Parties agrees that a change is required to all of part of the Contract Charges in accordance with Clause 11.4 of the DPS Agreement, or
- 3.1.2 where a review of the Contract Charges is agreed by the Parties, in accordance with the provisions of Section 4 of this Contract Schedule 6.

4. Review of the Contract Charges

- 4.1 If the Supplier determines that some or all of the Contract Charges need to be increased, the Supplier shall notify the Customer in writing of its request to increase some or all of the Contract Charges. It must provide the Customer with a list of the Contract Charges it wishes to vary together with written evidence of the justification for the requested increase. This should include:
- 4.1.1 a breakdown of the profit and cost components that comprise the relevant rate
 - 4.1.2 details of the movement in the different identified cost components of the relevant rate
 - 4.1.3 reasons for the movement in the different identified cost components of the relevant rate
 - 4.1.4 evidence that the Supplier has attempted to mitigate against the increase in the relevant cost components, and
 - 4.1.5 the date on which the Supplier wants the Variation to come into force
- 4.2 The Customer may in its absolute discretion, grant or refuse the Supplier's request (in whole or in part).

5. Implementation of adjusted Contract Charges

- 5.1 Variations to the Contract Charges will take effect on a date determined by the Customer.
- 5.2 Variations do not affect the Charges payable to a Customer under a Contract which had already been agreed before the variation takes effect.
- 5.3 Any variation to the Charges payable under a Contract must be agreed in writing between the Supplier and the relevant Customer and implemented in accordance with the provisions applicable to the Contract.

6 E-commerce transactions with central government bodies

- 6.1 The Supplier accepts e-commerce as the preferred transacting model for all Government's purchasing transactions.

ANNEX 1 – CONTRACT CHARGES

Information redacted in line with Section 43 of the FOIA



The price for 500 samples is £46,428; the price for 1000 samples is £48,739.

SCHEDULE 7: PROCESSING, PERSONAL DATA AND DATA SUBJECTS

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

| Description | Details |
|---------------------------------------|---|
| Subject matter of the processing | <p>The processing is needed in order to ensure the Processor can effectively deliver the contract to survey electric vehicle drivers to inform the evaluation of the Smart Chargepoint Regulations.</p> <p>The processing of names and business contact details of staff of both Contracting Authority and Contractor will be necessary to deliver the services exchanged during the course of the Contract, and to undertake Contract and performance management.</p> <p>The Contract itself will include the names and business contact details of staff of both the Contracting Authority and the Contractor involved in managing the Contract.</p> <p>The Supplier will need to confirm that they are UK GDPR or GDPR (if operating in the EEA) compliant when submitting a bid. The contractor will provide BEIS evaluators with a privacy notice before participating to ensure they understand the nature of the research, how their data will be used and stored.</p> |
| Duration of the processing | <p>Processing will take place between 1st January 2022 and 31st June 2022.</p> |
| Nature and purposes of the processing | <p>In order to carry out the survey, as outlined in the contract the Processor will be required to process personal data including:</p> <ul style="list-style-type: none">• Names and contact details of survey providers. Where possible this data will be collected from publicly available sources.• Analysis of quantitative survey responses from EV drivers in the sample group. The survey responses will be anonymised. <p>Use of names and contact details of survey providers is required to create a sample group for the survey.</p> <p>Information gathered through the survey will be used to support the evaluation of the Smart Chargepoint Regulations. This data will be anonymised and will not directly or indirectly be linked to the contact details of survey providers or any identifying information of survey respondents.</p> |

| | |
|---|---|
| | <p>All personal data will be stored securely and only accessible by those required to carry out the processing described above.</p> <p>Anonymised survey responses will be shared with BEIS analysts, but this will not include any information which could be used to identify the respondents.</p> <p>Processing takes place for the purposes of understanding the current use of and attitudes towards home electric vehicle charging and smart charging.</p> <p>The nature of processing will include the storage and use of names and business contact details of staff of both the Contracting Authority and the Supplier as necessary to deliver the services and to undertake the Contract and performance management. The Contract itself will include the names and business contact details of staff of both the Contracting Authority and the Supplier involved in managing the Contract.</p> |
| Type of Personal Data | <p>Names, telephone numbers, email addresses, business/office location addresses, staff job titles, and contract management information – relating to survey providers.</p> <p>Names, business telephone numbers and email addresses, office location and position of staff of both the Contracting Authority and the Supplier as necessary to deliver the services and to undertake the Contract and performance management. The Contract itself will include the names and business contact details of staff of both the Contracting Authority and the Supplier involved in managing the Contract.</p> |
| Categories of Data Subject | <p>Research providers and survey providers.</p> <p>Members of the public participating in the survey/members of a consumer panel.</p> <p>Staff of the Contracting Authority and the Supplier, including where those employees are named within the Contract itself or involved within the Contract management.</p> |
| Plan for return and destruction of the data once the processing is complete UNLESS requirement under union or member state law to preserve that type of data | <p>The contract ends on 31st March 2022 but the Processor will be expected to retain the data for a further three months after the expiry of the Contract (until 1st June 2022).</p> <p>The Processor will delete the Personal Data and erase it from any computers, storage devices and storage media that are to be retained by the Supplier on 1st June 2022.</p> <p>The Supplier will certify to the Customer that it has completed this deletion.</p> |