



CONTRACT

between

THE HEALTH AND SAFETY EXECUTIVE

and

INSTITUTE OF OCCUPATIONAL MEDICINE (IOM)

for

**CONTRIBUTION TO THE NATIONAL CORE STUDY ON
TRANSMISSION OF SARS-COV-2 EM45**

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This Contract is made between:

The **HEALTH AND SAFETY EXECUTIVE** (acting as part of the Crown) of Redgrave Court, Merton Road, Bootle, Merseyside, L20 7HS (hereinafter called 'the HSE' of the one part) and

INSTITUTE OF OCCUPATIONAL MEDICINE (IOM), company registration number **SC123972** and whose registered office is at **Research Avenue North, Riccarton, Edinburgh, EH14 4AP** (hereinafter 'the Contractor' of the other part), in accordance with the details, terms and conditions stated herein.

WHEREAS

The contractor was selected to contribute to delivery of the National Core Study on Transmission of SARS-Cov-2 EM45.

1 GENERAL CONDITIONS

- 1.1 This Contract will be subject to the HSE Standard Terms and Conditions of Contract for the Provision of Services, attached as Schedule C. However, where any conflict exists between the clauses in this Contract and the Terms and Conditions at Schedule C, then the clauses in this Contract will prevail. The Clauses in this Contract and the Terms and Conditions at Schedule C will also govern all Purchase Orders placed against this Contract.

2 ENTIRE AGREEMENT

- 2.1 This Contract constitutes the entire agreement and understanding between the parties concerning the subject matter hereof and supercedes all prior agreements, both oral and written, representations, statements, negotiations and undertakings.

3 STATEMENT OF SERVICE REQUIREMENTS

- 3.1 The Contractor will carry out on behalf of the HSE a Statement of Services (hereinafter called the "Services") as detailed in Schedule A to this Contract, along with their proposal, as detailed in Schedule B to this Contract.
- 3.2 The Contractor shall organise and conduct the entire Services in consultation with HSE where appropriate, and provide all necessary resources of personnel, materials, Services and equipment, except for such resources that may be provided by HSE at its discretion.
- 3.3 No undertaking shall be deemed to have been made by HSE in respect of the total quantities or values of the Services to be ordered pursuant to this contract and the Contractor acknowledges and agrees that it has not entered into this contract on the basis of any such undertaking.

4 MANAGEMENT OF THE CONTRACT

- 4.1 The HSE Contract Manager who will be responsible for liaison and certifying completion of the provision and overall management of the Services is identified at Annex 1.
- 4.2 The Services will be monitored by the Contract Manager who will also evaluate the provision on completion.
- 4.3 In all cases, both parties will work within the agreed timescales/constraints and costs outlined at the beginning of the commission.

5 DURATION

- 5.1 The Services shall commence on **01st April 2021** and shall be completed by **31st March 2022**.
- 5.2 Any option to extend will be dependent on further funding and an agreed Schedule of Works. Any term of extension will be agreed by both parties once confirmation of funding is received.

6 COSTS

- 6.1 The total funding to be paid by HSE to the Contractor for the Services shall not exceed **£405,188.00**, exclusive of VAT. A full breakdown of costs can be found at Schedule E.
- 6.2 HSE will hold a 10% retention of the overall costs, which will be payable to the Contractor upon submission and HSE's acceptance of the final progress report. Details are as follows:-

- Total Funding Costs are **£405,188.00 / 10% = retention of £40,518.80**.

- 6.3 Payments will be made quarterly in arrears. Prior to the end of each quarter, the Contractor should provide the HSE Contract Manager with a progress report showing the work completed to date. These costs are broken down as follows:-

- Quarterly Payments of **£91,167.30** – at the end of June 2021, September 2021, December 2021 and March 2022; and
- A final payment of **£40,518.80** at the end of March 2022.

Each payment will be subject to Clause 9.4 below.

- 6.4 The Contractor is required to produce a monthly progress report as per the template provided by the Portfolio Management Office.

- 6.5 Each invoice should include details of time spent on the contract and should contain supporting evidence to show how time has been calculated as well as including a progress report stating what the time was spent on. These invoices will only be paid once HSE are content that the work has been completed as detailed in the supporting documentation and to their satisfaction.
- 6.6 Any additional costs will be agreed in advance with the HSE Contract Manager and subject to clause 16 Variation to Contract.

7 IR35 – INTERMEDIARIES LEGISLATION

- 7.1 HSE has undertaken an IR35 assessment of this engagement, and the HMRC online assessment tool determined that IR35 does not apply to this engagement.

8 TAX STATUS

- 8.1 Where the Contractor, or its staff, is liable to be taxed in the UK in respect of consideration received under this contract, it shall at all times comply with the Income Tax (Earnings and Pensions) Act 2003 (ITEPA) and all other statutes and regulations relating to income tax in respect of that consideration.
- 8.2 Where the Contractor, or its staff, is liable to National Insurance Contributions (NICs) in respect of consideration received under this contract, it shall at all times comply with the Social Security Contributions and Benefits Act 1992 (SSCBA) and all other statutes and regulations relating to NICs in respect of that consideration.
- 8.3 HSE may, at any time request that the Contractor provides information which demonstrates how it, or its staff, complies with Clauses 8.1 and 8.2 above or why those Clauses do not apply to it.
- 8.4 A request under Clause 8.3 above may specify the information which the Contractor, or its staff, must provide and the period within which that information must be provided.
- 8.5 HSE may terminate this contract if
- a) in the case of a request mentioned in Clause 8.3 above-
 - (i) The Contractor, or its staff, fails to provide information in response to the request within a reasonable time, or
 - (ii) The Contractor, or its staff, provides information which is inadequate to demonstrate either how it complies with Clauses 8.1 and 8.2 above or why those Clauses do not apply to it;
 - b) in the case of a request mentioned in Clause 8.4 above, The Contractor, or its staff, fails to provide the specified information within the specified period; or

- c) it receives information which demonstrates that, at any time when Clauses 8.1 and 8.2 apply the Contractor, or its staff, is not complying with those Clauses.

8.6 HSE may supply any information which it receives under Clause 8.3 to the Commissioners of Her Majesty's Revenue and Customs for the purposes of the collection and management of revenue for which they are responsible.

9 INVOICING AND PAYMENTS

- 9.1 All invoices raised must include the relevant Purchase Order number which will be issued by HSE Procurement Unit. Failure to include the Purchase Order Number may delay payment. Invoices should be submitted electronically in PDF format to APinvoices-HAS-U@gov.sscl.com.
- 9.2 Invoices should also include details of work satisfactorily carried out and any VAT properly chargeable.
- 9.3 A copy invoice, along with a completed progress report in the format provided at Schedule E, shall be submitted to the HSE Contract Manager identified at Annex 1.
- 9.4 Subject to HSE's acceptance that the progress report demonstrates progress towards achieving the agreed project milestones and Clause C2 of HSE Terms & Conditions, attached as Schedule C, HSE shall make payment of agreed costs, in arrears, within 30 days of the acceptance of the invoice.
- 9.5 Please note it is extremely important that your invoice is laid out as per the HSE Purchase Order, i.e. Line Numbering and Description. In doing this, you will prevent the invoice being rejected by SSCL.

10 DELIVERABLES

- 10.1 The Contractor shall provide the following Themes and Objectives as detailed in Schedule A (Statement of Service Requirements) and the Institute of Occupational Medicine's (IOM) proposal attached as Schedule B: -
- Theme 1 – Objective 1.2;
 - Theme 2 – Objectives 1, 3 & 4; and
 - Theme 3 – Objectives 1 to 5 (inclusive) .

11 INTELLECTUAL PROPERTY

- 11.1 Your attention is drawn to clauses E8 within Schedule C of the attached standard terms and conditions.

12 ACCESS TO HSE PREMISES

- 12.1 It shall be the Contractor's responsibility to ensure that, where access to HSE Premises or HSE confidential information is necessary, personnel engaged in the performance of this Contract shall have undergone pre-employment checks covering identity, the last three years employment history, nationality and immigration status and criminal record for unspent convictions. Such checks shall meet the requirements of HMG Baseline Security Standard.
- 12.2 HSE reserves the right, at its sole discretion, to carry out audits and spot checks at any time during the Contract Period to satisfy itself that the checks have been carried out. Guidance on pre-employment checks may be found at <http://www.cabinetoffice.gov.uk/sites/default/files/resources/hmg-personnel-security-controls.pdf>

13 CONFIDENTIALITY

- 13.1 The Contractor shall not at any time divulge any information or material acquired during the performance of this Contract to any third party without prior permission in writing of the Executive, except where required in the course of any legal proceedings.
- 13.2 The Contractor shall keep documents and other materials produced or acquired in the course of the contract in accordance with The Criminal Procedure and Investigations Act 1996 (CPIA).
- 13.3 HSE may disclose the Confidential Information of the Contractor:
- (a) on a confidential basis to any Central Government Body for any proper purpose of the Authority or of the relevant Central Government Body;
 - (b) to Parliament and Parliamentary Committees or if required by any Parliamentary reporting requirement;
 - (c) to the extent that the Authority (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions;
 - (d) on a confidential basis to a professional adviser, consultant, supplier or other person engaged by any of the entities described in Clause 13.3(a) (including any benchmarking organisation) for any purpose relating to or connected with this Contract;
 - (e) on a confidential basis for the purpose of the exercise of its rights under this Contract; or
 - (f) on a confidential basis to a proposed Successor Body in connection with any assignment, novation or disposal of any of its rights, obligations or liabilities under this Contract,

and for the purposes of the foregoing, references to disclosure on a confidential basis shall mean disclosure subject to a confidentiality agreement or arrangement containing terms no less stringent than those placed on the Authority under this Clause.

14 PUBLICATION

- 14.1 The parties acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of this Contract is not Confidential Information. HSE shall be responsible for determining in its absolute discretion whether any of the content of the Contract is exempt from disclosure in accordance with the provisions of the FOIA.
- 14.2 Notwithstanding any other term of this Contract, the Contractor hereby gives his consent for HSE to publish the Contract in its entirety, including from time to time agreed changes to the Contract, to the general public.
- 14.3 HSE may consult with the Contractor to inform its decision regarding any redactions but HSE shall have the final decision in its absolute discretion.
- 14.4 The Contractor shall assist and co-operate with HSE to enable HSE to publish this Contract.

15. Transparency

- 15.1 The Government has set out the need for greater transparency across its operations to enable the public to hold public bodies and politicians to account. This includes commitments relating to public expenditure, intended to help achieve better value for money. HSE is obliged to publish documents for contracts with a value over £10,000.
- 15.2 In addition, you should be aware that if you are awarded a new contract with a value of over £10,000, the resulting contract comprising of Specification, Terms and Conditions and Associated Schedules (including the winning bid) will be published.
- 15.3 By exception, requests for redaction will be subject to the public interest test and redaction will only be agreed where the public interest in withholding the information outweighs the public interest in disclosure. You must identify / reference the relevant text, show clear justification for redaction and detail the appropriate section of the Freedom of Information Act 2000 (for example, Sections 40, 41, 43) on which the redaction request is sought.

16 VARIATION TO CONTRACT

- 16.1 Except where expressly stated in this contract, no change, amendment or modification shall be effective unless in writing and signed by the duly authorised representatives of both parties.

- 16.2 Any agreed changes to the Contract or Schedule A (Statement of Service Requirement) will be in the form of a Contract Change Note (CCN), which will be raised and issued by the HSE Procurement Unit.

17 GOVERNING LAW

- 17.1 This Contract shall be governed by and interpreted in accordance with English law and the Parties submit to the exclusive jurisdiction of the courts of England and Wales.

18 TERMINATION

- 18.1 This Contract may be terminated by either party by giving one months written notice. In the event of termination by HSE, the Contractor shall be provided with any re-imbursement of costs, actually and reasonably incurred, up to the date of termination, subject to the limit specified in Clause 6 above.

As Witnessed at the Hands of the Parties

SIGNATORIES

IN WITNESS WHEREOF THIS CONTRACT HAS BEEN AGREED :

Signature _____

Name in Capitals _____

Position _____

Date _____

Duly authorised to sign on behalf of

INSTITUTE OF OCCUPATIONAL MEDICINE (IOM)
Research Avenue North, Riccarton, Edinburgh, EH14 4AP

Signature _____

Name in Capitals _____

Position _____

Date _____

Duly authorised to sign on behalf of the

HEALTH AND SAFETY EXECUTIVE
Procurement Unit, Building 2.3, Redgrave Court, Merton Road, Bootle,
Merseyside L20 7HS

STATEMENT OF SERVICE REQUIREMENT

The Contractor shall undertake the following Statement of Service titled **Project Milestones 2021/2022**, and referenced **1.11.4.3941. – National Covid Project – Project Milestones 2021/2022**



Contract No. 1.11.4.3941.

Schedule B

INSTITUTE OF OCCUPATIONAL MEDICINE (IOM) PROPOSAL

The Contractor shall undertake HSE's Statement of Service titled **Project Milestones 2021/2022**, as per their proposal detailed in the document below.



2122 Supplementary
Data IOM v2.docx



Guidance for
delivery partners IOI

Contract No. 1.11.4.3941.

Schedule C

HSE STANDARD TERMS AND CONDITIONS OF CONTRACT FOR THE PROVISION OF SERVICES

Please see the attached document containing the HSE Standard Terms and Conditions of Contract for the Provision of Services



1.11.4.3941. -
National Covid Proje

Schedule D

SCHEDULE OF PROCESSING PERSONAL DATA AND DATA SUBJECTS

This Schedule shall be completed by the Controller, who may take account of the view of the Processors, however the final decision as to the content of this Schedule shall be with the Controller at its absolute discretion.

1. The contact details of the Controller's Data Protection Officer are Sean Egan, 0203 028 3547, sean.egan@hse.gov.uk
2. The contact details of the Processor's Data Protection Officer are Ken Dixon, 0131 449 8017, ken.dixon@iom-world.org
3. The Processor shall comply with any further written instructions with respect to processing by the Controller.
4. Any such further instructions shall be incorporated into this Schedule.

| Description | Details |
|--|---|
| Identity of the Controller and Processor | The Parties acknowledge that for the purpose of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor in accordance with Clause 1.1 |
| Subject matter of the processing | Survey responses (baseline and follow up) from facility managers gathering data on workplace and organisation characteristics. Site assessments (case studies) including interviews and assessments of work environment and workplace practices, controls, and survey of site managers. Interviews for sector actors in deep dives. Analysis of ONS data |
| Duration of the processing | Baseline facility survey: April-August 2021 Follow up facility survey: June-December 2021 Case study: June-March 2021 Deep Dive: April-March 2022 ONS data: April-March 2022 Data processing overall likely to take place until March 2022 |

| Description | Details |
|---------------------------------------|---|
| Nature and purposes of the processing | <p>Data collected will be summarized and statistical analysis will be done to estimate rates of Covid-19 in industries as a whole. Statistical analyses will include predictors of Covid-19 risk in workplaces based on survey questions on workplace characteristics.</p> <p>Semi-structured interviews and possibly focus groups will be conducted and thematic analysis done.</p> <p>No companies, organisations or individuals will be identifiable in our results and all information will be treated confidentially in accordance with the EU General Data Protection Regulation (GDPR) 2016, and the UK Data Protection Act (DPA) 2018.</p> <p>The IOM is registered (Z6005419) with the UK Information Commissioners Office as a Data Controller, has a designated Data Protection Officer, and has implemented the appropriate technical and organisational measures to ensure that we comply with our GDPR obligations.</p> <p>The IOM has a formal Information Governance Strategy at Board Level and has adopted a suite of related information security and data protection policies, procedures and training for all staff. It is also NHS Data Security and Protection Toolkit (formerly the NHS Information Governance Toolkit (IGT)) accredited (reassessed annually), enabling its research and epidemiological project work with sensitive health data. These materials include Business Continuity policies and procedures. Secure access control policies are implemented at system level on our network to appropriately control data access. File and folder control permissions are granted only to approved users sanctioned by line management or appropriate project leader so as to ensure access to certain data is available, at the appropriate level, only to authorised users.</p> <p>Data analysis is anticipated to extend beyond the duration of the project, including any publication of the study results.</p> |
| Type of Personal Data | <p>Facility surveys and site assessments will include name, address, email, and phone of person answering survey on behalf of company.</p> <p>Interviews would include name, home and work address, phone, recording of interview (if consent obtained).</p> |
| Categories of Data Subject | <p>Facilities (e.g. workplaces) will be considered one unit of analysis (i.e. subject) for baseline and follow up study and case studies.</p> <p>Deep dive interviews will include academic, government, union, company managers and employees.</p> |

| Description | Details |
|---|--|
| <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> | <p>Information with personal identifiers will be retained for the timescale set out by the IOM's Research Procedures (which would normally be 5 years after the publication of reports on the subject, unless a longer timescale is required by the sponsoring organization). Anonymous matched data may be retained for future research, but without any link to personal identifiers (e.g. date of birth converted to age at last birthday, etc.).</p> <p>Any paper copies will be destroyed as confidential waste via a P4 cross-cut shredder or higher security level. Digital data will be securely and irrecoverably erased from any relevant media.</p> |

Schedule E

SCHEDULE OF BREAKDOWN OF COSTS

Listed below are a full breakdown of costs against the deliverables laid out in HSE's Statement of Service.

THEME 1 & 2

| Theme 1 & 2 | | |
|---|--|---|
| Work | Details | Cost |
| Task 4: Further model developments and sensitivity analysis for CEMRA model – output will be model code and documentation made available and reported in publication (Jan 2022) | £500 for github license, £2,500 for publications, £500 for consumables Total Staff Indirects | £3,500 £41,151 £22,244 £18,907 |
| Report TR01 – 6 month progress report (Sept 2021) | Total Staff Indirects | £29,768 £16,091 £13,677 |
| Report TR02 – 12 month progress report (Mar 2022) | Total Staff Indirects | £29,768 £16,091 £13,677 |
| Task 3: Characterisation of surface and face touch behaviours: Systematic review and observational study (Sept 2021) | £2,500 for publications, £500 for Web of Science literature searches, £500 for consumables Total Staff Indirects | £3,500 £11,384 £6,154 £5,230 |
| Protocols/observational study for data collection from surfaces using cameras and/or in-person observations (March 2022) | £1k for consumables for site assessment Total Staff Indirects | £1,000 £28,768 £15,550 £13,218 |
| TOTAL | | £148,839 |

THEME 3

| Theme 3 | | |
|---|-------------------------|-----------------|
| Work | Details | Cost |
| Deliverable 3.1.2 Deep dive in food processing & lit review (Sept 2021) | Consumables | £2,615 |
| | Total | £48,655 |
| | Staff | £26,300 |
| | Indirects | £22,355 |
| Deliverable 3.1.4 Combined learning from deep dives (Mar 2022) | Total | £12,818 |
| | Staff | £6,928 |
| | Indirects | £5,889 |
| Deliverable 3.2.1 Analyse and report on Covid incidence and risk factors in food sector (Jul 2021) | £2,500 for publications | £2,500 |
| | Total | £35,953 |
| | Staff | £19,434 |
| | Indirects | £16,519 |
| Deliverable 3.2.2 Protocol for follow-up nested study in subset of production sites (Sept 2021) | £500 for consumables | £500 |
| | Total | £25,135 |
| | Staff | £13,586 |
| | Indirects | £11,549 |
| Deliverable 3.2.3 Analyse and report on nested substudy (Mar 2022) | £2,500 for publications | £2,500 |
| | Total | £48,770 |
| | Staff | £26,362 |
| | Indirects | £22,408 |
| Deliverable 3.4.1 Reports on analyses of key datasets, including ONS Mortality, ONS Infections Survey, and Understanding Society (Mar 2022) | Total | £12,818 |
| | Staff | £6,928 |
| | Indirects | £5,889 |
| Deliverable 3.4.2 Reports on evidence synthesis for key sectors including health care and social care (Mar 22) | Total | £12,818 |
| | Staff | £6,928 |
| | Indirects | £5,889 |
| Deliverable 3.5.1 Develop template/layout for reports (Jun 2021) | Total | £12,818 |
| | Staff | £6,928 |
| | Indirects | £5,889 |
| Deliverable 3.5.3 Food processing sector report (Dec 2021) | Total | £25,635 |
| | Staff | £13,857 |
| | Indirects | £11,778 |
| Deliverable 3.5.4 3rd sector report (distribution or sport & culture, TBC) (Mar 2022) | Total | £12,818 |
| | Staff | £6,928 |
| | Indirects | £5,889 |
| TOTAL | | £256,350 |

CONTACT LIST

| HSE Contacts | Contractor Contacts |
|---------------------------------------|---------------------|
| Contractual Queries | |
| | |
| Contract Managers / Technical Queries | |
| | |