

# A Framework Agreement for Goods and Services

Between

The Secretary of State for Justice

And

Eastman Staples Limited



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**This framework agreement is dated:**

**PARTIES:**

- (1) THE SECRETARY OF STATE FOR JUSTICE of 102 Petty France, London, SW1H 9AJ (the “**Authority**”);

**AND**

- (2) Eastman Staples Limited with registered company number [175032] whose registered office is 131 Lockwood Road, Huddersfield, West Yorkshire, HD1 3QW (the “**Supplier**”)

(each a “**Party**” and together the “**Parties**”).

**WHEREAS**

- A. Following a competitive tender process, advertised in the Official Journal of the European Union (reference: 149-308217) on 05/08/17, the Authority wishes to appoint the Supplier to provide goods and services under the framework agreement for sewing machines, parts, ancillary items and repair services and the Supplier agrees to provide those goods and services in accordance with these terms and conditions.

**NOW IT IS HEREBY AGREED:**

## **A GENERAL**

### **A1 Definitions and Interpretation**

Unless the context otherwise requires the following terms shall have the meanings given to them below:

“**Affected Party**” means the Party seeking to claim relief in respect of a Force Majeure Event.

“**Affiliate**” means in relation to a body corporate, any other entity which directly or indirectly Controls is Controlled by, or is under direct or indirect common Control with, that body corporate from time to time.

“**Approval**” and “**Approved**” means the prior written consent of the Authority.

“**Authorised Representative**” means the Authority representative named in a CCN as authorised to approve agreed Changes.

“**Authority Data**” means:

- (a) the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any electronic, magnetic, optical or tangible media, and which are: (i) supplied to the Supplier by or on behalf of the Authority; or (ii) which the Supplier is required to generate, process, store or transmit pursuant to the Framework Agreement; or
- (b) any Personal Data for which the Authority is the Data Controller.

“**Authority Premises**” means any premises owned, occupied or controlled by the Authority or any other Crown Body which are made available for use by the Supplier or its Sub-Contractors for provision of the Services.

**“Authority Software”** means software which is owned by or licensed to the Authority (other than under or pursuant to the Framework Agreement) and which is or will be used by the Supplier for the purposes of providing the Services.

**“Authority System”** means the Authority’s computing environment (consisting of hardware, software and/or telecommunications networks or equipment) used by the Authority or the Supplier in connection with the Framework Agreement which is owned by or licensed to the Authority by a third party and which interfaces with the Supplier System or which is necessary for the Authority to receive the Services.

**“Baseline Security Requirements”** means the security requirements set out in annexe 1 of Schedule 6;

**“BPSS”** means the Government’s Baseline Personnel Security Standard for Government employees.

**“Breach of Security”** means an occurrence of:

- (a) any unauthorised access to or use of the ICT Environment and/or any Information Assets and/or Authority Data (including Confidential Information) in connection with the Framework Agreement;
- (b) the loss (physical or otherwise) and/or unauthorised disclosure of any Information Assets and/or Authority Data (including Confidential Information) in connection with the Framework Agreement, including copies; and/or
- (c) any part of the Supplier System ceasing to be compliant with the Certification Requirements

**“Call-Off Contract”** means a contract entered in to by the Parties through the issue of a Purchase Order by the Authority and includes documents provided by either party through a quotation process, as described in the specification.

**“CCN”** means a change control notice in the form set out in Schedule 3.

**“Certification Requirements”** means the requirements set out in paragraph 5.1 of Schedule 6.

**“CESG”** means of the Government’s Communications Electronics Security Group.

**“Change”** means a change in the Specification, the Price or any of the terms or conditions of the Framework Agreement.

**“Change in Law”** means any change in Law which affects the performance of the Services which comes into force after the Commencement Date.

**“Commencement Date”** means the date specified in clause A5.1.

**“Commercially Sensitive Information”** means the information listed in Schedule 4 comprising the information of a commercially sensitive nature relating to:

- (a) the Price; and/or
- (b) the Supplier’s business and investment plans

which the Supplier has informed the Authority would cause the Supplier significant commercial disadvantage or material financial loss if it was disclosed.

**“Comparable Supply”** means the supply of services to another customer of the Supplier which are the same or similar to any of the Services.

**“Confidential Information”** means any information which has been designated as confidential by either Party in writing or that ought to be considered as confidential (however it is conveyed or on whatever media it is stored) including information the disclosure of which would, or would be likely to, prejudice the commercial interests of any person or trade secrets or Intellectual Property Rights of either Party and all personal data and sensitive personal data within the meaning of the Data Protection Legislation. Confidential Information shall not include information which:

- (a) was public knowledge at the time of disclosure otherwise than by breach of clause E4;
- (b) was in the possession of the receiving Party, without restriction as to its disclosure, before receiving it from the disclosing Party;
- (c) is received from a third party (who lawfully acquired it) without restriction as to its disclosure; or
- (d) is independently developed without access to the Confidential Information.

**“Contracting Authority”** means any contracting authority (other than the Authority) as defined in regulation 3 of the Regulations.

**“Control”** means that a person possesses, directly or indirectly, the power to direct or cause the direction of the management and policies of the other person (whether through the ownership of voting shares, by contract or otherwise) and **“Controls”** and **“Controlled”** are interpreted accordingly.

**“Copyright”** means as it is defined in s.1 of Part 1 Chapter 1 of the Copyright, Designs and Patents Act 1988.

**“Crown”** means the government of the United Kingdom (including the Northern Ireland Executive Committee and Northern Ireland Departments, the Scottish Executive and the National Assembly for Wales), including, but not limited to, government ministers, government departments, government offices and government agencies and **“Crown Body”** is an emanation of the foregoing.

**“Database Rights”** means as rights in databases are defined in s.3A of Part 1 Chapter 1 of the Copyright, Designs and Patents Act 1988.

**“Data Protection Laws”** means any law, statute, 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, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements of any regulatory body which relates to the protection of individuals with regard to the processing of Personal Data to which a Party is subject including the Data Protection Act 1998 and, with effect from 25 May 2018, the GDPR).

**“Data Loss Event”** means a breach of any system containing Personal Data that causes unauthorised access to Personal Data, actual or potential loss of Personal Data.

**“Data Subject Access Request”** means a request made by a Data Subject in accordance with rights granted pursuant to the Data Protection Laws to access his or her Personal Data.

**“Default”** means any breach of the obligations or warranties of the relevant Party (including abandonment of the Framework Agreement in breach of its terms, repudiatory breach or breach of a fundamental term) or any other default, act, omission, negligence or statement of the relevant Party or the Staff in connection with the subject-matter of the Framework Agreement and in respect of which such Party is liable to the other.

**“DOTAS”** means the Disclosure of Tax Avoidance Schemes rules which require a promotor of tax schemes to tell HMRC of any specified notifiable arrangements or proposals and to provide prescribed information on those arrangements or proposals within set time limits as contained in Part 7 of the Finance Act 2004 and in secondary legislation made under vires contained in Part 7 of the Finance Act and as extended to NICs by the National Insurance (Application of Part 7 of the Finance Act 2004) regulations 2012, SI 2012/1868 made under section 132A of the Social Security Administration Act 1992.

**“EIR”** means the Environmental Information Regulations 2004 (SI 2004/3391) and any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to such regulations.

**“End Date”** means the date specified in clause A5.1.

**“Equipment”** means the Supplier’s equipment, consumables, plant, materials and such other items supplied and used by the Supplier in the delivery of the Services.

**“FOIA”** means the Freedom of Information Act 2000 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 Event”** means any event outside the reasonable control of either Party affecting its performance of its obligations under the Framework Agreement and Call-Off Contracts arising from acts, events, omissions, happenings or non-happenings beyond its reasonable control and which are not attributable to any wilful act, neglect or failure to take reasonable preventative action by that Party, including acts of God, riots, war or armed conflict, acts of terrorism, acts of government, local government or regulatory bodies, for flood, storm or earthquake, or disaster but excluding any industrial dispute relating to the Supplier or the Staff or any other failure in the Supplier’s supply chain.

**“Framework Agreement”** means these terms and conditions, the attached Schedules and any other documents the Parties expressly agree are included.

**“GDPR”** means Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation).

**“General Anti-Abuse Rule”** means:

- (a) the legislation in Part 5 of the Finance Act 2013; and
- (b) any future legislation introduced into parliament to counteract tax advantages arising from abusive arrangements to avoid NICs.

**“General Change in Law”** means a Change in Law where the change is of a general legislative nature (including taxation or duties of any sort affecting the Supplier) or which affects or relates to a Comparable Supply.

**“Good Industry Practice”** means standards, practices, methods and procedures conforming to the Law and 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 in a similar type of undertaking under the same or similar circumstances.

**“Goods”** means any goods supplied by the Supplier (or by a Sub-Contractor) under the Framework Agreement as specified in Schedule 1 including any modified or alternative goods.

**“Government”** means Her Majesty’s government of the United Kingdom.

“**Halifax Abuse Principle**” means the principle explained in the CJEU Case C-255/02 Halifax and others.

“**HMRC**” means HM Revenue & Customs.

“**ICT Environment**” means the Authority System and the Supplier System.

“**Information**” has the meaning given under section 84 of the FOIA.

“**Information Assets**” means definable pieces of information stored in any manner which are determined by the Authority to be valuable and relevant to the Services.

“**Initial Term**” means the period from the Commencement Date to the End Date.

“**Intellectual Property Rights**” means patents, utility models, inventions, trademarks, service marks, logos, design rights (whether registrable or otherwise), applications for any of the foregoing, copyright, database rights, domain names, plant variety rights, Know-How, trade or business names, moral rights and other similar rights or obligations whether registrable or not in any country (including but not limited to the United Kingdom) and the right to sue for passing off.

“**ISMS**” means the supplier’s information and management system and processes to manage information security as set out in paragraph 2.3 of Schedule 6.

“**IT Health Check**” means penetration testing of systems under the Supplier’s control on which Information Assets and/or Authority Data are held which are carried out by third parties in accordance with the CHECK scheme operated by CESG or to an equivalent standard.

“**ITEPA**” means the Income Tax (Earnings and Pensions) Act 2003.

“**Key Personnel**” mean the people named in the Specification as key personnel.

“**Know-How**” means all information not in the public domain held in any form (including without limitation that comprised in or derived from drawings, data formulae, patterns, specifications, notes, samples, chemical compounds, biological materials, computer software, component lists, instructions, manuals, brochures, catalogues and process descriptions and scientific approaches and methods).

“**Law**” means law, statute, 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, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements of any Regulatory Body with which the Supplier is bound to comply.

“**Losses**” means losses, liabilities, damages, costs, fines and expenses (including legal fees on a solicitor/client basis) and disbursements and costs of investigation, litigation, settlement, judgment interest and penalties whether arising in contract, tort (including negligence), breach of statutory duty or otherwise.

“**Malicious Software**” means 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.

“**Material Breach**” means a breach (including an anticipatory breach) that is serious in the widest sense of having a serious effect on the benefit which the Authority would otherwise derive from:

- (a) a substantial portion of the Framework Agreement; or

- (b) any of the obligations set out in clauses D1, E1, E2, E3, E4, E10 or I4.

“**Month**” means calendar month.

“**NICs**” means National Insurance Contributions.

“**Occasion of Tax Non-Compliance**” means:

- (a) any tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 which is found on or after 1 April 2013 to be incorrect as a result of:
- i) a Relevant Tax Authority successfully challenging the Supplier under the General Anti-Abuse Rule or the Halifax Abuse principle or under any tax rules or legislation that have an effect equivalent or similar to the General Anti-Abuse Rule or the Halifax Abuse Principle;
  - ii) the failure of an avoidance scheme which the Supplier was involved in, and which was, or should have been, notified to the Relevant Tax Authority under the DOTAS or any equivalent or similar regime; and/or
- (b) any tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 gives rise on or after 1 April 2013 to a criminal conviction in any jurisdiction for tax related offences which is not spent at the Commencement Date or to a civil penalty for fraud or evasion.

“**Premises**” means the location where the Services are to be supplied as set out in the Specification.

“**Price**” means the price (excluding any applicable VAT) payable to the Supplier by the Authority under the Framework Agreement, as set out in Schedule 2 for the full and proper performance by the Supplier of its obligations under the Framework Agreement and associated Call-Off Contracts.

“**Prohibited Act**” means:

- (a) to directly or indirectly offer, promise or give any person working for or engaged by the Authority a financial or other advantage to:
- i) induce that person to perform improperly a relevant function or activity; or
  - ii) reward that person for improper performance of a relevant function or activity;
- (b) to directly or indirectly request, agree to receive or accept any financial or other advantage as an inducement or a reward for improper performance of a relevant function or activity in connection with the Framework Agreement;
- (c) an offence:
- i) under the Bribery Act 2010 (or any legislation repealed or revoked by such Act);
  - ii) under legislation or common law concerning fraudulent acts; or
  - iii) the defrauding, attempting to defraud or conspiring to defraud the Authority;
- (d) any activity, practice or conduct which would constitute one of the offences listed under (c) above if such activity, practice or conduct has been carried out in the UK.

**“Property”** means the property, other than real property, issued or made available to the Supplier by the Authority in connection with the Framework Agreement.

**“Purchase Order”** the Authority’s order for the supply of the Goods and/or Services.

**“Quality Standards”** means the quality standards published by BSI British Standards, the National Standards Body of the United Kingdom, the International Organisation for Standardization or other reputable or equivalent body (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, and as may be further detailed in Schedule 1.

**“Receipt”** means the physical or electronic arrival of the invoice at the address specified in clause C2.18 or at any other address given by the Authority to the Supplier for the submission of invoices from time to time.

**“Regulations”** means the Public Contract Regulations 2015 (SI 2015/102).

**“Regulatory Body”** means a government department and regulatory, statutory and other entities, committees, ombudsmen and bodies which, whether under statute, rules, regulations, codes of practice or otherwise, are entitled to regulate, investigate, or influence the matters dealt with in the Framework Agreement or any other affairs of the Authority.

**“Regulator Correspondence”** means any correspondence from the Information Commissioner's Office, or any successor body, in relation to the Processing of Personal Data under the Framework Agreement.

**“Relevant Conviction”** means a conviction that is relevant to the nature of the Services or as listed by the Authority and/or relevant to the work of the Authority.

**“Relevant Requirements”** means all applicable Law relating to bribery, corruption and fraud, including the Bribery Act 2010 and any guidance issued by the Secretary of State for Justice pursuant to section 9 of the Bribery Act 2010.

**“Relevant Tax Authority”** means HMRC or, if applicable, a tax authority in the jurisdiction in which the Supplier is established.

**“Replacement Supplier”** means any third party supplier appointed by the Authority to supply any goods and/or services which are substantially similar to any of the Services in substitution for any of the Services following the expiry, termination or partial termination of the Framework Agreement.

**“Request for Information”** means a request for information under the FOIA or the EIR.

**“Restricted Country”** means:

- a) any country outside the European Economic Area; and
- b) any country not deemed adequate by the European Commission pursuant to Article 25(6) of Directive 95/46/EC.

**“Results”** means any guidance, specifications, reports, studies, instructions, toolkits, plans, data, drawings, databases, patents, patterns, models, designs or other material which is:

- a) prepared by or for the Supplier for use in relation to the performance of its obligations under the Framework Agreement and related Call-Off Contracts; or

- b) the result of any work done by the Supplier or any Staff in relation to the provision of the Services.

**“Returning Employees”** means those persons agreed by the Parties to be employed by the Supplier (and/or any Sub-Contractor) wholly or mainly in the supply of the Services immediately before the end of the Term.

**“Security Plan”** means the plan prepared by the Supplier which includes the matters set out in paragraph 3.2 of Schedule 6.

**“Security Policy Framework”** means the Government’s Security Policy Framework (available from the Cabinet Office’s Government Security Secretariat) as updated from time to time.

**“Security Test”** means a test carried out by the Supplier, the Authority or a third party to validate the ISMS and the security of all relevant processes and systems on which Information Assets and/or Authority Data are held.

**“Services”** means the services set out in Schedule 1 (including any modified or alternative services) and, where the context implies, includes the Goods.

**“Specific Change in Law”** means a Change in Law that relates specifically to the business of the Authority and which would not affect a Comparable Supply.

**“Specification”** means the description of the Goods and Services to be supplied under the Framework Agreement as set out in Schedule 1 including, where appropriate, the Key Personnel, the Premises and the Quality Standards.

**“SSCBA”** means the Social Security Contributions and Benefits Act 1992.

**“Staff”** means all persons employed by the Supplier to perform its obligations under the Framework Agreement and related Call-Off Contracts together with the Supplier’s servants, agents, suppliers and Sub-Contractors used in the performance of its obligations under the Framework Agreement and related Call-Off Contracts.

**“Sub-Contract”** means a contract between two or more suppliers, at any stage of remoteness from the Authority in a sub-contracting chain, made wholly or substantially for the purpose of performing (or contributing to the performance of) the whole or any part of the Framework Agreement, including any Call-Off Contracts, and **“Sub-Contractor”** shall be construed accordingly.

**“Supplier Software”** means software which is proprietary to the Supplier, including software which is or will be used by the Supplier for the purposes of providing the Services and which is set out in Schedule 5.

**“Supplier System”** means the information and communications technology system used by the Supplier in performing the Services including the Software, the Supplier Equipment and related cabling (but excluding the Authority System).

**“Tender”** means the Supplier’s tender submitted in response to the Authority’s invitation to suppliers for offers to supply the Services.

**“Term”** means the period from the Commencement Date to:

- (a) the End Date; or
- (b) following an Extension, the end date of the Extension

or such earlier date of termination or partial termination of the Framework Agreement in accordance with the Law or the Framework Agreement.

“**TFEU**” means the Treaty on the Functioning of the European Union.

“**Third Party IP Claim**” has the meaning given to it in clause E8.5 (Intellectual Property Rights).

“**Third Party Software**” means software which is proprietary to any third party which is or will be used by the Supplier to provide the Services including the software and which is specified as such in Schedule 5.

“**Treaties**” means the TFEU and the Treaty on European Union.

“**TUPE**” means the Transfer of Undertakings (Protection of Employment) Regulations 2006.

“**TUPE Information**” means the information set out in clause B17.1.

“**Valid Invoice**” means an invoice containing the information set out in clause C2.5.

“**VAT**” means value added tax charged or regulated in accordance with the Value Added Tax Act 1994.

“**Vulnerability Correction Plan**” means a remedial plan prepared by the Supplier to address vulnerabilities identified in an IT Health Check report.

“**Working Day**” means a day (other than a Saturday or Sunday) on which banks are open for general business in the City of London.

*In the Framework Agreement, unless the context implies otherwise:*

- (a) the singular includes the plural and vice versa unless the context requires otherwise;
- (b) words importing the masculine include the feminine and the neuter;
- (c) reference to a clause is a reference to the whole of that clause unless stated otherwise;
- (d) references to a person include natural persons, a company, body corporate, corporation, unincorporated association, firm, partnership or other legal entity or central Government body;
- (e) the words “other”, “in particular”, “for example”, “including” and similar words shall not limit the generality of the preceding words and shall be construed as if they were immediately followed by the words “without limitation”;
- (f) headings are included for ease of reference only and shall not affect the interpretation or construction of the Framework Agreement;
- (g) the Schedules form an integral part of the Framework Agreement and have effect as if set out in full in the body of the Framework Agreement. A reference to the Framework Agreement includes the Schedules;
- (h) a reference to any Law includes a reference to that Law as amended, extended, consolidated or re-enacted from time to time; and
- (i) references to the Framework Agreement are references to the Framework Agreement as amended from time to time.

## **A2 Authority Obligations**

Save as otherwise expressly provided, the Authority’s obligations under the Framework Agreement are the Authority’s obligations in its capacity as a contracting counterparty and nothing in the

Framework Agreement operates as an obligation upon, or in any other way fetters or constrains, the Authority in any other capacity, and the exercise by the Authority of its duties and powers in any other capacity shall not lead to any liability (howsoever arising) on the part of the Authority to the Supplier.

### **A3 Supplier's Status**

A3.1 The Supplier is an independent contractor and nothing in the Framework Agreement creates a contract of employment, a relationship of agency or partnership or a joint venture between the Parties and accordingly neither Party is authorised to act in the name of, or on behalf of, or otherwise bind the other Party save as expressly permitted by the Framework Agreement.

A3.2 The Supplier shall not (and shall ensure that any other person engaged in relation to the Framework Agreement shall not) say or do anything that might lead another person to believe that the Supplier is acting as the agent or employee of the Authority.

### **A4 Mistakes in Information**

The Supplier is responsible for the accuracy of all drawings, documentation and information supplied to the Authority by the Supplier in connection with the Services and shall pay the Authority any extra costs occasioned by any discrepancies, errors or omissions therein.

### **A5 Term**

A5.1 The Framework Agreement starts on 2<sup>nd</sup> January 2018 (the "**Commencement Date**") and ends on 1<sup>st</sup> January 2022 (the "**End Date**") unless it is terminated early or extended in accordance with the Framework Agreement.

## **B. THE GOODS AND SERVICES**

### **B1 Basis of the Framework Agreement**

B1.1 In consideration of the Supplier supplying the Goods and Services the Authority shall pay the Supplier the Price.

B1.2 The terms and conditions contained in the Framework Agreement and Call-Off Contract apply to the exclusion of any other terms and conditions the Supplier seeks to impose or incorporate, or which are implied by trade, custom, practice or course of dealing.

### **B2 Samples**

B2.1 If requested by the Authority the Supplier shall provide the Authority with samples of Goods for evaluation and Approval.

B2.2 The Supplier shall ensure that the Goods are fully compatible with any equipment to the extent specified in the Specification.

B2.3 The Supplier acknowledges that the Authority relies on the skill and judgment of the Supplier in the supply of the Goods and the performance of the Supplier's obligations under the Framework Agreement.

### **B3 Delivery**

- B3.1 Unless otherwise stated in the Specification, if the Goods are delivered by the Supplier, delivery is completed when the Goods are signed for by the Authority. If the Goods are collected by the Authority, the point of delivery is when the Goods are loaded on the Authority's vehicle.
- B3.2 Except where otherwise provided in the Framework Agreement or Call-Off Contract, delivery includes the unloading, stacking or installation of the Goods by the Staff or the Supplier's suppliers or carriers at such place as the Authority or duly authorised person reasonably directs.
- B3.3 The Authority is deemed to have accepted the Goods if it expressly states the same in writing or fails to reject the Goods in accordance with clause B4.7.
- B3.4 The issue by the Authority of a receipt note for delivery of the Goods does not constitute any acknowledgement of the condition, quantity or nature of those Goods or the Authority's acceptance of them.
- B3.5 Any access to the Premises and any labour and equipment provided by the Authority in connection with delivery is provided without acceptance by the Authority of any liability whatsoever to the extent permitted by law.
- B3.6 Where access to the Premises is necessary in connection with delivery or installation of the Goods, the Supplier and its Sub-Contractors shall at all times comply with the security requirements of the Authority.
- B3.7 The Authority is under no obligation to accept or pay for any Goods supplied earlier than the date for delivery stated in the Specification.
- B3.8 The Authority is under no obligation to accept or pay for any Goods delivered in excess of the quantity ordered. If the Authority elects not to accept such over-delivered Goods it shall give notice to the Supplier to remove them within 5 Working Days and to refund to the Authority any expenses incurred by it as a result of such over-delivery (including but not limited to the costs of moving and storing the Goods), failing which the Authority may dispose of such Goods and charge the Supplier for the costs of such disposal. The risk in any over-delivered Goods remains with the Supplier unless they are accepted by the Authority.
- B3.9 Unless expressly agreed to the contrary, the Authority shall not accept delivery by instalments. If the Authority specifies or agrees to delivery by instalments, delivery of any instalment later than the date specified or agreed for its delivery shall, without prejudice to any other rights or remedies of the Authority, entitle the Authority to terminate the whole of any unfulfilled part of the Call-Off Contract without further liability to the Authority.
- B3.10 Timely supply of the Goods is of the essence of the Framework Agreement, including in relation to commencing the supply of the Goods within the time agreed or on a specified date, and the Call-Off Contract. If the Supplier fails to deliver the Goods within the time promised or specified in the Specification, the Authority is released from any obligation to accept and pay for the Goods and may terminate the Framework Agreement or Call-Off Contract, in either case without prejudice to any other rights and remedies of the Authority.

### **B4 Quality**

- B4.1 The Supplier shall perform its obligations under the Framework Agreement:

- (a) with appropriately experienced, qualified and trained personnel with all due skill, care and diligence;
- (b) in accordance with Good Industry Practice; and
- (c) in compliance with all applicable Laws.

B4.2 The Supplier shall ensure the Goods:

- (a) correspond with their description;
- (b) conform with the Specification;
- (c) conform, if applicable, with any sample which has been Approved;
- (d) operate in accordance with the relevant technical specifications;
- (e) be of satisfactory quality within the meaning of the Sale of Goods Act 1979;
- (f) conform in all respects with all applicable Laws; and
- (g) are free from defects in design, materials and workmanship and are fit and sufficient for all the purposes for which such goods are ordinarily used and for any particular purpose made known to the Supplier by the Authority.

B4.3 The Authority may inspect and test the Goods at any time on reasonable notice. The Supplier shall provide at its own cost all such facilities as the Authority may reasonably require for such inspection and testing.

B4.4 If, following such inspection or testing, the Authority considers that the Goods do not conform or are unlikely to conform with the Supplier's undertakings in clauses B4.1 and B4.2, the Authority may enforce one or more of its rights set out in clause B4.7.

B4.5 Notwithstanding any inspection or testing, the Supplier remains fully responsible for the Goods and any inspection or testing shall not reduce or otherwise affect the Supplier's obligations under the Framework Agreement, and the Authority may conduct further inspections and tests after the Supplier has carried out its remedial actions.

B4.6 If reasonably requested to do so by the Authority, the Supplier shall co-ordinate its activities in supplying the Goods with those of the Authority and other contractors engaged by the Authority.

B4.7 Pursuant to clause B4.4, the Authority may by notice to the Supplier:

- (a) reject any of the Goods;
- (b) have the Goods promptly, free of charge and in any event within 5 Working Days, either repaired by the Supplier or replaced by the Supplier with Goods which conform in all respects with the approved sample or with the Specification and due delivery shall not be deemed to have taken place until such repair or replacement has occurred; and/or
- (c) treat the Call-Off Contract as discharged by the Supplier's breach and obtain a refund (if payment for the Goods has already been made) from the Supplier in respect of the Goods concerned together with payment of any additional expenditure reasonably incurred by the Authority in obtaining other goods in replacement.

- B4.8 Any Goods rejected or returned by the Authority as set out in clause B4.7 shall be returned to the Supplier at the Supplier's risk and expense.
- B4.9 The Supplier hereby guarantees the Goods against faulty materials or workmanship for such period as may be specified in the Specification or, if no period is specified, for a period of 18 months from the date of delivery. If the Authority within such period or within 25 Working Days thereafter gives notice to the Supplier of any defect in any of the Goods as may have arisen during such period under proper and normal use, the Supplier shall (without prejudice to any other rights and remedies which the Authority may have) promptly remedy such defects (whether by repair or replacement as the Authority shall elect) free of charge.
- B4.10 The Supplier shall ensure that at all times it has and maintains all the licences, permissions, authorisations, consents and permits that it needs to carry out its obligations under the Framework Agreement in respect of the Goods.

## **B5 Risk and Ownership**

- B5.1 Subject to clauses B4.4 and B4.5, risk in the Goods shall, without prejudice to any other rights or remedies of the Authority (including the Authority's rights and remedies under clause F1 (Failure to meet Requirements)), pass to the Authority on completion of delivery.
- B5.2 Title in the Goods shall, without prejudice to any other rights or remedies of the Authority (including the Authority's rights and remedies under clause F1), pass to the Authority on completion of delivery (or payment, if earlier).

## **B6 Non-Delivery**

- B6.1 On dispatch of any consignment of the Goods the Supplier shall send the Authority a note specifying the means of transport, the place and date of dispatch, the number of packages and their weight and volume.
- B6.2 If the Goods are not delivered to the Authority on the agreed date for delivery (the "**Delivery Date**"), the Authority shall, within 10 Working Days of the Delivery Date, give notice to the Supplier that the Goods have not been delivered and may:
- (a) request the Supplier to deliver substitute Goods free of charge by a date specified by the Authority;
  - (b) invoice the Supplier for a sum, by way of liquidated damages for each day that the Goods are not delivered after the Delivery Date until the date the Goods are delivered, which is equal to the percentage of the Price set out in the Specification ("**Liquidated Damages**"); or
  - (c) terminate the Call-Off Contract with immediate effect.
- B6.3 The Parties acknowledge and confirm that the calculation of Liquidated Damages represents a genuine pre-estimate of loss.
- B6.4 If the Supplier pays a Liquidated Damages invoice pursuant to clause B6.2(b), the Authority shall not enforce any other remedy for any loss or damages incurred by the Authority in respect of the same failure to deliver the Goods by the Delivery Date.

## **B7 Labelling and Packaging**

- B7.1 The Supplier shall ensure that the Goods are labelled and packaged in accordance with the Framework Agreement.

- B7.2 The Supplier shall comply with the Packaging & Packaging Waste Directive (94/62/EC), implemented in the UK by the Packaging (Essential Requirements) Regulations 2015 (SI 2015/1640). The container in which the Goods are held shall be labelled with the Supplier's name, the net, gross and tare weights, and contain a description of its contents. All containers of hazardous Goods (and all documents relating thereto) shall bear prominent and adequate warnings.
- B7.3 The Supplier shall remove and dispose of all packaging materials from the Premises within the period specified by the Authority and at no cost to the Authority.
- B7.4 If no period for collection and disposal is specified by the Authority, the Supplier shall collect the packaging from the Premises no later than 10 Working Days from the date of delivery of the Goods. The Authority may dispose of any packaging materials which have not been collected by the Supplier within those 10 Working Days or such other period specified by the Authority for collection. The Supplier is responsible for the payment of any costs incurred by the Authority in connection with its collection and disposal of that packaging material.
- B7.5 The Supplier shall:
- (a) use packaging capable of easy recovery for further use or recycling. Packaging materials shall be easily separable by hand into recyclable parts consisting of one material (e.g. cardboard, paper, plastic, textile);
  - (b) reuse the packaging and, where reuse is not practicable, recycle the materials in the manufacture of crates, pallets, boxes, cartons, cushioning and other forms of packaging, where these fulfil other packaging specifications;
  - (c) make maximum use of materials taken from renewable sources, if recycled materials are not suitable or not readily available;
  - (d) review packaging specifications periodically to ensure that no unnecessary limitations on the use of recycled materials exist; and
  - (e) if requested, provide the Authority with a description of the product packaging and evidence to satisfy the Authority that it is reusing, recycling and reviewing its use of packaging. The evidence should provide proof of compliance with BS EN 13430 on recyclability or BS EN 13429 on reusability, or equivalent.

## **B8 Training**

If included in the Specification, the Price includes the cost of instruction of the Authority's personnel in the use and maintenance of the Goods and such instruction shall be in accordance with the requirements detailed in the Specification.

## **B9 Services**

- B9.1 The Supplier shall at all times comply with the Quality Standards and, where applicable, shall maintain accreditation with the relevant Quality Standards authorisation body. To the extent that the standard of the Service has not been specified in the Framework Agreement, the Supplier shall agree the relevant standard of the Services with the Authority prior to the supply of the Services and, in any event, the Supplier shall perform its obligations under the Framework Agreement in accordance with the Law and Good Industry Practice.

- B9.2 The Supplier acknowledges that the Authority relies on the skill and judgment of the Supplier in the supply of the Services and the performance of the Supplier's obligations under the Framework Agreement.
- B9.3 The Supplier shall ensure that all Staff supplying the Services do so with all due skill, care and diligence and shall possess such qualifications, skills and experience as are necessary for the proper supply of the Services. The Supplier shall ensure that those Staff are properly managed and supervised.
- B9.4 If the Specification includes installation of equipment the Supplier shall notify the Authority in writing when it has completed installation. Following receipt of such notice, the Authority shall inspect the installation and shall, by giving notice to the Supplier:
- (a) accept the installation; or
  - (b) reject the installation and inform the Supplier why, in the Authority's reasonable opinion, the installation does not satisfy the Specification.
- B9.5 If the Authority rejects the installation pursuant to clause B9.4 (b), the Supplier shall immediately rectify or remedy any defects and if, in the Authority's reasonable opinion, the installation does not, within 2 Working Days or such other period agreed by the Parties, comply with the Specification, the Authority may terminate the Call-Off Contract with immediate effect.
- B9.6 The installation is complete when the Supplier receives a notice issued by the Authority in accordance with clause B9.4 (a). Notwithstanding acceptance of any installation in accordance with clause B9.4 (a), the Supplier is solely responsible for ensuring that the Services and the installation conform to the Specification. No rights of estoppel or waiver shall arise as a result of the acceptance by the Authority of the installation.
- B9.7 During the Term, the Supplier shall:
- (a) at all times have all licences, approvals and consents necessary to enable the Supplier and Staff to carry out the installation;
  - (b) provide all tools and equipment (or procure the provision of all tools and equipment) necessary for completion of the installation; and
  - (c) not, in delivering the Services, in any manner endanger the safety or convenience of the public.
- B9.8 The Authority may inspect the manner in which the Supplier supplies the Services at the Premises during normal business hours on reasonable notice. The Supplier shall provide at its own cost all such facilities as the Authority may reasonably require for such inspection. In this clause B9, Services include planning or preliminary work in connection with the supply of the Services.
- B9.9 If reasonably requested to do so by the Authority, the Supplier shall co-ordinate its activities in supplying the Services with those of the Authority and other contractors engaged by the Authority.
- B9.10 *Timely supply of the Services is of the essence of the Framework Agreement, including in relation to commencing the supply of the Services within the time agreed or on a specified date. If the Supplier fails to supply the Services within the time promised or specified in the Specification, the Authority is released from any obligation to pay for the Services and may terminate the Framework Agreement or Call-Off Contract, in either case without prejudice to any other rights and remedies of the Authority.***

B9.11 If the Authority informs the Supplier in writing that the Authority reasonably believes that any part of the Services do not meet the requirements of the Framework Agreement or differs in any way from those requirements, and this is not as a result of a default by the Authority, the Supplier shall at its own expense re-schedule and carry out the Services in accordance with the requirements of the Framework Agreement within such reasonable time as may be specified by the Authority.

B9.12 If, in delivering the Goods or Services, the Supplier is required to visit Authority Premises which are prisons, the Supplier shall comply with Schedule 7.

## **B10 Equipment**

B10.1 The Supplier shall provide all the Equipment and resource necessary for the supply of the Services.

B10.2 The Supplier shall not deliver any Equipment to, or begin any work on, the Premises without Approval.

B10.3 All Equipment brought onto the Premises is at the Supplier's own risk and the Authority has no liability for any loss of or damage to any Equipment unless the Supplier demonstrates that such loss or damage was caused or contributed to by the Authority's Default. The Supplier shall provide for the haulage or carriage thereof to the Premises and the removal of Equipment when no longer required at its sole cost.

B10.4 Equipment brought onto the Premises remains the property of the Supplier.

B10.5 If the cost of any Equipment is reimbursed to the Supplier such Equipment shall be the property of the Authority and shall on request be delivered to the Authority as directed by the Authority. The Supplier will keep a full and accurate inventory of such Equipment and will deliver that inventory to the Authority on request and on completion of the Services.

B10.6 The Supplier shall maintain all Equipment in a safe, serviceable and clean condition.

B10.7 The Supplier shall, at the Authority's written request, at its own cost and as soon as reasonably practicable:

(a) remove immediately from the Premises Equipment which is, in the Authority's opinion, hazardous, noxious or not supplied in accordance with the Framework Agreement; and

(b) replace such item with a suitable substitute item of Equipment.

B10.8 Within 20 Working Days of the end of the Term, the Supplier shall remove the Equipment together with any other materials used by the Supplier to supply the Services and shall leave the Premises in a clean, safe and tidy condition. The Supplier shall make good any damage to those Premises and any fixtures and fitting in the Premises which is caused by the Supplier or Staff.

## **B11 Key Personnel**

B11.1 The Supplier acknowledges that Key Personnel are essential to the proper provision of the Services.

B11.2 Key Personnel shall not be released from supplying the Services without Approval except by reason of long-term sickness, maternity leave, paternity leave or termination of employment or other similar extenuating circumstances.

B11.3 The Authority may interview and assess any proposed replacement for Key Personnel and any replacements to Key Personnel are subject to Approval. Such replacements shall be of at least equal

status, experience and skills to Key Personnel being replaced and be suitable for the responsibilities of that person in relation to the Services.

- B11.4 The Authority shall not unreasonably withhold approval under clauses B11.2 or B11.3. Such agreement is conditional on appropriate arrangements being made by the Supplier to minimise any adverse effect on the Services which could be caused by a change in Key Personnel.

## **B12 Staff**

- B12.1 The Authority may, by notice to the Supplier, refuse to admit onto, or withdraw permission to remain on, the Authority's Premises:

- (a) any member of the Staff; or
- (b) any person employed or engaged by any member of the Staff

whose admission or continued presence would, in the Authority's reasonable opinion, be undesirable.

- B12.2 The Authority shall maintain the security of the Authority's Premises in accordance with its standard security requirements, including Prison Rules 1999 Part III, the Prison (Amendment) Rules 2005, the Young Offender Institute Rules 2000 Part III and the Young Offender Institute (Amendment) Rules 2008, available to the Supplier on request. The Supplier shall comply with all security requirements of the Authority while on the Authority's Premises, and ensure that all Staff comply with such requirements.

- B12.3 The Authority may search any persons or vehicles engaged or used by the Supplier at the Authority's Premises.

- B12.4 The Supplier shall not, and shall procure that all Staff shall not, take photographs on the Authority's Premises without Approval.

- B12.5 At the Authority's written request, the Supplier shall, at its own cost, provide a list of the names, addresses, national insurance numbers and immigration status of all people who may require admission to the Authority's Premises, specifying the capacities in which they are concerned with the Framework Agreement and giving such other particulars as the Authority may reasonably request.

- B12.6 The Supplier shall ensure that all Staff who have access to the Authority's Premises, the Authority System or the Authority Data have been cleared in accordance with the BPSS.

- B12.7 The Supplier shall co-operate with any investigation relating to security carried out by the Authority or on behalf of the Authority and, at the Authority's request:

- (a) use reasonable endeavours to make available any Staff requested by the Authority to attend an interview for the purpose of an investigation; and
- (b) provide documents, records or other material in whatever form which the Authority may reasonably request or which may be requested on the Authority's behalf, for the purposes of an investigation.

- B12.8 The Supplier shall comply with PSI 10/2012 as amended from time to time and available from the Authority on request.

## **B13 Due Diligence**

Save as the Authority may otherwise direct, the Supplier is deemed to have inspected the Premises before submitting its Tender and to have completed due diligence in relation to all matters connected with the performance of its obligations under the Framework Agreement.

## **B14 Licence to Occupy**

- B14.1 Any land or Premises made available from time to time to the Supplier by the Authority in connection with the Framework Agreement are on a non-exclusive licence basis free of charge and are used by the Supplier solely for the purpose of performing its obligations under the Framework Agreement. The Supplier has the use of such land or Premises as licensee and shall vacate the same on termination of the Framework Agreement.
- B14.2 The Supplier shall limit access to the land or Premises to such Staff as is necessary for it to perform its obligations under the Framework Agreement and the Supplier shall co-operate (and ensure that its Staff co-operate) with other persons working concurrently on such land or Premises as the Authority may reasonably request.
- B14.3 If the Supplier requires modifications to the Authority's Premises such modifications are subject to Approval and shall be carried out by the Authority at the Supplier's cost. The Authority shall undertake Approved modification work without undue delay.
- B14.4 The Supplier shall (and shall ensure that any Staff on the Authority's Premises shall) observe and comply with such rules, regulations and requirements (including those relating to security arrangements) as may be in force from time to time for the conduct of personnel when on the Authority's Premises as determined by the Authority.
- B14.5 The Framework Agreement does not create a tenancy of any nature in favour of the Supplier or its Staff and no such tenancy has or shall come into being and, notwithstanding any rights granted pursuant to the Framework Agreement, the Authority may use the Premises owned or occupied by it in any manner it sees fit.

## **B15 Property**

- B15.1 All Property is and remains the property of the Authority and the Supplier irrevocably licenses the Authority and its agents to enter any Premises of the Supplier during normal business hours on reasonable notice to recover any such Property.
- B15.2 The Supplier does not have a lien or any other interest on the Property and the Supplier at all times possesses the Property as fiduciary agent and bailee of the Authority. The Supplier shall take all reasonable steps to ensure that the title of the Authority to the Property and the exclusion of any such lien or other interest are brought to the notice of all Sub-Contractors and other appropriate persons and shall, at the Authority's request, store the Property separately and ensure that it is clearly identifiable as belonging to the Authority.
- B15.3 The Property is deemed to be in good condition when received by or on behalf of the Supplier unless the Supplier notifies the Authority otherwise within 5 Working Days of receipt.
- B15.4 The Supplier shall maintain the Property in good order and condition (excluding fair wear and tear), and shall use the Property solely in connection with the Framework Agreement and for no other purpose without Approval.
- B15.5 The Supplier shall ensure the security of all the Property whilst in its possession, either on the Premises or elsewhere during the supply of the Services, in accordance with the Authority's reasonable security requirements as required from time to time.

B15.6 The Supplier is liable for all loss of or damage to the Property, unless such loss or damage was caused by the Authority's negligence. The Supplier shall inform the Authority immediately of becoming aware of any defects appearing in, or losses or damage occurring to, the Property.

## **B16 Offers of Employment**

B16.1 Neither Party shall, directly or indirectly, solicit or procure (otherwise than by general advertising or under TUPE, any employees or contractors (including the Staff) of the other Party who are directly employed or engaged in connection with the provision of the Services while such persons are employed or engaged and for a period of 6 Months thereafter.

B16.2 If either Party breaches the clause B16.1, it shall pay the other Party a sum equivalent to 20% of the annual base salary payable by the Party in breach in respect of the first year of person's employment.

B16.3 The Parties agree that the sum specified in clause B16.2 is a reasonable pre-estimate of the loss and damage which the party not in breach would suffer if there was a breach of clause B16.1

## **B17 Employment**

B17.1 No later than 12 Months prior to the end of the Term, the Supplier shall fully and accurately disclose to the Authority all information the Authority may reasonably request in relation to the Staff including the following:

- (a) the total number of Staff whose employment/engagement terminates at the end of the Term, save for any operation of Law;
- (b) the age, gender, salary or other remuneration, future pay settlements and redundancy and pensions entitlement of the Staff referred to in clause B17.1 (a);
- (c) the terms and conditions of employment/engagement of the Staff referred to in clause B17.1 (a), their job titles and qualifications;
- (d) their immigration status;
- (e) details of any current disciplinary or grievance proceedings ongoing or circumstances likely to give rise to such proceedings and details of any claims current or threatened; and
- (f) details of all collective agreements with a brief summary of the current state of negotiations with any such bodies and with details of any current industrial disputes and claims for recognition by any trade union.

B17.2 At intervals determined by the Authority (which shall not be more frequent than once every 30 days) the Supplier shall give the Authority updated TUPE Information.

B17.3 Each time the Supplier supplies TUPE Information to the Authority it warrants its completeness and accuracy and the Authority may assign the benefit of this warranty to any Replacement Supplier.

B17.4 The Authority may use TUPE Information it receives from the Supplier for the purposes of TUPE and/or any retendering process in order to ensure an effective handover of all work in progress at the end of the Term. The Supplier shall provide the Replacement Supplier with such assistance as it shall reasonably request.

B17.5 If TUPE applies to the transfer of the Services on termination of the Framework Agreement, the Supplier indemnifies and keeps indemnified the Authority, the Crown and any Replacement Supplier against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other

liabilities which the Authority or the Crown or any Replacement Supplier may suffer or incur as a result of or in connection with:

- (a) the provision of TUPE Information;
- (b) any claim or demand by any Returning Employee (whether in contract, tort, under statute, pursuant to EU Law or otherwise) in each case arising directly or indirectly from any act, fault or omission of the Supplier or any Sub-Contractor in respect of any Returning Employee on or before the end of the Term;
- (c) any failure by the Supplier or any Sub-Contractor to comply with its obligations under regulations 13 or 14 of TUPE or any award of compensation under regulation 15 of TUPE save where such failure arises from the failure of the Authority or a Replacement Supplier to comply with its duties under regulation 13 of TUPE;
- (d) any claim (including any individual employee entitlement under or consequent on such a claim) by any trade union or other body or person representing any Returning 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; and
- (e) any claim by any person who is transferred by the Supplier to the Authority and/or a Replacement Supplier whose name is not included in the list of Returning Employees.

B17.6 If the Supplier is aware that TUPE Information has become inaccurate or misleading, it shall notify the Authority and provide the Authority with up to date and accurate TUPE Information.

B17.7 This clause B17 applies during the Term and indefinitely thereafter.

B17.8 The Supplier undertakes to the Authority that, during the 12 Months prior to the end of the Term the Supplier shall not (and shall procure that any Sub-Contractor shall not) without Approval (such Approval not to be unreasonably withheld or delayed):

- (a) amend or vary (or purport to amend or vary) the terms and conditions of employment or engagement (including, for the avoidance of doubt, pay) of any Staff (other than where such amendment or variation has previously been agreed between the Supplier and the Staff in the normal course of business and where any such amendment or variation is not in any way related to the transfer of the Services);
- (b) terminate or give notice to terminate the employment or engagement of any Staff (other than in circumstances in which the termination is for reasons of misconduct or lack of capability);
- (c) transfer away, remove, reduce or vary the involvement of any other Staff from or in the provision of the Services (other than where such transfer or removal: (i) was planned as part of the individual's career development; (ii) takes place in the normal course of business; and (iii) will not have any adverse impact upon the delivery of the Services by the Supplier, (provided that any such transfer, removal, reduction or variation is not in any way related to the transfer of the Services); or
- (d) recruit or bring in any new or additional individuals to provide the Services who were not already involved in providing the Services prior to the relevant period.

## **C PAYMENT**

### **C1 Price**

In consideration of the Supplier's performance of its obligations under the Framework Agreement, the Authority shall pay the Price in accordance with clause C2.

### **C2 Payment and VAT**

C2.1 The Supplier shall submit invoices to the Authority on the dates set out in Schedule 2.

C2.2 The Authority shall, in addition to the Price and following Receipt of a Valid Invoice, pay the Supplier a sum equal to the VAT chargeable on the value of the Services supplied in accordance with the Framework Agreement.

C2.3 The Supplier shall add VAT to the Price at the prevailing rate as applicable and show the amount of VAT payable separately on all invoices as an extra charge. If the Supplier fails to show VAT on an invoice, the Authority is not, at any later date, liable to pay the Supplier any additional VAT.

C2.4 All Supplier invoices shall be expressed in sterling or any other currency which is Approved.

C2.5 A Valid Invoice is an invoice which includes:

- (a) the Supplier's full name, address and title of the Framework Agreement;
- (b) (if Goods are included in the Specification) a description and quantity of the Goods delivered including batch numbers;
- (c) the Purchase Order number;

**and, if requested by the Authority:**

- (d) timesheets for Staff engaged in providing the Services signed and dated by the Authority's representative on the Premises on the day;
- (e) the name of the individuals to whom the timesheet relates and hourly rates for each;
- (f) identification of which individuals are Supplier's staff and which are Sub-Contractors' staff;
- (g) the address of the Premises and the date on which work was undertaken;
- (h) the time spent working on the Premises by the individuals concerned;
- (i) details of the type of work undertaken by the individuals concerned;
- (j) details of plant or materials operated and on standby;
- (k) separate identification of time spent travelling and/or meal or rest breaks; and
- (l) if appropriate, details of journeys made and distances travelled.

- C2.6 The Authority shall not pay the Supplier's overhead costs unless Approved and overhead costs include, without limitation: facilities, utilities, insurance, tax, head office overheads, indirect staff costs and other costs not specifically and directly ascribable solely to the provision of the Services.
- C2.7 If Schedule 2 expressly provides that the Authority may be charged for plant which is on standby then if plant was waiting to be transferred between Premises or if the Authority has instructed that the plant is retained on the Premises then a standby charge of 60% of agreed rates may be made in respect of such relevant periods if supported by timesheets.
- C2.8 The Authority shall not pay a stand-by rate if plant is on standby because no work was being carried out on the Premises at that time or no operator or other relevant staff were available (unless the standby is because the Supplier is awaiting licensing of the Premises on the Authority's instructions).
- C2.9 The Authority shall not pay for plant or equipment which is stood down during any notice period pursuant to clauses H1, H2 and/or H3 and the Supplier shall mitigate such costs as far as is reasonably possible, for example, by reutilising Staff, plant, materials and services on other contracts.
- C2.10 The Supplier may claim expenses only if they are clearly identified, supported by original receipts and Approved.
- C2.11 If the Authority pays the Supplier prior to the submission of a Valid Invoice this payment is on account of and deductible from the next payment to be made.
- C2.12 If any overpayment has been made or the payment or any part is not supported by a Valid Invoice the Authority may recover this payment against future invoices raised or directly from the Supplier. All payments made by the Authority to the Supplier are on an interim basis pending final resolution of an account with the Supplier in accordance with the terms of this clause C2.
- C2.13 The Authority shall pay all sums due to the Supplier within 30 days of Receipt of a Valid Invoice. Valid Invoices should be submitted for payment to the following address:  
**[REDACTED]**
- C2.14 Any late payment of undisputed invoices by the Authority will be subject to interest at the rate of a maximum of 3% above the base rate from time to time of Barclays Bank.
- C2.15 The Supplier shall ensure that a provision is included in all Sub-Contracts which requires payment to be made of all sums due to Sub-Contractors within 30 days from the receipt of a valid invoice.
- C2.16 The Supplier indemnifies the Authority on a continuing basis against any liability, including any interest, penalties or costs incurred, which is levied, demanded or assessed on the Authority at any time in respect of the Supplier's failure to account for or to pay any VAT relating to payments made to the Supplier under the Framework Agreement. Any amounts due under this clause C2.16 shall be paid by the Supplier to the Authority not less than 5 Working Days before the date upon which the tax or other liability is payable by the Authority.
- C2.17 The Supplier shall not suspend the Services unless the Supplier is entitled to terminate the Framework Agreement under clause H2.3 for failure to pay undisputed sums of money.
- C2.18 The Authority shall not pay an invoice which is not a Valid Invoice.

### **C3 Recovery of Sums Due**

- C3.1 If under the Framework Agreement any sum of money is recoverable from or payable by the Supplier to the Authority (including any sum which the Supplier is liable to pay to the Authority in respect of any

breach of the Framework Agreement), the Authority may unilaterally deduct that sum from any sum then due, or which at any later time may become due to the Supplier from the Authority under the Framework Agreement or under any other agreement with the Authority or the Crown.

- C3.2 Any overpayment by either Party, whether of the Price or of VAT or otherwise, is a sum of money recoverable by the Party who made the overpayment from the Party in receipt of the overpayment.
- C3.3 The Supplier shall make all payments due to the Authority without any deduction whether by way of set-off, counterclaim, discount, abatement or otherwise unless the Supplier has a valid court order requiring an amount equal to such deduction to be paid by the Authority to the Supplier.
- C3.4 All payments due shall be made within a reasonable time unless otherwise specified in the Framework Agreement, in cleared funds, to such bank or building society account as the recipient Party may from time to time direct.

#### **C4 Price During Extension**

Subject to Schedule 2 and clause F4 (Change), the Price applies for the Initial Term and until the end of any Extension or such earlier date of termination or partial termination of the Framework Agreement in accordance with the Law or the O .

### **D. STATUTORY OBLIGATIONS**

#### **D1 Fraud and Bribery**

- D1.1 The Supplier represents and warrants that neither it, nor to the best of its knowledge any Staff, have at any time prior to the Commencement Date:
- (a) committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act; and/or
  - (b) been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act.
- D1.2 The Supplier shall not during the Term:
- (a) commit a Prohibited Act; and/or
  - (b) do or suffer anything to be done which would cause the Authority or any of its 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.
- D1.3 The Supplier shall, during the Term:
- (a) 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; and
  - (b) keep appropriate records of its compliance with its obligations under clause D1.3(a) and make such records available to the Authority on request.

- D1.4 The Supplier shall immediately notify the Authority in writing if it becomes aware of any breach of clauses D1.1 and/or D1.2, or has reason to believe that it has or any of the Staff have:
- (a) been subject to an investigation or prosecution which relates to an alleged Prohibited Act;
  - (b) been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act; and/or
  - (c) received a request or demand for any undue financial or other advantage of any kind in connection with the performance of the Framework Agreement or otherwise suspects that any person directly or indirectly connected with the Framework Agreement has committed or attempted to commit a Prohibited Act.
- D1.5 If the Supplier notifies the Authority pursuant to clause D1.4, the Supplier shall respond promptly to the Authority's enquiries, co-operate with any investigation, and allow the Authority to Audit any books, records and/or any other relevant documentation.
- D1.6 If the Supplier is in Default under clauses D1.1 and/or D1.2, the Authority may by notice:
- (a) require the Supplier to remove from performance of the Framework Agreement any Staff whose acts or omissions have caused the Default; or
  - (b) immediately terminate the Framework Agreement.
- D1.7 Any notice served by the Authority under clause D1.6 shall specify the nature of the Prohibited Act, the identity of the party who the Authority believes has committed the Prohibited Act and the action that the Authority has taken (including, where relevant, the date on which the Framework Agreement terminates).

## **D2 Equality**

- D2.1 The Supplier shall:
- (a) perform its obligations under the Framework Agreement in accordance with:
    - i) all applicable equality Law (whether in relation to race, sex, gender reassignment, age, disability, sexual orientation, religion or belief, pregnancy maternity or otherwise);
    - ii) the Authority's equality and diversity policy as given to the Supplier from time to time;
    - iii) any other requirements and instructions which the Authority reasonably imposes in connection with any equality obligations imposed on the Authority at any time under applicable equality Law; and
  - (b) take all necessary steps and inform the Authority of the steps taken to prevent unlawful discrimination designated as such by any court or tribunal, or the Equality and Human Rights Commission (or any successor organisation).

## **D3 Health and Safety**

- D3.1 The Supplier shall perform its obligations under the Framework Agreement in accordance with:
- (a) all applicable Law regarding health and safety; and

(b) the Authority's health and safety policy while at the Authority's Premises.

D3.2 Each Party shall notify the other as soon as practicable of any health and safety incidents or material health and safety hazards at the Authority's Premises of which it becomes aware and which relate to or arise in connection with the performance of the Framework Agreement. The Supplier shall instruct Staff to adopt any necessary associated safety measures in order to manage any such material health and safety hazards.

#### **D4 Modern Slavery Act**

D4.1 The Supplier shall, and procure that each of its Sub-Contractors shall, comply with:

- (a) all applicable laws, statutes, regulations and codes from time to time in force including but not limited to the Modern Slavery Act 2015 ("**Slavery Act**"); and
- (b) the Authority's anti-slavery policy as provided to the Supplier from time to time ("**Anti-slavery Policy**").

D4.2 The Supplier shall:

- (a) implement due diligence procedures for its Sub-Contractors and other participants in its supply chains, to ensure that there is no slavery or trafficking in its supply chains;
- (b) respond promptly to all slavery and trafficking due diligence questionnaires issued to it by the Authority from time to time and shall ensure that its responses to all such questionnaires are complete and accurate;
- (c) prepare and deliver to the Authority each year, an annual slavery and trafficking report setting out the steps it has taken to ensure that slavery and trafficking is not taking place in any of its supply chains or in any part of its business;
- (d) maintain a complete set of records to trace the supply chain of all Services provided to the Authority in connection with the Framework Agreement; and
- (e) implement a system of training for its employees to ensure compliance with the Slavery Act.

D4.3 The Supplier represents, warrants and undertakes on an ongoing basis during the Term that:

- (a) it conducts its business in a manner consistent with all applicable laws, regulations and codes including, the Slavery Act and all analogous legislation in place in any part of the world;
- (b) its responses to all slavery and trafficking due diligence questionnaires issued to it by the Authority from time to time are complete and accurate;
- (c) neither the Supplier nor any of its Staff or any other persons associated with it:
  - i) has been convicted of any offence involving slavery and trafficking; or
  - ii) has been or is the subject of any investigation, inquiry or enforcement proceedings by any governmental, administrative or regulatory body regarding any offence in connection with slavery and trafficking.

D4.4 The Supplier shall notify the Authority as soon as it becomes aware of:

- (a) any breach, or potential breach, of the Anti-slavery Policy; or
  - (b) any actual or suspected slavery or trafficking in a supply chain which is connected with the Framework Agreement.
- D4.5 If the Supplier notifies the Authority pursuant to clause D4.4, it shall respond promptly to the Authority's enquiries, co-operate with any investigation, and allow the Authority to Audit any books, Records and/or any other relevant documentation in accordance with the Framework Agreement.
- D4.6 If the Supplier is in Default under clauses D4.2 or D4.3 the Authority may by notice:
- (a) require the Supplier to remove from performance of the Framework Agreement any Staff or other persons associated with it whose acts or omissions have caused the Default; or
  - (b) immediately terminate the Framework Agreement.

## **E PROTECTION OF INFORMATION**

### **E1 Authority Data**

- E1.1 For the purposes of clauses E1 and E2, the terms "**Data Controller**", "**Data Processor**", "**Data Subject**", "**Personal Data**", "**Process**" and "**Processing**" have the meanings prescribed in Data Protection Laws.
- E1.2 The Supplier shall:
- (a) not store, copy, disclose, or use the Authority Data except as necessary for the performance by the Supplier of its obligations under the Framework Agreement or as otherwise Approved;
  - (b) preserve the integrity of Authority Data and prevent the corruption or loss of Authority Data;
  - (c) not delete or remove any proprietary notices contained within or relating to the Authority Data;
  - (d) to the extent that Authority Data is held and/or Processed by the Supplier, supply Authority Data to the Authority as requested by the Authority in the format specified in the Specification;
  - (e) perform secure back-ups of all Authority Data and ensure that up-to-date back-ups are stored securely off-site. The Supplier shall ensure that such back-ups are made available to the Authority immediately upon request;
  - (f) ensure that any system on which the Supplier holds any Authority Data, including back-up data, is a secure system that complies with the Security Policy Framework;
  - (g) identify, and disclose to the Authority on request those members of Staff with access to or who are involved in handling Authority Data;

- (h) on request, give the Authority details of its policy for reporting, managing and recovering from information risk incidents, including losses of Personal Data, and its procedures for reducing risk;
- (i) notify the Authority immediately and inform the Authority of the remedial action the Supplier proposes to take if it has reason to believe that Authority Data has or may become corrupted, lost or sufficiently degraded in any way for any reason; and
- (j) comply with Schedule 6 (Security Requirements and Policy).

E1.3 If Authority Data is corrupted, lost or sufficiently degraded as a result of the Supplier's Default so as to be unusable, the Authority may:

- (a) require the Supplier (at the Supplier's expense) to restore or procure the restoration of Authority Data and the Supplier shall do so promptly; and/or
- (b) itself restore or procure the restoration of Authority Data, and be repaid by the Supplier any reasonable expenses incurred in doing so.

## **E2 Data Protection and Privacy**

E2.1 The Supplier shall:

- (a) (and shall procure that all its Staff) comply with any notification requirements under Data Protection Laws and both Parties will duly observe all their obligations under Data Protection Laws which arise in connection with the Framework Agreement;
- (b) in conjunction with the Authority, in its own right and in respect of the Services, make all necessary preparations to ensure it is compliant with the GDPR on its implementation; and
- (c) provide the Authority with the contact details of its data protection officer or other designated individual with responsibility for data protection and privacy to act as the point of contact for the purpose of observing its obligations in this clause E2.

E2.2 Notwithstanding the obligation in clause E2.1, if the Supplier is Processing Personal Data as a Data Processor for the Authority the Supplier shall:

- (a) prior to the processing of any Personal Data and if requested by the Authority provide a privacy impact assessment to the Authority which shall include;
  - i. a systematic description of the envisaged processing operations and the purpose of the processing;
  - ii. an assessment of the necessity and proportionality on the processing operations in relation to the Services;
  - iii. an assessment of the risks to the rights and freedoms of Data Subjects; and
  - iv. the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data
- (b) implement and maintain appropriate technical and organisational measures to protect the Personal Data against unauthorised or unlawful processing and against accidental loss, destruction, damage, alteration or disclosure. These measures shall be appropriate to the

harm which might result from any unauthorised or unlawful processing, accidental loss, destruction or damage to the Personal Data and having regard to the nature of the Personal Data which is to be protected including the measures as are set out in clause E1 (Authority Data), clause E7 (Security) and Schedule 6;

- (c) Process the Personal Data only in accordance with written instructions from the Authority (which may be specific instructions or instructions of a general nature) as set out in the Framework Agreement or as otherwise notified by the Authority;
- (d) Process the Personal Data only to the extent and in such manner as is necessary for the provision of the Supplier's obligations under the Framework Agreement or as required by Law or any Regulatory Body;
- (e) maintain a record of all categories of processing activities carried out on behalf of the Authority, containing:
  - i) the categories of processing carried out on behalf of the Authority;
  - ii) where applicable, any transfers of Personal Data to Restricted Countries or an international organisation.
- (f) take all reasonable steps to ensure the reliability and integrity of any Staff who have access to the Personal Data and ensure that Staff:
  - i) are aware of and comply with the Supplier's obligations in clauses E1, E2 and E4;
  - ii) are subject to appropriate confidentiality undertakings;
  - iii) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Authority or as otherwise allowed by the Framework Agreement; and
  - iv) have undergone adequate training in the use, care, protection and handling of Personal Data;
- (g) not disclose or transfer the Personal Data to, or allow the processing of Personal Data by any Sub-Contractor and/or Affiliates for the provision of the Services without Approval;
- (h) notify the Authority within 48 hours if it:
  - i) receives from a Data Subject (or third party on their behalf): a Data Subject Access Request (or purported Data Subject Access Request); a request to rectify, block or erase any Personal Data; or any other request, complaint or communication relating to either Party's obligations under the Data Protection Laws;
  - ii) considers that any of the Authority's instructions from the Authority infringe the Data Protection Laws;
  - iii) receives any Regulator Correspondence or any other any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data processed under the Framework Agreement;
  - iv) receives a request from any third party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or

- v) is required by Law to commit an act or omission that would, but for clause E2.10, constitute a breach of this clause E2.

- E2.3 The Supplier shall cooperate with and assist the Authority (within the timescales reasonably required by the Authority) in relation to either Party's obligations under Data Protection Laws or any complaint, communication or request made pursuant to clause E2.2(h), including by promptly providing:
- (a) full details and copies of the complaint, communication or request;
  - (b) if applicable, such assistance as reasonably requested by the Authority to Authority to enable the Authority to comply with the Data Subject Access Request within the relevant timescales set out in the Data Protection Laws;
  - (c) the Authority, on request by the Authority, with any Personal Data it holds in relation to a Data Subject; and
  - (d) assistance following a Data Loss Event as required by the Authority including with respect to the conduct of a data protection impact assessment and the Authority's consultation with the Information Commissioner's Office.
- E2.4 The Supplier shall, if requested by the Authority, provide a written description of the measures that it has taken and technical and organisational security measures in place, for the purpose of compliance with its obligations pursuant to this clause E2 and provide to the Authority copies of all documentation relevant to such compliance including, processing records, procedures, guidance, training and manuals.
- E2.5 The Supplier shall allow the Authority (subject to reasonable and appropriate confidentiality undertakings), to inspect and audit, in accordance with clause E9 (Audit), the Supplier's Processing activities (and/or those of Staff) and comply with all reasonable requests or directions by the Authority to enable the Authority to verify and/or procure that the Supplier is in full compliance with its obligations under the Framework Agreement.
- E2.6 The Supplier shall not Process or otherwise transfer any Personal Data in or to any Restricted Country without Approval. If, after the Commencement Date, the Supplier or any Sub-Contractor wishes to Process and/or transfer any Personal Data in or to any Restricted Country, the Supplier shall, in seeking Approval, submit such information as the Authority requires in order to enable it to consider the request and acknowledges that such consent may be given subject to conditions which will, if appropriate, be incorporated into the Framework Agreement at the Supplier's cost and expense using the Change Control Procedure.
- E2.7 If there is a Data Loss Event the Supplier shall:
- (a) notify the Authority immediately and in any event no later than 12 hours after becoming aware of a Data Loss Event, and such notice shall describe the event including the categories and approximate number of Data Subjects concerned and the categories and approximate number of Personal Data records concerned;
  - (b) cooperate fully with Authority investigations into the Data Loss Event;
  - (c) provide immediate access to the Supplier's premises and systems for the purposes of any investigation under clause E2.5;
  - (d) take all necessary actions to remedy the causes of the Data Loss Event and to ensure the protection of Personal Data from any further loss;

- (e) not make any public statement of any kind without Approval; and
- (f) if appropriate, assist the Authority to notify the Information Commissioner within 72 hours of becoming aware of the Data Loss Event.

E2.8 At the end of the Term, at the Authority's request, the Supplier shall delete or return all Personal Data to the Authority and delete any copies of Personal Data except where required to retain copies by Law.

E2.9 The Supplier shall:

- (a) comply with Data Protection Laws and not perform its obligations in such a way as to cause the Authority to breach any of its obligations under the Data Protection Laws;
- (b) use reasonable endeavours to assist the Authority to comply with any of its obligations under the Data Protection Laws;
- (c) not perform its obligations in a way which causes the Authority to breach any of its obligations under the Data Protection Laws to the extent the Supplier is aware, or ought reasonably to have been aware, that the same would be a breach of such obligations; and
- (d) indemnify the Authority against all Losses incurred by the Authority arising from the Supplier's Default under this clause E2 and/or any failure by the Supplier or any Sub-Contractor to comply with their respective obligations under the Data Protection Laws.

E2.10 Nothing in this clause E2 is construed as requiring the Supplier or any Sub-Contractor to be in breach of any Data Protection Laws.

E2.11 This clause E2 applies during the Term and indefinitely after its expiry.

### **E3 Official Secrets Acts and Finance Act**

E3.1 The Supplier shall comply with:

- (a) the Official Secrets Acts 1911 to 1989; and
- (b) section 182 of the Finance Act 1989.

### **E4 Confidential Information**

E4.1 Except to the extent set out in this clause E4 or if disclosure or publication is expressly allowed elsewhere in the Framework Agreement each Party shall treat all Confidential Information belonging to the other Party as confidential and shall not disclose any Confidential Information belonging to the other Party to any other person without the other Party's consent, except to such persons and to such extent as may be necessary for the performance of the Party's obligations under the Framework Agreement.

E4.2 The Supplier hereby gives its consent for the Authority to publish the whole Framework Agreement (but with any information which is Confidential Information belonging to the Authority redacted) including from time to time agreed changes to the Framework Agreement, to the general public.

E4.3 If required by the Authority, the Supplier shall ensure that Staff, professional advisors and consultants sign a non-disclosure agreement prior to commencing any work in connection with the Framework Agreement in a form approved by the Authority. The Supplier shall maintain a list of the non-disclosure agreements completed in accordance with this clause E4.3.

- E4.4 If requested by the Authority, the Supplier shall give the Authority a copy of the list and, subsequently upon request by the Authority, copies of such of the listed non-disclosure agreements as required by the Authority. The Supplier shall ensure that Staff, professional advisors and consultants are aware of the Supplier's confidentiality obligations under the Framework Agreement.
- E4.5 The Supplier may disclose the Authority's Confidential Information only to Staff who are directly involved in providing the Services and who need to know the information, and shall ensure that such Staff are aware of and shall comply with these obligations as to confidentiality.
- E4.6 The Supplier shall not, and shall procure that the Staff do not, use any of the Authority's Confidential Information received otherwise than for the purposes of the Framework Agreement.
- E4.7 Clause E4.1 shall not apply to the extent that:
- (a) such disclosure is a requirement of Law placed upon the Party making the disclosure, including any requirements for disclosure under the FOIA or the EIR;
  - (b) such information was in the possession of the Party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;
  - (c) such information was obtained from a third party without obligation of confidentiality;
  - (d) such information was already in the public domain at the time of disclosure otherwise than by a breach of the Framework Agreement; or
  - (e) it is independently developed without access to the other Party's Confidential Information.
- E4.8 Nothing in clause E4.1 prevents the Authority disclosing any Confidential Information obtained from the Supplier:
- (a) for the purpose of the examination and certification of the Authority's accounts;
  - (b) for the purpose of any examination pursuant to section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Authority has used its resources;
  - (c) to Parliament and Parliamentary committees;
  - (d) to any Crown Body or any Contracting Authority and the Supplier hereby acknowledges that all government departments or Contracting Authorities receiving such Confidential Information may further disclose the Confidential Information to other government departments or other Contracting Authorities on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any government department or any Contracting Authority; or
  - (e) to any consultant, contractor or other person engaged by the Authority
- provided that in disclosing information under clauses E4.8 (d) and (e) the Authority discloses only the information which is necessary for the purpose concerned and requests that the information is treated in confidence and that a confidentiality undertaking is given where appropriate.
- E4.9 Nothing in clauses E4.1 to E4.6 prevents either Party from using any techniques, ideas or Know-How gained during the performance of its obligations under the Framework Agreement in the course of its

normal business, to the extent that this does not result in a disclosure of the other Party's Confidential Information or an infringement of the other Party's Intellectual Property Rights.

- E4.10 The Authority shall use reasonable endeavours to ensure that any government department, Contracting Authority, employee, third party or Sub-Contractor to whom the Supplier's Confidential Information is disclosed pursuant to clause E4.6 is made aware of the Authority's obligations of confidentiality.
- E4.11 If the Supplier does not comply with clauses E4.1 to E4.8 the Authority may terminate the Framework Agreement immediately on notice.
- E4.12 To ensure that no unauthorised person gains access to any Confidential Information or any data obtained in the supply of the Services, the Supplier shall maintain adequate security arrangements that meet the requirements of professional standards and best practice.
- E4.13 The Supplier shall:
- (a) immediately notify the Authority of any breach of security in relation to Confidential Information and all data obtained in the supply of the Services and will keep a record of such breaches;
  - (b) use best endeavours to recover such Confidential Information or data however it may be recorded;
  - (c) co-operate with the Authority in any investigation as a result of any breach of security in relation to Confidential Information or data; and
  - (d) at its own expense, alter any security systems at any time during the Term at the Authority's request if the Authority reasonably believes the Supplier has failed to comply with clause E4.12.

## **E5 Freedom of Information**

- E5.1 The Supplier acknowledges that the Authority is subject to the requirements of the FOIA and the EIR.
- E5.2 The Supplier shall transfer to the Authority all Requests for Information that it receives as soon as practicable and in any event within 2 Working Days of receipt and shall:
- (a) give the Authority a copy of all Information in its possession or control in the form that the Authority requires within 5 Working Days (or such other period as the Authority may specify) of the Authority's request;
  - (b) provide all necessary assistance as reasonably requested by the Authority to enable the Authority to comply with its obligations under the FOIA and EIR; and
  - (c) not respond directly to a Request for Information unless authorised to do so in writing by the Authority.
- E5.3 The Authority shall determine in its absolute discretion and notwithstanding any other provision in the Framework Agreement or any other agreement whether the Commercially Sensitive Information and any other Information is exempt from disclosure in accordance with the FOIA and/or the EIR.

## **E6 Publicity, Media and Official Enquiries**

- E6.1 Without prejudice to the Authority's obligations under the FOIA, the EIR or any obligations under the

Regulations or any policy requirements as to transparency, neither Party shall make any press announcement or publicise the Framework Agreement or any part thereof in any way, without the written consent of the other Party.

E6.2 The Supplier shall use reasonable endeavours to ensure that its Staff, professional advisors and consultants comply with clause E6.1.

## **E7 Security**

E7.1 The Authority may give the Supplier upon request copies of its written security procedures.

E7.2 The Supplier shall, as an enduring obligation during the Term, use the latest versions of anti-virus programs available from an industry accepted anti-virus software vendor to check for and delete Malicious Software from the ICT Environment.

E7.3 Notwithstanding clause E7.2, if Malicious Software is found, the Parties shall co-operate to reduce the effect of the Malicious Software and, particularly if Malicious Software causes loss of operational efficiency or loss or corruption of the Authority Data, assist each other to mitigate any losses and to restore the provision of Services to their desired operating efficiency.

E7.4 Any cost arising out of the actions of the Parties taken in compliance with clause E7.3 shall be borne by the Parties as follows:

- (a) by the Supplier where the Malicious Software originates from the Supplier Software, the Third Party Software or the Authority Data (whilst the Authority Data was under the control of the Supplier); and
- (b) by the Authority if the Malicious Software originates from the Authority Software or Authority Data (whilst the Authority Data was under the control of the Authority).

## **E8 Intellectual Property Rights**

E8.1 All Intellectual Property Rights in:

- (a) the Results; or
- (b) any guidance, specifications, reports, studies, instructions, toolkits, plans, data, drawings, databases, patents, patterns, models, designs or other material which is furnished to or made available to the Supplier by or on behalf of the Authority (together with the Results, the "**IP Materials**")

shall vest in the Authority (save for Copyright and Database Rights which shall vest in Her Majesty the Queen) and the Supplier shall not, and shall ensure that the Staff shall not, use or disclose any IP Materials without Approval save to the extent necessary for performance by the Supplier of its obligations under the Framework Agreement.

E8.2 The Supplier hereby assigns:

- (a) to the Authority, with full title guarantee, all Intellectual Property Rights (save for Copyright and Database Rights) which may subsist in the IP Materials. This assignment shall take effect on the date of the Framework Agreement or (in the case of rights arising after the date of the Framework Agreement) as a present assignment of future rights that will take effect immediately on the coming into existence of the Intellectual Property Rights produced by the Supplier; and

- (b) to Her Majesty the Queen, with full title guarantee, all Copyright and Database Rights which may subsist in the IP Materials

and shall execute all documents and do all acts as are necessary to execute these assignments.

E8.3 The Supplier shall:

- (a) waive or procure a waiver of any moral rights held by it or any third party in copyright material arising as a result of the Framework Agreement or the performance of its obligations under the Framework Agreement;
- (b) ensure that the third party owner of any Intellectual Property Rights that are or which may be used to perform the Services grants to the Authority a non-exclusive licence or, if itself a licensee of those rights, shall grant to the Authority an authorised sub-licence, to use, reproduce, modify, develop and maintain the Intellectual Property Rights in the same. Such licence or sub-licence shall be non-exclusive, perpetual, royalty-free, worldwide and irrevocable and shall include the right for the Authority to sub-license, transfer, novate or assign to other Contracting Authorities, the Crown, the Replacement Supplier or to any other third party supplying goods and/or services to the Authority (“**Indemnified Persons**”);
- (c) not infringe any Intellectual Property Rights of any third party in supplying the Services; and
- (d) during and after the Term, indemnify and keep indemnified the Authority and Indemnified Persons from and against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other liabilities which the Authority and Indemnified Persons may suffer or incur as a result of or in connection with any breach of this clause E8.3, except to the extent that any such claim results directly from:
  - i) items or materials based upon designs supplied by the Authority; or
  - ii) the use of data supplied by the Authority which is not required to be verified by the Supplier under any provision of the Framework Agreement.

E8.4 The Authority shall notify the Supplier in writing of any claim or demand brought against the Authority or Indemnified Person for infringement or alleged infringement of any Intellectual Property Right in materials supplied and/or licensed by the Supplier to the Authority.

E8.5 The Supplier shall at its own expense conduct all negotiations and any litigation arising in connection with any claim, demand or action by any third party for infringement or alleged infringement of any third party Intellectual Property Rights (whether by the Authority, the Supplier or Indemnified Person) arising from the performance of the Supplier’s obligations under the Framework Agreement (“**Third Party IP Claim**”), provided that the Supplier shall at all times:

- (a) consult the Authority on all material issues which arise during the conduct of such litigation and negotiations;
- (b) take due and proper account of the interests of the Authority; and
- (c) not settle or compromise any claim without Approval (not to be unreasonably withheld or delayed).

E8.6 The Authority shall, at the request of the Supplier, afford to the Supplier all reasonable assistance for the purpose of contesting any Third Party IP Claim and the Supplier shall indemnify the Authority for all costs and expenses (including, but not limited to, legal costs and disbursements) incurred in doing so. The Supplier shall not be required to indemnify the Authority under this clause E8.6 in relation to

any costs and expenses to the extent that such arise directly from the matters referred to in clauses E8.3 (d) i) and ii).

E8.7 The Authority shall not, without the Supplier's consent, make any admissions which may be prejudicial to the defence or settlement of any Third Party IP Claim.

E8.8 If any Third Party IP Claim is made or in the reasonable opinion of the Supplier is likely to be made, the Supplier shall notify the Authority and any relevant Indemnified Person, at its own expense and subject to Approval (not to be unreasonably withheld or delayed), shall (without prejudice to the rights of the Authority under clauses E8.3 (b) and G2.1 (g)) use its best endeavours to:

- (a) modify any or all of the Services without reducing the performance or functionality of the same, or substitute alternative services of equivalent performance and functionality, so as to avoid the infringement or the alleged infringement; or
- (b) procure a licence to use the Intellectual Property Rights and supply the Services which are the subject of the alleged infringement, on terms which are acceptable to the Authority

and if the Supplier is unable to comply with clauses E8.8 (a) or (b) within 20 Working Days of receipt by the Authority of the Supplier's notification the Authority may terminate the Framework Agreement immediately by notice to the Supplier.

E8.9 The Supplier grants to the Authority and, if requested by the Authority, to a Replacement Supplier, a royalty-free, irrevocable, worldwide, non-exclusive licence (with a right to sub-license) to use any Intellectual Property Rights that the Supplier owned or developed prior to the Commencement Date and which the Authority (or the Replacement Supplier) reasonably requires in order for the Authority to exercise its rights under, and receive the benefit of, the Framework Agreement (including, without limitation, the Services).

## **E9 Audit**

E9.1 The Supplier shall:

- (a) keep and maintain until 6 years after the end of the Term, or as long a period as may be agreed between the Parties, full and accurate records of the Framework Agreement including the Services supplied under it, all expenditure reimbursed by the Authority, and all payments made by the Authority;
- (b) on request afford the Authority or the Authority's representatives such access to those records and processes as may be requested by the Authority in connection with the Framework Agreement;
- (c) make available to the Authority, free of charge, whenever requested, copies of audit reports obtained by the Supplier in relation to the Services;
- (d) allow authorised representatives of the Authority and/or the National Audit Office to examine the Supplier's records and documents relating to the Framework Agreement and provide such copies and oral or written explanations as may reasonably be required; and
- (e) allow the Comptroller and Auditor General (and his appointed representatives) access free of charge during normal business hours on reasonable notice to all such documents (including computerised documents and data) and other information as the Comptroller and Auditor General may reasonably require for the purposes of his financial audit of the Authority and for carrying out examinations into the economy, efficiency and effectiveness

with which the Authority has used its resources. The Supplier shall provide such explanations as are reasonably required for these purposes.

## **E10 Tax Compliance**

- E10.1 If, during the Term, an Occasion of Tax Non-Compliance occurs, the Supplier shall:
- (a) notify the Authority in writing of such fact within 5 Working Days of its occurrence; and
  - (b) promptly give the Authority:
    - i) details of the steps it is taking to address the Occasion of Tax Non-Compliance and to prevent the same from recurring, together with any mitigating factors it considers relevant; and
    - ii) such other information in relation to the Occasion of Tax Non-Compliance as the Authority may reasonably require.
- E10.2 If the Supplier or any Staff are liable to be taxed in the UK or to pay NICs in respect of consideration received under Call-Off Contracts, the Supplier shall:
- (a) at all times comply with ITEPA and all other statutes and regulations relating to income tax, and SSCBA and all other statutes and regulations relating to NICs, in respect of that consideration; and
  - (b) indemnify the Authority against any income tax, NICs and social security contributions and any other liability, deduction, contribution, assessment or claim arising from or made in connection with the provision of the Services by the Supplier or any Staff.

## **F. CONTROL OF THE FRAMEWORK AGREEMENT**

### **F1 Framework Agreement Performance**

- F1.1 The Supplier shall immediately inform the Authority if any of the Services are not being or are unable to be performed, the reasons for non-performance, any corrective action and the date by which that action will be completed.
- F1.2 At or around 6 Months from the Commencement Date and each anniversary of the Commencement Date thereafter, the Authority may carry out a review of the performance of the Supplier (a "**Review**"). Without prejudice to the generality of the foregoing, the Authority may in respect of the period under review consider such items as (but not limited to):
- a) the Supplier's delivery of the Services;
  - b) the Supplier's contribution to innovation in the Authority; whether the Services provide the Authority with best value for money; consideration of any changes which may need to be made to the Services;
  - c) a review of future requirements in relation to the Services; and
  - d) progress against key milestones.

- F1.3 The Supplier shall provide at its own cost any assistance reasonably required by the Authority to perform Reviews including the provision of data and information.
- F1.4 The Authority may produce a report (a "**Review Report**") of the results of each Review stating any areas of exceptional performance and areas for improvement in the provision of the Services and where there is any shortfall in any aspect of performance reviewed as against the Authority's expectations and the Supplier's obligations under the Framework Agreement.
- F1.5 The Authority shall give the Supplier a copy of the Review Report (if applicable). The Authority shall consider any Supplier comments and may produce a revised Review Report.
- F1.6 The Supplier shall, within 10 Working Days of receipt of the Review Report (revised as appropriate) provide the Authority with a plan to address resolution of any shortcomings and implementation of improvements identified by the Review Report.
- F1.7 Actions required to resolve shortcomings and implement improvements (either as a consequence of the Supplier's failure to meet its obligations under the Framework Agreement identified by the Review Report, or those which result from the Supplier's failure to meet the Authority's expectations notified to the Supplier or of which the Supplier ought reasonably to have been aware) shall be implemented at no extra cost to the Authority.

## **F2 Remedies**

- F2.1 If the Authority reasonably believes the Supplier has committed a Material Breach it may, without prejudice to its rights under clause H2 (Termination on Default), do any of the following:
  - (a) without terminating the Framework Agreement, itself supply or procure the supply of all or part of the Services until such time as the Supplier has demonstrated to the Authority's reasonable satisfaction that the Supplier will be able to supply the Services in accordance with the Specification;
  - (b) without terminating the whole of the Framework Agreement, terminate the Framework Agreement in respect of part of the Services only (whereupon a corresponding reduction in the Price shall be made) and thereafter itself supply or procure a third party to supply such part of the Services;
  - (c) withhold or reduce payments to the Supplier in such amount as the Authority reasonably deems appropriate in each particular case; and/or
  - (d) terminate the Framework Agreement in accordance with clause H2.
- F2.2 Without prejudice to its right under clause C3 (Recovery of Sums Due), the Authority may charge the Supplier for any costs reasonably incurred and any reasonable administration costs in respect of the supply of any part of the Services by the Authority or a third party to the extent that such costs exceed the payment which would otherwise have been payable to the Supplier for such part of the Services.
- F2.3 If the Authority reasonably believes the Supplier has failed to supply all or any part of the Services in accordance with the Framework Agreement, professional or Good Industry Practice which could reasonably be expected of a competent and suitably qualified person, or any legislative or regulatory requirement, the Authority may give the Supplier notice specifying the way in which its performance falls short of the requirements of the Framework Agreement or is otherwise unsatisfactory.
- F2.4 If the Supplier has been notified of a failure in accordance with clause F2.3 the Authority may:

- (a) direct the Supplier to identify and remedy the failure within such time as may be specified by the Authority and to apply all such additional resources as are necessary to remedy that failure at no additional charge to the Authority within the specified timescale; and/or
- (b) withhold or reduce payments to the Supplier in such amount as the Authority deems appropriate in each particular case until such failure has been remedied to the satisfaction of the Authority.

F2.5 If the Supplier has been notified of a failure in accordance with clause F2.3, it shall:

- (a) use all reasonable endeavours to immediately minimise the impact of such failure to the Authority and to prevent such failure from recurring; and
- (b) immediately give the Authority such information as the Authority may request regarding what measures are being taken to comply with the obligations in this clause F2.5 and the progress of those measures until resolved to the satisfaction of the Authority.

F2.6 If, having been notified of any failure, the Supplier fails to remedy it in accordance with clause F2.5 within the time specified by the Authority, the Authority may treat the continuing failure as a Material Breach and may terminate the Framework Agreement immediately on notice to the Supplier.

### **F3 Transfer and Sub-Contracting**

F3.1 Except where both clauses F3.6 and F3.7 apply, the Supplier shall not transfer, charge, assign, sub-contract or in any other way dispose of the Framework Agreement or any part of it without Approval. All such actions shall be evidenced in writing and shown to the Authority on request. Sub-contracting any part of the Framework Agreement does not relieve the Supplier of any of its obligations or duties under the Framework Agreement.

F3.2 The Supplier is responsible for the acts and/or omissions of its Sub-Contractors as though they are its own. If it is appropriate, the Supplier shall provide each Sub-Contractor with a copy of the Framework Agreement and obtain written confirmation from them that they will provide the Services fully in accordance with the Framework Agreement.

F3.3 The Supplier shall ensure that Sub-Contractors retain all records relating to the Services for at least 6 years from the date of their creation and make them available to the Authority on request in accordance with clause E9 (Audit). If any Sub-Contractor does not allow the Authority access to the records then the Authority shall have no obligation to pay any claim or invoice made by the Supplier on the basis of such documents or work carried out by the Sub-Contractor.

F3.4 If the Authority has consented to the award of a Sub-Contract, the Supplier shall ensure that:

- (a) the Sub-Contract contains:
  - i) a right for the Supplier to terminate the Sub-Contract if the relevant Sub-Contractor does not comply with its legal obligations in data protection, environmental, social or labour law; and
  - ii) obligations no less onerous on the Sub-Contractor than those on the Supplier under the Framework Agreement in respect of data protection in clauses E1 and E2
- (b) the Sub-Contractor includes a provision having the same effect as set out in clause F3.4 (a) in any Sub-Contract which it awards; and

(c) copies of each Sub-Contract are sent to the Authority immediately after their execution.

F3.5 If the Authority believes there are:

- (a) compulsory grounds for excluding a Sub-Contractor pursuant to regulation 57 of the Regulations, the Supplier shall replace or not appoint the Sub-Contractor; or
- (b) non-compulsory grounds for excluding a Sub-Contractor pursuant to regulation 57 of the Regulations, the Authority may require the Supplier to replace or not appoint the Sub-Contractor and the Supplier shall comply with such requirement.

F3.6 Notwithstanding clause F3.1, the Supplier may assign to a third party (the “**Assignee**”) the right to receive payment of the Price or any part thereof due to the Supplier (including any interest which the Authority incurs under clause C2 (Payment and VAT)). Any assignment under this clause F3.6 is subject to:

- (a) reduction of any sums in respect of which the Authority exercises its right of recovery under clause C3 (Recovery of Sums Due);
- (b) all related rights of the Authority under the Framework Agreement in relation to the recovery of sums due but unpaid; and
- (c) the Authority receiving notification under both clauses F3.7 and F3.8.

F3.7 If the Supplier assigns the right to receive the Price under clause F3.6, the Supplier or the Assignee shall notify the Authority in writing of the assignment and the date upon which the assignment becomes effective.

F3.8 The Supplier shall ensure that the Assignee notifies the Authority of the Assignee’s contact information and bank account details to which the Authority can make payment.

F3.9 Clause C2 continues to apply in all other respects after the assignment and shall not be amended without Approval.

F3.10 Subject to clause F3.11, the Authority may assign, novate or otherwise dispose of its rights and obligations under the Framework Agreement or any part thereof to:

- (a) any Contracting Authority;
- (b) any other body established or authorised by the Crown or under statute in order substantially to perform any of the functions that had previously been performed by the Authority; or
- (c) any private sector body which substantially performs the functions of the Authority

provided that any such assignment, novation or other disposal shall not increase the burden of the Supplier’s obligations under the Framework Agreement.

F3.11 Any change in the legal status of the Authority such that it ceases to be a Contracting Authority shall not, subject to clause F3.12, affect the validity of the Framework Agreement and the Framework Agreement shall bind and inure to the benefit of any successor body to the Authority.

F3.12 If the rights and obligations under the Framework Agreement are assigned, novated or otherwise disposed of pursuant to clause F3.10 to a body which is not a Contracting Authority or if there is a change in the legal status of the Authority such that it ceases to be a Contracting Authority (in the remainder of this clause both such bodies being referred to as the “**Transferee**”):

- (a) the rights of termination of the Authority in clauses H1 and H2 are available to the Supplier in respect of the Transferee; and
- (b) the Transferee shall only be able to assign, novate or otherwise dispose of its rights and obligations under the Framework Agreement or any part thereof with the prior consent in writing of the Supplier.

F3.13 The Authority may disclose to any Transferee any Confidential Information of the Supplier which relates to the performance of the Supplier's obligations under the Framework Agreement. In such circumstances the Authority shall authorise the Transferee to use such Confidential Information only for purposes relating to the performance of the Supplier's obligations under the Framework Agreement and for no other purpose and shall take all reasonable steps to ensure that the Transferee gives a confidentiality undertaking in relation to such Confidential Information.

F3.14 Each Party shall at its own cost and expense carry out, or use all reasonable endeavours to ensure the carrying out of, whatever further actions (including the execution of further documents) the other Party reasonably requires from time to time for the purpose of giving that other Party the full benefit of the Framework Agreement.

#### **F4 Change**

F4.1 If, after the Commencement Date, the Authority's requirements change, the Authority may request a Change subject to the terms of this clause F4.

F4.2 The Authority may request a Change by notifying the Supplier in writing of the Change and giving the Supplier sufficient information to assess the extent of the Change and consider whether any change to the Price is required in order to implement the Change within a reasonable time limit specified by the Authority. If the Supplier accepts the Change it shall confirm it in writing.

F4.3 If the Supplier is unable to accept the Change or where the Parties are unable to agree a change to the Price, the Authority may:

- (a) allow the Supplier to fulfil its obligations under the Framework Agreement without the Change; or
- (b) terminate the Framework Agreement immediately except where the Supplier has already delivered all or part of the Services or where the Supplier can show evidence of substantial work being carried out to fulfil the requirements of the Specification; and in such case the Parties shall attempt to agree upon a resolution to the matter. If a resolution cannot be reached, the matter shall be dealt with under the Dispute Resolution procedure detailed in clause I2 (Dispute Resolution).

F4.4 A Change takes effect only when it is recorded in a CCN validly executed by both Parties.

F4.5 The Supplier is deemed to warrant and represent that the CNN has been executed by a duly authorised representative of the Supplier in addition to the warranties and representations set out in clause G2.

F4.6 Clauses F4.4 and F4.5 may be varied in an emergency if it is not practicable to obtain the Authorised Representative's approval within the time necessary to make the Change in order to address the emergency. In an emergency, Changes may be approved by a different representative of the Authority. However, the Authorised Representative may review such a Change and require a CCN to be entered into on a retrospective basis which may itself vary the emergency Change.

## **G LIABILITIES**

### **G1 Liability, Indemnity and Insurance**

- G1.1 Neither Party limits its liability for:
- (a) death or personal injury caused by its negligence;
  - (b) fraud or fraudulent misrepresentation;
  - (c) any breach of any obligations implied by section 12 of the Sale of Goods Act 1979 or section 2 of the Supply of Goods and Services Act 1982;
  - (d) any breach of clauses D1, E1, E2 or E4;
  - (e) any breach of Schedule 6; or
  - (f) any liability to the extent it cannot be limited or excluded by Law.
- G1.2 Subject to clauses G1.3 and G1.5, the Supplier indemnifies the Authority fully against all claims, proceedings, demands, charges, actions, damages, costs, breach of statutory duty, expenses and any other liabilities which may arise out of the supply, or the late or purported supply, of the Services or the performance or non-performance by the Supplier of its obligations under the Framework Agreement or the presence of the Supplier or any Staff on the Premises, including in respect of any death or personal injury, loss of or damage to property, financial loss arising from any advice given or omitted to be given by the Supplier, or any other loss which is caused directly by any act or omission of the Supplier.
- G1.3 Subject to clause G1.1 the Supplier's aggregate liability in respect of the Framework Agreement does not exceed £2,000,000.
- G1.4 Subject to clause G1.1 the Authority's aggregate liability in respect of the Framework Agreement does not exceed the Price payable in the previous calendar year of the Framework Agreement.
- G1.5 The Supplier is not responsible for any injury, loss, damage, cost or expense if and to the extent that it is caused by the negligence or wilful misconduct of the Authority or by breach by the Authority of its obligations under the Framework Agreement.
- G1.6 The Authority may recover from the Supplier the following losses incurred by the Authority to the extent they arise as a result of a Default by the Supplier:
- (a) any additional operational and/or administrative costs and expenses incurred by the Authority, including costs relating to time spent by or on behalf of the Authority in dealing with the consequences of the Default;
  - (b) any wasted expenditure or charges;
  - (c) the additional costs of procuring a Replacement Supplier for the remainder of the Term and or replacement deliverables which shall include any incremental costs associated with the Replacement Supplier and/or replacement deliverables above those which would have been payable under the Framework Agreement;

- (d) any compensation or interest paid to a third party by the Authority; and
- (e) any fine or penalty incurred by the Authority pursuant to Law and any costs incurred by the Authority in defending any proceedings which result in such fine or penalty.

G1.7 Subject to clauses G1.1 and G1.6, neither Party is liable to the other for any:

- (a) loss of profits, turnover, business opportunities or damage to goodwill (in each case whether direct or indirect); or
- (b) indirect, special or consequential loss.

G1.8 Unless otherwise specified by the Authority, the Supplier shall, with effect from the Commencement Date for such period as necessary to enable the Supplier to comply with its obligations herein, take out and maintain with a reputable insurance company a policy or policies of insurance providing an adequate level of cover in respect of all risks which may be incurred by the Supplier, arising out of the Supplier's performance of its obligations under the Framework Agreement including:

- (a) if required by the Authority, appropriate, professional indemnity insurance in the sum of not less than £5,000,000 (five million pounds) for any advice given by the Supplier to the Authority;
- (b) cover for death or personal injury, loss of or damage to property or any other loss; and
- (c) employer's liability insurance in respect of Staff.

Such insurance policies shall be maintained for the duration of the Term and for a minimum of 6 years following the end of the Term.

G1.9 The Supplier shall give the Authority, on request, copies of all insurance policies referred to in this clause or a broker's verification of insurance to demonstrate that the appropriate cover is in place, together with receipts or other evidence of payment of the latest premiums due under those policies.

G1.10 If the Supplier does not have and maintain the insurances required by the Framework Agreement, the Authority may make alternative arrangements to protect its interests and may recover the costs of such arrangements from the Supplier.

G1.11 The provisions of any insurance or the amount of cover shall not relieve the Supplier of any liabilities under the Framework Agreement.

G1.12 The Supplier shall not take any action or fail to take any reasonable action, or (to the extent that it is reasonably within its power) permit anything to occur in relation to the Supplier, which would entitle any insurer to refuse to pay any claim under any insurance policy in which the Supplier is an insured, a co-insured or additional insured person.

## **G2 Warranties and Representations**

G2.1 The Supplier warrants and represents on the Commencement Date and for the Term that:

- (a) it has full capacity and authority and all necessary consents to enter into and perform the Framework Agreement and that the Framework Agreement is executed by a duly authorised representative of the Supplier;
- (b) in entering the Framework Agreement it has not committed any fraud;

- (c) as at the Commencement Date, all information contained in the Tender or other offer made by the Supplier to the Authority remains true, accurate and not misleading, save as may have been specifically disclosed in writing to the Authority prior to execution of the Framework Agreement and in addition, that it will advise the Authority of any fact, matter or circumstance of which it may become aware which would render such information to be false or misleading;
- (d) no claim is being asserted and no litigation, arbitration or administrative proceeding is in progress or, to the best of its knowledge and belief, pending or threatened against it or any of its assets which will or might have an adverse effect on its ability to perform its obligations under the Framework Agreement;
- (e) it is not subject to any contractual obligation, compliance with which is likely to have a material adverse effect on its ability to perform its obligations under the Framework Agreement;
- (f) no proceedings or other steps have been taken and not discharged (or, to the best of its knowledge, are threatened) for the winding up of the Supplier or for its dissolution or for the appointment of a receiver, administrative receiver, liquidator, manager, administrator or similar officer in relation to any of the Supplier's assets or revenue;
- (g) it owns, or has obtained or is able to obtain valid licences for, all Intellectual Property Rights that are necessary for the performance of its obligations under the Framework Agreement;
- (h) any person engaged by the Supplier shall be engaged on terms which do not entitle them to any Intellectual Property Right in any IP Materials;
- (i) in the 3 years (or period of existence if the Supplier has not been in existence for 3 years) prior to the date of the Framework Agreement:
  - i) it has conducted all financial accounting and reporting activities in compliance in all material respects with the generally accepted accounting principles that apply to it in any country where it files accounts;
  - ii) it has been in full compliance with all applicable securities and tax laws and regulations in the jurisdiction in which it is established; and
  - iii) it has not done or omitted to do anything which could have a material adverse effect on its assets, financial condition or position as an ongoing business concern or its ability to fulfil its obligations under the Framework Agreement;
- (j) it has and will continue to hold all necessary (if any) regulatory approvals from the Regulatory Bodies necessary to perform its obligations under the Framework Agreement; and
- (k) it has notified the Authority in writing of any Occasions of Tax Non-Compliance and any litigation in which it is involved that is in connection with any Occasion of Tax Non-Compliance.

G2.2 The Supplier confirms that in entering into the Framework Agreement it is not relying on any statements, warranties or representations given or made (whether negligently or innocently or whether express or implied), or any acts or omissions by or on behalf of the Authority in connection with the subject matter of the Framework Agreement except those expressly set out in the Framework Agreement and the Supplier hereby waives and releases the Authority in respect thereof absolutely.

## **H DEFAULT, DISRUPTION AND TERMINATION**

### **H1 Insolvency and Change of Control**

H1.1 The Authority may terminate the Framework Agreement with immediate effect by notice and without compensation to the Supplier if the Supplier is a company and in respect of the Supplier:

- (a) a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or of any other composition scheme or arrangement with, or assignment for the benefit of, its creditors;
- (b) a shareholders' meeting is convened for the purpose of considering a resolution that it be wound up or a resolution for its winding-up is passed (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation);
- (c) a petition is presented for its winding up (which is not dismissed within 14 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;
- (d) a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets;
- (e) an application order is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given;
- (f) it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986;
- (g) being a "small company" within the meaning of section 247(3) of the Companies Act 1985, a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or
- (h) any event similar to those listed in H1.1 (a)-(g) occurs under the law of any other jurisdiction.

H1.2 The Authority may terminate the Framework Agreement with immediate effect by notice and without compensation to the Supplier if the Supplier is an individual and:

- (a) an application for an interim order is made pursuant to sections 252-253 of the Insolvency Act 1986 or a proposal is made for any composition scheme or arrangement with, or assignment for the benefit of, the Supplier's creditors;
- (b) a petition is presented and not dismissed within 14 days or order made for the Supplier's bankruptcy;
- (c) a receiver, or similar officer is appointed over the whole or any part of the Supplier's assets or a person becomes entitled to appoint a receiver, or similar officer over the whole or any part of his assets;
- (d) he is unable to pay his debts or has no reasonable prospect of doing so, in either case within the meaning of section 268 of the Insolvency Act 1986;

- (e) a creditor or encumbrancer attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole or any part of the Supplier's assets and such attachment or process is not discharged within 14 days;
- (f) he dies or is adjudged incapable of managing his affairs within the meaning of Part VII of the Mental Capacity Act 2005;
- (g) he suspends or ceases, or threatens to suspend or cease, to carry on all or a substantial part of his business; or
- (h) any event similar to those listed in clauses H1.2(a) to (g) occurs under the law of any other jurisdiction.

H1.3 The Supplier shall notify the Authority immediately following a merger, take-over, change of control, change of name or status including where the Supplier undergoes a change of control within the meaning of section 1124 of the Corporation Taxes Act 2010 ("**Change of Control**"). The Authority may terminate the Framework Agreement with immediate effect by notice and without compensation to the Supplier within 6 Months of:

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

but is not permitted to terminate where Approval was granted prior to the Change of Control.

H1.4 The Authority may terminate the Framework Agreement with immediate effect by notice and without compensation to the Supplier if the Supplier is a partnership and:

- (a) a proposal is made for a voluntary arrangement within Article 4 of the Insolvent Partnerships Order 1994 or a proposal is made for any other composition, scheme or arrangement with, or assignment for the benefit of, its creditors; or
- (b) a petition is presented for its winding up or for the making of any administration order, or an application is made for the appointment of a provisional liquidator; or
- (c) a receiver, or similar officer is appointed over the whole or any part of its assets; or
- (d) the partnership is deemed unable to pay its debts within the meaning of section 222 or 223 of the Insolvency Act 1986 as applied and modified by the Insolvent Partnerships Order 1994; or
- (e) any of the following occurs in relation to any of its partners:
  - (i) an application for an interim order is made pursuant to sections 252-253 of the Insolvency Act 1986 or a proposal is made for any composition scheme or arrangement with, or assignment for the benefit of, his creditors;
  - (ii) a petition is presented for his bankruptcy; or
  - (iii) a receiver, or similar officer is appointed over the whole or any part of his assets;
- (f) any event similar to those listed in clauses H1.4 (a) to (e) occurs under the law of any other jurisdiction

H1.5 The Authority may terminate the Framework Agreement with immediate effect by notice and without compensation to the Supplier if the Supplier is a limited liability partnership and:

- (a) a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or a proposal is made for any other composition, scheme or arrangement with, or assignment for the benefit of, its creditors;
- (b) an application 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 within Part II of the Insolvency Act 1986;
- (c) any step is taken with a view to it being determined that it be wound up (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation) within Part IV of the Insolvency Act 1986;
- (d) a petition is presented for its winding up (which is not dismissed within 14 days of its service) or an application is made for the appointment of a provisional liquidator within Part IV of the Insolvency Act 1986;
- (e) a receiver, or similar officer is appointed over the whole or any part of its assets; or
- (f) it is or becomes unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986;
- (g) a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or
- (h) any event similar to those listed in clauses H1.5 (a) to (g) occurs under the law of any other jurisdiction.

H1.6 References to the Insolvency Act 1986 in clause H1.5 (a) are references to that Act as applied under the Limited Liability Partnerships Act 2000 subordinate legislation.

## **H2 Default**

H2.1 The Authority may terminate the Framework Agreement with immediate effect by notice if the Supplier commits a Default and:

- (a) the Supplier has not remedied the Default to the satisfaction of the Authority within 20 Working Days or such other period as may be specified by the Authority, after issue of a notice specifying the Default and requesting it to be remedied;
- (b) the Default is not, in the opinion of the Authority, capable of remedy; or
- (c) the Default is a Material Breach.

H2.2 If, through any Default of the Supplier, data transmitted or processed in connection with the Framework Agreement is either lost or sufficiently degraded as to be unusable, the Supplier is liable for the cost of reconstitution of that data and shall reimburse the Authority in respect of any charge levied for its transmission and any other costs charged in connection with such Default.

H2.3 If the Authority fails to pay the Supplier undisputed sums of money when due, the Supplier shall give notice to the Authority of its failure to pay. If the Authority fails to pay such undisputed sums within 90 Working Days of the date of such notice, the Supplier may terminate the Framework Agreement with immediate effect, save that such right of termination shall not apply where the failure to pay is due to the Authority exercising its rights under clause C3.1 or to a Force Majeure Event.

### **H3 Termination on Notice**

The Authority may terminate the Framework Agreement at any time by giving 60 days' notice to the Supplier.

### **H4 Other Grounds**

H4.1 The Authority may terminate the Framework Agreement if:

- (a) the Framework Agreement has been subject to a substantial modification which requires a new procurement procedure pursuant to regulation 72(9) of the Regulations;
- (b) the Supplier was, at the time the Framework Agreement was awarded, in one of the situations specified in regulation 57(1) of the Regulations, including as a result of the application of regulation 57(2), and should therefore have been excluded from the procurement procedure which resulted in its award of the Framework Agreement;
- (c) the Framework Agreement should not have been awarded to the Supplier in view of a serious infringement of the obligations under the Treaties and the Regulations that has been declared by the Court of Justice of the European Union in a procedure under Article 258 of the TFEU; or
- (d) the Supplier has not, in performing the Services, complied with its legal obligations in respect of environmental, social or labour law.

### **H5 Consequences of Expiry or Termination**

H5.1 If the Authority terminates the Framework Agreement under clause H2 and makes other arrangements for the supply of the Services the Authority may recover from the Supplier the cost reasonably incurred of making those other arrangements and any additional expenditure incurred by the Authority throughout the remainder of the Term.

H5.2 If the Framework Agreement is terminated under clause H2 the Authority shall make no further payments to the Supplier (for Services supplied by the Supplier prior to termination and in accordance with the Framework Agreement but where the payment has yet to be made by the Authority), until the Authority has established the final cost of making the other arrangements envisaged under this clause H5.

H5.3 If the Authority terminates the Framework Agreement under clauses H3 or H4 the Authority shall make no further payments to the Supplier except for Services supplied by the Supplier prior to termination and in accordance with the Framework Agreement but where the payment has yet to be made by the Authority.

H5.4 Save as otherwise expressly provided in the Framework Agreement:

- (a) termination or expiry of the Framework Agreement shall be without prejudice to any rights, remedies or obligations accrued under the Framework Agreement prior to termination or expiration and nothing in the Framework Agreement prejudices the right of either Party to recover any amount outstanding at such termination or expiry; and
- (b) termination of the Framework Agreement does not affect the continuing rights, remedies or obligations of the Authority or the Supplier under clauses C2 (Payment and VAT), C3 (Recovery of Sums Due), D1 (Prevention of Fraud and Bribery), E2 (Data Protection and Privacy), E3 (Official Secrets Acts and Finance Act), E4 (Confidential Information), E5 (Freedom of Information), E8 (Intellectual Property Rights), E9 (Audit), G1 (Liability, Indemnity

and Insurance), H5 (Consequences of Expiry or Termination), H7 (Recovery upon Termination), H8 (Retendering and Handover), H9 (Exit Management), H10 (Knowledge Retention), I6 (Remedies Cumulative), and I1 (Governing Law and Jurisdiction).

## **H6 Disruption**

- H6.1 The Supplier shall take reasonable care to ensure that in the performance of its obligations under the Framework Agreement it does not disrupt the operations of the Authority, its employees or any other contractor employed by the Authority.
- H6.2 The Supplier shall immediately inform the Authority of any actual or potential industrial action, whether such action be by its own employees or others, which affects or might affect its ability at any time to perform its obligations under the Framework Agreement.
- H6.3 If there is industrial action by Staff, the Supplier shall seek Approval for its proposals to continue to perform its obligations under the Framework Agreement.
- H6.4 If the Supplier's proposals referred to in clause H6.3 are considered insufficient or unacceptable by the Authority acting reasonably, the Framework Agreement may be terminated with immediate effect by the Authority.
- H6.5 If the Supplier is unable to deliver the Services owing to disruption of the Authority's normal business, the Supplier may request a reasonable allowance of time, and, in addition, the Authority will reimburse any additional expense reasonably incurred by the Supplier as a direct result of such disruption.

## **H7 Recovery**

- H7.1 On termination of the Framework Agreement for any reason, the Supplier shall at its cost:
- (a) immediately return to the Authority all Confidential Information, Personal Data and IP Materials in its possession or in the possession or under the control of any permitted suppliers or Sub-Contractors, which was obtained or produced in the course of providing the Goods and Services;
  - (b) immediately deliver to the Authority all Property (including materials, documents, information and access keys) provided to the Supplier in good working order;
  - (c) immediately vacate any Authority Premises occupied by the Supplier;
  - (d) assist and co-operate with the Authority to ensure an orderly transition of the provision of the Services to the Replacement Supplier and/or the completion of any work in progress; and
  - (e) promptly provide all information concerning the provision of the Services which may reasonably be requested by the Authority for the purposes of adequately understanding the manner in which the Services have been provided and/or for the purpose of allowing the Authority and/or the Replacement Supplier to conduct due diligence.
- H7.2 If the Supplier does not comply with clauses H7.1 (a) and (b), the Authority may recover possession thereof and the Supplier grants a licence to the Authority or its appointed agents to enter (for the purposes of such recovery) any premises of the Supplier or its suppliers or Sub-Contractors where any such items may be held.

## **H8 Retendering and Handover**

- H8.1 Within 21 days of being requested by the Authority, the Supplier shall provide, and thereafter keep updated, in a fully indexed and catalogued format, all the information necessary to enable the Authority to issue tender documents for the future provision of the Services.
- H8.2 The Authority shall take all necessary precautions to ensure that the information referred to in clause H8.1 is given only to potential providers who have qualified to tender for the future provision of the Services.
- H8.3 The Authority shall require that all potential providers treat the information in confidence; that they do not communicate it except to such persons within their organisation and to such extent as may be necessary for the purpose of preparing a response to an invitation to tender issued by the Authority; and that they shall not use it for any other purpose.
- H8.4 The Supplier indemnifies the Authority against any claim made against the Authority at any time by any person in respect of any liability incurred by the Authority arising from any deficiency or inaccuracy in information which the Supplier is required to provide under clause H8.1.
- H8.5 The Supplier shall allow access to the Premises in the presence of an authorised representative, to any person representing any potential provider whom the Authority has selected to tender for the future provision of the Services.
- H8.6 If access is required to the Supplier's Premises for the purposes of clause H8.5, the Authority shall give the Supplier 7 days' notice of a proposed visit together with a list showing the names of all persons who will be visiting. Their attendance shall be subject to compliance with the Supplier's security procedures, subject to such compliance not being in conflict with the objectives of the visit.
- H8.7 The Supplier shall co-operate fully with the Authority during any handover at the end of the Framework Agreement. This co-operation includes allowing full access to, and providing copies of, all documents, reports, summaries and any other information necessary in order to achieve an effective transition without disruption to routine operational requirements.
- H8.8 Within 10 Working Days of being requested by the Authority, the Supplier shall transfer to the Authority, or any person designated by the Authority, free of charge, all computerised filing, recording, documentation, planning and drawing held on software and utilised in the provision of the Services. The transfer shall be made in a fully indexed and catalogued disk format, to operate on a proprietary software package identical to that used by the Authority.

## **H9 Exit Management**

- H9.1 On termination of the Framework Agreement the Supplier shall render reasonable assistance to the Authority to the extent necessary to effect an orderly assumption by a Replacement Supplier in accordance with the procedure set out in clauses H9.2 to H9.5.
- H9.2 If the Authority requires a continuation of all or any of the Services on expiry or termination of the Framework Agreement, either by performing them itself or by engaging a third party to perform them, the Supplier shall co-operate fully with the Authority and any such third party and shall take all reasonable steps to ensure the timely and effective transfer of the Services without disruption to routine operational requirements.
- H9.3 The following commercial approach shall apply to the transfer of the Services if the Supplier:
- (a) does not have to use resources in addition to those normally used to deliver the Services prior to termination or expiry, there shall be no change to the Price; or

- (b) reasonably incurs additional costs, the Parties shall agree a Change to the Price based on the Supplier's rates either set out in Schedule 2 or forming the basis for the Price.

H9.4 When requested to do so by the Authority, the Supplier shall deliver to the Authority details of all licences for software used in the provision of the Services including the software licence agreements.

H9.5 Within one Month of receiving the software licence information described in clause H9.4, the Authority shall notify the Supplier of the licences it wishes to be transferred and the Supplier shall provide for the approval of the Authority a plan for licence transfer.

## H10 Knowledge Retention

The Supplier shall co-operate fully with the Authority in order to enable an efficient and detailed knowledge transfer from the Supplier to the Authority on the completion or earlier termination of the Framework Agreement and in addition, to minimise any disruption to routine operational requirements. To facilitate this transfer, the Supplier shall provide the Authority free of charge with full access to its Staff, and in addition, copies of all documents, reports, summaries and any other information requested by the Authority. The Supplier shall comply with the Authority's request for information no later than 15 Working Days from the date that that request was made.

# I GENERAL

## I1 Dispute Resolution

I1.1 The Parties shall attempt in good faith to negotiate a settlement to any dispute between them arising out of or in connection with the Framework Agreement within 20 Working Days of either Party notifying the other of the dispute and such efforts shall involve the escalation of the dispute to the finance director of the Supplier and the commercial director of the Authority.

I1.2 Nothing in this dispute resolution procedure prevents the Parties seeking from any court of competent jurisdiction an interim order restraining the other Party from doing any act or compelling the other Party to do any act.

I1.3 If the dispute cannot be resolved by the Parties pursuant to clause I1.1 either Party may refer it to mediation pursuant to the procedure set out in clause I1.5.

I1.4 The obligations of the Parties under the Framework Agreement shall not cease, or be suspended or delayed by the reference of a dispute to mediation (or arbitration) and the Supplier and the Staff shall comply fully with the requirements of the Framework Agreement at all times.

I1.5 The procedure for mediation and consequential provisions relating to mediation are as follows:

- (a) a neutral adviser or mediator (the "**Mediator**") shall be chosen by agreement of the Parties or, if they are unable to agree upon a Mediator within 10 Working Days after a request by one Party to the other or if the Mediator agreed upon is unable or unwilling to act, either Party shall within 10 Working Days from the date of the proposal to appoint a Mediator or within 10 Working Days of notice to either Party that he is unable or unwilling to act, apply to the Centre for Effective Dispute Resolution to appoint a Mediator;
- (b) the Parties shall within 10 Working Days of the appointment of the Mediator meet with him in order to agree a programme for the exchange of all relevant information and the structure to be

adopted for negotiations. If appropriate, the Parties may at any stage seek assistance from the Centre for Effective Dispute Resolution to provide guidance on a suitable procedure;

- (c) unless otherwise agreed, all negotiations connected with the dispute and any settlement agreement relating to it shall be conducted in confidence and without prejudice to the rights of the Parties in any future proceedings;
- (d) if the Parties reach agreement on the resolution of the dispute, the agreement shall be recorded in writing and shall be binding on the Parties once it is signed by their duly authorised representatives;
- (e) failing agreement, either of the Parties may invite the Mediator to provide a non-binding but informative written opinion. Such an opinion shall be provided on a without prejudice basis and shall not be used in evidence in any proceedings relating to the Framework Agreement without the prior written consent of both Parties; and
- (f) if the Parties fail to reach agreement within 60 Working Days of the Mediator being appointed, or such longer period as may be agreed by the Parties, then any dispute or difference between them may be referred to the Courts unless the dispute is referred to arbitration pursuant to the procedures set out in clause I1.6.

I1.6 Subject to clause I1.2, the Parties shall not institute court proceedings until the procedures set out in clauses I1.1 and I1.3 have been completed save that:

- (a) the Authority may at any time before court proceedings are commenced, serve a notice on the Supplier requiring the dispute to be referred to and resolved by arbitration in accordance with clause I1.7;
- (b) if the Supplier intends to commence court proceedings, it shall serve notice on the Authority of its intentions and the Authority has 21 days following receipt of such notice to serve a reply on the Supplier requiring the dispute to be referred to and resolved by arbitration in accordance with clause I1.7; and
- (c) the Supplier may request by notice to the Authority that any dispute be referred and resolved by arbitration in accordance with clause I1.7, to which the Authority may consent as it sees fit.

I1.7 If any arbitration proceedings are commenced pursuant to clause I1.6:

- (a) the arbitration is governed by the Arbitration Act 1996 and the Authority shall give a notice of arbitration to the Supplier (the “**Arbitration Notice**”) stating:
  - (i) that the dispute is referred to arbitration; and
  - (ii) providing details of the issues to be resolved;
- (b) the London Court of International Arbitration (“**LCIA**”) procedural rules in force at the date that the dispute was referred to arbitration in accordance with I1.7 (b) shall be applied and are deemed to be incorporated by reference to the Framework Agreement and the decision of the arbitrator is binding on the Parties in the absence of any material failure to comply with such rules;
- (c) the tribunal shall consist of a sole arbitrator to be agreed by the Parties;

- (d) if the Parties fail to agree the appointment of the arbitrator within 10 days of the Arbitration Notice being issued by the Authority under clause I1.7 (a) or if the person appointed is unable or unwilling to act, the arbitrator shall be appointed by the LCIA;
- (e) the arbitration proceedings shall take place in London and in the English language; and
- (f) the arbitration proceedings shall be governed by, and interpreted in accordance with, English Law.

## **I2 Force Majeure**

- I2.1 Subject to this clause I2, a Party may claim relief under this clause I2 from liability for failure to meet its obligations under the Framework Agreement for as long as and only to the extent that the performance of those obligations is directly affected by a Force Majeure Event. Any failure or delay by the Supplier in performing its obligations under the Framework Agreement which results from a failure or delay by an agent, Sub-Contractor or supplier shall be regarded as due to a Force Majeure Event only if that agent, Sub-Contractor or supplier is itself impeded by a Force Majeure Event from complying with an obligation to the Supplier.
- I2.2 The Affected Party shall as soon as reasonably practicable issue a Force Majeure Notice, which shall include details of the Force Majeure Event, its effect on the obligations of the Affected Party and any action the Affected Party proposes to take to mitigate its effect.
- I2.3 If the Supplier is the Affected Party, it is not entitled to claim relief under this clause I2 to the extent that consequences of the relevant Force Majeure Event:
  - (a) are capable of being mitigated by any of the Services, but the Supplier has failed to do so; and/or
  - (b) should have been foreseen and prevented or avoided by a prudent provider of services similar to the Services, operating to the standards required by the Framework Agreement.
- I2.4 Subject to clause I2.5, as soon as practicable after the Affected Party issues the Force Majeure Notice, and at regular intervals thereafter, the Parties shall consult in good faith and use reasonable endeavours to agree any steps to be taken and an appropriate timetable in which those steps should be taken, to enable continued provision of the Services affected by the Force Majeure Event.
- I2.5 The Parties shall at all times following the occurrence of a Force Majeure Event and during its subsistence use their respective reasonable endeavours to prevent and mitigate the effects of the Force Majeure Event. Where the Supplier is the Affected Party, it shall take all steps in accordance with Good Industry Practice to overcome or minimise the consequences of the Force Majeure Event.
- I2.6 If, as a result of a Force Majeure Event:
  - (a) an Affected Party fails to perform its obligations in accordance with the Framework Agreement, then during the continuance of the Force Majeure Event:
    - i) the other Party shall not be entitled to exercise its rights to terminate the Framework Agreement in whole or in part as a result of such failure pursuant to clause H2.1 or H2.3; and
    - ii) neither Party shall be liable for any Default arising as a result of such failure;
  - (b) the Supplier fails to perform its obligations in accordance with the Framework Agreement it shall be entitled to receive payment of the Price (or a proportional payment of it) only to the

extent that the Services (or part of the Services) continue to be performed in accordance with the terms of the Framework Agreement during the occurrence of the Force Majeure Event.

12.7 The Affected Party shall notify the other Party as soon as practicable after the Force Majeure Event ceases or no longer causes the Affected Party to be unable to comply with its obligations under the Framework Agreement.

12.8 Relief from liability for the Affected Party under this clause 12 ends as soon as the Force Majeure Event no longer causes the Affected Party to be unable to comply with its obligations under the Framework Agreement and is not dependent on the serving of a notice under clause 12.7.

### **13 Notices and Communications**

13.1 Subject to clause 13.3, where the Framework Agreement states that a notice or communication between the Parties must be “written” or “in writing” it is not valid unless it is made by letter (sent by hand, first class post, recorded delivery or special delivery) or by email or by communication via MoJ’s e-procurement system (currently provided by BravoSolution).

13.2 If it is not returned as undelivered a notice served in:

- (a) a letter is deemed to have been received 2 Working Days after the day it was sent; and
- (b) an email is deemed to have been received 4 hours after the time it was sent provided it was sent on a Working Day

or when the other Party acknowledges receipt, whichever is the earlier.

13.3 Notices pursuant to clauses 12 (Force Majeure), 11 (Dispute Resolution) or to terminate the Framework Agreement or any part of the Services are valid only if served in a letter by hand, recorded delivery or special delivery.

13.4 Notices shall be sent to the addresses set out below or at such other address as the relevant Party may give notice to the other Party for the purpose of service of notices under the Framework Agreement:

(a) For the Authority:

**[REDACTED]**

(b) For the Supplier:

**[REDACTED]**

### **14 Conflicts of Interest**

14.1 The Supplier shall take appropriate steps to ensure that neither the Supplier nor any Staff is placed in a position where, in the reasonable opinion of the Authority, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Supplier and the duties owed to the Authority under the Framework Agreement. The Supplier will notify the Authority immediately giving full particulars of any such conflict of interest which may arise.

14.2 The Authority may terminate the Framework Agreement immediately by notice and/or take or require the Supplier to take such other steps it deems necessary if, in the Authority’s reasonable opinion, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Supplier and the duties owed to the Authority under the Framework Agreement. The

actions of the Authority pursuant to this clause 14 shall not prejudice or affect any right of action or remedy which shall have accrued or shall thereafter accrue to the Authority.

## **15 Rights of Third Parties**

- 15.1 Clauses B17.5 and E8.3 confer benefits on persons named in them (together “**Third Party Provisions**” and each person a “**Third Party Beneficiary**”) other than the Parties and are intended to be enforceable by Third Party Beneficiaries by virtue of the Contracts (Rights of Third Parties) Act 1999 (“**CRTPA**”).
- 15.2 Subject to clause 15.1, a person who is not a Party has no right under the CRTPA to enforce the Framework Agreement but this does not affect any right or remedy of any person which exists or is available otherwise than pursuant to the CRTPA and does not apply to the Crown.
- 15.3 No Third Party Beneficiary may enforce or take steps to enforce any Third Party Provision without Approval.
- 15.4 Any amendments to the Framework Agreement may be made by the Parties without the consent of any Third Party Beneficiary.

## **16 Remedies Cumulative**

Except as expressly provided in the Framework Agreement all remedies available to either Party for breach of the Framework Agreement are cumulative and may be exercised concurrently or separately, and the exercise of any one remedy are not an election of such remedy to the exclusion of other remedies.

## **17 Waiver**

- 17.1 The failure of either Party to insist upon strict performance of any provision of the Framework Agreement, or the failure of either Party to exercise, or any delay in exercising, any right or remedy do not constitute a waiver of that right or remedy and do not cause a diminution of the obligations established by the Framework Agreement.
- 17.2 No waiver is effective unless it is expressly stated to be a waiver and communicated to the other Party in writing in accordance with clause 13 (Notices and Communications).
- 17.3 A waiver of any right or remedy arising from a breach of the Framework Agreement does not constitute a waiver of any right or remedy arising from any other or subsequent breach of the Framework Agreement.

## **18 Severability**

If any part of the Framework Agreement which is not of a fundamental nature is held invalid, illegal or unenforceable for any reason by any court of competent jurisdiction, such part shall be severed and the remainder of the Framework Agreement shall continue in full effect as if the Framework Agreement had been executed with the invalid, illegal or unenforceable part eliminated.

## **19 Entire Agreement**

The Framework Agreement constitutes the entire agreement between the Parties in respect of the matters dealt with therein. The Framework Agreement supersedes all prior negotiations between the Parties and all representations and undertakings made by one Party to the other, whether written or oral, except that this clause shall not exclude liability in respect of any fraudulent misrepresentation.

## **I10 Change in Law**

- I10.1 The Supplier is neither relieved of its obligations to supply the Services in accordance with the terms and conditions of the Framework Agreement nor entitled to an increase in the Price as the result of:
- (a) a General Change in Law; or
  - (b) a Specific Change in Law where the effect of that Specific Change in Law on the Services is reasonably foreseeable at the Commencement Date.
- I10.2 If a Specific Change in Law occurs or will occur during the Term (other than as referred to in clause I10.1(b)), the Supplier shall:
- (a) notify the Authority as soon as reasonably practicable of the likely effects of that change, including whether any:
    - (i) Change is required to the Services, the Price or the Framework Agreement; and
    - (ii) relief from compliance with the Supplier's obligations is required; and
  - (b) provide the Authority with evidence:
    - (i) that the Supplier has minimised any increase in costs or maximised any reduction in costs, including in respect of the costs of its Sub-Contractors; and
    - (ii) as to how the Specific Change in Law has affected the cost of providing the Services.
- I10.3 Any variation in the Price or relief from the Supplier's obligations resulting from a Specific Change in Law (other than as referred to in clause I10.1(b)) shall be implemented in accordance with clause F4.

## **I11 Counterparts**

The Framework Agreement may be executed in counterparts, each of which when executed and delivered constitute an original but all counterparts together constitute one and the same instrument.

## **I12 Governing Law and Jurisdiction**

Subject to clause I1 (Dispute Resolution) the Framework Agreement, including any matters arising out of or in connection with it, are governed by and interpreted in accordance with English Law and are subject to the jurisdiction of the Courts of England and Wales. The submission to such jurisdiction does not limit the right of the Authority to take proceedings against the Supplier in any other court of competent jurisdiction, and the taking of proceedings in any other court of competent jurisdiction does not preclude the taking of proceedings in any other jurisdiction whether concurrently or not.

## **SCHEDULE 1 – SPECIFICATION**

### **1.0 Introduction – Background**

- 1.1 Under Her Majesty's Prison and Probation Service (HMPPS), Public Sector Prison Industries (PSPI) have the responsibility to provide essential employment places for prisoners and opportunities for them

to gain skills, qualifications and work experience to improve their employment prospects upon release with the overall aim of reducing re-offending.

- 1.2 PSPI manage industries in 95 prisons in England and Wales, including some private sector prisons, and currently operate 465 workshops employing 1056 staff and around 11,500 prisoners and detainees. Prison Industries supports other Government Departments by using offender labour to manufacture over £3million pounds worth of goods annually.
- 1.3 This includes 64 Textile workshops, employing approximately 1900 prisoners on a daily basis producing clothing and textile products.

**2. Purpose**

- 2.1 This document provides a specification for the Supply of Sewing Machines, Spare Parts, Ancillary Items and Repair Services for Prison Industries. The information contained within this document forms the basis of the criteria against which Supplier performance will be measured.

**Locations**

- 3.1 At present, textiles workshops are located at the following Establishments:

Bristol	Huntercombe	Preston
Bullington	Isle of Wight	Ranby
Channings Wood	Leeds	Risley
Dartmoor	Lincoln	Stafford
Exeter	Lindholme	Stoke Heath
Featherstone	Liverpool	Swansea
Foston Hall	Maidstone	Swinfen Hall
Full Sutton	Manchester	Wakefield
Garth	Moorland	Wandsworth
Gartree	Morton Hall	Wealstun
Haverigg	New Hall	Whatton
High Down	Norwich	Winchester
Highpoint	Nottingham	Wormwood Scrubs
Holme House	Pentonville	Wymott

- 3.2 Over the duration of the framework agreement, some of these workshops may be expanded or closed and others opened. Suppliers will be expected to deliver to any location as requested by the Authority. A Prison Map is located on the [MoJ website](#) for information.

#### **4. Overview of Requirements**

- 4.1 This provision relates to the supply of Sewing Machines, Parts, Ancillary Items and Repair Services. Suppliers will be required to source, stock and deliver as requested across the prison estate a range of goods and/or services as outlined in this document.
- 4.2 To ensure the Authority can meet a range of customer requirements, Suppliers shall provide a flexible approach to the addition/removal of products to the range stated within this document, any products added shall be priced in accordance to those in the original range.
- 4.3 Suppliers shall be required at all times to fulfil orders placed by the Authority within the agreed lead-times contained within this document and/or quotation request forms.
- 4.4 Suppliers shall utilise their specialist knowledge of developments and innovation in the market to help the Authority to identify areas for cashable cost savings and offer improvements or alternative products, which may enhance performance, improve delivery or offer financial savings.

#### **5. Commercial Approach**

- 5.1 These requirements will be delivered through a framework agreement that will consist of 3 lots:

##### Lot 1: Machines

- 5.2 This lot covers the supply of basic and specialist industrial sewing machines and any other machines required to support the production of clothing items including: boxer shorts, jeans, t-shirts, sweatshirts, jogging bottoms, work trousers, sheets, towels and aprons.
- 5.3 Places on the framework agreement will be awarded to a maximum of up to 3 suppliers subject to the receipt of a sufficient number of compliant tenders.
- 5.4 A call-off contract will be placed for each requirement. This may be through direct award where only 1 supplier is identified as being capable of meeting the specific requirement or through a further mini-competition. For further details see Appendix B.

##### Lot 2: Spare parts and ancillary items

- 5.5 This lot covers the supply of machine parts and ancillary items to support the operation of textiles workshops.
- 5.6 Places on the framework agreement will be awarded to a maximum of up to 3 suppliers subject to the receipt of a sufficient number of compliant tenders.
- 5.7 Orders will be placed according to the suppliers' final ranking of their overall tender scores. The supplier who receives the highest overall tender score will be the first choice supplier and orders will be placed directly with them in the first instance. Where they are unable to meet the requirement to the satisfaction of the Authority, including the specified lead time, the Authority will contact the Supplier with the second highest overall tender score to determine whether they are able to fulfil the order and so on. If a Supplier proposes an alternative solution which is acceptable to the Authority, an order may be placed without the need to seek quotations from any remaining suppliers.

##### Lot 3: Repair services

- 5.8 This lot covers servicing, maintenance and repairs not covered by warranties provided by the supplier of the machine.
- 5.9 The requirement for repair services has been subdivided on a regional basis to keep travel time and costs to a minimum and ensure a responsive service. The sub-lots are divided as follows:
  - Lot 3.1 – North East
  - Lot 3.2 – North West
  - Lot 3.3 – East

Lot 3.4 – West  
 Lot 3.5 – South East  
 Lot 3.6 – South West

- 5.10 A list of current and planned locations for textiles workshops in each sub-lot is provided at Appendix C. Suppliers will be required to indicate which areas they are able to cover in their tenders.
- 5.11 Places on the framework agreement will be awarded to a maximum of up to 3 suppliers per region, depending on the receipt of a sufficient number of compliant tenders.
- 5.12 Orders will be placed according to the suppliers' final ranking of their tender scores and geographical coverage. The supplier who receives the highest overall tender score will be the first choice supplier and orders will be placed with them in the first instance. Where they are unable to meet the requirement to the satisfaction of the Authority, the Authority will contact the Supplier with the second highest overall tender score to fulfil the order and so on. If a Supplier proposes an alternative solution which is acceptable to the Authority, an order may be placed without the need to seek quotations from any remaining suppliers.
- 5.13 Suppliers may submit a tender to deliver goods and/or services for one, several or all lots. Suppliers may be awarded a place on any number of lots.
- 5.14 The framework agreement shall be for a duration of 4 years. Call-Off Contracts and/or orders placed near the end of the term will continue until they are completed in full, even if this exceeds the framework duration.

**6. Value & Volumes**

6.1 The annual budget for the purchase of machines is currently £400,000. Spend on similar products and services over the last 4 years has been provided as an indication of the potential spend in each lot however, the Authority provides no guarantees of volumes, monetary commitment or future requirements whatsoever. All quantities provided within this document are historical usage figures over the last four years and are provided for illustration purposes only. Volume and therefore spend are affected by demand for the goods that are produced in textiles industry workshops and any changes in the estate e.g. the opening of new workshops.

**6.2 Please note that values for 2016/17 do not include any spend between January and March 2017 due to a change in MoJ's financial system in January 2017.**

Lot	Net Value £ / Year				
	2013/14	2014/15	2015/16	2016/17	
1: Machines	237,630.04	329,450.31	418,698.00	205,803.19	
2: Parts and ancillary items	74,189.80	45,544.13	63,904.89	47,503.93	
3: Repair services	25,285.35	31,849.15	38,837.21	46,957.95	
<b>Total</b>	<b>337,105.19</b>	<b>406,843.59</b>	<b>521,440.10</b>	<b>300,265.07</b>	<b>1,565,653.95</b>

Lot 3	Annual Spend (£)				
	2013/14	2014/15	2015/16	2016/17	Average
3.1 - North East	3,798.32	3,879.62	3,844.00	6,860.24	4,595.55

3.2 - North West	4,576.41	9,308.54	7,785.56	8,199.90	7,467.60
3.3 - East & East Midlands	7,887.48	7,288.62	7,538.95	10,075.65	8,197.68
3.4 - West Midlands	3,055.36	4,950.55	8,233.20	11,015.18	6,813.57
3.5 - South East	1,831.74	1,816.27	2,725.51	4,784.18	2,789.43
3.6 - South West	4,136.04	4,605.55	8,709.99	9,022.80	6,618.60
<b>Total</b>	<b>25,285.35</b>	<b>31,849.15</b>	<b>38,837.21</b>	<b>46,957.95</b>	

## SECTION 2: GENERAL SERVICE REQUIREMENTS

### 7. Customer Service

7.1 Suppliers shall provide a telephone and e-mail customer contact point during office hours (8.30am-5.00pm, Monday – Friday excluding bank holidays) to allow the Authority access to quotations, general enquiries, product information, technical queries and advice, expediting orders, report discrepancies, arrange collections and raise a complaint.

### 8. Warranty Period

8.1 All equipment and parts will be provided with a minimum of 12 months fully inclusive ‘fair wear and tear’ warranty to cover design and component failure from the date of delivery. The warranty will cover all labour, parts and travel in connection to a claim.

8.2 Should a machine be irreparable the Supplier shall make the necessary arrangements for it to be replaced within a reasonable period of time, with minimal disruption to the operations of the Authority.

8.3 The Supplier warrants that all repairs and replacements will be carried out with due diligence and professionalism, according to any manufacturers’ instructions and that they will have manufacturer approved repairer status to preserve any remaining warranty period.

### 9. Delivery

9.1 All delivery costs are to be met by the Supplier and should be reflected in their pricing proposal. No separate delivery charges will be paid.

9.2 Due to the nature of the environment in which the Authority operates the supplier will need to be prepared to arrange delivery around operational constraints these include but are not limited to:

- Security checks on vehicles and personnel coming in and out of all sites;
- Physical size of gates (Appendix D provides indicative information although this should not be relied upon. Please see paragraph 9.3.);
- Staff constraints on times slots for delivery and limited access to all sites.

9.3 Delivery arrangements should be agreed with individual Establishments prior to delivery of an order.

9.4 Suppliers should be aware that, due to the strict operational restrictions involved in the prison environment, it is imperative that all deliveries are made within the timeslots that have been agreed. Deliveries shall not, except by prior arrangement, be accepted by the Authority outside of these timeslots. Due to the nature of the prison environment, there may be occasional delays where incidents prevent the Authority from accepting deliveries for a period of time or a number of deliveries arrive at the same time even within the agreed timeslot. In such situations, no additional charges shall be applied for waiting time. If the Authority rejects any deliveries for operational reasons, the Supplier shall be informed by the Authority of a suitable time for the goods to be re-delivered.

9.5 The Supplier shall contact the delivery site at least 24 hours prior to the day of delivery to confirm the estimated time of arrival of the delivery vehicle. No additional charges shall be applied for re-delivery.

- 9.6 The Authority expects the Supplier to be aware of and to comply with any reasonable requests made by the Authority and to comply with any aspects of the conditions of Framework Agreement that mention security procedures – for further details please refer to the Driver’s Handbook in Appendix F.
- 9.7 The Supplier will ensure that all personnel entering any of the Authority’s Sites will carry official photographic forms of identification.
- 9.8 The Supplier shall comply with the requirements relating to the restriction of items allowed to be brought into a Site. Appendix E provides details of the full list of restricted items.
- 9.9 The Authority shall state on any Purchase Order when the delivery is required, however, the Supplier guarantees that, goods can be delivered within the lead-times identified within this document.
- 9.10 There may be occasions where delivery to other Establishments in England and Wales is required. The Authority may create new prisons and/or workshops during the life of this Framework Agreement. There may be a requirement to provide goods and/or services to such locations and where this is a requirement, these shall be delivered within the term of this Framework Agreement. Notification of any such sites shall be communicated to the Supplier. There will be no additional delivery costs to these Establishments.
- 9.11 Each delivery consignment shall contain a delivery note and shall be attached to the order. This shall contain relevant information to identify and audit the relevant delivery. As a minimum, the delivery note shall include:
- The purchasing organisations official purchase order number
  - Delivery address
  - Account number
  - Line product detail including pack size and quantity
  - Number of cartons in consignment
  - Identification of any outstanding products not delivered on order.
- 10. Substitute Items**
- 10.1 Substitute items shall not be used without expressed permission of the Authority. No agreements shall be made locally to accept substitute items and the Authority must be notified of any stock outs during the life of the contract.
- 10.2 In the event of a substitute being dispatched and the product code, line description or price is different, then the Supplier shall advise the local business unit to cancel the order and re-submit the purchase order under the correct description, code and price to facilitate electronic invoice matching.
- 11. Delivery Discrepancies**
- 11.1 In the event that the Authority experiences a delivery discrepancy (i.e. full order not fulfilled), this shall be communicated to the Supplier by telephone or email, identifying the original purchase order number and business location as a reference. The Supplier shall investigate the matter and re-supply the goods. The Supplier shall be liable for the cost of collection and re-delivery for discrepancies.
- 11.2 Where the Supplier claims delivery has taken place, the Authority shall require a legible proof of delivery to ascertain a delivery has been made in the event of a dispute.
- 11.3 Where the Supplier and Authority are in dispute, this shall be escalated to the Authority Category Manager for discussion with the Supplier Contract Manager.
- 12. Returns**
- 12.1 In the event that goods are to be returned to the Supplier, where the goods do not meet the required quality or where the goods do not meet the requirements stated within the purchase order, said goods shall be collected by the Supplier and re-delivered at their own expense.

- 12.2 The Supplier must accept returns within 28 days of the delivery date where items are returned by the Authority unused, in a saleable condition, with their original packaging and with all component parts and any promotional items.
- 13. Quality**
- 13.1 Where the goods supplied do not meet the quality requirements referred to in this document, the Authority shall notify the Supplier in writing, detailing the quality concerns (i.e. damaged goods, goods do not meet the quality requirements).
- 13.2 Within 48 hours receipt of the quality discrepancy, the Supplier shall contact the Authority to discuss, and will be expected to resolve the issue within 5 working days of this discussion taking place. Where the Supplier agrees that the goods do not meet the required standard of quality, the Supplier shall replace such items and collect the disputed goods at their own expense.
- 13.3 Where the Supplier and Authority cannot agree an appropriate solution, the issue shall be escalated to the Authority Category Manager and Supplier Contract Manager for resolution.
- 13.4 Where there is a problem with the product identified by the Supplier that necessitates product recall these should be reported to the Authority immediately together with the details of the products affected and which establishments they have been supplied to. Any costs associated with the removal of products that have been recalled shall be borne by the Supplier.
- 14. Complaints Procedure**
- 14.1 Suppliers are required to have a documented complaints procedure in place for the duration of the framework agreement. This must include escalation points where it is not possible to resolve complaints within an initial period.
- 15. Social and Environmental Requirements**
- 15.1 The Authority is obliged to ensure that goods and services purchased are manufactured, delivered, used and managed at the end of life in an environmentally and socially responsible manner. Suppliers will be expected to enable the Authority to meet this obligation.
- 15.2 All goods supplied must be packaged securely to prevent damage in transit, however packaging should be kept to a minimum and should conform to the Packaging Directive (EU) 2015/720.
- 15.3 Due to the nature of commodities and raw materials, supply chains are becoming increasingly more global. It is therefore necessary to ensure transparency in supply chains to assess the risks of infringements relating to basic employment and human rights of people employed in them. When procuring raw materials it is also necessary to ensure there is minimal impact on the environment from the extraction, processing and manufacture of these products, and to assess the security of supply and scarcity of the raw materials.
- 15.4 In order to support the rehabilitation of offenders and reduce the likelihood of reoffending, the government wishes to see more prisoners working, and working longer hours, where work can be recognised as productive and is delivered in an 'employment like' atmosphere. Working gives prisoners the opportunity to learn new skills and prepare for employment on release. Suppliers are encouraged to consider employing ex-offenders where possible.
- 15.5 Suppliers are encouraged to consider whether they can subcontract elements of their provision to prisons via appropriate agencies, including, but not limited to, ONE3ONE Solutions which is accessible online at: <http://www.one3one.justice.gov.uk/>

**16. Prison Security Clearance**

- 16.1 Any staff entering site may require security clearance to carry out works dependant on the duration and commissioning or local site security arrangements. Where the site requires security cleared personnel, the Supplier will ensure that their staff complete and submit their security vetting forms and submit them in person at a prison establishment to verify their identification within 2 weeks of request.
- 16.2 Where a person fails security clearance the Supplier shall make available the resource to carry out the works and submit additional personnel forms in line with the above lead-times.

**SECTION 3: LOT SPECIFIC REQUIREMENTS**

**17. Lot 1 - Machines**

- 17.1 All equipment supplied shall be new (unless specified otherwise) and of industrial robust manufacturing grade being fit for heavy duty use in a manufacturing environment. All machinery must be robust enough to withstand the rigours of unskilled prisoner use. Educational or hobby grade equipment is not acceptable.
- 17.2 A list of commonly used machines is provided below. Data Sheets are also provided at Appendix A for standard machines included within this list.

<b>List of Commonly Purchased Machines</b>	
Auto-opening Heat-seal Machines	Hot Notchers
BAS Electronic Pattern Tacker	Industrial Elastic Waistband Sewing Machine
Basic Lockstitch Button Hole Sewing Machine	Jigs
Basic Lockstitch Button Sew Sewing Machine	Machine Folders
Belt Looper	Needle Feed Lockstitch Sewing Machine
Cloth Drill	Plugway Busbars
Cloth Spreaders	Press Unit
Die Sets	Programmable Bar Tac
End Cutter Machine	Single Needle Flatbed Lockstitch Sewing Machine
Eyeleting Machines	Single Needle Flatbed Lockstitch Sewing Machine with Under Bed Trimmer & Auto Back Tack Unit
Feed Off The Arm Flatbed	Single Needle Flatbed with Compound Feed
Flatbed Chain Stitch Hemmer/Cover Seam Sewing Machine	Straight Knife Cutting Machine
Foot Operated Ratchet Press	Trolley Bar
Fully Submerged 4 Thread Overlock Sewing Machine	Twin Needle Chain Stitch Sewing Machine
Fully Submerged 5 Thread Overlock Sewing Machine	Twin Needle Flat Bed Heavy Duty

Fusing Press	Twin Needle Flatbed Needle Feed
Heavy Duty Machinery Flatbeds - Leather Manufacture	Twin Needle Flatbed Walking Foot Compound Feed with Compressor
	Twin Needle with Knock Out Needle

- 17.3 The Authority may, at its discretion, add and/or remove machines listed in this document over the life of the Framework Agreement. The Supplier shall provide a minimum of 3 months' notice when a product is to be discontinued. Substitute products shall not be provided without prior agreement with the Authority. If approved they shall be provided at the framework price or lower if the product is of a lower standard. Where items are to be added, these shall be priced in accordance to those in the original range.
- 17.4 All machines should be delivered within a maximum of 6 weeks from the date on which the order is placed. The Authority will provide prior notice when a specialist machine is required and lead times will be agreed between both parties.
- 17.5 Due to the nature of the environment in which the machines will be used, Suppliers will be required to adapt machines prior to delivery to meet specific operational security requirements to ensure their safe operation in a prison environment.
- 17.6 Common alterations are listed below as examples only:
- All covers to be tamper proof under normal operation without intervention from an authorised member of staff
  - All machine to be supplied with armoured cabling
  - A minimum number of operator switches (on/off and emergency stop) should be exposed to prisoner contact. These shall be easily repaired/replaced
  - All areas that require regular maintenance shall be enclosed to prevent injury or tampering but shall be accessible to authorised personnel only
  - Panel displays to be protected by cages or similar to prevent tampering
  - All machines to be fitted with eye and finger guards
  - Sunk alun screws to prevent needle removal unless by authorised personnel
  - Any easily accessible parts to be removed as far as possible without affecting the normal operation of the machine
- 17.7 All machinery must be inherently safe and secure in operation and easily operated by unskilled prisoners with basic training. Machinery must meet the requirements of the Health and Safety Act 1974 and comply with Electrical Equipment (Safety) Regulations 1994 and 2016. All machinery must also be compliant with current CE or equivalent standards. A Certificate of Conformity and where appropriate a covering test certificate is required for each delivery. Where appropriate, Safety Data sheets conforming to the Customer Protection Act must be supplied.
- 17.8 The use of substances notified in the EC red list are prohibited.
- 17.9 All machines must contain a unique serial number stamped on the head casing.
- 17.10 A hard copy manual, attachments and tools must be supplied separately.
- 17.11 Boxes containing machine heads must be clearly marked on the outside with the item number, address and description of its contents.

## **18. Compatibility**

18.1 Our existing workshops already have a stock of existing machines. These are listed at paragraph 19.2 and Appendix A. Suppliers must be able to supply these core machines as a minimum.

## **19. Disposal, Sale and Trade-In**

19.1 Suppliers shall offer a disposal service for the disposal of obsolete equipment free of charge in line with the Waste Electric and Electronic Equipment (WEEE) Regulations 2013 where there is no residual value to the equipment.

19.2 Where equipment is serviceable and an attributable market or open competition value can be established via independent trade bodies or open tender, then a sale or trade in may be agreed between MoJ and the Supplier, where equipment is sold as seen and monies must be paid prior to collection or deducted from any new equipment cost. These trade in credits are to be clearly identified on any quotation and invoice submission.

19.3 Suppliers must ensure that they comply with all relevant legislation including the Electrical Equipment (Safety) Regulations 1994 and 2016 when selling any machinery previously owned by the Authority to another end user.

## **20. Training**

20.1 As part of this requirement when requested by the Authority, Suppliers shall provide operator training to a small number of the Authority's staff, sufficient to enable the safe operation of the machinery delivered. Operator training will be of an acceptable standard and should sufficiently meet the Authority's needs in terms of the operation of the machinery and all relevant health and safety considerations.

20.2 Training is expected to be required on the use of basic machines to staff with no previous experience as well as training on the use of any specialist machinery. Training in the basic maintenance of both basic and specialist machinery may also be required.

20.3 Suppliers will be required to deliver training from HMPPS premises and at their own premises at the request of HMPPS. The Supplier shall comply with the operational constraints placed on staff at establishments and shall undertake to schedule the required training at an appropriate time.

20.4 Suppliers are not required to provide training to Prisoners.

## **21. Lot 2 – Parts & Ancillary Items**

21.1 A full range of Original Equipment Manufacturer (OEM) parts for existing and new machines is required. All parts supplied shall be OEM parts unless agreed in advance by the Authority. Where alternatives are provided these shall be of equal or better quality and not affect the safety of the operation nor invalidate any warranties. Details of existing machines are provided in paragraph 19.2 and Appendix A for information.

21.2 A list of the most commonly required parts is provided below as an example only:

- Belt covers
- Bobbin cases
- Bobbins
- Cover plates
- Drive belts
- Eye guards
- Feed dogs
- Finger guards
- Knives

- Loopers
- Needle plates
- Needle screws
- Presser feet
- Screws
- Sewing machine light bulbs
- Thread guides
- Washers

- 21.3 Suppliers must be able to provide all items within a reasonable lead time (usually 1-2 weeks maximum).
- 21.4 Parts shall also be made available to any third party appointed by the Authority at no additional cost.
- 21.5 Due to the nature of the environment in which machines are used, on occasion, the Authority may require the Supplier to supply parts that are not usually stocked. In these circumstances, the Supplier will be expected to liaise with the manufacturer or another third party to source the item. Lead times will be agreed by both parties, taking in to consideration the nature of the individual requirement.
- 21.6 Where parts for existing machines are to be discontinued, Suppliers must notify the Authority, providing a minimum of 3 months' notice or as soon as they are notified by the manufacturer and provide the Authority with the opportunity to purchase a stock of these parts while still available.
- 21.7 The Authority also has a very small number of legacy machines that are in the process of being phased out. Where parts are required and they are still available, the Authority will liaise with the Supplier to agree lead times, taking in to consideration the nature of the individual requirement.
- 21.8 A variety of readily available ancillary items are also required to support the use of the machinery. These include but are not limited to:
- Needles in a variety of sizes to fit existing and new machines
  - Machine oil
  - Tweezers
  - Scissors/Shears
  - Markers/Tailor's chalk
  - Seam rippers
  - Tape measures
- 21.9 Suppliers are required to provide prices for common items as part of their tender. Any additional products required during the life time of the framework agreement shall be priced in accordance to those in the original range.
- 21.10 The supplier will be required to provide a clear, simple and efficient quotation process.

**22. Lot 3 – Repair Services**

- 22.1 Suppliers are required to carry out servicing, maintenance and repair work in accordance with the Original Equipment Manufacturers (OEM) maintenance schedule and instructions for all existing and new machines. Details of existing machines are provided in paragraph 19.2 and Appendix A for information.
- 22.2 Suppliers must be able to provide proof that they are a manufacturer approved repairer.
- 22.3 Suppliers are required to provide parts and ancillary items required to undertake this work unless the Authority chooses to source these items themselves via lot 2 of the framework agreement. All parts

supplied shall be OEM parts unless agreed in advance by the Authority and shall be of equal or better quality and not affect the safety of the operation nor invalidate any warranties. Suppliers are expected to engage with the Authority to obtain a detailed description of the requirement either at the initial contact or as soon as possible thereafter to enable them to identify and obtain any parts that are likely to be required in advance to enable work to be completed at the first appointment as far as reasonably practical.

- 22.4 Labour costs shall include all call out fees and travel expenses including any toll charges. These should be included in the price for the first hour of labour.
- 22.5 All appointments to attend an Establishment to undertake servicing or repairs must be arranged within 1 working day of the initial contact from the Authority and the appointment must take place within 5 working days of the initial contact.
- 22.6 Alternatively, Suppliers may undertake work at their own premises where this is a more cost effective arrangement and agreed by both parties. In this situation, Suppliers are responsible for arranging for collection and return of the machinery. The collection of the machine, repair and return should be undertaken within 10 working days unless alternative arrangements are agreed between both parties.
- 22.7 Suppliers must only undertake the plan of works that has been agreed in advance with the Authority.

#### **SECTION 4: CONTRACT ADMINISTRATION AND MANAGEMENT**

##### **23. Contract Management**

- 23.1 The Authority reserves the right to hold regular contract management meetings principally to review progress and operational delivery of the framework agreement, but also including Key Performance Indicators (KPIs), invoicing, risks and issues.
- 23.2 For lots 1 and 2, annual meetings will be held at the most mutually convenient location, usually face-to-face, but with teleconference facilities available. The Supplier will be responsible for associated costs in them attending these meetings.
- 23.3 Other meetings may be held, at the discretion of the Authority or at the request of the Supplier, throughout the life of the framework agreement.
- 23.4 Agendas for meetings will be defined in greater detail throughout the life of the contract but are likely to consist of the following:
- Review of previous year's performance including detailed review of KPIs;
  - Risks, issues and actions;
  - Specific service and/or quality issues; and
  - Forward look.

##### **24. Key Performance Indicators (KPIs)**

- 24.1 The Supplier shall seek to achieve 100% compliance with the Authority's required KPIs. Performance against the KPIs shall be monitored on a quarterly basis following full implementation of the Framework Agreement. This shall form part of the overall monitoring and management of the Framework Agreement. The Supplier shall submit a report quarterly or upon request. The report shall detail performance against each of the KPIs.
- 24.2 Where a Supplier continually fails to meet the KPIs (i.e. for more than two consecutive reporting periods) the Authority shall have the right to implement a Performance Improvement Plan. Where the Supplier performance fails to improve, the Authority shall have the right to seek termination of the Framework Agreement as described in the Termination Clauses in the Terms of Conditions of this Framework Agreement.

Lots 1 and 2

Indicator	Measurement	Target
Product Quality	Level of Returns	<2%
Product Recalls	No of Product Recalls	<1%
Non availability of Products	Notify within 48 hours of receipt of order	100%
On Time Delivery	Delivered within Agreed Lead Times	98%
Order Fill Rate	Complete Orders	98%
Management of Complaints	Resolved within Agreed Timescales	97%
Compliance	No of incidents relating to Environmental or Health and Safety	100%
MI Reporting	Providing MI Reports within agreed timescales	100%
Invoice Accuracy	Number of Invoice Queries	<2%

KPIs - Lot 3

Indicator	Measurement	Target
Responsiveness	Initial appointment arranged within 24 hours of initial contact from Authority	98%
Delivery	Supplier attends initial appointment within 5 working days of initial contact from Authority	98%
	Repairs completed in full within 15 working days of the initial contact, including collection and delivery where work is undertaken off-site	98%
Availability	Availability to fulfil individual requirements	98%
Management of Complaints	Resolved within Agreed Timescales	97%
Compliance	No of incidents relating to Environmental or Health and Safety	100%
MI Reporting	Providing MI Reports within agreed timescales	100%
Invoice Accuracy	Number of Invoice Queries	<2%

**25. Management Information**

25.1 Suppliers are required to provide management information on a quarterly basis to support the KPI report. Suppliers must be capable of providing a breakdown of all orders including but not limited to: cost centre, contact name, delivery location, item description, cost, order date, delivery date, purchase order number, invoice number and payment date. The format and method of supply will be agreed between the Authority and Supplier during the mobilisation period.

**26. Payment Model**

26.1 For lots 1 and 2, Suppliers will be paid according to the quotation provided. Prices must not exceed those provided as part of their tender (where applicable) but may reflect volume discounts etc. Where items are required that were not included in the Supplier's tender, they will be priced according to those in the original range. The Authority reserves the right to benchmark prices throughout the life of the framework agreement.

26.2 For lot 3, Suppliers will be paid according to the quotation provided based on the rates provided in their tender and their assessment of what is required. Where it is agreed for the Supplier to undertake work at their own premises, quotations will be based on actual carriage charges and the additional hour's labour charge.

26.3 All prices must include any picking, build/adaptation, delivery/travel and/or installation costs. These costs will not be paid separately with the exception of the circumstances described above.

26.4 Either the Supplier or Authority may request a price review once every 12 months to take account of any changes in market conditions. Any changes shall be considered through the change control process outlined in the terms and conditions. No changes shall be applied until a contract variation form is signed by both parties and received by the Authority.

## Appendix A – Data Sheets for Existing Standard Machines

### A1. Requirements Applicable to All Machines

- All equipment will be provided with a minimum of 12 months fully inclusive 'fair wear and tear' warranty to cover design and component failure from the date of delivery. The warranty will cover all labour, parts and travel in connection to a claim.
- All equipment supplied shall be new (unless specified otherwise) and of industrial robust manufacturing grade being fit for heavy duty use in a manufacturing environment. All machinery must be robust enough to withstand the rigours of unskilled prisoner use. Educational or hobby grade equipment is not acceptable.
- All machinery must be inherently safe and secure in operation and easily operated by unskilled prisoners with basic training.
- Machinery must meet the requirements of the Health and Safety Act 1974 and comply with Electrical Equipment (Safety) Regulations 1994 and 2016.
- All machinery must also be compliant with the latest CE or equivalent standards.
- A Certificate of Conformity and where appropriate a covering test certificate is required for each delivery. The certificate must be distributed as stated on each contract.
- Where appropriate, Safety Data sheets conforming to the Customer Protection Act must be supplied.
- The use of substances notified in the EC red list are prohibited.
- All machines must contain a unique serial number stamped on the head casing.
- A hard copy manual, attachments and tools must be supplied separately.
- Boxes containing machine heads must be clearly marked on the outside with the item number, address and description of its contents.

<b>Description</b>	<b>Basic Lockstitch Button Hole Sewing Machine</b>
<b>Construction</b>	Brother or equivalent  Basic lockstitch button hole sewing machine which produces stitch type formation 301 (single step zig zag formation) to BS 3870 & ISO 4915.  Complete unit or head and fittings only.
<b>Purpose</b>	For general button holing of polyester twill, denim work wear and cotton garments i.e. work wear trousers, boiler suits, in a prison workshop.
<b>Stitch formation</b>	301 – single step zig zag type
<b>Needles</b>	One
<b>Number of threads</b>	Two
<b>Hook</b>	Rotary

<b>Feed type</b>	Drop feed
<b>Belt, Needle, &amp; Eye guard</b>	All machines supplied to the prison service must have guards fitted.
<b>Pneumatic Devices</b>	None to be fitted.
<b>Electrical supply</b>	Armoured cabling to be SY cable 4 core x 4 metre long supplied with a metal direct online starter switch c/w thermal overload and metal isolator.  Connections to be made using brass glands.
<b>Motor</b>	Available in 3 phase or single phase

<b>Description</b>	<b>End Cutter Machine</b>
<b>Construction</b>	End cutter for cutting across lengths of cloth fitted in an end clamp track.
<b>Purpose</b>	For general cutting of cotton/polyester twill and denim work wear and cotton interlock garments i.e. work wear trousers, boiler suits, vests and t-shirts.
<b>Circular blade</b>	One
<b>Size</b>	5"
<b>Sharpener</b>	Two
<b>Switch</b>	Auto
<b>Feed Type</b>	Manual
<b>Belt, Needle, &amp; Eye guard</b>	N/A
<b>Pneumatic Devices</b>	None to be fitted.
<b>Electrical supply</b>	Cabling to be Curly Flex 3 metre long.
<b>Motor</b>	Single phase

<b>Description</b>	<b>Flatbed Chain Stitch Hemmer/Cover Seam Sewing Machine</b>
<b>Construction</b>	Typical or equivalent  Flatbed chain stitch / cover seam sewing machine which

	<p>produces stitch type formation 403 to BS 3870 &amp; ISO 4915.</p> <p>Complete unit or head and fittings only.</p>
<b>Purpose</b>	For general assembly of stretch fabrics, specifically fleece sweatshirts, jogging bottoms and jersey vests and T shirts in a prison workshop.
<b>Stitch formation</b>	403
<b>Needles</b>	Two
<b>Number of threads</b>	Three
<b>Looper</b>	One
<b>Feed type</b>	Drop feed
<b>Belt, Needle, &amp; Eye guard</b>	All machines supplied to HMPS must have guards fitted.
<b>Pneumatic Devices</b>	None to be fitted.
<b>Electrical supply</b>	<p>Armoured cabling to be SY cable 4 core x 4 metre long supplied with a metal direct online starter switch c/w thermal overload and metal isolator.</p> <p>Connections to be made using brass glands.</p>
<b>Motor</b>	Available in 3 phase or single phase.

<b>Description</b>	<b>Foot Operated Ratchet Press</b>
<b>Construction</b>	<p>A foot operated ratchet press for the attachment of press fastener, rivets, eyelets, jean buttons etc.</p> <p>It must be able to use a range of dies.</p> <p>Must incorporate side trays for stud part storage.</p> <p>To be supplied complete with stand.</p>
<b>Purpose</b>	For attachment of eyelets and press studs on a range of products and materials from workwear, denim jeans and leatherwork in a prison workshop.
<b>Side Trays</b>	Two
<b>Operated by</b>	Foot
<b>Availability of Dies</b>	Full Range

<b>Base</b>	Adjustable
<b>Alignment</b>	Lockable
<b>Pressure setting</b>	Adjustable
<b>Pneumatic Devices</b>	None to be fitted.

<b>Description</b>	<b>Fully Submerged 4 Thread Overlock Sewing Machine</b>
<b>Construction</b>	Pegasus or equivalent  Twin needle 4 thread sewing machine which produces stitch type formation 514 to BS 3870 & ISO 4915  Complete unit or head and fittings only.
<b>Purpose</b>	For general assembly of stretch fabrics, specifically fleece sweatshirts, jogging bottoms and jersey vests and T shirts in a prison workshop.
<b>Stitch formation</b>	514
<b>Needles</b>	Two
<b>Number of threads</b>	Four
<b>Loopers</b>	Two
<b>Feed type</b>	Drop feed
<b>Belt, Needle, &amp; Eye guard</b>	All machines supplied to HMPS must have guards fitted.
<b>Pneumatic Devices</b>	None to be fitted.
<b>Electrical supply</b>	Armoured cabling to be SY cable 4 core x 4 metre long supplied with a metal direct online starter switch c/w thermal overload and metal isolator.  Connections to be made using brass glands.
<b>Motor</b>	Available in 3 phase or single phase.

<b>Description</b>	<b>Fully Submerged 5 Thread Overlock Sewing Machine</b>
<b>Construction</b>	Pegasus or equivalent

	<p>Five thread sewing machine which produces stitch type formation 516 to BS 3870 &amp; ISO 4915.</p> <p>Complete unit or head and fittings only.</p>
<b>Purpose</b>	For general assembly of cotton/polyester to polyester twill and Denim work wear and cotton garments i.e. work wear trousers boiler suits in a prison workshop.
<b>Stitch formation</b>	516
<b>Needles</b>	Two
<b>Number of threads</b>	Five
<b>Loopers</b>	Three
<b>Feed type</b>	Bottom
<b>Belt, Needle, &amp; Eye guard</b>	All machines supplied to HMPS must have guards fitted.
<b>Pneumatic Devices</b>	None to be fitted.
<b>Electrical supply</b>	<p>Armoured cabling to be SY cable 4 core x 4 metre long supplied with a metal direct online starter switch c/w thermal overload and metal isolator.</p> <p>Connections to be made using brass glands.</p>
<b>Motor</b>	Available in 3 phase or single phase

<b>Description</b>	<b>Industrial Elastic Waistband Sewing Machine</b>
<b>Construction</b>	<p>Kansai or equivalent</p> <p>Four needle, eight thread sewing machine which produces stitch type formation 807 to BS 3870 &amp; ISO 4915</p> <p>Complete unit or head and fittings only.</p>
<b>Purpose</b>	For general assembly of garments that require elastication, from boxer shorts to fleece joggers in a prison workshop.
<b>Stitch formation</b>	807
<b>Needles</b>	Four
<b>Number of threads</b>	Eight
<b>Loopers</b>	Four

<b>Feed type</b>	Drop feed + puller wheel
<b>Belt, Needle, &amp; Eye guard</b>	All machines supplied to HMPS must have guards fitted.
<b>Pneumatic Devices</b>	None to be fitted.
<b>Electrical supply</b>	Armoured cabling to be SY cable 4 core x 4 metre long supplied with a metal direct online starter switch c/w thermal overload and metal isolator.  Connections to be made using brass glands.
<b>Motor</b>	Available in 3 phase or single phase.

<b>Description</b>	<b>Needle Feed Lockstitch Sewing Machine</b>
<b>Construction</b>	Brother or equivalent  Single needle flatbed needle feed lockstitch sewing machine which produces stitch type formation 301 to BS 3870 & ISO 4915  Complete unit or head and fittings only.
<b>Purpose</b>	For general assembly of cotton/polyester to polyester twill and denim work wear i.e. work wear trousers boiler suits in a prison workshop.
<b>Stitch formation</b>	301
<b>Needles</b>	One
<b>Number of threads</b>	Two
<b>Hook</b>	Rotary
<b>Feed type</b>	Drop feed
<b>Belt, Needle, &amp; Eye guard</b>	All machines supplied to HMPS must have guards fitted.
<b>Pneumatic Devices</b>	None to be fitted
<b>Electrical supply</b>	Armoured cabling to be SY cable 4 core x 4 metre long supplied with a metal direct online starter switch c/w thermal overload and metal isolator.  Connections to be made using brass glands.
<b>Motor</b>	Available in 3 phase or single phase.

<b>Description</b>	<b>Press Unit</b>
<b>Construction</b>	Dual iron and boiler with pressing tables
<b>Purpose</b>	For general pressing of cotton/polyester twill, polyester twill and Denim work wear and cotton i.e. work wear trousers, and boiler suits.
<b>Irons</b>	Two
<b>Vacuum Press Table</b>	Two
<b>Boiler</b>	Fully auto steam generator with auto pump & built in water tank.
<b>Pneumatic Devices</b>	None to be fitted.
<b>Electrical Supply</b>	Armoured cabling to be SWA x 3 metre long, supplied with metal thermal cut out switch and metal isolator.
<b>Motor</b>	Single phase.
<b>Additional Information</b>	Please ensure there are NO mercury switches.

<b>Description</b>	<b>Single Needle Flatbed Lockstitch Sewing Machine with Under Bed Trimmer &amp; Auto Back Tack Unit</b>
<b>Construction</b>	Brother 7100 or equivalent  Single needle flatbed lockstitch sewing machine with Under Bed Trimmer & Auto Back Tack Unit which produces stitch type formation 301 to BS 3870 & ISO 4915  Complete unit or head and fittings only.
<b>Purpose</b>	For general assembly of cotton/polyester to polyester twill and Denim work wear and cotton interlock garments i.e. work wear trousers, boiler suits, vests and t-shirts in a prison workshop.
<b>Stitch formation</b>	301
<b>Needles</b>	One
<b>Number of threads</b>	Two
<b>Hook</b>	Rotary
<b>Feed type</b>	Drop feed
<b>Belt, Needle, &amp; Eye guard</b>	All machines supplied to HMPS must have guards fitted.

<b>Pneumatic Devices</b>	To be fitted with a solenoid
<b>Electrical supply</b>	Armoured cabling to be SY cable 4 core x 4 metre long supplied with a metal direct online starter switch c/w thermal overload and metal isolator.  Connections to be made using brass glands.
<b>Motor</b>	Available in 3 phase or single phase.

<b>Description</b>	<b>Single Needle Flatbed Lockstitch Sewing Machine</b>
<b>Construction</b>	Brother or equivalent  Single needle flatbed lockstitch sewing machine which produces stitch type formation 301 to BS 3870 & ISO 4915.  Complete unit or head and fittings only.
<b>Purpose</b>	For general assembly of cotton/polyester to polyester twill and Denim work wear and cotton interlock garments i.e. work wear trousers, boiler suits, vests and t-shirts in a prison workshop.
<b>Stitch formation</b>	301
<b>Needles</b>	One
<b>Number of threads</b>	Two
<b>Hook</b>	Rotary
<b>Feed type</b>	Drop feed
<b>Belt, Needle, &amp; Eye guard</b>	All machines supplied to HMPS must have guards fitted.
<b>Pneumatic Devices</b>	None to be fitted.
<b>Electrical supply</b>	Armoured cabling to be SY cable 4 core x 4 metre long supplied with a metal direct online starter switch c/w thermal overload and metal isolator.  Connections to be made using brass glands.
<b>Motor</b>	Available in 3 phase or single phase.

<b>Description</b>	<b>Straight Knife Cutting Machine</b>
<b>Construction</b>	An eight inch reciprocal oscillating straight knife.

<b>Purpose</b>	For general cutting of cotton/polyester twill and Denim work wear and cotton interlock garments i.e. work wear trousers, boiler suits, vests and t-shirts.
<b>Length of blade</b>	8"
<b>Blade</b>	One
<b>Number of Sharpeners</b>	Two 9 roller type
<b>Lubrication</b>	Centrifugal
<b>Base Bearings</b>	Needle and Roller type
<b>Guard</b>	Fitted + "Dead Man's" (in-built safety switch) handle device
<b>Pneumatic Devices</b>	None to be fitted.
<b>Electrical supply</b>	Cabling to be Curly Flex 3 metre long.
<b>Motor</b>	Single phase

<b>Description</b>	<b>Twin Needle Chain Stitch Sewing Machine</b>
<b>Construction</b>	Typical or equivalent  Twin needle chain stitch sewing machine which produces stitch type formation 401 x 2 to BS 3870 & ISO 4915  Complete unit or head and fittings only.
<b>Purpose</b>	For general assembly of cotton/polyester to polyester twill and Denim work wear garments i.e. attaching woven waistbands, in a prison workshop.
<b>Stitch formation</b>	804
<b>Needles</b>	Two
<b>Number of threads</b>	Four
<b>Looper</b>	Two
<b>Feed type</b>	Drop feed
<b>Belt, Needle, &amp; Eye guard</b>	All machines supplied to HMPS must have guards fitted.
<b>Pneumatic Devices</b>	None to be fitted.
<b>Electrical supply</b>	Armoured cabling to be SY cable 4 core x 4 metre long supplied with a metal direct online starter switch c/w thermal overload and

	metal isolator.  Connections to be made using brass glands.
<b>Motor</b>	Available in 3 phase or single phase.

**Appendix B - Framework Call-Off Procedures for lot 1**

B1. There will be 2 methods of selecting suppliers from the framework to deliver requirements under lot 1: Machines. These are a Direct Award and Mini-Competition.

Direct Award

B2. The Authority will review the Suppliers that are party to the framework to identify which are potentially capable of delivering the requirement. Where only 1 supplier is identified, the contract will be placed by means of a direct award.

B3. The direct award procedure may only be used in the following circumstances:

- Where there is an auditable technical reason for either integrating machines with other machines or accessories or where there is a large number of existing compatible, machines, spares or accessories available within the individual workshop or industry that will reduce operational complexity / management of equipment / staff / operatives in a Prison environment;
- The Authority has responsibilities under the Provision and Use of Work Equipment Regulations 1998 (PUWER), as amended by the Health and Safety (Miscellaneous Amendments) Regulations 2002, to select and provide suitable work equipment, taking account of working conditions (e.g. prisons environment where there is an impairment, disability or lower skill level of persons operating technical equipment) and the health and safety risks in the workplace associated with ability to use and manage operation/ training of non-standardised equipment across multiple locations, increasing the risk of accident or litigious claims by operators;
- The Authority has entered into a call off contract via a mini competition for continuous supply for the duration of the framework agreement; or
- There is a very urgent operational business need following faulty equipment being deemed unserviceable, where a delay in replacement may jeopardise manufacturing delivery dates for customers, that would result in a loss of contract/work and/or unacceptable monetary loss.

B4. The Authority will submit a Quotation Request on the form provided at Annex 1 to the Supplier by email.

B5. The Supplier shall complete the form and return it to the Authority within **3 working days**.

B6. On receipt, the Authority will review the quotation to ensure that it meets the requirement. Following confirmation of this, the Authority will raise a Purchase Order. The contract will be made when a Purchase Order is created and issued to the Supplier.

Mini-Competition

B7. Where the Authority identifies more than one Supplier that is potentially capable of delivering the requirement, the Authority will follow a similar process to that used for a Direct Award however there will be a simple evaluation of quotations received to ensure that the Supplier that delivers optimum value for money is selected.

B8. The Authority will submit a Quotation Request on the form provided at Annex 1 to all Suppliers potentially capable of meeting the requirement via the Bravo eSourcing system.

- B9. Suppliers shall complete the form and return it to the Authority via the Bravo eSourcing system within **5 working days unless an alternative timescale is communicated**. The closing date and time for receipt of quotations shall be clearly communicated by the Authority on the form. Quotations will not be opened by the Authority until after the deadline has passed.
- B10. On receipt, the Authority will undertake an evaluation to identify the quotation that will provide optimum value for money. The criteria and scoring mechanism listed below will be used:

<b>Criteria</b>	
<b>Quality (sections 2-10 of the quotation form to be evaluated) (maximum available score – [suggested score 40 but to be adapted for each mini-competition])</b>	
40	The response is robust, detailed well-articulated in all material respects providing strong evidence that the criteria would be met, with no weaknesses or areas of concern.
20	The response provides evidence that the criteria would be met; good in many respects but with minor weaknesses or concerns in some areas.
0	The response provides no or limited evidence that the criteria would be met; there were major weaknesses or concerns with the content. The response lacked significant detail and/ or clarity.
<b>Lead Time (sections 11-13 of the quotation form to be evaluated) (maximum available score – [suggested score 20 but to be adapted for each mini-competition])</b>	
20	The response is robust, detailed well-articulated in all material respects providing strong evidence that the need by date would be met, with no weaknesses or areas of concern.
10	The response provides evidence that the criteria would be met; good in many respects but with minor weaknesses or concerns in some areas.
0	The response provides no or limited evidence that the criteria would be met; there were major weaknesses or concerns with the content. The response lacked significant detail and/ or clarity.
<b>Cost (section 14 of the quotation form to be evaluated) (maximum available score – [suggested score 40 but to be adapted for each mini-competition])</b>	
Quotations will be reviewed to ensure that prices do not exceed those provided in the framework agreement. Quotations will then be ranked according to the total cost with the lowest total cost quotation being awarded a score of 40, other quotes will be scored based on the % deviation from the lowest priced quotation.	
<b>Maximum possible score – 100</b>	
The scores from all 3 sections will be combined and the quotation that secures the highest overall score will be selected.	

- B11. On completion of the evaluation, all Suppliers who submitted a Quotation will be informed of the outcome.
- B12. The Authority shall then place the order with the selected Supplier. The contract will be made when a purchase order is created and issued to the Supplier.

<b>Request for Quotation Form</b>	
<b>Requestor Details (to be contacted in case of any queries)</b>	
<b>Name</b>	
<b>Job Role</b>	
<b>Address</b>	
<b>Email Address</b>	
<b>Telephone Number</b>	
<b>Call Off Details</b>	
Framework Title	Supply of Sewing Machines, Spare Parts, Ancillary Items and Repair Services
Lot number and Title	

Location Details	
Delivery Location	
Delivery Address	
Need by Date	
Quotation Opening Date	
Quotation Closing Date	
Equipment Type	
Specification Requirements	

### Annex 2 – Quotation Form

Section Ref	Quotation Form	
	Supplier's Quote Ref:	
1	Supplier's Name	
2	Equipment Make and Model Number	
3	Equipment Description	
4	Please provide a written summary to demonstrate how your proposed equipment complies with the specification requirements	
5	Warranty Period	
6	Service Schedule (per annum or hours)	
7	Expected lifetime of the equipment	
8	Please provide a full technical data sheet for the piece of equipment	
9	Please provide an electronic copy of the user manual for the proposed equipment.	
10	Lead Times for Delivery [& Installation] in working days	
11	Period of Installation [or N/A]	
12	Please provide the dimensions and weight of equipment and confirm any special handling needed to install on site	
13	Total cost including delivery [and installation]	

### Annex 3 – Evaluation Form

<b>Evaluation Form</b>
------------------------

Please note that this sheet may be sent to the Supplier to notify them of the results of the evaluation. You must ensure that the rationale refers back to the Supplier's quotation and provides clear, objective justification for the score awarded.

<b>Supplier Name</b>				
<b>Framework/Lot</b>				
<b>Bidder Quotation Ref</b>				
<b>Evaluator Name</b>				
<b>Date of Evaluation</b>				
Criteria	Sections to be considered	Score awarded	Rationale	
Quality	2 -10			
Lead Time	11-13			
Cost	14			
<b>Results</b>				
<b>Bidder Total Score</b>				
<b>Successful Bidder Total Score</b>				
<b>Comparative advantages of Successful Bidder</b>				
The successful bidder's quotation provided the best overall value for money.				
The successful bidder's quotation fully met the specification requirements and required lead time. [Delete/add as appropriate]				

#### Appendix C – Lot 3: Repair Services - Locations per Sub-Lot

Lot	Region	Locations of Existing/Planned Textiles Workshops
3.1	North East	Full Sutton Holme House Leeds Lindholme Moorland New Hall Wakefield Wealstun
3.2	North West	Garth Haverigg Liverpool Manchester Preston Risley Wymott
3.3	East	Gartree Highpoint Lincoln Morton Hall Norwich Nottingham Ranby Wayland Whatton
3.4	West	Featherstone Foston Hall Hewell Long Lartin

		Stafford Stoke Heath Swinfen Hall
3.5	South East	Bullingdon High Down Huntercombe Maidstone Pentonville Wandsworth Wornwood Scrubs
3.6	South West	Bristol Channings Wood Dartmoor Exeter Isle of Wight Swansea Winchester

#### Appendix D – HMPPS Gate Restrictions

- D1. Suppliers will ensure that their delivery vehicles are appropriate and comply with the dimensions and restrictions detailed below. During the Contract period where sites, dimensions or restrictions change the Authority will provide updates.

Establishment	County / Town	Post code	Height (m)	Width (m)	Distance between inner & outer gate (m)	Lock gates?
Bristol	Bristol	BS7 8PS	3.78	3	10.6	Y
Bullingdon	Oxon (Bicester)	OX25 1WD	6	3.35	22	Y
Channings Wood	Devon	TQ12 6DW	4.01	3.54	12.18	Y
Dartmoor	Devon	P120 6RR	3.5m	2.9m	10.6m	Y
Exeter	Devon	EX4 4EX	3.9m	3.2m	30m	Y
Exeter - Additional Information		Access restricted by small turning circle and inner gates are at 45 degrees to main gate				
Featherstone	Wolverhampton	WV10 7PU	3.8m	3.3m	10.9	Yes
Foston Hall	Derbyshire	DE65 5DN	5.2	4	N/A	N
Full Sutton	East Yorkshire	YO41 1PS	6	3.4	17.7	Y
Garth	Preston	PR26 8NE	5.62	3.25	N/A	N
Gartree	Leicestershire	LE16 7RP	4.27	3.81	12.14	Y
Haverigg	Cumbria	LA18 4NA	4.75	4.11	NA	Y

Hewell	Worcestershire	B97 6QS	3.3	3.9	-	-
High Down	Surrey	SM2 5PJ	5.75	3.53	3.7	Y
Highpoint	Suffolk	CB8 9YG	4.11	3.66	3.66	Y
Holme House	Cleveland	TS18 2QU	6.1	3.2	20.73	Y
Huntercombe	Nuffield	RG95SB	4m	4m	16.5m	Y
Isle of Wight	Isle of Wight	Po30 5SB	4.02	3.8	N/A	N
Leeds	Leeds	LS122TJ	4m	6.3m	N/A	N
Lincoln	Lincoln	LN2 4BD	3.58	3.2	9.75	Y
Lindholme	Doncaster	DN76EE	16.1m	4m	21.3m	N
Liverpool	Liverpool	L9 3DF	4.41	3.96	9.14	Y
Long Lartin	Evesham	WR11 5TZ	-	-	-	Y
Maidstone	Maidstone	ME14 1U2	3.9m/2.7m	2.7m	9.1m	-
Manchester	Lancashire	M60 9AH	6.27	4.27	18.29	Y
Moorland	Doncaster	DN7 6BW	6.1	3.58	21	Y
Morton Hall	Lincoln	LN6 9PT	4	3.8	N/A	Y
New Hall	Wakefield	WF4 4XX	4	4	18	Y
Norwich	Norfolk	NR1 4LU	11.3m	8.4m	11.2m	N
Nottingham	Nottingham	NG5 3AG	4.15	4	59	Y
Pentonville	London	N7 8TT	4.16m	3.7m	17.83	Y
Preston	Lancashire	PR1 5AB	3.43	3.2	26.74	Y
Ranby	Nottinghamshire	DN22 8EU	4.09	4	18	Y
Risley	Warrington	WA3 6BP	4.1m	3.7m	30m	
Risley - Additional Information		No articulated lorries				
Stafford	West Midlands	ST16 3AW	4.11	3.7	8.23	Y
Stoke Heath	Shropshire	TF9 2JL	4.1	3.65	18	Y
Swansea	Swansea	SA1 3SR	3.4	3.6	9.5	Y
Swinfen Hall	Staffordshire	WS14 9QS	-	-	-	-

Swinfen Hall – Additional Information		Can accept articulated lorries				
Wakefield	West Yorkshire	WF2 9AG	-	-	-	Y
Wakefield – Additional Information		Can accept articulated lorries				
Wandsworth	London	SW18 3HR	4	4	9	-
Wayland	Norfolk	IP25 6RL	4.3	3.29	15.5	-
Wealstun	West Yorkshire	LS23 7AZ	4	3.7	14	Y
Whatton	Nottinghamshire	NG13 9FQ	4	3.9	No restriction	-
Winchester	Hampshire	SO22 5DF	3.91	2.69	10.97	Y
Wormwood scrubs	London	W12 0AE	3.9	2.8	17	-
Wymott	Leyland	PR26 8LW	3.8	4.5		Y
Additional Information	Limit - 7.5 tonne lorry					

## Appendix E - Possession of Prohibited Items and Other Related Offences

- E1. Prohibited items are now graded according to their seriousness and perceived threat to security and safety within a prison, and are classified as List A, List B or List C items, as set out below:
- List A items – drugs, explosives, firearms or ammunition and any other offensive weapon
  - List B items - are alcohol, mobile telephones, cameras, sound recording devices (or constituent part of the latter three items)
  - List C items - any tobacco, money, clothing, food, drink, letters, paper, books, tools, information technology equipment\*.

\*Note that IT equipment is also subject to the provisions introduced by the Crime and Security Act and its possession within prison without appropriate authorisation is now a criminal offence.

### List A and B Offences and Penalties

- E2. A person (e.g. prisoners, staff, social and professional visitors) commits an offence if he/she carries out any of the following listed activities without obtaining prior authorisation:
- brings throws or otherwise conveys list A or B items in or out of a prison by whatever means;
  - causes another person to do so;
  - leaves a list A or B item in any place (in or out of the prison) intending it to come into the possession of a prisoner;
  - knowing a person to be a prisoner, gives a list A or B item to him/her.
- E3. The maximum penalty on conviction for committing offences in respect of list A items is 10 years imprisonment and/or an unlimited fine. The maximum penalty on conviction for committing offences in respect of list B items is 2 years imprisonment and/or an unlimited fine. All such offences attract a criminal record on conviction.

### List C Offences

- E4. A person (e.g. prisoners, staff, social and professional visitors) commits an offence if he/she carries out any of the following listed activities without obtaining prior authorisation:
- brings, throws or otherwise conveys a List C item into a prison intending it to come into the possession of a prisoner;
  - causes another person to bring, throw or otherwise convey a List C item into a prison intending it to come into the possession of a prisoner;
  - brings, throws or otherwise conveys a List C item out of a prison on behalf of a prisoner;
  - causes another person to bring, throw or otherwise convey a List C item out of a prison on behalf of a prisoner;
  - leaves a List C item in any place (whether inside or outside a prison) intending it to come into the possession of a prisoner, or;
  - while inside a prison, gives a List C item to a prisoner.
- E5. All such offences carry a criminal record on conviction.

#### Main Offences

- E6. Section 40D of the Prison Act provides offences of - without authorisation:
- taking a photograph or making a sound recording within a prison;
  - transmitting any image or sound or information electronically from within a prison for simultaneous reception outside a prison;
  - conveying a “restricted document” (see definition below) out of a prison.
- E7. Restricted documents are defined in the Prison Act as including:
- photographs or sound recordings taken/made inside the prison;
  - personal records of prisoner (serving or past);
  - information relating to an identified or identifiable individual (including families of prisoners or staff) if the disclosure of that information might prejudicially affect the interests of that individual;
  - information relating to any matter connected with the prison if the disclosure of that information might prejudicially affect the security or operation of the prison.

#### Possession of Prohibited Items

- E8. The Crime and Security Act 2010 amends the Prison Act to make the following an offence to possess within a prison without authorisation:
- a device capable of transmitting or receiving images, sounds or information by electronic communications (including a mobile telephone);
  - a component part of such a device;
  - an article designed or adapted for use with such a device (including any disk, film, or other separate article on which images, sounds or information may be recorded).

## **Appendix F – Transport Managers and Drivers’ Handbook**

### **F1. Introduction and Purpose**

- F1.1 This document highlights the responsibilities of Depot Transport Managers and delivery drivers to meet HMPS requirements
- F1.2 The document provides information and guidance on procedures specific to the HM Prison Service, thereby allowing drivers to carry out their duties to the required standards. It is designed to be used in conjunction with the company’s existing manuals and instructions.
- F1.3 This handbook may, from time to time, be updated and drivers should ensure that they have the current version.

## **F2. Key Points about Prison Deliveries**

1. HMPS Contract may be a departure from the company's normal practice of delivering to commercial organisations and premises and as a consequence may introduce new working practices and procedures synonymous with the ethos of a penal establishment.
2. Deliveries to establishments must be made within the agreed delivery time window. You are unlikely to be given access outside these times.
3. Regular and relief company drivers delivering to the prisons must carry their company's photo identification badges.
4. Agency Drivers must have a photo identification i.e. driving licence, passport. Without any form of photo identification you may be refused entry into the establishment.
5. The relationship between the Driver and Prison staff and in particular, the establishment Gatekeeper, is important to the success of a smooth and effective delivery experience.
6. During deliveries to establishments, drivers may well come into contact with prisoners, caution must be exercised during any interaction. In all cases, follow the guidelines in the Drivers Handbook section of this document.
7. No alcohol, or products containing alcohol, will be permitted on prison property, this must be delivered before arriving at an establishment.
8. Establishment Governors have the right to add other items to the banned list, an example being aerosols. Drivers must declare any item at the gate that they're unsure about to guard against confusion/embarrassment/potential prosecution. Drivers should be fully aware of the list of band and restricted items; this information is available at the gate house. Annex 2 of this document gives guidance on this list but each establishment will have its own security department list appropriate to the establishment.
9. Detachable mobile phones, cameras, knives or tools, even innocent looking items may be an aid to a prisoner escape or could be classed as a weapon and anything which would be called contraband will not be allowed into an establishment. These items must be handed in at the gate before entering the establishment. If found on the vehicle when in the establishment this could be classed as trafficking, which is a criminal offence.
10. Any drivers aids like sat nav vehicle accident recording cameras, two way radios, fitted mobile phones, etc. which are detachable from the vehicle must be handed into the gate officer before entering the establishment. If they are permanently fitted to the vehicle they must be switched off before entering the establishment and remain off until the vehicle is outside the establishment. If the vehicle is fitted with a manufactures vehicle management monitoring systems which must remain live at all times and which cannot be disabled or switched off, this must be reported to the gate keeper before entering the establishment.
11. Ladders should be left in the gate area unless they are required for the delivery in which case they must be secured to the vehicle at all times when not in use.
12. Driver's mates, to assist with the unloading on vehicles, will only be allowed into an establishment by prior arrangement with the individual establishment.
13. A notice is displayed at the entrance to an establishment or at the gate providing information on the major issues relating to visiting an establishment (see Annex 1).

## **Transport Managers' Handbook**

### **F3. Selecting and Training Drivers to Deliver to HM Prisons**

- F3.1 There are advantages in allocating a regular driver to make prison deliveries, who will become recognised by HMPS staff. The driver would also then become familiar with the establishments' internal procedures and thus the deliveries will be expedited efficiently. A list of regular and relief drivers is will need to be provided to all establishments, where possible if agency drivers are to be employed the supplying agency should supply pre checked drivers to expedite deliveries.
- F3.2 Drivers should be selected from appropriately security-cleared staff, from within the servicing depot. Personal information will be required for CRB checks. This information will be protected under the Data

Protection Act. All regular drivers will be required to be security vetted in line with HMPS security vetting procedures.

- F3.3 Drivers and relief drivers must carry their company's I.D when making a delivery to an establishment.
- F3.4 Agency Drivers must have a photo identification i.e. driving licence, passport. Best practice would be to use permanently employed and security vetted staff as both regular and relief drivers.
- F3.5 Depot Managers are responsible for ensuring that their drivers have photo identification with them before setting off on their route.
- F3.6 Depot Managers are responsible for ensuring that drivers are fully trained to achieve a successful delivery. Drivers are to be fully appraised of the meaning, importance, and content of the Drivers Handbook and are aware of the consequences and impact of non-compliance.
- F3.7 Drivers delivering to establishments must be able to understand and follow instructions given by HMPS staff and be able to communicate clearly.
- F3.8 Drivers making deliveries to establishments must dress to the company's policy on corporative clothing.
- F3.9 Before leaving you will need to pass on details of your next destination and contact details in case an issue arises from your delivery.

#### **F4. Routing Deliveries to Prison Establishments**

- F4.1 Establishments have been allocated an agreed delivery day and time. Route and drop numbers must allow for the vehicle to complete the delivery within the establishment's agreed window times. You are unlikely to be given access outside these times. When making deliveries the delivery window reflects the last time by which the delivery must be clear of the establishment. Arrival at the establishment should allow for security checks in and out, travel to the drop point within the establishment, safe delivery and checking of the load and any paperwork that requires checking.
- F4.2 Requests for additional deliveries can be accommodated but must be approved between the Transport Manager and the HMPPS Nominated Manager at the effected establishment.
- F4.3 Depot staff should not routinely agree to additional deliveries, other than Service Error Recoveries.
- F4.4 Additional deliveries requested by establishments will be treated as one off deliveries and covered by an official order.
- F4.5 The Depot Duty manger and depot transport staff responsible for day to day 'load balancing' must be mindful of the delivery constraints when matching the delivery schedule.
- F4.6 The Depot Duty Manager must ensure the vehicle is loaded in the correct manner as per the delivery schedule.
- F4.7 Periodic route evaluation and re-routing' exercises must also take into account establishment delivery windows. Any planned changes must be submitted to HMPS for approval, prior to any trial of a new routing or permanent change to delivery windows. This must be agreed with establishments in the first instance. Any changes made without formal agreement will be seen as contract non-compliance by the Authority.
- F4.8 If alcohol or products containing alcohol, forms part of any split loading, it must be delivered before arriving at an establishment.

F4.9 Drivers are not allowed to smoke in the establishment given that it is likely the areas they will deliver to are designated non-smoking areas.

#### **F5. Delivery Windows**

F5.1 All establishments have agreed strict delivery windows times.

F5.2 Access to establishments outside the agreed window time may not be permitted. If the driver is unable to deliver within the agreed window they must contact their Line Manager without any delay. The company will contact the establishment and arrange an agreeable time for the delivery and report back to the driver. The company may need to put their contingency plans into operation to fulfil the establishment's urgent requirements.

#### **F6. Pre-Departure Checks**

F6.1 Initiate a daily check to ensure that all drivers about to embark on a prison delivery have all of the necessary paper work, approved identification, suitable equipment to unload the vehicle, checked that orders are complete and loaded on the vehicle in a way that makes for an efficient delivery, and a copy of the Drivers Handbook.

F6.2 Ensure, especially relief and Agency drivers, are aware of their route to match the loading on the vehicle and know where the relevant establishments are situated. A briefing on the requirements of HMPS deliveries be given to the relief or agency driver. This may be in the form of a script or memory notes outlining the salient points for the establishment being visited.

F6.3 Drivers are dressed in accordance with the company's policy on corporative clothing.

#### **F7. Driver's De-Brief**

F7.1 Drivers de-brief should take place on the drivers return to the depot. Drivers should be encouraged to record details of any incident that may have occurred during the delivery. This may include contact by a prisoner, difficulty with HMPS Staff, poor loading, damaged goods, outstanding returnable containers or other noteworthy events (see additional notes under 'Making a Delivery'). Resulting from the de-briefing if there are any issues which are causing concern to the driver it must be reported back to the establishment by phone, and then followed up in a written format (e-mail / letter).

### **Drivers' Handbook**

#### **F8. Important Points about the Drivers Handbook**

1. It must be kept in your vehicle at all times.
2. The Handbook is an important document and must be read and fully understood before attempting to make deliveries to Prison Establishments.
3. If you are unsure about any of your duties and responsibilities, or you do not fully understand any part of this handbook, consult your Line Manager who will give you further advice.

#### **F9. Load Security**

F9.1 It is the responsibility of the driver to ensure:

- That the vehicle's load is secure at all times;
- The vehicle is not over loaded;
- The load is evenly distributed;
- All pallets are securely wrapped and appropriately supported;
- All cages are secured using load restraints;
- All cage deliveries have a maximum loaded weight of 350 kilograms;
- All pallet deliveries have a maximum loaded weight of 800 kilograms.

F9.2 Note: Webbing straps can be used to secure the cage or load. If used, the webbing straps must stay on the vehicle and be accounted for before leaving the unloading area. Any missing webbing straps

must be reported to the escorting officer before moving the vehicle. An inventory of straps and other equipment on all vehicles should be maintained and checked on a regular basis.

#### **F10. Before Departing from the Depot**

- F10.1 Regular and relief company drivers delivering to the prisons must carry their company photo identification badges. Depots should contact the establishment to provide details of change to a regular driver.
- F10.2 Agency Drivers must have a photo identification i.e. driving licence, passport.
- F10.3 You should ensure that you have all necessary paperwork for the deliveries and equipment to unload the vehicle. Your paperwork should be compatible to the load plan for your vehicle.
- F10.4 No alcohol, or products containing alcohol, will be permitted on prison property; this must be delivered before arriving at an establishment.
- F10.5 If you know a prisoner who is held at any of the establishments which you are delivering to, tell your Line Manager before leaving the depot.
- F10.6 There is no authorised drop off points at establishments where you can leave goods unattended.
- F10.7 Medication and prescription drugs should be kept to the minimum you require for that working session. Large quantities of medication and prescription drugs should not be taken in to establishments as this may cause problems when vehicle or the person are searched. You should advise the escorting staff of any medication you have in your possession when they initially search the vehicle on entry to the establishment, this will then be dealt with in accordance with the local security strategy.

#### **F11. Delivery Windows**

- F11.1 All establishments have strict delivery windows, the delivery must be completed within these times. Deliveries will not normally be accepted outside these windows. Due to other timed activities at establishments, if you have not completed your delivery within your approved window time, you may not be allowed to complete the unloading and requested to leave the establishment. You must contact your Line Manager, so they can arrange an agreeable time for you to re-enter the establishment to complete the delivery.
- F11.2 If you become aware that you will not be able to meet any specified delivery window, you should immediately advise your Line Manager in order that this can be communicated to the establishment in a timely manner.

#### **F12. Communication**

- F12.1 Drivers should:
- Maintain regular contact with their home depot;
  - Always seek advice from your Line Manager whenever you are unsure about any aspect of your work;
  - Communicate the cause and likely duration of any delays to your Line Manager;
  - Be polite and act in a professional manner at all times;
  - Ask for clarification on any unclear instructions given by HMPS staff;
  - Inform prison staff and your Line Manager if approached by a prisoner for any reason not connected to the delivery;
  - Report any behaviour by prisoners that is unusual or would suggest a pattern of behaviour that would lead to conditioning, i.e. the prisoner being overly friendly or performing delivery tasks as a favour or giving a helping hand. Be aware of every day questions about home life or other delivery points connected with your work;
  - Be mindful of who is listening to you when talking to staff about home life or work related information.

### **F13. Prison Specific Delivery Requirements/Process**

- F13.1 Whilst adhering to company standard procedures, there are a number of additional requirements that must be complied with:
- F13.2 Drivers should remain polite and helpful when making deliveries, no matter how trying the circumstances. If you have a dispute with the gate staff prior to entry to the establishment; please contact your manager for guidance. Once within the establishment drivers must always follow Prison staff instructions and adhere to the speed limits and the constraints of escorting staff walking behind the vehicle.
- F13.3 Unloading should not commence until the escort staff indicate it is appropriate to do so. The cab should be locked and keys handed to escorting staff whilst unloading takes place.
- F13.4 It is important to remember that there are stringent security protocols in effect at establishments which may at first appear abrupt and occasionally invasive. Drivers are expected to deal with these protocols in a professional and courteous manner. Their purpose is to ensure the safety of all concerned.
- F13.5 If you are given an instruction which is unclear, or you do not understand, please ask for further clarification from the member of staff.
- F13.6 Drivers are not allowed to smoke in the establishment given that it is likely the areas they will deliver to are designated non-smoking areas.
- F13.7 A notice is displayed at the entrance to an establishment or at the gate providing information on the major issues relating to visiting an establishment (see Annex 1).
- F13.8 On arrival drivers must observe the following points:
1. Observe all speed limits and traffic directives in force on crown property.
  2. When stationary ensure your vehicle engine is turned off.
  3. The vehicle must be securely locked before reporting to the main gate.
  4. Report to the main gate taking your ID and paperwork for the delivery or collection with you.
  5. The vehicle must not obstruct the gate to such an extent that it interferes with the free-flow of vehicles.
  6. You must always hand in any detachable mobile phones (including personal mobile phones), satellite navigation aids, and accident recording camera at the main gate. These will be returned when leaving the establishment.
  7. Any permanently fitted cab-phone, satellite navigational aids, accident recording camera must be switched off and must remain off until you leave the establishment.
  8. If the vehicle is fitted with a manufacturer's vehicle management monitoring systems which must remain live at all times and which cannot be disabled or switched off, this must be reported to the gate keeper before entering the establishment.
  9. Medication and prescription drugs should be kept to the minimum you require them for that working session. You should advise the escorting staff of any medication you have in your possession when they initially search the vehicle on entry to the establishment, this will then be dealt with in accordance with the local security strategy.
  10. If you have not delivered or collected from the establishment before, always ask the gate staff about the procedures for visiting drivers; this will ensure the prompt completion of your visit.
  11. If you are carrying knives of any kind or any item which could be classed as a weapon, these must also be handed in at the gate.
  12. If found on the vehicle when in the establishment this could be classed as trafficking, which is a criminal offence
  13. No alcohol is permitted in an establishment. If found on the vehicle when in the establishment this could be classed as trafficking, which is a criminal offence

14. Establishment Governors have the right to add other items to the banned list, an example being aerosols. You are encouraged to declare any item at the gate that you are unsure about to guard against confusion/embarrassment/potential prosecution.
15. Ensure that you remove any cigarettes, lighters and personal items including letters from sight.
16. If you have any operational tools which could be classed as a weapon (e.g. vehicle cranking bar or hook) these must be declared.
17. Vehicles are searched when entering or leaving the establishment Please ensure you conform with the points above to save delays and any embarrassment to yourself or your company. If the search is to include a sniffer dog please see 'Searches Using Sniffer Dogs'.

#### **F14. Making the Delivery**

- F14.1 Prison staff will usually escort you to and from the delivery point. Escorting officers are not permitted to travel in contractors vehicles.
- F14.2 For the avoidance of doubt, when escorted, you must always travel at the speed of the walking escorting officer and ensure you have visual contact with the escorting officer at all times.
- F14.3 When going through internal gates you must wait until the escorting officer has closed and locked the gates. The escorting officer will instruct you when to continue with your journey.
- F14.4 Never allow any third party to board your vehicle or its load area, particularly prisoners. It is your responsibility to unload/load your vehicle.
- F14.5 Always ensure that your vehicle engine is switched off and the cab is securely locked with the keys removed whilst making the delivery.
- F14.6 The Delivery Note must be signed and dated by the receiving member of staff. Under no circumstances are prisoners authorised to sign for the goods delivered. The load will be checked and signed for if possible, due to the size and complexity of some deliveries it is not practical on all occasions for a full check to be made on delivery and goods will be signed as unchecked at point of delivery. Discrepancies will be advised within 24 hours. This will allow the vehicle to leave and other deliveries to other areas to be made.
- F14.7 You must undertake a check to ensure all your webbing straps and securing bars are accounted for before leaving the unloading area. If any items are missing you must make the escorting officer aware of the situation before moving the vehicle.
- F14.8 Do not enter into conversations with prisoners (other than those directly related to receipt of the goods or as general good manners whilst delivering).
- F14.9 Do not give prisoners anything. It may seem innocent enough to reward them with a cigarette for helping to unload / load your vehicle, this could result in prisoners demanding more which can end in trafficking for them.
- F14.10 Immediately inform a member of the prison staff before leaving the establishment if a prisoner asks you to take out or bring items into the establishment for them. This is classed as trafficking which is a criminal offence. You must also inform your depot transport management on return.
- F14.11 If you find yourself accepting anything (e.g. a letter or package) from a prisoner– do NOT attempt to give it back. Inform your escorting officer immediately and pass the package to them. Upon leaving the establishment, contact the depot immediately and notify them of any such incident.
- F14.12 If you see a prisoner that you know (family / friend etc.), you must report this to the gate staff or your escorting officer immediately. This must be reported back to your manager as part of the de-briefing.

**F15. Departure from the prison site**

F15.1 Before leaving the site ensure you have collected all returnable cages, pallets and boxes. If you are unable to collect all the returnable items awaiting for collection this must be reported back to your Line Manager as part of the Driver's De-brief.

F15.2 Remember:

- To collect your belongings, e.g. mobile phones, etc. from the main gate before leaving the site.
- Before leaving you will need to pass on details of your next designation and contact details in case an issue arises from your delivery.
- Ensure you remain with your escort until dismissed.
- Prison speed limits and traffic directives remain in force until you re-join the public highway.

**F16. Right of Search**

F16.1 HMPPS staff may wish to search your vehicle and/or your person in order to ensure the continued security of the establishment. This could occur when entering or leaving the establishment. This is in line with Prison Rule 71 which states that:

"(1) Any person or vehicle entering or leaving a prison may be stopped, examined and searched and in addition any such person may be photographed, fingerprinted or required to submit to other physical measurement.

(1A) Any such search of a person shall be carried out in as seemly a manner as is consistent with discovering anything concealed about the person or their belongings.

(2) The governor may direct the removal from a prison of any person "who does not leave on being required to do so."

F16.2 This may include a level A or B personal rub down search (similar to airport security). This is in accordance with paragraph 2.53 of PSI 49/2010 which provides that "Local arrangements and procedures must be in place that direct which vehicles are searched on entry and exit and the level of searching to be conducted on the driver and any passengers, to be set out in local security strategies."

F16.3 In exceptional circumstances a full search of the person may be required to maintain the security of the establishment, this will include the removal and search of clothing. Visitors to prisons are not routinely full searched except where there is a power to search without consent under Firearms Act 1968 and Misuse of Drugs Act 1971 and the Police and Criminal Evidence Act 1084 (PACE S32). For example, a full search may be conducted if there is reasonable cause to suspect the subject is carrying a firearm for the purpose of committing an indictable offence; if there is reasonable cause to suspect the subject is carrying a class A, B or C controlled drug; or if an officer of the prison has arrested the subject and there is reasonable cause to suspect they are a danger to self or others or they are carrying something which may be used to escape from arrest or which might be evidence relating to an offence. However, less intrusive methods will be considered before a decision to full search is made.

**F17. Searches Using Sniffer Dogs in Cargo Area**

F17.1 If the establishment wish to search the cargo compartment of the vehicle with sniffer dogs it will immediately render any food products on the vehicle unfit for human consumption. You should request that the Head of Security is informed of this and that the establishment will be charged for the full replacement cost of any food product within the vehicle.

F17.2 If your vehicle is carrying any food related products, offer to remove the establishments consignment, do not allow the dog to stand on the tail lift. The consignment can then be searched independently of any other delivery still on the vehicle.

F17.3 The searched consignment must not go back onto the vehicle. The establishments will have to make alterative arrangements to have the consignment taken to the delivery destination.

F17.4 If you are carrying no food items on the vehicle, the establishment has the right to use a sniffer dog to search the cargo area.

**F18. Searches Using Sniffer Dogs in Driver's Cab area**

F18.1 It is more likely to be the driver's cab that the establishment wants to search with a prison dog. The prison service has the right to search the cab of the vehicle with a sniffer dog.

F18.2 If subject to a search you should remove all personal items from the vehicle's cab including food, spare items of uniform, personal possessions etc. before the dog enters the cab. You must allow a member of staff to manually search these items without using a sniffer dog.

**F19. Operational/Driver 'Issues/What If?' Checklist**

<b>Issue</b>	<b>You need to...</b>	<b>Your Manager will ...</b>	<b>HMPPS Will</b>
If refused entry to the establishment or You are awaiting an escort	Try to establish how long before you will be allowed entry into the establishment. If the delay is cause for concern then contact your depot immediately.	Contact the Nominated Manager at the establishment and advise driver as to reason for delay and action to take – this may include making other deliveries and returning to the establishment later.	Facilitate delivery of goods into the prison.
I have lost/forgotten my company ID badge. or photo ID	This should be notified to your Line Manager BEFORE you depart, as this may affect your ability to gain entry to Establishments. If lost in the establishment, report it to the escorting officer before leaving the establishment	Ensure the establishment will accept the delivery from the driver by contacting the establishment You may need to make alternative arrangements if necessary.	HMPS will try and facilitate delivery of goods into the prison if approval is given.  Escorting Officer will inform Security without delay.
What clothing can I wear?	At all times when making a delivery you must be wearing clothing that meets the company policy for clothing	Ensure the driver is wearing corporative clothing as per the company policy.	If the driver is not wearing suitable clothing report it back to the transport manager at the supplier's depot.
I expect to miss the agreed delivery window (for any reason)	Contact the depot immediately, who will establish the correct course of action.	Contact the establishment and advise them of delay. Confirm action to be taken – this may include a later delivery or the dispatch of an alternative vehicle	Facilitate delivery of goods into the prison.  If necessary keep the driver informed if waiting at the gate.
There is a product missing / mis-picked / damaged goods on the delivery	Complete your claim-form or make a note and telephone your depot immediately on leaving the establishment to notify them of any shortages etc. – When checking the goods at the point of delivery, make sure that you are dealing with a member of staff and not prisoners	Progress as per normal procedures to ensure credit notes are issued or the shortfall is made up within agreed times	Ensure items are accurately receipted and credit requests are submitted to suppliers within agreed times
Prison staff ask to	(See section 3.8 Searches Using	Make all arrangements	Facilitate payment

search my vehicle / personal belongings	Sniffer Dogs,	necessary to ensure delivery to other customers are not affected and seek advice from RPU regarding invoicing for any compromised product.	of invoice for compromised product and investigate reasons for search.  Do not prolong the delay of the vehicle if other customer's goods are on the vehicle.
I am caught in a prison lock- down	Seek advice on the length of time you will be delayed. If expected to be over 30 minutes ask the accompanying officer for use of a prison land-line to Contact the depot immediately, to establish the correct course of action. <b>DO NOT USE THE CABPHONE</b> (which was switched off before entering the establishment).	Contact the establishment to see how long the vehicle will be held in the establishment. Make alternative delivery arrangements if necessary for other customers.	Keep driver informed.
I am refused entry to the prison due to other issues at the prison (e.g. Problem with prisoners)	Try to establish an expected time for being allowed entry and then contact your depot immediately, to establish the correct course of action. Do not simply drive away with a view to returning later.	Contact the Establishment and advise driver as to reason for delay and action to be taken. This may include making other deliveries and returning to the establishment later.	Ensure alternative arrangements are made to allow the vehicle to enter outside its normal window times.
Returnable containers are not available to collect / swap.	Advise your Line Manager as part of the de-briefing when you return to your depot.	Contact the Establishment and remind them the containers are returnable and you will collect the remaining containers on the next delivery	Ensure all empty returnable containers are available for collection on next delivery
I have a disagreement with the prison establishment staff	Do not "argue" with any prison staff, simply refer your concerns upon return to the depot during debrief. For any urgent queries, telephone your transport department immediately outside the establishment	Contact the establishment and advise them of the problem between your driver and their staff. If you are concerned raise with your Account Manager	Deal with issues raised as quickly and thoroughly as possible, escalating if necessary.
A prisoner attempts to start a conversation with me, Examples may include... • asking for cigarettes, • "can you post a letter – I've just missed the post"	Do not enter into conversations with prisoners (other than those directly related to receipt of the goods or for general good manners whilst delivering). If in doubt, seek assistance from prison staff. It may seem innocent enough but you must not give a prisoner anything even if it is only ONE cigarette.  If you find yourself accepting anything (e.g. a letter or package) from a	Please make a note of the matter in case of future queries.	Ensure the prisoner will not be able to make contact with the driver for future deliveries

	prisoner– do NOT attempt to give it back. Inform your escorting officer immediately and pass the package to them. Upon leaving the establishment, also contact the depot immediately and notify them of any such incident.		
If you know a prisoner held at the establishment which you are going to deliver to	Tell your manager before leaving the depot, alternative arrangements may be able to be made by your manager.	Make alternative arrangements where possible and ensure that the establishment are informed. Ensure future deliveries are made by a driver unconnected to the prisoner.	Facilitate delivery of goods into the prison and ensure gate staff and security are informed. Ensure the prisoner will not be able to make contact with the driver
I recognise a prisoner whilst making the delivery	If you have seen a prisoner that you know (family / friend etc.), please report this to your escorting officer immediately.	Ensure future deliveries are made by a driver unconnected to the prisoner.	Facilitate delivery of goods into the prison and ensure gate staff and security are informed.

### Annex 1: Notice at the Entrance of an Establishment

F20 Under the Prison Act 1952 it is a criminal offence for any person:

- i. to help a prisoner to escape or attempt to escape; the maximum penalty is 10 years imprisonment (s. 39)
  - ii. without authority to convey or cause another person to convey in or out of the establishment, or to a prisoner, or to leave in a place intending it to come into the possession of a prisoner:
- (a) A controlled drug, explosive, firearm, offensive weapon; maximum penalty is 10 years imprisonment or an unlimited fine or both (s. 40B)
- (b) Alcohol, mobile telephone, camera, sound-recording device; maximum penalty is 2 years imprisonment or an unlimited fine or both (s. 40C)
- (c) Tobacco, money, computer equipment or any other item listed in Rule 70A of Prison Rules; maximum penalty is a fine (s. 40C)
- iii. without authority to take a photograph or make a sound recording within a prison or convey a restricted document out of a prison; maximum penalty is 2 years imprisonment or an unlimited fine or both (s. 40D).

### Annex 2: List of Prohibited and Controlled Items

#### F21. Prohibited Items

F21.1 These are items or articles that are not permitted under any circumstances within the prison establishment:

Explosives Wax Weapons Cameras (including video cameras) Magnets	Aerosols Wire Drugs (none HCC) Toy Guns Mobile Phones Alcohol	Game Stations with an Internal Modem
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Mobile Phone Bluetooth Headsets and Technology	Metal cutlery Mobile phone SIM cards	
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**F22. Controlled Items**

F22.1 These are items or articles that must be carefully monitored when in the prison:

Tools Matches Yeast Clingfilm Chewing Gum Rope Vinegar Games Consoles of any description Computer Software Syringes	Skips Ladders Solvents Bleach Personal Audio Equipment DVD's and DVD Players Computer Memory Devices Money (limit £100) Alarm clocks	Glue Tin Foil Video Dustbins Foods CD's Electrical equipment of any nature
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## **SCHEDULE 2 - TENDER**

**Lot 1**

**[REDACTED]**

## Supply Chain

Please provide an outline of your supply chain. This should include any suppliers and subcontractors you will engage with on a regular basis.

Your response must be provided on this template and not exceed 1 side of A4, including the question.

As the oldest established and largest sewn products industry supplier in the UK, we are suppliers and/or distributors for all the main machinery, parts and consumables suppliers from around the world, including Europe, Turkey, U.S.A. and the Far East. We have been distributors for [REDACTED] for many years and also supply machines and parts from [REDACTED], amongst many others.

We stock an enormous range of machines, parts and consumables – some 15,000 different items - at our premises in [REDACTED], and additionally, we regularly source specific products for customers and/or add them to our range.

Our supply chain is global and we ensure that, where possible, we are able to source and supply the same type of machine from at least two suppliers from two different regions. We also use a number of global logistics providers to ensure that we can get delivery of products that we do not stock within an acceptable time frame and at a competitive price.

We have our own dedicated team of mechanics that can repair and/or recondition virtually any brand of machinery in-house, as well as a team that attends to repairs at customers' premises on a call-out basis, as part of a service agreement, or as a warranty repair.

Eastman Staples will only work with transparent and reputable suppliers that ensure basic employment and human rights of the people employed by them and who also aim to minimise the environmental impacts from the production, distribution and sales of their products, and to reducing their environmental footprint throughout their global operations.

## Customisation

Describe how you will customise machines to meet the requirements of a prison environment. Your response should include:

- How you will liaise with the PSPI to understand requirements;
- The nature and range of adaptations that you are able to undertake; and
- Any limitations in the adaptations that you are able to make.

Your response must be provided on the attached template and not exceed 1 side of A4, including the question.

We have reviewed the customisation requirements in the specification and whilst we have some experience in this area, in order to ensure we fully understand the current requirements for customising machines to meet the requirements of a prison environment, Eastman Staples technical personnel would meet with PSPI personnel, either at PSPI or Eastman Staples premises in Huddersfield or Hatfield and document the general and specific requirements for each type of machine. These would be signed off by PSPI personnel prior to the start of customisation. One of each type of machine would be customised as agreed and PSPI personnel would have the opportunity to inspect and approve the customisations prior to customisations on any remaining machinery of that type and subsequent delivery to PSPI premises.

As Eastman Staples has fully equipped engineering workshops in both [REDACTED], there is no limitation to the adaptations that we are able to make to adapt machines prior to delivery to meet specific operational security requirements to ensure their safe operation in a prison environment and, as a minimum, we can make



the following adaptations listed in the specification:

- All covers to be tamper proof under normal operation without intervention from an authorised member of staff
- All machines to be supplied with armoured cabling
- A minimum number of operator switches (on/off and emergency stop) should be exposed to prisoner contact. These shall be easily repaired/replaced
- All areas that require regular maintenance shall be enclosed to prevent injury or tampering but shall be accessible to authorised personnel only
- Panel displays to be protected by cages or similar to prevent tampering
- All machines to be fitted with eye and finger guards
- Sunk Allen screws to prevent needle removal unless by authorised personnel
- Any easily accessible parts to be removed as far as possible without affecting the normal operation of the machine

### **Warranty**

Detail the warranty that you will provide with all machines including any specific conditions or limitations that the Authority will be need be aware of and abide by. Your response should show how this meets the requirement of the specification to provide a minimum of a 12 month 'fair wear and tear' warranty on all machines.

Your response must be provided on the attached template and not exceed 1 side of A4, including the question.

We use a common-sense approach and there are no onerous specific conditions or limitations.

All equipment and parts will be provided with a minimum of 12 months fully inclusive 'fair wear and tear' warranty to cover design and component failure from the date of delivery. The warranty will cover all labour, parts and travel in connection to a claim.

Should a machine be irreparable Eastman Staples will make the necessary arrangements for it to be replaced within a reasonable period of time, with minimal disruption to the operations of the customer.

Eastman Staples warrants that all repairs and replacements will be carried out with due diligence and professionalism, according to any manufacturers' instructions and that they will have manufacturer approved repairer status to preserve any remaining warranty period.

### **Quality/Environmental Standards**

Provide details of any accreditation to quality and/or environmental standards that apply to your organisation or the goods that you are able to supply under this framework agreement. If you do not hold any relevant accreditations, please describe how you meet the relevant standards.

Your response must be provided on the attached template and not exceed 1 side of A4, including the question.

Quality and the environment are a very important part of Eastman Staples's business practices. Eastman Staples believes that to be a great brand you also need to be a great company. Since its incorporation in 1921, Eastman Staples has constantly sought to achieve the very highest standards in all it does and its continued success is a testament to this.

Over the years, Eastman Staples has developed systems to ensure the quality of the products it sells as well as the services it provides. These systems are regularly reviewed and updated as required with a view to continuous improvement. Only products which comply with the relevant European Standard and/or ISO standard are sold and new suppliers and products are rigorously assessed, and tested if necessary, prior to introduction into the range.

Eastman Staples is committed to finding innovative ways to minimise environmental impacts from the production, distribution and sales of its products, and to reducing its environmental footprint throughout its global operations. Eastman Staples has long recognised that this is not only good for the environment but also good for business, as, in the long run, it reduces costs. Eastman Staples also utilises their specialist knowledge of developments and innovation in the market to help the customers identify areas for cost savings and efficiency improvements or alternative products, which may enhance performance, improve efficiency, improve delivery and, ultimately result in cost savings in the medium term and beyond and reduce their impact on the environment through improved uses of resources.

Eastman Staples always aims to keep packaging to a minimum and to conform to the Packaging Directive (EU) 2015/720. We will only use recyclable and/or materials sourced from certified and well-managed forests. Eastman Staples aims to ensure that goods and services it supplies are manufactured, delivered, used and managed at the end of life in an environmentally and socially responsible manner.

Eastman Staples will only work with transparent and reputable suppliers that ensure basic employment and human rights of the people employed by them and who also aim to minimise the environmental impacts from the production, distribution and sales of their products, and to reducing their environmental footprint throughout their global operations.

### **Stock Management**

Describe your stock management processes. This should include:

- How you will engage with the PSPI team to understand demand;
- Details of the stock levels that you will hold to enable you to meet these requirements;
- The stock management systems and processes that you will use;
- Locations at which stock will be held, including full addresses; and
- Any risks associated with product availability over the lifetime of the framework agreement and how you will manage these.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

Eastman will schedule a meeting with PSPI team to understand demand based on the information held by them for the last four years. Based on this, we will if necessary adjust our stock levels to ensure that we can meet our KPIs.

We have an in-house developed Oracle database system that we use to manage all aspects of our business, including stock. The system is a live system that holds details of all our stock, including part number, quantity, location and supplier re-order lead-time. We hold some 15,000 items in stock at any one time, including machines, parts, ancillary items and consumables. The system is programmed to suggest product re-orders when stock-levels fall to a pre-defined level and number of days from order lead-time.

As a result of the long number of years that we have been established, we also hold many legacy parts.

At customers' requests, we also source and supply parts that we do not usually stock.

Stock will be held at our premises in **[REDACTED]**:

**[REDACTED]**

The risks associated with product availability over the lifetime of the framework agreement are minimal. The main risk is the original equipment manufacturer goes out of business or decides to discontinue a product(s). In order to minimise this risk, we would hold sufficient OEM stock to meet the requirements over the framework of the agreement or ensure that we have alternative sources of supply for the relevant product(s).

### **Delivery**

Describe how you will ensure that all deliveries meet the requirements described in the specification including:

- Obtaining security clearance;
- Communication with individual establishments;
- Ensuring drivers are familiar with the contents of the Drivers' Handbook and abide by it;
- The types of vehicles that will be used and how these meet any gate restrictions; and
- If subcontractors will be used for any part of the delivery process, please describe how you will ensure that they also fully meet these requirements.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

We have reviewed the delivery requirements in the specification, and whilst we have some experience in this area, in order to ensure that we fully understand the current requirements, the Eastman Staples Account Manager would meet with PSPi personnel, either at PSPi or Eastman Staples premises in Huddersfield or Hatfield and go through the specification, understand and document the preferred method of communicating with individual establishment, delivery booking procedures and processes, and the current protocols for service personnel's tools required to service and/or repair machines in a prison.

We will obtain the required security clearance for all our personnel allocated to delivering to and/or undertaking installation, repairs or servicing in a prison.

We will ensure that all personnel entering any of the Authority's Sites will carry official photographic forms of identification.

We will ensure that personnel are familiar with:

Appendix E - Possession of Prohibited Items and Other Related Offences

Appendix F – Transport Managers and Drivers' Handbook

through an appropriate classroom based training, materials and their own copies of the Handbooks. Regular refreshers will be held to maintain and update knowledge as necessary.

We envisage that deliveries of machinery and equipment will be made in our own vans, which are long-wheel base transit type vehicles. One of the procedures that we will put in place in order to ensure that we are able to meet the requirements of the contract is to check the dimensions of any delivery vehicles against those in Appendix D – HMPPS Gate Restrictions prior to booking a delivery to ensure they are within them.

### **Customer Service**

Please provide details of your customer service offering. This should include:

- How customers can raise queries and issues;
- How you will deal with these and the timescale for doing so; and
- Your complaints procedure which should include timescales for each stage in the process and an escalation point.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

We have an experienced and dedicated in-house customer services team of [REDACTED] between our parts, workshop and consumables departments, who are available via telephone and e-mail during office hours (8.30am-5.00pm, Monday – Friday excluding bank holidays) and are trained and extremely experienced to provide quotations, product information, and advice and to deal with general enquiries, technical queries, expediting orders, report discrepancies, arranging collections and complaints.

We will process all orders immediately and aim to deal with all quotations, product enquiries, advice, queries and issues immediately, if possible, otherwise within the same day or, if this is not possible, then by the end of the following day at the latest. If for some reason, there is a delay, we will contact the customer to inform them of this and the reason for the delay as well as the anticipated time for providing a response to their query or issue.

Should a customer make a complaint over the phone or by e-mail, our customer service representative would try to deal with it in a fair and professional way with a view to ensuring customer satisfaction. Where this is not possible, the customer will be asked to put the complaint in writing so that it is clear to both sides. We will acknowledge the complaint and confirm that we will investigate and provide a written response by the end of that working day if possible, otherwise within 24 hours. The complaint will be passed to the customer service manager, who will try to deal with it in a fair and professional way with a view to ensuring customer satisfaction. The customer service manager's response or proposed solution will be communicated to the customer in writing within the agreed time. In the unlikely event that the customer is still not happy, the complaint will be passed on the Managing Director to review together with our responses to date. The Managing Director will then decide on the appropriate course of action, again with a view to achieving customer satisfaction in a fair and professional manner. This would then be communicated in writing to the customer with a view to providing a fair and satisfactory resolution together with the details of an independent arbitration service should the customer still not be satisfied and the company will stand by the findings and recommendations of the arbiter.

### **Training**

Please provide details of how you will deliver training to Authority staff in line with the requirements detailed in the specification. This should include details on:

- The content of training;
- Lead times for arranging training sessions;
- The experience and qualification of staff who will deliver them; and
- Premises, including full address and a description of available facilities.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

As part of our quality procedures, on delivery and installation of any new machinery and/or equipment, Eastman Staples always provides operator training to ensure its safe, correct and reliable operation. As per the specification, training will be for both basic and specialist machinery and will be prepared on the basis that staff have no previous experience. Training will include familiarising operators with all parts of the machines that they will use, including controls, settings, switches, guards, procedures for starting, running, and stopping machines, safety features, including any emergency stops, as well, the necessary maintenance program.

At the request of HMPPS, this training can also be provided at Eastman Staples premises in [REDACTED], where we have a full range of facilities to ensure thorough, safe and comfortable training environment, including meeting room, training area, and audio-visual equipment.

We would aim to arrange training sessions to take place on the date of delivery and installation of the machinery at HMPPS premises or, if training is to be provided at Eastman Staples, then an agreed date shortly before the agreed date for machines to be delivered. In any case, training can usually be arranged with within 2 weeks of a request.

As well as having formal college qualifications, Eastman Staples staff providing training have at least 20 years' experience of providing sewing and ancillary machine training and are in high demand to provide training all around the world, most recently at a customers' factories in [REDACTED]. Our staff also regularly attend where necessary, training sessions provided by machinery manufacturers for their new and/or specialist machinery.

## Human Resources

Describe how you will ensure that there are adequate levels of staff, including those of any subcontractors, in all areas to support delivery of the framework agreement throughout its life.

Your response should include:

An organisation structure;

- A list of key personnel that will be employed in the delivery of the framework agreement, including any management activity;
- Details of any relevant skills, experience and/or qualifications held by staff;
- Details of any recruitment that may be required including number and description of posts and timescales; and
- A description of how you will ensure that all staff are fully trained in the following areas for the duration of the framework agreement:
  - Ordering and delivery processes, including any restrictions;
  - Customer service and complaints handling;
  - Security and data handling protocols; and
  - Compliance with all relevant regulations and legislation including but not limited to manual handling and health and safety.

Your response must be provided on the attached template and not exceed 3 sides of A4, including the question.

As the oldest established and largest sewn products industry supplier in the UK, Eastman Staples employs [REDACTED] full-time personnel between its sites in Huddersfield, Hatfield, Glasgow and N. Ireland. Virtually all our employees have been with us for many years and have the relevant skills, training, qualifications and experience to more than competently carry out their duties. They are also encouraged to attend training courses to further develop their skills.

A named account manager will be allocated to ensure delivery of the framework agreement to agreed KPIs throughout its life and their details will be provided to The Authority. The account manager will meet with The Authority prior to the start of the framework agreement to ensure complete understanding of their requirements and thereafter at least annually or sooner if required. The account manager will be responsible for providing The Authority with quotations for Lot 1 items as per the specification and ensuring the overall smooth running of

the account. The account manager will brief all relevant personnel within Eastman Staples that will be involved in the delivery of the requirements contained within the framework agreement and will ensure their understanding thereof and training, as necessary. The account manager will be supported by the relevant departments within Eastman Staples. Lots 2 and 3 items can be ordered directly through the customer services team, who are trained and extremely experienced to provide day-to-day quotations, product information, and advice and to deal with general enquiries, technical queries, expediting orders, report discrepancies, arranging collections and complaints.

We will ensure that personnel are familiar with and trained in in the following areas for the duration of the framework agreement that are in addition to their existing experience and training and specific to the framework agreement:

- Ordering and delivery processes, including any restrictions;
- Customer service and complaints handling;
- Security and data handling protocols; and

We have an in-house built Oracle database system that we use to manage all aspects of our business, including quotations, ordering, delivery routing. The system is a live system that holds details of all our stock, including part number, quantity, and price.

Deliveries of machinery are usually made using our own vehicles. Deliveries of parts, ancillaries and consumables are generally made utilising the most cost-effective method using reputable national third-party courier companies and/or Royal Mail subject to the speed of delivery required for the customer and the size of the package.

We do not envisage that any further recruitment will be required to support the delivery of the framework agreement throughout its life.

Our customer service offering and complaints procedures are as detail in the above section: Customer Service.

Eastman Staples complies with and usually exceeds all relevant regulations, including employment and Health and Safety. We have an up-to-date and documented Health & Safety Policy. The well-being of our team is of paramount importance to us as we believe that this is key to a productive and pleasant working environment. The long length of service of many of our staff, who have spent the greater part of their career in our company, is a testament to Eastman Staples being a good place to work.

As we are in an industry where manual handling is unavoidable, all our employees are trained in correct manual handling methods.

**[REDACTED]**

### **Account Management**

Provide details of how you will manage the MoJ account including how you will:

- Comply with MI and reporting requirements;
- Manage performance and ensure delivery of KPIs;
- Select and manage any subcontractors, including their performance;
- Identify and manage key risks; and
- Develop and manage a business continuity plan.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

An experienced account manager will be assigned to the MoJ account, who will be supported in the delivery of

the framework by an experienced and dedicated team.

Eastman Staples have an in-house built Oracle database system that we use to provide our Management Information, including KPIs.

We will provide management information on a quarterly basis to support the KPI report as per the specification. Our system is capable of providing a breakdown of all orders including but not limited to: cost centre, contact name, delivery location, item description, cost, order date, delivery date, purchase order number, invoice number and payment date in the format specified by The Authority during the mobilisation period.

An experienced member of our reporting team will be assigned and briefed on the requirements and expected to produce and submit the relevant MI and KPIs monthly to the account manager to review and action as necessary. If KPIs are not being met, then a team meeting is held within 24 hours to establish the cause and come up with possible solutions. The solution with the highest probability for success is implemented immediately and reviewed at the next KPI report interval and adjusted or replaced as necessary and then reviewed again at the following KPI report interval until the solution produces the desired result or an alternative solution is found. The account manager is responsible for submitting the agreed management information on a quarterly basis the Authority and actioning any feedback.

Eastman Staples will seek and expects to achieve 100% compliance with the Authority's required KPIs using its experience and resources.

The account manager will be available for regular contract management meetings with The Authority to review progress and operational delivery of the framework agreement, Key Performance Indicators (KPIs), invoicing, risks and any issues.

The account manager will work with the Authority during the mobilisation period to identify and agree a plan to manage key risks.

Eastman Staples has a business continuity plan, which it will review and modify in order to incorporate any requirements of the authority. This will include the account manager being shadowed by and training another account manager on a regular basis with the running and requirements of the framework agreement.

[REDACTED]



## Lot 2

### 2.6.2 – Supply Chain

Please provide an outline of your supply chain. This should include any suppliers and subcontractors you will engage with on a regular basis.

Your response must be provided on this template and not exceed 1 side of A4, including the question.

As the oldest established and largest sewn products industry supplier in the UK, we are suppliers and/or distributors for all the main machinery, parts and consumables suppliers from around the world, including Europe, Turkey, U.S.A. and the Far East. We have been distributors for [REDACTED] for many years and also supply machines and parts from [REDACTED], amongst many others.

We stock an enormous range of machines, parts and consumables – some 15,000 different items - at our premises in [REDACTED], and additionally, we regularly source specific products for customers and/or add them to our range.

Our supply chain is global and we ensure that, where possible, we are able to source and supply the same type of machine from at least two suppliers from two different regions. We also use a number of global logistics providers to ensure that we can get delivery of products that we do not stock within an acceptable time frame and at a competitive price.

We have our own dedicated team of mechanics that can repair and/or recondition virtually any brand of machinery in-house, as well as a team that attends to repairs at customers' premises on a call-out basis, as part of a service agreement, or as a warranty repair.

Eastman Staples will only work with transparent and reputable suppliers that ensure basic employment and human rights of the people employed by them and who also aim to minimise the environmental impacts from the production, distribution and sales of their products, and to reducing their environmental footprint throughout their global operations.

## Products

Please describe how you will provide products in line with those listed in the specification.

Your response should include:

- A brief description or list of key products, including any additional items that you are able to supply that are not listed in the specification;
- Average lead times and lifespans of key products where applicable;
- The range of discounts that you will provide against the manufacturer's list prices for the products that you have listed; and
- An explanation of how you will minimise the need for price increases over the duration of the framework agreement.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

As the oldest established and largest sewn products industry supplier in the UK, we stock an enormous range of machines, parts, ancillaries and consumables – some 15,000 different items - at our premises in [REDACTED], including those listed in the specification, including:

- Belt covers
- Bobbin cases
- Bobbins
- Cover plates
- Drive belts
- Eye guards
- Feed dogs
- Finger guards
- Knives
- Loopers
- Needle plates
- Needle screws
- Presser feet
- Screws
- Sewing machine light bulbs
- Thread guides
- Washers
- Needles in a variety of sizes to fit existing and new machines
- Machine oil
- Tweezers
- Scissors/Shears
- Markers/Tailor's chalk
- Seam rippers
- Tape measures

In addition to these, we are probably the U.K.'s largest supplier of paper to the sewn products industry, including plotter paper, spot and cross, pattern making paper, and underlay.

We are also a significant supplier of sewing thread, lining and fusible.

We also own Kennett & Lindsell, the oldest and highest regarded tailors' dummies manufacturers in the World.

We stock all key OEM and generic parts for both machinery that we supply and popular machinery in the market. Using our expertise and experience we undertake to work with the Authority to ensure

that we maintain stock of key parts for their existing machinery (should we not already stock them). We also have a huge inventory of hard-to-find legacy parts and, where economically viable, we can manufacture some hard-to-find legacy parts.

For items that are not stock, depending on where they come from, we can usually obtain these with 1 to 10 working days.

The lifespan of key products will vary from part to part, manufacturer to manufacturer and usage.

Subject to volume, we generally give **[REDACTED]** discount from manufacturers list prices.

We will aim to minimise the need for price increases over the duration of the framework agreement through a combination of factors, including using our buying power, continuing to improve the efficiency of our business and operating models, and hedging against exchange fluctuations.

### **Warranty**

Detail the warranty that you will provide with all products including any specific conditions or limitations that the Authority will need be aware of and abide by. Your response should show how this meets the requirement of the specification to provide a minimum of a 12 month 'fair wear and tear' warranty on all products.

Your response must be provided on the attached template and not exceed 1 side of A4, including the question.

We use a common-sense approach and there are no onerous specific conditions or limitations.

All equipment and parts will be provided with a minimum of 12 months fully inclusive 'fair wear and tear' warranty to cover design and component failure from the date of delivery. The warranty will cover all labour, parts and travel in connection to a claim.

Should a machine be irreparable Eastman Staples will make the necessary arrangements for it to be replaced within a reasonable period of time, with minimal disruption to the operations of the customer.

Eastman Staples warrants that all repairs and replacements will be carried out with due diligence and professionalism, according to any manufacturers' instructions and that they will have manufacturer approved repairer status to preserve any remaining warranty period.

### **Quality/Environmental Standards**

Provide details of any accreditation to quality and/or environmental standards that apply to your organisation or the goods that you are able to supply under this framework agreement. If you do not hold any relevant accreditations, please describe how you meet the relevant standards.

Your response must be provided on the attached template and not exceed 1 side of A4, including the question.

Quality and the environment are a very important part of Eastman Staples's business practices. Eastman Staples believes that to be a great brand you also need to be a great company. Since its incorporation in 1921, Eastman Staples has constantly sought to achieve the very highest standards in all it does and its continued success is a testament to this.

Over the years, Eastman Staples has developed systems to ensure the quality of the products it sells as well as the services it provides. These systems are regularly reviewed and updated as required with a view to continuous improvement. Only products which comply with the relevant European Standard and/or ISO standard are sold and new suppliers and products are rigorously assessed, and

tested if necessary, prior to introduction into the range.

Eastman Staples is committed to finding innovative ways to minimise environmental impacts from the production, distribution and sales of its products, and to reducing its environmental footprint throughout its global operations. Eastman Staples has long recognised that this is not only good for the environment but also good for business, as, in the long run, it reduces costs. Eastman Staples also utilises their specialist knowledge of developments and innovation in the market to help the customers identify areas for cost savings and efficiency improvements or alternative products, which may enhance performance, improve efficiency, improve delivery and, ultimately result in cost savings in the medium term and beyond and reduce their impact on the environment through improved uses of resources.

Eastman Staples always aims to keep packaging to a minimum and to conform to the Packaging Directive (EU) 2015/720. We will only use recyclable and/or materials sourced from certified and well-managed forests. Eastman Staples aims to ensure that goods and services it supplies are manufactured, delivered, used and managed at the end of life in an environmentally and socially responsible manner.

Eastman Staples will only work with transparent and reputable suppliers that ensure basic employment and human rights of the people employed by them and who also aim to minimise the environmental impacts from the production, distribution and sales of their products, and to reducing their environmental footprint throughout their global operations.

### **Stock Management**

Describe your stock management processes. This should include:

- How you will engage with the PSPI team to understand demand;
- Details of the stock levels that you will hold to enable you to meet these requirements;
- The stock management systems and processes that you will use;
- Locations at which stock will be held, including full addresses; and
- Any risks associated with product availability over the lifetime of the framework agreement and how you will manage these.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

Eastman will schedule a meeting with PSPI team to understand demand based on the information held by them for the last four years. Based on this, we will if necessary adjust our stock levels to ensure that we can meet our KPIs.

We have an in-house developed Oracle database system that we use to manage all aspects of our business, including stock. The system is a live system that holds details of all our stock, including part number, quantity, location and supplier re-order lead-time. We hold some 15,000 items in stock at any one time, including machines, parts, ancillary items and consumables. The system is programmed to suggest product re-orders when stock-levels fall to a pre-defined level and number of days from order lead-time.

As a result of the long number of years that we have been established, we also hold many legacy parts.

At customers' requests, we also source and supply parts that we do not usually stock.

Stock will be held at our premises in **[REDACTED]**:

**[REDACTED]**

The risks associated with product availability over the lifetime of the framework agreement are minimal. The main risk is the original equipment manufacturer goes out of business or decides to discontinue a product(s). In order to minimise this risk, we would hold sufficient OEM stock to meet the requirements over the framework of the agreement or ensure that we have alternative sources of supply for the relevant product(s).

### **Delivery**

Describe how you will ensure that all deliveries meet the requirements described in the specification including:

- Obtaining security clearance;
- Communication with individual establishments;
- Ensuring drivers are familiar with the contents of the Drivers' Handbook and abide by it;
- The types of vehicles that will be used and how these meet any gate restrictions; and
- If subcontractors will be used for any part of the delivery process, please describe how you will ensure that they also fully meet these requirements.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

We have reviewed the delivery requirements in the specification, and whilst we have some experience in this area, in order to ensure that we fully understand the current requirements, the Eastman Staples Account Manager would meet with PSPI personnel, either at PSPI or Eastman Staples premises in Huddersfield or Hatfield and go through the specification, understand and document the preferred method of communicating with individual establishment, delivery booking procedures and processes, and the current protocols for service personnel's tools required to service and/or repair machines in a prison.

We will obtain the required security clearance for all our personnel allocated to delivering to and/or undertaking installation, repairs or servicing in a prison.

We will ensure that all personnel entering any of the Authority's Sites will carry official photographic forms of identification.

We will ensure that personnel are familiar with:

Appendix E - Possession of Prohibited Items and Other Related Offences

Appendix F – Transport Managers and Drivers' Handbook

through an appropriate classroom based training, materials and their own copies of the Handbooks. Regular refreshers will be held to maintain and update knowledge as necessary.

We envisage that deliveries of machinery and large equipment will be made in our own vans, which are long-wheel base transit type vehicles. One of the procedures that we will put in place in order to ensure that we are able to meet the requirements of the contract is to check the dimensions of any delivery vehicles against those in Appendix D – HMPPS Gate Restrictions prior to booking a delivery

to ensure they are within them.

Deliveries of parts, ancillaries and consumables are generally made utilising the most cost-effective method, using reputable national third-party courier companies and/or Royal Mail subject to the speed of delivery required for the customer and the size of the package. We will ensure that any such third-party companies are approved and/or have the necessary security clearance to deliver to HMPPS.

### **Customer Service**

Please provide details of your customer service offering. This should include:

- How customers can raise queries and issues;
- How you will deal with these and the timescale for doing so; and
- Your complaints procedure which should include timescales for each stage in the process and an escalation point.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

We have an experienced and dedicated in-house customer services team of **[REDACTED]** between our parts, workshop and consumables departments, who are available via telephone and e-mail during office hours (8.30am-5.00pm, Monday – Friday excluding bank holidays) and are trained and extremely experienced to provide quotations, product information, and advice and to deal with general enquiries, technical queries, expediting orders, report discrepancies, arranging collections and complaints.

We will process all orders immediately and aim to deal with all quotations, product enquiries, advice, queries and issues immediately, if possible, otherwise within the same day or, if this is not possible, then by the end of the following day at the latest. If for some reason, there is a delay, we will contact the customer to inform them of this and the reason for the delay as well as the anticipated time for providing a response to their query or issue.

Should a customer make a complaint over the phone or by e-mail, our customer service representative would try to deal with it in a fair and professional way with a view to ensuring customer satisfaction. Where this is not possible, the customer will be asked to put the complaint in writing so that it is clear to both sides. We will acknowledge the complaint and confirm that we will investigate and provide a written response by the end of that working day if possible, otherwise within 24 hours. The complaint will be passed to the customer service manager, who will try to deal with it in a fair and professional way with a view to ensuring customer satisfaction. The customer service manager's response or proposed solution will be communicated to the customer in writing within the agreed time. In the unlikely event that the customer is still not happy, the complaint will be passed on the Managing Director to review together with our responses to date. The Managing Director will then decide on the appropriate course of action, again with a view to achieving customer satisfaction in a fair and professional manner. This would then be communicated in writing to the customer with a view to providing a fair and satisfactory resolution together with the details of an independent arbitration service should the customer still not be satisfied and the company will stand by the findings and recommendations of the arbiter.

### **Human Resources**

Describe how you will ensure that there are adequate levels of staff, including those of any subcontractors, in all areas to support delivery of the framework agreement throughout its life.

Your response should include:

An organisation structure;

- A list of key personnel that will be employed in the delivery of the framework agreement, including any management activity;
- Details of any relevant skills, experience and/or qualifications held by staff;
- Details of any recruitment that may be required including number and description of posts and timescales; and
- A description of how you will ensure that all staff are fully trained in the following areas for the duration of the framework agreement:
  - Ordering and delivery processes, including any restrictions;
  - Customer service and complaints handling;
  - Security and data handling protocols; and
  - Compliance with all relevant regulations and legislation including but not limited to manual handling and health and safety.

Your response must be provided on the attached template and not exceed 3 sides of A4, including the question.

As the oldest established and largest sewn products industry supplier in the UK, Eastman Staples employs **[REDACTED]** full-time personnel between its sites in Huddersfield, Hatfield, Glasgow and N. Ireland. Virtually all our employees have been with us for many years and have the relevant skills, training, qualifications and experience to more than competently carry out their duties. They are also encouraged to attend training courses to further develop their skills.

A named account manager will be allocated to ensure delivery of the framework agreement to agreed KPIs throughout its life and their details will be provided to The Authority. The account manager will meet with The Authority prior to the start of the framework agreement to ensure complete understanding of their requirements and thereafter at least annually or sooner if required. The account manager will be responsible for providing The Authority with quotations for Lot 1 items as per the specification and ensuring the overall smooth running of the account. The account manager will brief all relevant personnel within Eastman Staples that will be involved in the delivery of the requirements contained within the framework agreement and will ensure their understanding thereof and training, as necessary. The account manager will be supported by the relevant departments within Eastman Staples. Lots 2 and 3 items can be ordered directly through the customer services team, who are trained and extremely experienced to provide day-to-day quotations, product information, and advice and to deal with general enquiries, technical queries, expediting orders, report discrepancies, arranging collections and complaints.

We will ensure that personnel are familiar with and trained in the following areas for the duration of the framework agreement that are in addition to their existing experience and training and specific to the framework agreement:

- Ordering and delivery processes, including any restrictions;
- Customer service and complaints handling;
- Security and data handling protocols; and

We have an in-house built Oracle database system that we use to manage all aspects of our business, including quotations, ordering, delivery routing. The system is a live system that holds details of all our stock, including part number, quantity, and price.

Deliveries of machinery are usually made using our own vehicles. Deliveries of parts, ancillaries and consumables are generally made utilising the most cost-effective method using reputable national third-party courier companies and/or Royal Mail subject to the speed of delivery required for the customer and the size of the package.

We do not envisage that any further recruitment will be required to support the delivery of the framework agreement throughout its life. Our customer service offering and complaints procedures are as detail in the above section: Customer Service. Eastman Staples complies with and usually exceeds all relevant regulations, including employment and Health and Safety. We have an up-to-date and documented Health & Safety Policy. The well-being of our team is of paramount importance to us as we believe that this is key to a productive and pleasant working environment. The long length of service of many of our staff, who have spent the greater part of their career in our company, is a testament to Eastman Staples being a good place to work. As we are in an industry where manual handling is unavoidable, all our employees are trained in correct manual handling methods.

**[REDACTED]**

### **Account Management**

Provide details of how you will manage the MoJ account including how you will:

- Comply with MI and reporting requirements;
- Manage performance and ensure delivery of KPIs;
- Select and manage any subcontractors, including their performance;
- Identify and manage key risks; and
- Develop and manage a business continuity plan.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

An experienced account manager will be assigned to the MoJ account, who will be supported in the delivery of the framework by an experienced and dedicated team.

Eastman Staples have an in-house built Oracle database system that we use to provide our Management Information, including KPIs.

We will provide management information on a quarterly basis to support the KPI report as per the specification. Our system is capable of providing a breakdown of all orders including but not limited to: cost centre, contact name, delivery location, item description, cost, order date, delivery date, purchase order number, invoice number and payment date in the format specified by The Authority during the mobilisation period.

An experienced member of our reporting team will be assigned and briefed on the requirements and expected to produce and submit the relevant MI and KPIs monthly to the account manager to review and action as necessary. If KPIs are not being met, then a team meeting is held within 24 hours to establish the cause and come up with possible solutions. The solution with the highest probability for success is implemented immediately and reviewed at the next KPI report interval and adjusted or replaced as necessary and then reviewed again at the following KPI report interval until the solution produces the desired result or an alternative solution is found. The account manager is responsible for submitting the agreed management information on a quarterly basis the Authority and actioning any feedback.

Eastman Staples will seek and expects to achieve 100% compliance with the Authority's required KPIs using its experience and resources.

The account manager will be available for regular contract management meetings with The Authority to review progress and operational delivery of the framework agreement, Key Performance Indicators

(KPIs), invoicing, risks and any issues.

The account manager will work with the Authority during the mobilisation period to identify and agree a plan to manage key risks.

Eastman Staples has a business continuity plan, which it will review and modify in order to incorporate any requirements of the authority. This will include the account manager being shadowed by and training another account manager on a regular basis with the running and requirements of the framework agreement.

[REDACTED]



### Lot 3

#### Delivery Locations

Please complete the table below to indicate which regions and establishments you are able to provide repair services to.

Lot	Locations of Existing/Planned Textiles Workshops		
<b>3.1 - North East</b>	<b>Entire North East Region</b>	✓	Moorland
	Full Sutton		New Hall
	Holme House		Wakefield
	Leeds		Wealstun
	Lindholme		
<b>3.2 - North West</b>	<b>Entire North West Region</b>	✓	Manchester
	Garth		Preston
	Haverigg		Risley
	Liverpool		Wymott
<b>3.3 - East</b>	<b>Entire East Region</b>		Norwich
	Gartree		Nottingham
	Highpoint	✓	Ranby
	Lincoln		Wayland
	Morton Hall		Whatton
<b>3.4 - West</b>	<b>Entire West Region</b>		Long Lartin
	Featherstone		Stafford
	Foston Hall		Stoke Heath
	Hewell		Swinfen Hall
<b>3.5 - South East</b>	<b>Entire South East Region</b>	✓	Maidstone
	Bullingdon		Pentonville
	High Down		Wandsworth
	Huntercombe		Wornwood Scrubs
<b>3.6 - South West</b>	<b>Entire South West Region</b>		Exeter
	Bristol		Isle of Wight
	Channings Wood		Swansea
	Dartmoor		Winchester

[REDACTED]





7th September, 2017.

The Ministry of Justice

Re:-

**Framework Agreement for the Supply of Sewing Machines, Parts, Ancillary Items and Repair Services**

**Project Reference Number: prj\_1201**

**Object Reference Number: ITT\_1144**

**Lot 3 - Repair Services**

We hereby certify that as the oldest established and largest sewn products industry supplier in the UK, we are suppliers and/or distributors for all the main machinery, parts and consumables suppliers from around the world, including Europe, Turkey, U.S.A. and the Far East. We have been distributors for [REDACTED] for many years and also supply machines and parts from [REDACTED], amongst many others. As the distributor for [REDACTED] in the U.K., we are also an authorized service centre. We have been repairing sewing machines and related equipment since our incorporation in 1921 and are qualified and experienced to repair all makes, including [REDACTED], amongst many others.

Yours faithfully,

[REDACTED]

## Products

Please describe how you will provide parts and ancillary items in line with those listed in the specification to enable you to undertake maintenance and/or repairs. Your response should include:

- A brief list of key products that you are able to provide in line with those listed in the specification;
- Details of any basic products that you will maintain a stock of to enable you to complete any maintenance or repairs during the first appointment as far as practical; and
- The range of discounts that you will provide against the manufacturer's list prices.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

As the oldest established and largest sewn products industry supplier in the UK, we stock an enormous range of machines, parts, ancillaries and consumables – some 15,000 different items - at our premises in [REDACTED], including those listed in the specification:

- Belt covers
- Bobbin cases
- Bobbins
- Cover plates
- Drive belts
- Eye guards
- Feed dogs
- Finger guards
- Knives
- Loopers
- Needle plates
- Needle screws
- Presser feet
- Screws
- Sewing machine light bulbs
- Thread guides
- Washers
- Needles in a variety of sizes to fit existing and new machines
- Machine oil

We stock all key OEM and generic parts for both machinery that we supply and popular machinery in the market.

Using our expertise and experience we undertake to work with the Authority to ensure that we maintain stock of key parts for their existing machinery (should we not already stock them). We also have a huge inventory of hard-to-find legacy parts and, where economically viable, we can manufacture some hard-to-find legacy parts.

For items that are not stock, depending on where they come from, we can usually obtain these with 1 to 10 working days.

The lifespan of key products will vary from part to part, manufacturer to manufacturer and usage.

Subject to volume, we generally give [REDACTED] discount from manufacturers list prices.

As far as possible, we will endeavour to diagnose the problem with any machinery over the telephone or e-mail so that we can ensure our technician is equipped with the right parts to complete any

maintenance or repairs during the first appointment.

### **Warranty**

Detail the warranty that you will provide on all work undertaken through this framework agreement including any specific conditions or limitations that the Authority will be need be aware of and abide by.

Your response must be provided on the attached template and not exceed 1 side of A4, including the question.

We use a common-sense approach and there are no onerous specific conditions or limitations.

All equipment and parts will be provided with a minimum of 12 months fully inclusive 'fair wear and tear' warranty to cover design and component failure from the date of delivery. The warranty will cover all labour, parts and travel in connection to a claim.

Should a machine be irreparable Eastman Staples will make the necessary arrangements for it to be replaced within a reasonable period of time, with minimal disruption to the operations of the customer.

Eastman Staples warrants that all repairs and replacements will be carried out with due diligence and professionalism, according to any manufacturers' instructions and that they will have manufacturer approved repairer status to preserve any remaining warranty period.

All repairs for equipment out of warranty will be guaranteed for a period of three months. Any parts used in the repair will be guaranteed in line with the suppliers guarantee.

### **Customer Service**

Please provide details of your customer service offering. This should include:

- How customers can raise queries and make appointments for onsite maintenance and repairs or request collection of equipment for repairs to be undertaken at your own premises;
- How you will deal with these and associated timescales;
- How you will liaise with individual establishments to ensure arrangements align with any security restrictions; and
- Your complaints procedure which should include timescales for each stage in the process and an escalation point.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

We have an experienced and dedicated in-house customer services team of **[REDACTED]** between our parts, workshop and consumables departments, who are available via telephone and e-mail during office hours (8.30am-5.00pm, Monday – Friday excluding bank holidays) and are trained and extremely experienced to provide quotations, product information, and advice and to deal with general enquiries, technical queries, expediting orders, report discrepancies, arranging collections and complaints.

We will process all orders immediately and aim to deal with all quotations, product enquiries, advice, queries and issues immediately, if possible, otherwise within the same day or, if this is not possible, then by the end of the following day at the latest. If for some reason, there is a delay, we will contact the customer to inform them of this and the reason for the delay as well as the anticipated time for providing a response to their query or issue.

Should a customer make a complaint over the phone or by e-mail, our customer service representative would try to deal with it in a fair and professional way with a view to ensuring customer satisfaction. Where this is not possible, the customer will be asked to put the complaint in writing so that it is clear to both sides. We will acknowledge the complaint and confirm that we will investigate

and provide a written response by the end of that working day if possible, otherwise within 24 hours. The complaint will be passed to the customer service manager, who will try to deal with it in a fair and professional way with a view to ensuring customer satisfaction. The customer service manager's response or proposed solution will be communicated to the customer in writing within the agreed time. In the unlikely event that the customer is still not happy, the complaint will be passed on the Managing Director to review together with our responses to date. The Managing Director will then decide on the appropriate course of action, again with a view to achieving customer satisfaction in a fair and professional manner. This would then be communicated in writing to the customer with a view to providing a fair and satisfactory resolution together with the details of an independent arbitration service should the customer still not be satisfied and the company will stand by the findings and recommendations of the arbiter.

## Human Resources

Describe how you will ensure that there are adequate levels of staff to support delivery of this framework agreement.

Your response should include:

- A list of key staff that will be employed in the operation of services, including management activity, under this framework agreement;
- Details of any relevant skills, experience and/or qualifications held by these individuals; and
- Details of what staff training will be undertaken to ensure full compliance with all relevant regulations and legislation and maintain customer service standards.

Your response must be provided on this template and not exceed 2 sides of A4, including the question.

As the oldest established and largest sewn products industry supplier in the UK, Eastman Staples employs **REDACTED** full-time personnel between its sites in Huddersfield, Hatfield, Glasgow and N. Ireland. Virtually all our employees have been with us for many years and have the relevant skills, training, qualifications and experience to more than competently carry out their duties. They are also encouraged to attend training courses to further develop their skills.

A named account manager will be allocated to ensure delivery of the framework agreement to agreed KPIs throughout its life and their details will be provided to The Authority. The account manager will meet with The Authority prior to the start of the framework agreement to ensure complete understanding of their requirements and thereafter at least annually or sooner if required. The account manager will be responsible for providing The Authority with quotations for Lot 1 items as per the specification and ensuring the overall smooth running of the account. The account manager will brief all relevant personnel within Eastman Staples that will be involved in the delivery of the requirements contained within the framework agreement and will ensure their understanding thereof and training, as necessary. The account manager will be supported by the relevant departments within Eastman Staples. Lots 2 and 3 items can be ordered directly through the customer services team, who are trained and extremely experienced to provide day-to-day quotations, product information, and advice and to deal with general enquiries, technical queries, expediting orders, report discrepancies, arranging collections and complaints.

We will ensure that personnel are familiar with and trained in any areas that are in addition to their existing experience and training and that are specific to the framework agreement for its duration.

We have an in-house built Oracle database system that we use to manage all aspects of our business, including service calls and stock. The system is a live system that holds details of all our stock, including part number, quantity, and price.

Eastman Staples complies with and usually exceeds all relevant regulations, including employment and Health and Safety. We have an up-to-date and documented Health & Safety Policy. The well-

being of our team is of paramount importance to us as we believe that this is key to a productive and pleasant working environment. The long length of service of many of our staff, who have spent the greater part of their career in our company, is a testament to Eastman Staples being a good place to work.

As we are in an industry where manual handling is unavoidable, all our employees are trained in correct manual handling methods.

### **Account Management**

Provide details of how you will manage the MoJ account including how you will:

- Comply with MI and reporting requirements;
- Manage performance and ensure delivery of KPIs;
- Select and manage any subcontractors, including their performance;
- Identify and manage key risks; and
- Develop and manage a business continuity plan.

Your response must be provided on the attached template and not exceed 2 sides of A4, including the question.

An experienced account manager will be assigned to the MoJ account, who will be supported in the delivery of the framework by an experienced and dedicated team.

Eastman Staples have an in-house built Oracle database system that we use to provide our Management Information, including KPIs.

We will provide management information on a quarterly basis to support the KPI report as per the specification. Our system is capable of providing a breakdown of all orders including but not limited to: cost centre, contact name, delivery location, item description, cost, order date, delivery date, purchase order number, invoice number and payment date in the format specified by The Authority during the mobilisation period.

An experienced member of our reporting team will be assigned and briefed on the requirements and expected to produce and submit the relevant MI and KPIs monthly to the account manager to review and action as necessary. If KPIs are not being met, then a team meeting is held within 24 hours to establish the cause and come up with possible solutions. The solution with the highest probability for success is implemented immediately and reviewed at the next KPI report interval and adjusted or replaced as necessary and then reviewed again at the following KPI report interval until the solution produces the desired result or an alternative solution is found. The account manager is responsible for submitting the agreed management information on a quarterly basis the Authority and actioning any feedback.

Eastman Staples will seek and expects to achieve 100% compliance with the Authority's required KPIs using its experience and resources.

The account manager will be available for regular contract management meetings with The Authority to review progress and operational delivery of the framework agreement, Key Performance Indicators (KPIs), invoicing, risks and any issues.

The account manager will work with the Authority during the mobilisation period to identify and agree a plan to manage key risks.

Eastman Staples has a business continuity plan, which it will review and modify in order to incorporate any requirements of the authority. This will include the account manager being shadowed by and training another account manager on a regular basis with the running and requirements of the framework agreement.



[REDACTED]



## **SCHEDULE 3 - PRICES**

[REDACTED]



## Clarifications

Area for Clarification	Supplier Response
<p>Please provide full details of the terms of the warranties that you will supply on machines, parts and repairs.</p>	<p>Provided separately</p>
<p>In your responses to the quality/environmental standards questions, you stated 'new suppliers and products are rigorously assessed, and tested if necessary, prior to introduction into the range.'</p> <p>Please provide further details to support this statement.</p>	<p>New suppliers are assessed through a new supplier form in which they are asked to confirm any quality or environmental standard accreditations that they hold or in-house procedures that help ensure they maintain acceptable standards for these.</p> <p>Products are assessed and tested by our own experienced in-house team to ensure they meet the stated specifications for their use.</p> <p>For MoJ, orders of machines and spares will more than likely come from long established major suppliers, such as [REDACTED] for example and these companies have their own extensive R&amp;D and Product Testing Teams to develop and extensively test product before general release into the market.</p>
<p>In your responses to the quality/environmental standards questions, you stated 'Eastman Staples will only work with transparent and reputable suppliers that ensure basic employment and human rights of the people employed by them and who also aim to minimise the environmental impacts from the production, distribution and sales of their products, and to reducing their environmental footprint throughout their global operations.'</p> <p>Please provide further details to support this statement including how you assure that your suppliers comply with your requirements.</p>	<p>New suppliers are assessed through a new supplier form in which they are asked to confirm that the goods they supply have been produced:</p> <ul style="list-style-type: none"> <li>(i) Lawfully, through fair and honest dealing,</li> <li>(ii) Without exploiting the people who made them,</li> <li>(iii) In decent working conditions,</li> <li>(iv) without damaging the environment</li> </ul> <p>For MoJ, orders of machines and spares will more than likely come from long established major suppliers, such as [REDACTED] for example. These companies have their own extensive quality environmental standards, e.g., every year [REDACTED] publishes on its website its own extensive CSR and Environmental Activities Reports.</p>
<p>Please provide a list of key staff who will support delivery of this framework agreement</p>	<p>Provided separately</p>





## **Machine Warranty**

Eastman Staples warrants its products, excluding needles, loopers, knife blades, bulbs, lamps, belts, and any other consumables to be free from defects in the workmanship of materials, under normal industrial use and service as follows:

For a period of 12 months from the date of purchase by the original consumer, motors, light assembly, wiring, switches, speed control and all other parts (excluding consumable) are warranted to be free from manufacturing defects.

If at any time during the applicable warranty period, the product is defective or malfunctions, Eastman Staples shall replace or repair the product (at Eastman Staples option) within a reasonable period of time and with minimal disruption to the operations of the customer.

Eastman Staples warrants that all repairs and replacements will be carried out with due diligence and professionalism, according to any manufacturers' instructions and that they will have manufacturer approved repairer status to preserve any remaining warranty period.

Eastman staples shall not be liable for any damage or defect resulting from the use of other than original parts and approved service in the repair of your machine.

To keep your machine operating properly, Eastman Staples recommends that you follow the operating instructions, and periodically have your machine serviced and tuned by suitably trained and qualified personnel.

Eastman Staples shall not be liable for any loss or damage of any kind, including incidental or consequential damages.

The warranty for all products supplied by Eastman Staples are automatically registered on our software at the time of delivery.

## **Eastman Staples Key Personnel**

**[REDACTED]**

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## SCHEDULE 4 - CHANGE CONTROL

### Change Control Notice ("CCN")

<b>CCN:</b>  <b>Framework Agreement Reference Number &amp; Title</b>  <b>Change Title</b>  <b>Number of Pages</b>	
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WHEREAS the Supplier and the Authority entered into a Framework Agreement for the supply of [insert description] dated [dd/mm/yyyy] (the "Original Framework Agreement ") and now wish to amend the Original Framework Agreement

IT IS AGREED as follows

1. The Original Framework Agreement is amended as set out in this CCN:

Change Requestor / Originator		
Summary of Change		
Reason for Change		
Revised Framework Agreement Price	Original Framework Agreement Value	£
	Previous Framework Agreement Changes	£
	Framework Agreement Change Note <span style="color: red;">[x]</span>	£
	New Framework	£

	Agreement Value
Revised Payment Schedule	
Revised Specification (See Annex <input checked="" type="checkbox"/> for Details)	
Revised Term	
Change in Framework Agreement Manager(s)	
Other Changes	

2. Save as amended in the CCN all other terms of the Original Framework Agreement remain effective.
3. The CCN takes effect from the date on which both Parties sign below.

**IN WITNESS** of which this CCN has been duly executed by the Parties.

**SIGNED** for and on behalf of the Secretary of  
State for Justice

Signature:

Name (block capitals):

Position:

Date:

**SIGNED** for and on behalf of Eastman Staples

Signature:

Name (block capitals):

Position:

Date:

## SCHEDULE 5 - COMMERCIALY SENSITIVE INFORMATION

- 1 Without prejudice to the Authority's general obligation of confidentiality, the Parties acknowledge that the Authority may have to disclose Information in or relating to the Framework Agreement following a Request for Information pursuant to clause E5 (Freedom of Information).
- 2 In this Schedule 4 the Parties have sought to identify the Supplier's Confidential Information that is genuinely commercially sensitive and the disclosure of which would be contrary to the public interest.
- 3 Where possible the Parties have sought to identify when any relevant Information will cease to fall into the category of Information to which this Schedule 4 applies.
- 4 Without prejudice to the Authority's obligation to disclose Information in accordance with the FOIA and the EIR, the Authority will, acting reasonably but in its sole discretion, seek to apply the commercial interests exemption set out in s.43 of the FOIA to the Information listed below.

SUPPLIER'S COMMERCIALY SENSITIVE INFORMATION	DATE	DURATION OF CONFIDENTIALITY
2.5.2 –Prices and discounts given		6 years
2.5.3 – Technical Questions Lot 1		6 Years

2.7.2 – Technical Questions Lot 2		6 Years
2.9.4 – Technical Questions Lot 3		6 Years
3.1.1 – Pricing Proposal		6 Years

***SCHEDULE 6 – Not Used***

## **SCHEDULE 7 – INFORMATION ASSURANCE & SECURITY**

### **1. GENERAL**

- 1.1 This Schedule 6 sets out the obligations of the Parties in relation to information assurance and security, including those which the Supplier must comply with in delivering the Services under the Framework Agreement.
- 1.2 The Parties acknowledge that the purpose of the ISMS and Security Plan is to ensure a robust organisational approach to information assurance and security under which the specific requirements of the Framework Agreement will be met.
- 1.3 The Parties shall each appoint and/or identify a board level individual or equivalent who has overall responsibility for information assurance and security, including personnel security and information risk. The individual appointed by the Supplier, who is the Chief Security Officer, Chief Information Officer, Chief Technical Officer or equivalent and is responsible for compliance with the ISMS, is identified as Key Personnel and the provisions of clause B11 apply in relation to that person.
- 1.4 The Supplier shall act in accordance with Good Industry Practice in the day to day operation of any system which is used for the storage of Information Assets and/or the storage, processing or management of Authority Data and/or that could directly or indirectly affect
- 1.5 The Supplier shall ensure that an information security policy is in place in respect of the operation of its organisation and systems, which shall reflect relevant control objectives for the Supplier System, including those specified in the ISO27002 control set or equivalent, unless otherwise agreed by the Authority. The Supplier shall, upon request, provide a copy of this policy to the Authority as soon as reasonably practicable. The Supplier shall maintain and keep such policy updated and provide clear evidence of this as part of its Security Plan.
- 1.6 The Supplier acknowledges that a compromise of Information Assets and/or Authority Data represents an unacceptable risk to the Authority requiring immediate communication and co-operation between the Parties. The Supplier shall provide clear evidence of regular communication with the Authority in relation to information risk as part of its Security Plan.

### **2. INFORMATION SECURITY MANAGEMENT SYSTEM**

- 2.1 The Supplier shall, within 30 Working Days of the Commencement Date, submit to the Authority a proposed ISMS which:
- 2.1.1 has been tested; and
- 2.1.2 complies with the requirements of paragraphs 2.2 and 2.3.
- 2.2 The Supplier shall at all times ensure that the level of security, include cyber security, provided by the ISMS is sufficient to protect the confidentiality, integrity and availability of Information Assets and Authority Data used in the provision of the Services and to provide robust risk management.
- 2.3 The Supplier shall implement, operate and maintain an ISMS which shall:
- 2.3.1 protect all aspects of and processes of Information Assets and Authority Data, including where these are held on the ICT Environment (to the extent that this is under the control of the Supplier);

- 2.3.2 be aligned to and compliant with the relevant standards in ISO/IEC 27001: 2013 or equivalent and the Certification Requirements in accordance with paragraph 5 unless otherwise Approved;
- 2.3.3 provide a level of security which ensures that the ISMS and the Supplier System:
  - 2.3.3.1 meet the requirements in the Framework Agreement;
  - 2.3.3.2 are in accordance with applicable Law;
  - 2.3.3.3 demonstrate Good Industry Practice, including the Government's 10 Steps to Cyber Security, currently available at:
    - <https://www.ncsc.gov.uk/guidance/10-steps-cyber-security>;
  - 2.3.3.4 comply with the Security Policy Framework and any other relevant Government security standards;
  - 2.3.3.5 comply with the Baseline Security Requirements;
  - 2.3.3.6 comply with the Authority's policies, including, where applicable, the Authority's Information Assurance Policy in PSI 24/2014;
- 2.3.4 address any issues of incompatibility with the Supplier's organisational security policies;
- 2.3.5 address any specific security threats of immediate relevance to Information Assets and/or Authority Data;
- 2.3.6 document:
  - 2.3.6.1 the security incident management processes, including reporting, recording and management of information risk incidents, including those relating to the ICT Environment (to the extent that this is within the control of the Supplier) and the loss of protected Personal Data, and the procedures for reducing and raising awareness of information risk;
  - 2.3.6.2 incident response plans, including the role of nominated security incident response companies; and
  - 2.3.6.3 the vulnerability management policy, including processes for identification of system vulnerabilities and assessment of the potential effect on the Services of any new threat, vulnerability or exploitation technique of which the Supplier becomes aware, prioritisation of security patches, testing and application of security patches and the reporting and audit mechanism detailing the efficacy of the patching policy;
- 2.3.7 include procedures for the secure destruction of Information Assets and Authority Data and any hardware or devices on which such information or data is stored; and
- 2.3.8 be certified by (or by a person with the direct delegated authority of) the Supplier's representative appointed and/or identified in accordance with paragraph 1.3.

- 2.4 If the Supplier becomes aware of any inconsistency in the provisions of the standards, guidance and policies notified to the Supplier from time to time, the Supplier shall immediately notify the Authority of such inconsistency and the Authority shall, as soon as practicable, notify the Supplier of the provision that takes precedence.
- 2.5 The Supplier shall, upon request from the Authority or any accreditor appointed by the Authority, provide sufficient design documentation detailing the security architecture of its ISMS to support the Authority's and/or accreditor's assurance that it is appropriate, secure and complies with the Authority's requirements.
- 2.6 The Authority shall review the proposed ISMS submitted pursuant to paragraph 2.1 and shall, within 10 Business Days of its receipt notify the Supplier as to whether it has been approved.
- 2.7 If the ISMS is Approved, it shall be adopted by the Supplier immediately and thereafter operated and maintained throughout the Term in accordance with this Schedule 6.
- 2.8 If the ISMS is not Approved, the Supplier shall amend it within 10 Business Days of a notice of non-approval from the Authority and re-submit it to the Authority for approval. The Authority shall, within a further 10 Working Days notify the Supplier whether the amended ISMS has been approved. The Parties shall use reasonable endeavours to ensure that the approval process takes as little time as possible and in any event no longer than 30 Working Days from the date of its first submission to the Authority. If the Authority does not approve the ISMS following its resubmission, the matter shall be resolved in accordance with clause I1 (Dispute Resolution).
- 2.9 Approval of the ISMS or any change to it shall not relieve the Supplier of its obligations under this Schedule 6.
- 2.10 The Supplier shall provide to the Authority, upon request, any or all ISMS documents.

### **3. SECURITY PLAN**

- 3.1 The Supplier shall, within 30 Working Days of the Commencement Date, submit to the Authority for approval a Security Plan which complies with paragraph 3.2.
- 3.2 The Supplier shall effectively implement the Security Plan which shall:
- 3.2.1 comply with the Baseline Security Requirements;
  - 3.2.2 identify the organisational roles for those responsible for ensuring the Supplier's compliance with this Schedule 6;
  - 3.2.3 detail the process for managing any security risks from those with access to Information Assets and/or Authority Data, including where these are held in the ICT Environment;
  - 3.2.4 set out the security measures and procedures to be implemented by the Supplier, which are sufficient to ensure compliance with the provisions of this Schedule 6;
  - 3.2.5 set out plans for transition from the information security arrangements in place at the Commencement Date to those incorporated in the ISMS;
  - 3.2.6 set out the scope of the Authority System that is under the control of the Supplier;
  - 3.2.7 be structured in accordance with ISO/IEC 27001: 2013 or equivalent unless otherwise Approved;

- 3.2.8 be written in plain language which is readily comprehensible to all Staff and to Authority personnel engaged in the Services and reference only those documents which are in the possession of the Parties or whose location is otherwise specified in this Schedule 6; and
- 3.2.9 comply with the Security Policy Framework and any other relevant Government security standards.
- 3.3 The Authority shall review the Security Plan submitted pursuant to paragraph 3.1 and notify the Supplier, within 10 Business Days of receipt, whether it has been approved.
- 3.4 If the Security Plan is Approved, it shall be adopted by the Supplier immediately and thereafter operated and maintained throughout the Term in accordance with this Schedule 6.
- 3.5 If the Security Plan is not Approved, the Supplier shall amend it within 10 Working Days of a notice of non-approval from the Authority and re-submit it to the Authority for approval. The Authority shall notify the Supplier within a further 10 Business Days whether it has been approved.
- 3.6 The Parties shall use reasonable endeavours to ensure that the approval process takes as little time as possible and in any event no longer than 30 Working Days from the date of its first submission to the Authority. If the Authority does not approve the Security Plan following its resubmission, the matter shall be resolved in accordance with clause I1 (Dispute Resolution).
- 3.7 Approval by the Authority of the Security Plan pursuant to paragraph 3.3 or of any change to the Security Plan shall not relieve the Supplier of its obligations under this Schedule 6.

#### **4. REVISION OF THE ISMS AND SECURITY PLAN**

- 4.1 The ISMS and Security Plan shall be reviewed in full and tested by the Supplier at least annually throughout the Term (or more often where there is a significant change to the Supplier System or associated processes or where an actual or potential Breach of Security or weakness is identified) to consider and take account of:
  - 4.1.1 any issues in implementing the Security Policy Framework and/or managing information risk;
  - 4.1.2 emerging changes in Good Industry Practice;
  - 4.1.3 any proposed or actual change to the ICT Environment and/or associated processes;
  - 4.1.4 any new perceived, potential or actual security risks or vulnerabilities;
  - 4.1.5 any ISO27001: 2013 audit report or equivalent produced in connection with the Certification Requirements which indicates concerns; and
  - 4.1.6 any reasonable change in security requirements requested by the Authority.
- 4.2 The Supplier shall give the Authority the results of such reviews as soon as reasonably practicable after their completion, which shall include without limitation:
  - 4.2.1 suggested improvements to the effectiveness of the ISMS, including controls;
  - 4.2.2 updates to risk assessments; and

4.2.3 proposed modifications to respond to events that may affect the ISMS, including the security incident management processes, incident response plans and general procedures and controls that affect information security.

4.3 Following the review in accordance with paragraphs 4.1 and 4.2 or at the Authority's request, the Supplier shall give the Authority at no additional cost a draft updated ISMS and/or Security Plan which includes any changes the Supplier proposes to make to the ISMS or Security Plan. The updated ISMS and/or Security Plan shall, unless otherwise agreed by the Authority, be subject to clause F4 (Change) and shall not be implemented until Approved.

4.4 If the Authority requires any updated ISMS and/or Security Plan to be implemented within shorter timescales than those set out in clause F4, the Parties shall thereafter follow clause F4 for the purposes of formalising and documenting the relevant change for the purposes of the Framework Agreement.

## **5. CERTIFICATION REQUIREMENTS**

5.1 The Supplier shall ensure that any systems, including the ICT Environment, on which Information Assets and Authority Data are stored and/or processed are certified as compliant with:

5.1.1 ISO/IEC 27001:2013 or equivalent by a UKAS approved certification body or are included within the scope of an existing certification of compliance with ISO/IEC 27001:2013 or equivalent unless otherwise Approved; and

5.1.2 the Government's Cyber Essentials Scheme at the BASIC level unless otherwise agreed with the Authority

and shall provide the Authority with evidence:

5.1.3 of certification before the Supplier accessed the ICT Environment and receives, stores, processes or manages any Authority Data; and

5.1.4 that such certification remains valid and is kept up to date while the Supplier (as applicable) continues to access the ICT Environment and receives, stores, processes or manages any Authority Data during the Term.

5.2 The Supplier shall ensure that it:

5.2.1 carries out any secure destruction of Information Assets and/or Authority Data at Supplier sites which are included within the scope of an existing certificate of compliance with ISO/IEC 27001:2013 or equivalent unless otherwise Approved; and

5.2.2 is certified as compliant with the CESG Assured Service (CAS) Service Requirement Sanitisation Standard or equivalent unless otherwise Approved

and the Supplier shall provide the Authority with evidence of its compliance with the requirements set out in this paragraph 5.2 before the Supplier may carry out the secure destruction of any Information Assets and/or Authority Data.

5.3 The Supplier shall notify the Authority as soon as reasonably practicable and, in any event within 2 Working Days, if the Supplier ceases to be compliant with the certification requirements in paragraph 5.1 and, on request from the Authority, shall:

5.3.1 immediately cease access to and use of Information Assets and/or Authority Data; and

- 5.3.2 promptly return, destroy and/or erase any Authority Data in accordance with the Baseline Security Requirements

and failure to comply with this obligation is a material Default.

## **6. SECURITY TESTING**

- 6.1 The Supplier shall, at its own cost, carry out relevant Security Tests from the Commencement Date and throughout the Term, which shall include:

- 6.1.1 a monthly vulnerability scan and assessment of the Supplier System and any other system under the control of the Supplier on which Information Assets and/or Authority Data are held;

- 6.1.2 an annual IT Health Check by an independent CHECK qualified company of the Supplier System and any other system under the control of the Supplier on which Information Assets and/or Authority Data are held and any additional IT Health Checks required by the Authority and/or any accreditor;

- 6.1.3 an assessment as soon as reasonably practicable following receipt by the Supplier of a critical vulnerability alert from a provider of any software or other component of the Supplier System and/or any other system under the control of the Supplier on which Information Assets and/or Authority Data are held; an

- 6.1.4 such other tests as are required:

- 6.1.4.1 by any Vulnerability Correction Plans;

- 6.1.4.2 by ISO/IEC 27001:2013 certification requirements or equivalent Approved;

- 6.1.4.3 after any significant architectural changes to the ICT Environment;

- 6.1.4.4 after a change to the ISMS (including security incident management processes and incident response plans) or the Security Plan; and

- 6.1.4.5 following a Breach of Security.

- 6.2 In relation to each IT Health Check, the Supplier shall:

- 6.2.1 agree with the Authority the aim and scope of the IT Health Check;

- 6.2.2 promptly, following receipt of each IT Health Check report, give the Authority a copy of the IT Health Check report;

- 6.2.3 in the event that the IT Health Check report identifies any vulnerabilities:

- 6.2.3.1 prepare a Vulnerability Correction Plan for Approval which sets out in respect of each such vulnerability:

- 6.2.3.1.1 how the vulnerability will be remedied;

- 6.2.3.1.2 the date by which the vulnerability will be remedied;

- 6.2.3.1.3 the tests which the Supplier shall perform or procure to be performed (which may, at the Authority's discretion, include a further IT Health Check) to confirm that the vulnerability has been remedied;

- 6.2.3.2 comply with the Vulnerability Correction Plan; and
- 6.2.3.3 conduct such further Security Tests as are required by the Vulnerability Correction Plan.

6.3 Security Tests shall be designed and implemented by the Supplier so as to minimise any adverse effect on the Services and the date, timing, content and conduct of Security Tests shall be agreed in advance with the Authority.

6.4 The Authority may send a representative to witness the conduct of the Security Tests. The Supplier shall provide the Authority with the results of Security Tests (in a form to be Approved) as soon as practicable and in any event within 5 Working Days after completion of each Security Test.

6.5 Without prejudice to any other right of audit or access granted to the Authority pursuant to the Framework Agreement, the Authority and/or its authorised representatives, including any accreditor, may at any time to carry out Security Tests (including penetration tests) as it may deem necessary as part of any accreditation process and/or to verify the Supplier's compliance with the ISMS and the Security Plan:

6.5.1 upon giving reasonable notice to the Supplier where reasonably practicable to do so; and

6.5.2 without giving notice to the Supplier where, in the Authority's view, the provision of such notice may undermine the Security Tests to be carried out

and, where applicable, the Authority shall be granted access to the Supplier's premises for the purpose of undertaking the relevant Security Tests.

6.6 If the Authority carries out Security Tests in accordance with paragraphs 6.5.1 or 6.5.2, the Authority shall (unless there is any reason to withhold such information) notify the Supplier of the results of the Security Tests as soon as possible and in any event within 5 Working Days after completion of each Security Test.

6.7 If any Security Test carried out pursuant to paragraphs 6.1 or 6.4 reveals any:

6.7.1 vulnerabilities during any accreditation process, the Supplier shall track and resolve them effectively; and

6.7.2 actual or potential Breach of Security or weaknesses (including un-patched vulnerabilities, poor configuration and/or incorrect system management), the Supplier shall promptly notify the Authority of any proposed changes to the ICT Environment (to the extent that this is under the control of the Supplier) and/or to the ISMS and/or to the Security Plan (and the implementation thereof) which the Supplier intends to make in order to correct such failure or weakness. Subject to Approval and paragraphs 4.3 and 4.4, the Supplier shall implement such changes to the ICT Environment (to the extent that this is under the control of the Supplier) and/or the ISMS and/or the Security Plan and repeat the relevant Security Tests in accordance with an Approved timetable or, otherwise, as soon as reasonably practicable.

6.8 If the Authority unreasonably withholds its approval to the implementation of any changes to the ICT Environment and/or to the ISMS and/or to the Security Plan proposed by the Supplier in accordance with paragraph 6.7, the Supplier is not in breach of the Framework Agreement to the extent that it can be shown that such breach:

6.8.1 has arisen as a direct result of the Authority unreasonably withholding Approval to the implementation of such proposed changes; and

6.8.2 would have been avoided had the Authority Approved the implementation of such proposed changes.

6.9 If a change to the ISMS or Security Plan is to address any non-compliance with ISO/IEC 27001:2013 requirements or equivalent, the Baseline Security Requirements or any obligations in the Framework Agreement, the Supplier shall implement such change at its own cost and expense.

6.10 If any repeat Security Test carried out pursuant to paragraph 6.7 reveals an actual or potential breach of security or weakness exploiting the same root cause failure, such circumstance shall constitute a material Default.

6.11 On each anniversary of the Commencement Date, the Supplier shall provide to the Authority a letter from the individual appointed or identified in accordance with paragraph 1.3 confirming that having made due and careful enquiry:

6.11.1 the Supplier has in the previous year carried out all Security Tests in accordance with this Schedule 6 and has complied with all procedures in relation to security matters required under the Framework Agreement; and

6.11.2 the Supplier is confident that its security and risk mitigation procedures in relation to Information Assets and Authority Data remain effective.

## **7. SECURITY AUDITS AND COMPLIANCE**

7.1 The Authority and its authorised representatives may carry out security audits as it reasonably considers necessary in order to ensure that the ISMS is compliant with the principles and practices of ISO 27001: 2013 or equivalent (unless otherwise Approved), the requirements of this Schedule 6 and the Baseline Security Requirements.

7.2 If ISO/IEC 27001: 2013 certification or equivalent is provided, the ISMS shall be independently audited in accordance with ISO/IEC 27001: 2013 or equivalent. The Authority and its authorised representatives shall, where applicable, be granted access to the Supplier Sites and Sub-contractor premises for this purpose.

7.3 If, on the basis of evidence resulting from such audits, it is the Authority's reasonable opinion that ISMS is not compliant with any applicable principles and practices of ISO/IEC 27001: 2013 or equivalent, the requirements of this Schedule 6 and/or the Baseline Security Requirements is not being achieved by the Supplier, the Authority shall notify the Supplier of this and provide a reasonable period of time (having regard to the extent and criticality of any non-compliance and any other relevant circumstances) for the Supplier to implement any necessary remedy. If the Supplier does not ensure that the ISMS is compliant within this period of time, the Authority may obtain an independent audit of the ISMS to assess compliance (in whole or in part).

7.4 If, as a result of any such independent audit as described in paragraph 7.3 the Supplier is found to be non-compliant with any applicable principles and practices of ISO/IEC 27001:2013 or equivalent, the requirements of this Schedule 6 and/or the Baseline Security Requirements the Supplier shall, at its own cost, undertake those actions that are required in order to ensure that the ISMS is complaint and shall reimburse the Authority in full in respect of the costs obtaining such an audit.

## **8. SECURITY RISKS AND BREACHES**

8.1 The Supplier shall use its reasonable endeavours to prevent any Breach of Security for any reason, including as a result of malicious, accidental or inadvertent behaviour.

- 8.2 If either Party becomes aware of a Breach of Security or an attempted Breach of Security it shall act in accordance with the agreed security incident management processes and incident response plans as set out in the ISMS.
- 8.3 Without prejudice to the security incident management processes and incident response plans set out in the ISMS and any requirements to report incidents in accordance with PSI 24/2014 if applicable, upon becoming aware of any Breach of Security or attempted Breach of Security, the Supplier shall:
- 8.3.1 immediately notify the Authority and take all reasonable steps (which shall include any action or changes reasonably required by the Authority) that are necessary to:
    - 8.3.1.1 minimise the extent of actual or potential harm caused by any Breach of Security;
    - 8.3.1.2 remedy any Breach of Security to the extent that is possible and protect the integrity of the ICT Environment (to the extent that this is within its control) and ISMS against any such Breach of Security or attempted Breach of Security;
    - 8.3.1.3 mitigate against a Breach of Security or attempted Breach of Security; and
    - 8.3.1.4 prevent a further Breach of Security or attempted Breach of Security in the future resulting from the same root cause failure;
  - 8.3.2 provide to the Authority and/or the Computer Emergency Response Team for UK Government (“**GovCertUK**”) or equivalent any data that is requested relating to the Breach of Security or attempted Breach of Security within 2 Working Days of such request; and
  - 8.3.3 as soon as reasonably practicable and, in any event, within 2 Working Days following the Breach of Security or attempted Breach of Security, provide to the Authority full details (using the reporting mechanism defined by the ISMS) of the Breach of Security or attempted Breach of Security, including a root cause analysis if required by the Authority

and the Supplier recognises that the Authority may report significant actual or potential losses of Personal Data to the Information Commissioner or equivalent and to the Cabinet Office.

- 8.4 If any action is taken by the Supplier in response to a Breach of Security or attempted Breach of Security which occurred as a result of non-compliance of the ISMS with any ISO/IEC 27001: 2013 requirements or equivalent (as applicable), the Baseline Security Requirements and/or the requirements of this Schedule 6, any such action and change to the ISMS and/or Security Plan as a result shall be implemented at the Supplier’s cost.

**IT Environment**

- 8.5 The Supplier shall ensure that the Supplier System:
- 8.5.1 functions in accordance with Good Industry Practice for protecting external connections to the internet;
  - 8.5.2 functions in accordance with Good Industry Practice for protection from malicious code;
  - 8.5.3 provides controls to securely manage (store and propagate) all cryptographic keys to prevent malicious entities and services gaining access to them, in line with the Authority’s Cryptographic Policy as made available to the Supplier from time to time;

8.5.4 is patched (and all of its components are patched) in line with Good Industry Practice, any Authority patching policy currently in effect and notified to the Supplier and any Supplier patch policy that is agreed with the Authority; and

8.5.5 uses the latest versions of anti-virus definitions, firmware and software available from industry accepted anti-virus software vendors.

8.6 Notwithstanding paragraph 8.5, if a Breach of Security is detected in the ICT Environment, the Parties shall co-operate to reduce the effect of the Breach of Security and, if the Breach of Security causes loss of operational efficiency or loss or corruption of Information Assets and/or Authority Data, assist each other to mitigate any losses and to recover and restore such Information Assets and Authority Data.

8.7 All costs arising out of the actions taken by the Parties in compliance with paragraphs 8.2, 8.3 and 8.6 shall be borne by:

8.7.1 the Supplier if the Breach of Security originates from the defeat of the Supplier's security controls or Information Assets and/or Authority Data is lost or corrupted whilst under the control of the Supplier or its Sub-contractor; or

8.7.2 the Authority if the Breach of Security originates from the defeat of the Authority's security controls or Information Assets and/or Authority Data is lost or corrupted whilst under the control of the Authority

and each Party shall bear its own costs in all other cases.

## **9. VULNERABILITIES AND CORRECTIVE ACTION**

9.1 The Parties acknowledge that from time to time vulnerabilities in the ICT Environment and ISMS will be discovered which, unless mitigated, will present an unacceptable risk to Information Assets and/or Authority Data.

9.2 The severity of any vulnerabilities shall be categorised by the Supplier as '*Critical*', '*Important*' and '*Other*' according to the agreed method in the ISMS and using any appropriate vulnerability scoring systems.

9.3 The Supplier shall procure the application of security patches to vulnerabilities categorised as '*Critical*' within 7 days of public release, vulnerabilities categorised as '*Important*' within 30 days of public release and vulnerabilities categorised as '*Other*' within 60 days of public release, except where:

9.3.1 the Supplier can demonstrate that a vulnerability is not exploitable within the context of the Services being provided, including where it resides in a software component which is not being used, provided that, where those vulnerabilities become exploitable, they are remedied by the Supplier within the timescales in paragraph 9.3;

9.3.2 the application of a security patch in respect of a vulnerability categorised as '*Critical*' or '*Important*' adversely affects the Supplier's ability to deliver the Services, in which case the Supplier shall be granted an extension to the timescales in paragraph 9.3 of 5 days, provided that the Supplier continues to follow any security patch test plan agreed with the Authority; or

9.3.3 the Authority agrees a different timescale after consultation with the Supplier in accordance with the processes defined in the ISMS.

9.4 The ISMS and the Security Plan shall include provision for the Supplier to upgrade software throughout the Term within 6 months of the release of the latest version unless:

9.4.1 upgrading such software reduces the level of mitigation for known threats, vulnerabilities or exploitation techniques, provided always that such software is upgraded by the Supplier within 12 months of release of the latest version; or

9.4.2 otherwise agreed with the Authority in writing.

9.5 The Supplier shall:

9.5.1 implement a mechanism for receiving, analysing and acting upon threat information provided by GovCertUK, or any other competent Central Government Body;

9.5.2 ensure that the ICT Environment (to the extent that this is within the control of the Supplier) is monitored to facilitate the detection of anomalous behaviour that would be indicative of system compromise;

9.5.3 ensure that it is knowledgeable about the latest trends in threat, vulnerability and exploitation that are relevant to the ICT Environment (to the extent that this is within the control of the Supplier) by actively monitoring the threat landscape during the Term;

9.5.4 pro-actively scan the ICT Environment (to the extent that this is within the control of the Supplier) for vulnerable components and address discovered vulnerabilities through the processes described in the ISMS;

9.5.5 from the Commencement Date and within 5 Working Days of the end of each subsequent month during the Term provide a report to the Authority detailing both patched and outstanding vulnerabilities in the ICT Environment (to the extent that this is within the control of the Supplier) and any elapsed time between the public release date of patches and either the time of application or, for outstanding vulnerabilities, the time of issue of such report;

9.5.6 propose interim mitigation measures in respect of any vulnerabilities in the ICT Environment (to the extent this is within the control of the Supplier) known to be exploitable where a security patch is not immediately available;

9.5.7 remove or disable any extraneous interfaces, services or capabilities that are no longer needed for the provision of the Services (in order to reduce the attack surface of the ICT Environment to the extent this is within the control of the Supplier); and

9.5.8 inform the Authority when it becomes aware of any new threat, vulnerability or exploitation technique that has the potential to affect the security of the IT Environment (to the extent this is within the control of the Supplier) and provide initial indications of possible mitigations

9.6 If the Supplier is unlikely to be able to mitigate any vulnerability within the timescales in paragraph 9.3, the Supplier shall notify the Authority immediately.

9.7 Any failure by the Supplier to comply with paragraph 9.3 shall constitute a material Default.

## **10. SUB-CONTRACTS**

10.1 The Supplier shall ensure that all Sub-Contracts with Sub-Contractors who have access to Information Assets and/or Authority Data contain equivalent provisions in relation to information assurance and security that are no less onerous than those imposed on the Supplier under the Framework Agreement.

## ANNEXE 1 – BASELINE SECURITY REQUIREMENTS

### 1. Security Classifications and Controls

- 1.1 The Supplier shall, unless otherwise Approved in accordance with paragraph 6.2 of this Annexe 1, only have access to and handle Information Assets and Authority Data that are classified under the Government Security Classifications Scheme as OFFICIAL.
- 1.2 There may be a specific requirement for the Supplier in some instances on a limited 'need to know basis' to have access to and handle Information Assets and Authority Data that are classified as 'OFFICIAL-SENSITIVE.'
- 1.3 The Supplier shall apply the minimum security controls required for OFFICIAL information and OFFICIAL-SENSITIVE information as described in Cabinet Office guidance, currently at:  
[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/251480/Government-Security-Classifications-April-2014.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/251480/Government-Security-Classifications-April-2014.pdf).
- 1.4 The Supplier shall be able to demonstrate to the Authority and any accreditor that it has taken into account the "Technical Controls Summary" for OFFICIAL (in the above guidance) in designing and implementing the security controls in the Supplier System, which shall be subject to assurance and accreditation to Government standards.
- 1.5 Additional controls may be required by the Authority and any accreditor where there are aspects of data aggregation.

### 2. End User Devices

- 2.1 Authority Data shall, wherever possible, be held and accessed on paper or in the ICT Environment on secure premises and not on removable media (including laptops, removable discs, CD-ROMs, USB memory sticks, PDAs and media card formats) without Approval. If Approval is sought to hold and access data by other means, the Supplier shall consider the second best option and third best option below and record the reasons why a particular approach should be adopted when seeking Approval:
  - 2.1.1 second best option means : secure remote access so that data can be viewed or amended over the internet without being permanently stored on the remote device, using products meeting the FIPS 140-2 standard or equivalent, unless Approved;
  - 2.1.2 third best option means: secure transfer of Authority Data to a remote device at a secure site on which it will be permanently stored, in which case the Authority Data and any links to it shall be protected at least to the FIPS 140-2 standard or equivalent, unless otherwise Approved, and noting that protectively marked Authority Data must not be stored on privately owned devices unless they are protected in this way.
- 2.2 The right to transfer Authority Data to a remote device should be carefully considered and strictly limited to ensure that it is only provided where absolutely necessary and shall be subject to monitoring by the Supplier and Authority.
- 2.3 Unless otherwise Approved, when Authority Data resides on a mobile, removable or physically uncontrolled device, it shall be:
  - 2.3.1 the minimum amount that is necessary to achieve the intended purpose and should be anonymised if possible;
  - 2.3.2 stored in an encrypted form meeting the FIPS 140-2 standard or equivalent and using a product or system component which has been formally assured through a recognised

certification process of CESG to at least Foundation Grade, for example, under the CESG Commercial Product Assurance scheme (“CPA”) or equivalent, unless otherwise Approved;

2.3.3 protected by an authentication mechanism, such as a password; and

2.3.4 have up to date software patches, anti-virus software and other applicable security controls to meet the requirements of this Schedule 6.

2.4 Devices used to access or manage Authority Data shall be under the management authority of the Supplier and have a minimum set of security policy configurations enforced. Unless otherwise Approved, all Supplier devices shall satisfy the security requirements set out in the CESG End User Devices Platform Security Guidance (“CESG Guidance”) (<https://www.gov.uk/government/collections/end-user-devices-security-guidance--2>) or equivalent.

2.5 Where the CESG Guidance highlights shortcomings in a particular platform the Supplier may wish to use, then these should be discussed with the Authority and a joint decision shall be taken on whether the residual risks are acceptable. If the Supplier wishes to deviate from the CESG Guidance, this should be agreed in writing with the Authority on a case by case basis.

### 3. Data Storage, Processing, Management, Transfer and Destruction

3.1 The Parties recognise the need for Authority Data to be safeguarded and for compliance with the Data Protection Legislation. To that end, the Supplier shall inform the Authority the location within the United Kingdom where Authority Data is stored, processed and managed. The import and export of Authority Data from the Supplier System must be strictly controlled and recorded.

3.2 The Supplier shall inform the Authority of any changes to the location within the United Kingdom where Authority Data is stored, processed and managed and shall not transmit, store, process or manage Authority Data outside of the United Kingdom without Approval which shall not be unreasonably withheld or delayed provided that the transmission, storage, processing and management of Authority Data offshore is within:

3.2.1 the European Economic Area (“EEA”); or

3.2.2 another country or territory outside the EEA if that country or territory ensures an adequate level of protection by reason of its domestic law or of the international commitments it has entered into which have been defined as adequate by the European Commission.

3.3 The Supplier System shall support the requirement of the Authority to comply with Government policy and Cabinet Office guidance on Offshoring, currently set out at:

<https://ogsirooffshoring.zendesk.com/hc/en-us/articles/203107991-HMG-sOffshoring-Policy>

by assessing, as required, any additional security risks associated with the storage, processing and/or transmission of any data and/or information offshore, including by an offshore Supplier (which may include the use of ‘landed resources’), taking account of European Union requirements to confirm the ‘adequacy’ of protection of Personal Data in the countries where storage, processing and/or transmission occurs. No element of the Supplier System may be off-shored without Approval.

3.4 The Supplier shall ensure that the Supplier System provides internal processing controls between security domains to prevent the unauthorised high domain exporting of Authority Data to the low domain if there is a requirement to pass data between different security domains.

3.5 The Supplier shall ensure that any electronic transfer of Authority Data:

3.5.1 protects the confidentiality of the Authority during transfer through encryption suitable for the impact level of the data;

3.5.2 maintains the integrity of the Authority Data during both transfer and loading into the receiving system through suitable technical controls for the impact level of the data; and

3.5.3 prevents the repudiation of receipt through accounting and auditing.

3.6 The Supplier shall:

3.6.1 protect Authority Data, including sensitive Personal Data, whose release or loss could cause harm or distress to individuals and ensure that this is handled as if it were confidential while it is stored and/or processed;

3.6.2 ensure that any OFFICIAL-SENSITIVE information, including sensitive Personal Data is encrypted in transit and when at rest when stored away from the Supplier's controlled environment;

3.6.3 on demand, provide the Authority with all Authority Data in an agreed open format;

3.6.4 have documented processes to guarantee availability of Authority Data if it ceases to trade;

3.6.5 securely destroy all media that has held Authority Data at the end of life of that media in accordance with any requirements in the Framework Agreement and, in the absence of any such requirements, in accordance with Good Industry Practice;

3.6.6 securely erase any or all Authority Data held by the Supplier when requested to do so by the Authority;

3.6.7 ensure that all material used for storage of Confidential Information is subject to controlled disposal and the Supplier shall:

3.6.7.1 destroy paper records containing protected Personal Data by incineration, pulping or shredding so that reconstruction is unlikely; and

3.6.7.2 dispose of electronic media that has been used for the processing or storage of protected Personal Data through secure destruction, overwriting, erasure or degaussing for re-use.

#### **4. Networking**

4.1 Any Authority Data transmitted over any public network (including the Internet, mobile networks or un-protected enterprise network) or to a mobile device shall be encrypted using a product or system component which has been formally assured through a certification process recognised by CESG, to at least Foundation Grade, for example, under CPA or through the use of Public Sector Network ("PSN") compliant encrypted networking services or equivalent unless none are available in which case the Supplier shall agree the solution with the Authority.

4.2 The Authority requires that the configuration and use of all networking equipment in relation to the provision of the Services, including equipment that is located in secure physical locations, is at least compliant with Good Industry Practice.

4.3 The Supplier shall ensure that the ICT Environment (to the extent this is within the control of the Supplier) contains controls to maintain separation between the PSN and internet connections if used.

#### **5. Security Architectures**

5.1 When designing and configuring the ICT Environment (to the extent that this is within the control of the Supplier) the Supplier shall follow Good Industry Practice and seek guidance from recognised security

professionals with the appropriate skills and/or those with a CESG Certified Professional certification (<http://www.cesg.gov.uk/awaresstraining/IA-certification/Pages/index.aspx>) or equivalent for all bespoke or complex components.

- 5.2 The Supplier shall provide to the Authority and any accreditor sufficient design documentation detailing the security architecture of the ICT Environment and data transfer mechanism to support the Authority's and any accreditor's assurance that this is appropriate, secure and compliant with the Authority's requirements.
- 5.3 The Supplier shall apply the '*principle of least privilege*' (the practice of limiting systems, processes and user access to the minimum possible level) to the design and configuration of the ICT Environment used for the storage, processing and management of Authority Data. Users should only be granted the minimum necessary permissions to access Information Assets and Authority Data and must be automatically logged out of the Supplier System if an account or session is inactive for more than 15 minutes.

## **6. Digital Continuity**

- 6.1 The Supplier shall ensure that each Information Asset is held in an appropriate format that is capable of being updated from time to time to enable the Information Asset to be retrieved, accessed, used and transferred to the Authority, including in accordance with any information handling procedures set out in PSI 24/2014 (Information Assurance) if applicable.

## **7. Personnel Vetting and Security**

- 7.1 All Staff shall be subject to pre-employment checks that include, as a minimum, their employment history for at least the last 3 years, identity, unspent criminal convictions and right to work (including nationality and immigration status) and shall be vetted in accordance with:
  - 7.1.1 the BPSS or BS7858 or equivalent; and
  - 7.1.2 PSI 07/2014, if applicable, based on their level of access to Information Assets and/or Authority Data.
- 7.2 If the Authority agrees that it is necessary for any Staff to have logical or physical access to Information Assets and/or Authority Data classified at a higher level than OFFICIAL (such as that requiring 'SC' clearance), the Supplier shall obtain the specific government clearances that are required for access to such Information Assets and/or Authority Data.
- 7.3 The Supplier shall prevent Staff who are unable to obtain the required security clearances from accessing Information Assets and/or Authority Data and/or the ICT Environment used to store, process and/or manage such Information Assets or Authority Data.
- 7.4 The Supplier shall procure that all Staff comply with the Security Policy Framework and principles, obligations and policy priorities stated therein, including requirements to manage and report all security risks in relation to the provision of the Services.
- 7.5 The Supplier shall ensure that Staff who can access Information Assets and/or Authority Data and/or the ICT Environment are aware of their responsibilities when handling such information and data and undergo regular training on secure information management principles. Unless otherwise Approved, this training must be undertaken annually.
- 7.6 If the Supplier grants Staff access to Information Assets and/or Authority Data, those individuals shall be granted only such levels of access and permissions that are necessary for them to carry out their duties. Once Staff no longer require such levels of access or permissions or leave the organisation, their access rights shall be changed or revoked (as applicable) within one Working Day.

## 8. Identity, Authentication and Access Control

- 8.1 The Supplier shall operate a robust role-based access control regime, including network controls, to ensure all users and administrators of and those maintaining the ICT Environment are uniquely identified and authenticated when accessing or administering the ICT Environment to prevent unauthorised users from gaining access to Information Assets and/or Authority Data. Applying the '*principle of least privilege*', users and administrators and those responsible for maintenance shall be allowed access only to those parts of the ICT Environment they require. The Supplier shall retain an audit record of accesses and users and disclose this to the Authority upon request.
- 8.2 The Supplier shall ensure that Staff who use the Authority System actively confirm annually their acceptance of the Authority's acceptable use policy.

## 9. Physical Media

- 9.1 The Supplier shall ensure that:
- 9.1.1 all OFFICIAL information is afforded physical protection from internal, external and environmental threats commensurate with the value to the Authority of that information;
  - 9.1.2 all physical components of the Supplier System are kept in secure accommodation which conforms to the Security Policy Framework and CESG standards and guidance or equivalent;
  - 9.1.3 all physical media holding OFFICIAL information is handled in accordance with the Security Policy Framework and CESG standards and guidance or equivalent; and
  - 9.1.4 all Information Assets and Authority Data held on paper are:
    - 9.1.4.1 kept secure at all times, locked away when not in use on the premises on which they are held and secured and are segregated if the Supplier is co-locating with the Authority; and
    - 9.1.4.2 only transferred by an approved secure form of transfer with confirmation of receipt obtained.

## 10. Audit and Monitoring

- 10.1 The Supplier shall implement effective monitoring of its information assurance and security obligations in accordance with Government standards and where appropriate, in accordance with CESG Good Practice Guide 13 – Protective Monitoring or equivalent.
- 10.2 The Supplier shall collect audit records which relate to security events in the ICT Environment (where this is within the control of the Supplier), including those that would support the analysis of potential and actual compromises. In order to facilitate effective monitoring and forensic readiness, such Supplier audit records shall include:
- 10.2.1 logs to facilitate the identification of the specific asset which makes every outbound request external to the ICT Environment (to the extent it is within the control of the Supplier). To the extent the design of the ICT Environment allows, such logs shall include those from DHCP servers, HTTP/HTTPS proxy servers, firewalls and routers;
  - 10.2.2 regular reports and alerts giving details of access by users of the ICT Environment (to the extent that it is within the control of the Supplier) to enable the identification of changing access trends, any unusual patterns of usage and/or accounts accessing higher than average amounts of Authority Data; and

- 10.2.3 security events generated in the ICT Environment (to the extent it is within the control of the Supplier) including account logon and logoff events, start and end of remote access sessions, security alerts from desktops and server operating systems and security alerts from third party security software.
- 10.3 The Parties shall work together to establish any additional audit and monitoring requirements for the ICT Environment.
- 10.4 The Supplier shall retain audit records collected in compliance with paragraph 10.1 for at least 6 months.

## SCHEDULE 8 - PRISONS

### ACCESS TO PRISONS

- 1 If Staff are required to have a pass for admission to an Authority Premises which is a prison, (a “Prison”) the Authority shall, subject to satisfactory completion of approval procedures, arrange for passes to be issued. Any member of the Staff who cannot produce a proper pass when required to do so by any member of the Authority’s personnel, or who contravenes any conditions on the basis of which a pass was issued, may be refused admission to a Prison or be required to leave a Prison if already there.
- 2 Staff shall promptly return any pass if at any time the Authority so requires or if the person to whom the pass was issued ceases to be involved in the performance of the Services. The Supplier shall promptly return all passes on expiry or termination of the Framework Agreement.
- 3 Staff attending a Prison may be subject to search at any time. Strip searches shall be carried out only on the specific authority of the Authority under the same rules and conditions applying to the Authority’s personnel. The Supplier is referred to Rule 71 of Part IV of the Prison Rules 1999 as amended by the Prison (Amendment) Rules 2005 and Rule 75 of Part IV of the Young Offender Institution Rules 2000 as amended by the Young Offender Institution (Amendment) Rules 2005.
- 4 Searches shall be conducted only on the specific authority of the Authority under the same rules and conditions applying to the Authority’s personnel and/or visitors. The Supplier is referred to Section 8 of the Prison Act 1952, Rule 64 of the Prison Rules 1999 and PSI 67/2011.

### SECURITY

- 5 Whilst at Prisons Staff shall comply with all security measures implemented by the Authority in respect of staff and other persons attending Prisons. The Authority shall provide copies of its written security procedures to Staff on request. The Supplier and all Staff are prohibited from taking any photographs at Prisons unless they have Approval and the Authority’s representative is present so as to have full control over the subject matter of each photograph to be taken. No such photograph shall be published or otherwise circulated without Approval.
- 6 The Authority may search vehicles used by the Supplier or Staff at Prisons.
- 7 The Supplier and Staff shall co-operate with any investigation relating to security which is carried out by the Authority or by any person who is responsible for security matters on the Authority’s behalf, and when required by the Authority shall:
  - 7.1 take all reasonable measures to make available for interview by the Authority any members of Staff identified by the Authority, or by a person who is responsible for security matters, for the purposes of the investigation. Staff may be accompanied by and be advised or represented by another person whose attendance at the interview is acceptable to the Authority; and
  - 7.2 subject to any legal restriction on their disclosure, provide all documents, records or other material of any kind and in whatever form which may be reasonably required by the Authority, or by a person who is responsible for security matters on the Authority’s behalf, for the purposes of investigation as long as the provision of that material does not prevent the Supplier from performing the Services. The Authority may retain any such material for use in connection with the investigation and, as far as possible, may provide the Supplier with a copy of any material retained.

## **OFFENCES AND AUTHORISATION**

- 8 In providing the Services the Supplier shall comply with PSI 10/2012 (Conveyance and Possession of Prohibited Items and Other Related Offences) and other applicable provisions relating to security as published by the Authority from time to time.
  
- 9 Nothing in the Framework Agreement is deemed to provide any “authorisation” to the Supplier in respect of any provision of the Prison Act 1952, Offender Management Act 2007, Crime and Security Act 2010, Serious Crime Act 2015 or other relevant legislation.

**IN WITNESS** of which the Framework Agreement is duly executed by the Parties on the date which appears at the head of page 1.

**SIGNED** for and on behalf of the  
Secretary of State for Justice

Signature:

Name (block capitals):

Position:

Date:

**SIGNED** for and on behalf of Eastman  
Staples Limited

Signature:

Name (block capitals):

Position:

Date: