

DATED

2/24/2025

THE HUMAN FERTILISATION AND EMBRYOLOGY AUTHORITY (HFEA)

AND

CEOX SERVICES LTD

**CONDITIONS OF CONTRACT FOR THE PROVISION OF SERVICES (SIMPLIFIED
VERSION)**

HFEA TRANSFORMATION PROJECT - DYNAMICS 365 & SHAREPOINT

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THE AUTHORITY	HUMAN FERTILISATION AND EMBRYOLOGY AUTHORITY (HFEA) of 2nd floor, 2 Redman Place, London, E20 1JQ
THE CONTRACTOR	CEOX SERVICES LTD which is a company registered in England and Wales under company number 11143592 and whose registered office is at 4 Reading Road, Pangbourne, Berkshire, RG8 7LY
DATE	2/24/2025

1. BACKGROUND

- 1.1. The Authority placed a contract notice in the Find a Tender Service under the following reference 2024/S 000-028298 on 04/09/2024 seeking tenders from providers of Microsoft Dynamics 365 and related cloud portal technologies interested in entering into an arrangement for the supply of such services to the Authority.
- 1.2. On 04/09/2024 the Authority issued an invitation to tender (the “Invitation to Tender”) for the provision of replacing the Authority's bespoke regulatory licence management system (Epicentre) and web portal used by licenced clinics with Microsoft Dynamics 365 and related cloud portal technologies, along with migrating the Authority's EDRMS from OpenText Content Manager to SharePoint. In response to the Invitation to Tender, the Contractor submitted a tender to the Authority on 30/10/2024 (“the Tender”). On the basis of the Tender, the Authority selected the Contractor to enter into an agreement to provide such services to the Authority.

2. THE CONTRACT

- 2.1. This Contract is made on the date set out above subject to the Order Form and the terms set out in the schedules annexed to the Contract (the “**Schedules**”). The Authority and the Contractor undertake to comply with the provisions of the Schedules in the performance of this Contract.
- 2.2. The Contractor shall supply to the Authority, and the Authority shall receive and pay for, the Services on the terms of this Contract.
- 2.3. In this Contract, unless otherwise provided or the context otherwise requires, capitalised expressions shall have the meanings set out in Schedule 3 (Definitions and Interpretation) or the relevant Clause or Schedule in which that capitalised expression appears.

Order Form

1. Contract Reference	Not Used
2. Date	
3. Authority	Human Fertilisation and Embryology Authority (HFEA) 2nd floor, 2 Redman Place, London, E20 1JQ
4. Contractor	CEOX SERVICES LTD which is a company registered in England and Wales under company number 11143592 and whose registered office is at 4 Reading Road, Pangbourne, Berkshire, RG8 7LY
5. The Contract	<p>The Contractor shall supply the Services described below on the terms set out in this Order Form and the Schedules and any Annexes.</p> <p>Unless the Contract otherwise requires, capitalised expressions used in this Order Form have the same meanings as in Schedule 3 (Definition and Interpretation).</p> <p>In the event of any conflict between this Order Form and the Schedules, this Order Form shall prevail.</p> <p>Any Contractor terms and conditions attached to this Order Form will not be accepted by the Authority and may delay conclusion of the Contract.</p>
6. Services to be Supplied	Replacement of the Authority's bespoke regulatory licence management system (Epicentre) and web portal used by licenced clinics with Microsoft Dynamics 365 and related cloud portal technologies, along with migrating the Authority's EDRMS from OpenText Content Manager to SharePoint, as more particularly set out in Schedule 4 (Specification).
7. Term	The Contract shall commence on the date that the Contractor commences the delivery of the Services which will be on or around 17 February 2025 (the " Commencement Date ") and shall expire after a period of 30 months from the Commencement Date (the " Initial Term ") unless the Contract is otherwise extended or terminated in accordance with the terms and conditions of the Contract (the " Term ").

	The Authority may extend the Contract beyond the Initial Term in accordance with Clause 5.2 provided that the total Term shall be no longer than 42 months in total.
8. Contract Price	The Contract Price during the Initial Term shall be £582,282.75 as more particularly set out in Schedule 6 (Pricing). The Contract Price for any extension period of support shall be the amount showing as the Fixed Price Annual Support (12 Months) in Schedule 6 (Pricing) calculated on a pro-rata basis.
9. Payment	<p>All invoices must be sent quoting a valid Purchase Order number.</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>Within 10 Working Days of receipt of your countersigned copy of the Contract, we will send you a unique Purchase Order number (the “PO Number”). You must be in receipt of a valid PO Number before submitting an invoice.</p> <p>All invoices must be sent quoting a valid PO Number. Every payment request must be accompanied by a current statement of accounts; this is a standard commercial process and should show all invoices raised and amounts outstanding. Copy invoices requiring payment must be sent with all statement of accounts with supporting documents. The minimum supporting documents required are an invoice and packing list.</p> <p>To avoid delay in payment it is important that the invoice is compliant and that it includes a valid PO Number, PO item number (if applicable) and the details (name and telephone number) of your Authority contact (i.e. Authority Representative). Non-compliant invoices will be sent back to you, which may lead to a delay in payment.</p> <p>If you have a query regarding an outstanding payment, please contact our Accounts Payable section by email to:</p> <p>[REDACTED]</p> <p>[REDACTED]</p>
10. Authority Representative(s)	<p>For general liaison your contact will be:</p> <p>[REDACTED]</p>

	or, in their absence, [REDACTED]		
11. Contractor Representative(s)	For general liaison your contact will be [REDACTED] or, in their absence, [REDACTED]		
12. Address for notices	<table border="1"> <tr> <td> Authority: Human Fertilisation and Embryology Authority (HFEA), 2nd floor, 2 Redman Place, London, E20 1JQ [REDACTED] [REDACTED] [REDACTED] </td><td> Contractor: Ceox Services Ltd of 4 Reading Road, Pangbourne, Berkshire, RG8 7LY [REDACTED] [REDACTED] [REDACTED] </td></tr> </table>	Authority: Human Fertilisation and Embryology Authority (HFEA), 2nd floor, 2 Redman Place, London, E20 1JQ [REDACTED] [REDACTED] [REDACTED]	Contractor: Ceox Services Ltd of 4 Reading Road, Pangbourne, Berkshire, RG8 7LY [REDACTED] [REDACTED] [REDACTED]
Authority: Human Fertilisation and Embryology Authority (HFEA), 2nd floor, 2 Redman Place, London, E20 1JQ [REDACTED] [REDACTED] [REDACTED]	Contractor: Ceox Services Ltd of 4 Reading Road, Pangbourne, Berkshire, RG8 7LY [REDACTED] [REDACTED] [REDACTED]		
13. Key personnel	<table border="1"> <tr> <td> Authority: Human Fertilisation and Embryology Authority (HFEA), 2nd floor, 2 Redman Place, London, E20 1JQ [REDACTED] [REDACTED] </td><td> Contractor: [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] </td></tr> </table>	Authority: Human Fertilisation and Embryology Authority (HFEA), 2nd floor, 2 Redman Place, London, E20 1JQ [REDACTED] [REDACTED]	Contractor: [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED]
Authority: Human Fertilisation and Embryology Authority (HFEA), 2nd floor, 2 Redman Place, London, E20 1JQ [REDACTED] [REDACTED]	Contractor: [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED]		

14. Vetting Personnel	<p>The Authority may require the Contractor to ensure that any person employed in the provision of the Services has undertaken a Disclosure and Barring Service check.</p> <p>The Contractor shall ensure that no person who discloses that they have a conviction that is relevant to the nature of the Contract, relevant to the work of the Authority, or is of a type otherwise advised by the Authority (each such conviction a “Relevant Conviction”), or is found by the Contractor to have a Relevant Conviction (whether as a result of a police check, a Disclosure and Barring Service check or otherwise) is employed or engaged in the provision of any part of the Services.</p>	
15. Procedures and Policies	Not used	

Signed by the authorised representative of **THE AUTHORITY**

Name:		Signature	
Position:			

Signed by the authorised representative of **THE CONTRACTOR**

Name:		Signature	
Position:			

SCHEDULE 1 KEY PROVISIONS

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STANDARD KEY PROVISIONS

1. APPLICATION OF THE KEY PROVISIONS

- 1.1. The standard Key Provisions at Clauses 1 to 3 of this Schedule 1 shall apply to this Contract.
- 1.2. The optional Key Provisions at Clauses 4 to 13 of this Schedule 1 shall only apply to this Contract where they have been checked and information completed as applicable.

2. ORDER OF PRECEDENCE

- 2.1. If there is any conflict between any part of this Contract and the Schedules and/or any Annexes to the Schedules, the conflict shall be resolved in accordance with the following order of precedence:
 - 2.1.1. Order Form;
 - 2.1.2. Schedule 1 (Key Provisions);
 - 2.1.3. Schedule 2 (General Terms and Conditions);
 - 2.1.4. Schedule 3 (Definitions and Interpretation);
 - 2.1.5. Schedule 4 (Specification) and its Annexes (if any) with the Annexes taking precedence over the Specification in the event of conflict;
 - 2.1.6. any other Schedules and their Annexes (other than Schedule 5 (Tender)) in numerical order; and
 - 2.1.7. Schedule 5 (Tender) and its Annexes (if any).

3. APPLICATION OF TUPE AT THE COMMENCEMENT OF THE PROVISIONS OF SERVICES

- 3.1. The Parties agree that the commencement of the provision of the Services or a part of the Service does not result in a Relevant Transfer. Schedule 10 (Staff Transfer: Employment Exit Provisions) shall apply on the expiry or termination of the Services or any part of the Services

OPTIONAL KEY PROVISIONS

4. NOT USED

5. TERMINATION FOR CONVENIENCE

X (ONLY APPLICABLE TO THE CONTRACT IF THIS BOX IS CHECKED)

- 5.1. The Authority may terminate this Contract at any time by issuing a Termination Notice to the Contractor giving at least two (2) weeks' written notice to take effect at the end of the same Month. The Authority may extend the period of notice at any time before it expires, subject to agreement on the level of Services to be provided by the Contractor during the period of extension of such notice. Such notice shall not be served within six (6) Months of the Commencement Date.
- 5.2. Subject to Clauses 13 (Indemnity and Limitation of Liability) and 14 (Insurance) of Schedule 2, should the Authority terminate this Contract in accordance with this Clause 5 (Termination for Convenience) of this Schedule 1, then the Authority shall indemnify the Contractor against any commitments, liabilities or expenditure which represent an unavoidable direct loss to the Contractor by reason of the termination of the Contract, provided that the Contractor takes all reasonable steps to mitigate such loss. Where the Contractor holds insurance, the Authority shall only indemnify the Contractor for those unavoidable direct costs that are not covered by the insurance available. The Contractor shall submit a fully itemised and costed list of unavoidable direct loss which it is seeking to recover from the Authority, with supporting evidence, of losses reasonably and actually incurred by the Contractor as a result of termination under this Clause 5 (Termination for Convenience) of this Schedule 1.
- 5.3. The Authority shall not be liable under this Clause 5 (Termination for Convenience) of this Schedule 1 to pay any sum which:
 - 5.3.1. was claimable under insurance held by the Contractor, and the Contractor has failed to make a claim on its insurance, or has failed to make a claim in accordance with the procedural requirements of the insurance policy;
 - 5.3.2. when added to any sums paid or due to the Contractor under the Contract, exceeds the total sum that would have been payable to the Contractor if the Contract had not been terminated prior to the expiry of the Term; or

5.3.3. is a claim by the Contractor for loss of profit, due to early termination of the Contract.

6. NOT USED

7. NOT USED

8. NOT USED

9. NOT USED

10. NOT USED

11. TACKLING MODERN SLAVERY

X (ONLY APPLICABLE TO THE CONTRACT IF THIS BOX IS CHECKED)

11.1. The Contractor shall, and procure that each of its Sub-contractors shall, comply with any anti-slavery policy of the Authority that is notified to the Contractor as provided to the Contractor (**“Authority’s Anti-slavery Policy”**).

11.2. The Contractor shall:

11.2.1. 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;

11.2.2. respond promptly to all slavery and trafficking due diligence questionnaires or any modern slavery risk assessment or identification tools issued to it by the Authority from time to time and shall ensure that its responses to all such questionnaires are complete and accurate;

11.2.3. shall comply with all reasonable supply chain information requests from the Authority and its modern slavery requirements and obligations;

11.2.4. maintain a complete set of records to trace the supply chain of all Services provided to the Authority regarding the Contract;

11.2.5. permit the Authority and its third party representatives, on reasonable notice during normal business hours, but without notice in case of any reasonably suspected breach of this Clause 11 (Tackling Modern Slavery) of this Schedule 1 or Clause 29.5 (Modern Slavery, Child Labour and Inhumane Treatment) of Schedule 2, to have access to and take copies of the Contractor’s records and

any other information and to meet with the Contractor Personnel to audit the Contractor's compliance with its obligations this clause;

11.2.6. implement annual audits of its compliance and its Sub-contractors' and contractor's compliance with the Authority's Anti-slavery Policy, either directly or through a third party auditor. The first set of audits shall be completed by the first anniversary of the Commencement Date; and

11.2.7. implement a system of training for its employees to ensure compliance with the Modern Slavery Act 2015 and the Authority's Anti-slavery policy.

11 A. NOT USED

12. NOT USED

13. NOT USED

13 A. NOT USED

14. NOT USED

15. MILESTONES AND SERVICE LEVELS

X (ONLY APPLICABLE TO THE CONTRACT IF THIS BOX IS CHECKED)

15.1. In this Clause, the following definitions shall apply:

15.1.1. "Escalation Meeting" means a meeting between the Contractor Representative and the Authority Representative to address issues that have arisen during the Rectification Plan Process;

15.1.2. "Notifiable Default" means:

(a) the Contractor commits a material Default; and/or

(b) a Service Level Failure has had a materially adverse effect on the Services;

15.1.3. "Rectification Plan" means the Contractor's plan (or revised plan) to rectify its breach using the template at Annex to Part B of this Clause 15 of this Schedule 1 which shall include:

(a) full details of the Notifiable Default that has occurred, including a root cause analysis;

- (b) the actual or anticipated effect of the Notifiable Default; and
 - (c) the steps which the Contractor proposes to take to rectify the Notifiable Default (if applicable) and to prevent such Notifiable Default from recurring, including timescales for such steps and for the rectification of the Notifiable Default (where applicable);
- 15.1.4. "Rectification Plan Process" means the process set out in the Annex to Part B of this Clause 15 of this Schedule 1;
- 15.1.5. "Service Level Failure" means a failure to meet the Service Level Threshold in respect of a Service Level; and
- 15.1.6. "Service Level Threshold" shall be as set out against the relevant Service Level in the Annex to Part A of this Clause 15 of this Schedule 1.

Service Levels

- 15.2. The Contractor shall at all times provide the Services to meet or exceed the Service Level Threshold for each Service Level.
- 15.3. Not used.
- 15.4. The Contractor shall send Performance Monitoring Reports to the Authority detailing the level of service which was achieved in accordance with the provisions of Part B (Performance Monitoring) of this Clause 15 of this Schedule 1.

Milestones

- 15.5. The Parties shall agree any amendments to the Milestones and relevant dates for each Milestone as soon as reasonably practicable following the Commencement Date.
- 15.6. The Contractor shall use all reasonable endeavours to meet each Milestone by the agreed relevant date and shall notify the Authority as soon as possible when it anticipates that there may be a delay.
- 15.7. The Authority shall notify the Contractor in writing with approval once it is assured that a Milestone has been met.

Part A: Service Levels

15.8. If the level of performance of the Contractor is likely to or fails to meet any Service Level Threshold, the Contractor shall immediately notify the Authority in writing and the Authority, in its absolute discretion and without limiting any other of its rights, may:

- (a) require the Contractor to immediately take all remedial action that is reasonable to mitigate the impact on the Authority and to rectify or prevent a Service Level Failure from taking place or recurring; and/or
- (b) instruct the Contractor to comply with the Rectification Plan Process.

ANNEX TO PART A: SERVICES LEVELS AND SERVICE

Severity Definitions

Severity Level	Definition	Description
P1	Critical	The reported problem causes a halt to core business processes and no work-around is available
P2	Severe	The reported problem causes degradation to core business processes and no reasonable work-around exists
P3	Disruptive	The reported problem impacts operational environment but does not affect core business processes. A work-around is available
P4	Minor	A non-critical problem is causing some disruption but with little or no impact to business operations

Service Level Thresholds

Service Level Performance Criterion	Service Level Threshold Response Time	Service Level Threshold Resolution Time
P1	1 hour	4 hours
P2	4 hours	8 hours
P3	1 Working Day	3 Working Days
P4	2 Working Days	5 Working Days

Part B: Performance Monitoring

Performance Monitoring and Performance Review

- 15.9. The Contractor shall provide the Authority with Monthly performance monitoring reports ("Performance Monitoring Reports") which shall contain, as a minimum, the following information in respect of the relevant reporting period:
 - 15.9.1. during the Delivery Phase, an overview of progress to date against the Milestones including any issues, anticipated delays and proposed mitigations;
 - 15.9.2. during the Support Phase, for each Service Level (i.e. each severity level P1 to P4), the actual performance achieved against the Service Level Thresholds (i.e. Response Time and Resolution Time) as a percentage and a summary of all failures to achieve Service Level Thresholds that occurred during the reporting period; and
 - 15.9.3. during the Delivery Phase and the Support Phase, for any repeat failures or delays, actions taken to resolve the underlying cause and prevent recurrence and such other details as the Authority may reasonably require from time to time.
- 15.10. The Parties shall attend meetings to discuss the Performance Monitoring Reports ("Performance Review Meetings") on a Monthly (or at such frequency to be determined by the Authority) basis. The Performance Review Meetings will be the forum for the review by the Contractor and the Authority of the Performance Monitoring Reports. The Performance Review Meetings shall:
 - 15.10.1. take place within one (1) week of the Performance Monitoring Reports being issued by the Contractor at such location and time (within normal business hours) as the Authority shall reasonably require;
 - 15.10.2. be attended by the Contractor Representative and the Authority Representative; and
 - 15.10.3. be fully minuted by the Contractor and the minutes will be circulated by the Contractor to all attendees at the relevant meeting and also to the Authority Representative and any other recipients agreed at the relevant meeting.
- 15.11. The minutes of the preceding Performance Review Meeting will be agreed and signed by both the Contractor Representative and the Authority Representative at each meeting.
- 15.12. The Contractor shall provide to the Authority such documentation as the Authority may reasonably require in order to verify the level of the performance by the Contractor.

ANNEX TO PART B: RECTIFICATION PLAN PROCESS

Rectifying issues

- 15.13. If there is a Notifiable Default, the Contractor must notify the Authority within 3 Working Days and the Authority, without limiting its other rights, may request that the Contractor provide a Rectification Plan within 10 Working Days alongside any additional documentation that the Authority requires.
- 15.14. When the Authority receives a requested Rectification Plan it can either:
- 15.14.1. reject the Rectification Plan or revised Rectification Plan, giving reasons; or
 - 15.14.2. accept the Rectification Plan or revised Rectification Plan (without limiting its rights) in which case the Contractor must immediately start work on the actions in the Rectification Plan at its own cost, unless agreed otherwise by the Parties.
- 15.15. Where the Rectification Plan or revised Rectification Plan is rejected, the Authority:
- 15.15.1. will give reasonable grounds for its decision; and
 - 15.15.2. may request that the Contractor provides a revised Rectification Plan within 5 Working Days.

Escalating issues

- 15.16. If the Contractor fails to:
- 15.16.1. submit a Rectification Plan or a revised Rectification Plan within the timescales set out in Clauses 15.13 or 15.15 above; and/or
 - 15.16.2. adhere to the timescales set out in an accepted Rectification Plan to resolve the Notifiable Default; and/or
 - 15.16.3. if the Authority otherwise rejects a Rectification Plan,
- the Authority can require the Contractor to attend an Escalation Meeting on not less than 5 Working Days' notice. The Authority will determine the location, time and duration of the Escalation Meeting(s) and the Contractor must ensure that the Contractor Representative is available to attend.

- 15.17. The Escalation Meeting(s) will continue until the Authority is satisfied that the Notifiable Default has been resolved, however, where an Escalation Meeting(s) has continued for more than 5 Working Days, either Party may treat the matter as a Dispute to be handled through the dispute resolution set out in Clause 18 (Dispute Resolution) of Schedule 2.
- 15.18. If the Contractor is in Default of any of its obligations under this Clause 15, the Authority shall be entitled to terminate this Agreement under Clause 15 (Termination) of Schedule 2.

The Rectification Plan

Request for [Revised] Rectification Plan		
Details of the Default	[Guidance: Explain the Default, with clear schedule and clause references as appropriate]	
Deadline for receiving the [Revised] Rectification Plan	[add date (minimum 10 days from request)]	
Signed by Authority		
Date		
Contractor [Revised] Rectification Plan		
Cause of the Default	[add cause]	
Anticipated impact assessment	[add impact]	
Actual effect of Default	[add effect]	
Steps to be taken to rectification	Steps	Timescale
	1.	[date]
	2.	[date]
	3.	[date]
Timescale for complete Rectification of Default	[X] Working Days	
Steps taken to prevent recurrence of Default	Steps	Timescale
	1.	[date]
	2.	[date]
	3.	[date]
Signed by the Contractor		
Date		
Review of Rectification Plan Contractor		
Outcome of review	[Plan Accepted] [Plan Rejected] [Revised Plan Requested]	
Reasons for rejection (if applicable)	[add reasons]	
Signed by Contractor		
Date		

16. NOT USED

17. NOT USED

SCHEDULE 2 GENERAL TERMS AND CONDITIONS

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GENERAL TERMS AND CONDITIONS

1. PROVISION OF SERVICES

1.1. The Contractor shall ensure that the Services:

- 1.1.1. comply in all respects with the Specification unless and to the extent that this is varied by prior agreement of the Parties.
- 1.1.2. are supplied promptly and in any event within any time limits as may be set out in this Contract; and
- 1.1.3. are supplied in accordance with the Contractor's Tender and the provisions of this Contract;

1.2. The Contractor shall:

- 1.2.1. perform its obligations under this Contract, including in relation to the supply of the Services in accordance with:
 - (a) all applicable Law;
 - (b) in accordance with the Anti-slavery Policy and if Key Provision 11 (Tackling Modern Slavery) shall apply in accordance with the Authority's Anti-slavery Policy; and
 - (c) Good Industry Practice;
 - (d) any quality assurance standards as set out in the Specification ; and
 - (e) the Contractor's own established procedures and practices to the extent that the same do not conflict with the requirements of Clauses 1.2.1(a) to 1.2.1(d), above; and
- 1.2.2. deliver the Services using efficient business processes and ways of working having regard to the Authority's obligation to ensure value for money.

1.3. In the event that the Contractor becomes aware of any inconsistency between the requirements of Clauses 1.2.1(a) to 1.2.1(d) of this Schedule 2, the Contractor shall immediately notify the Authority Representative in writing of such inconsistency and the Authority Representative shall, as soon as practicable, notify the Contractor which requirement the Contractor shall comply with.

- 1.4. The Authority may inspect and examine the manner in which the Contractor supplies the Services during normal business hours on reasonable notice.
- 1.5. The Contractor shall comply fully with its obligations set out in the Specification and the Tender.
- 1.6. If the Authority informs the Contractor in writing that the Authority reasonably believes that any part of the Services does not meet the requirements and/or standards of the Contract or differs in any way from those requirements, and this is other than as a result of a Default by the Authority, the Contractor shall at its own expense re-schedule and carry out the Services in accordance with the requirements of the Contract within such reasonable time as may be specified by the Authority.
- 1.7. The Contractor shall notify the Authority as soon as it becomes aware of:
 - 1.7.1. any breach, or potential breach, of the Anti-slavery Policy and if Key Provision 11 applies, any breach, or potential breach, of the Authority's Anti-slavery Policy; or
 - 1.7.2. any actual or suspected slavery or human trafficking in a supply chain which has a connection with this Contract.

2. KEY PERSONNEL

- 2.1. The Contractor shall not remove or replace any Key Personnel unless:
 - 2.1.1. requested to do so by the Authority;
 - 2.1.2. the person concerned resigns, retires or dies or is on maternity or long-term sick leave;
 - 2.1.3. the person's employment or contractual arrangement with the Contractor or a Sub-contractor is terminated for material breach of contract by the employee; or
 - 2.1.4. the Contractor obtains the Authority's prior written consent.
- 2.2. The Authority shall not unreasonably withhold its consent under Clause 2.1.4 of this Schedule 2. Such consent shall be conditional on appropriate arrangements being made by the Contractor to minimise any adverse impact on the Contract which could be caused by a change in Key Personnel.

3. CONTRACTOR PERSONNEL

- 3.1. The Contractor Personnel involved in the performance of the Contract must:
 - 3.1.1. be suitably qualified, adequately trained and capable of providing the applicable Services in respect of which they are engaged;
 - 3.1.2. be vetted using Good Industry Practice and in any security vetting requirements specified in the Order Form; and
 - 3.1.3. comply with all of the Authority's policies, rules, regulations and requirements (including those relating to security arrangements) as may be in force from time to time for conduct when at or outside the Premises of the Authority.
- 3.2. The Contractor shall replace any of the Contractor Personnel who the Authority reasonably decides have failed to carry out their duties with reasonable skill and care to a professional standard. The Contractor shall ensure any such person is replaced promptly with another person with the necessary training and skills to meet the requirements of the Services.
- 3.3. The Authority may refuse to grant access to and remove any of the Contractor Personnel from the Premises who do not comply with Clause 3.1 of this Schedule 2 or if they otherwise present a security threat or the Authority reasonably determines their presence to be undesirable.
- 3.4. The Contractor shall provide a list of the names and addresses of all persons who may require admission in connection with the Contract to the Premises, specifying the capacities in which they are concerned with the Contract.
- 3.5. If the Contractor fails to comply with Clause 3.4 of this Schedule 2 within one (1) Month of the date of the request and, in the reasonable opinion of the Authority, such failure may be prejudicial to the interests of the Crown, then the Authority may terminate the Contract with immediate effect by giving written notice to the Contractor at any time after the end of that one (1) Month period, such termination shall not prejudice or affect any right of action or remedy which shall have accrued or shall thereafter accrue to the Authority

Income Tax and National Insurance Contributions

- 3.6. Where the Contractor or any Contractor Personnel are liable to be taxed in the UK or to pay national insurance contributions in respect of consideration received under the Contract, the Contractor shall:

- 3.6.1. at all times comply with the Income Tax (Earnings and Pensions) Act 2003 and all other statutes and regulations relating to income tax, and the Social Security Contributions and Benefits Act 1992 and all other statutes and regulations relating to national insurance contributions, in respect of that consideration; and
- 3.6.2. indemnify the Authority against any income tax, national insurance and social security contributions and any other liability, deduction, contribution, assessment or claim arising from or made (whether before or after the making of a demand pursuant to the indemnity hereunder) in connection with the provision of the Services by the Contractor or any Contractor Personnel.
- 3.7. In the event that any one of the Contractor Personnel is a Worker as defined in Clause 1 of Schedule 3 (Definitions and Interpretation) who receives consideration relating to the Services, then the Contractor shall ensure that its contract with the Worker contains the following requirements:
 - 3.7.1. that the Authority may, at any time during the Term, request that the Worker provides information which demonstrates how the Worker complies with the requirements of Clause 3.5 of this Schedule 2, or why those requirements do not apply to it. In such case, the Authority may specify the information which the Worker must provide and the period within which that information must be provided;
 - 3.7.2. that the Worker's contract may be terminated at the Authority's request if:
 - (a) the Worker fails to provide the information requested by the Authority within the time specified by the Authority under Clause 3.6.1 of this Schedule 2; and/or
 - (b) the Worker provides information which the Authority considers is inadequate to demonstrate how the Worker complies with Clause 3.5 of this Schedule 2 or confirms that the Worker is not complying with those requirements; and
 - 3.7.3. that the Authority may supply any information it receives from the Worker to HMRC for the purpose of the collection and management of revenue for which they are responsible.

4. MANNER OF CARRYING OUT THE SERVICES

- 4.1. The Contractor shall begin performing the Services on the Commencement Date and continue to perform them for the Term. The Authority may, by written notice, require the

Contractor to execute the Services in such order as the Authority may decide. In the absence of such notice the Contractor shall submit such detailed programmes of work and progress reports as the Authority may from time to time require.

- 4.2. The Contractor shall at all times comply with the Quality Standards. To the extent that the standard of Services has not been specified in the Contract, the Contractor shall agree the relevant standard of the Services with the Authority prior to the supply of the Services and, in any event, the Contractor shall perform its obligations under the Contract in accordance with the Law and Good Industry Practice.
- 4.3. The Contractor shall ensure that all Contractor Personnel supplying the Services shall 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.
- 4.4. The Contractor will be responsible for providing and delivering the Services in each and every respect with all relevant provisions of the Contract at all times and will ensure continuity of supply (at no extra cost to the Authority) in accordance with Schedule 4.

5. TERM

- 5.1. This Contract shall commence on the Commencement Date and, unless terminated earlier in accordance with the terms of this Contract or the general law, shall continue until the end of the Term.
- 5.2. The Authority shall be entitled to extend the Initial Term on one or more occasions by giving the Contractor written notice not less than three (3) Months prior to the date on which this Contract would otherwise have expired, provided that the duration of this Contract shall be no longer than the total term specified in the Order Form. The provisions of the Contract will apply and take effect mutatis mutandis (subject to any Variation or adjustment to the Contract Price pursuant to Clause 4 (Price Adjustment on Extension of Term) of the Key Provisions, if applicable) throughout any such extended period.

6. CONTRACT MANAGEMENT AND MONITORING OF CONTRACTOR'S PERFORMANCE

- 6.1. The Authority Representative and the Contractor Representative shall meet at least Monthly (unless otherwise agreed) to discuss the Contractor's performance and other matters connected to the delivery of the Contract.
- 6.2. The Contractor shall comply, as the Authority shall require, with the monitoring arrangements set out in Schedule 7 (Contract Monitoring) and any additional monitoring arrangements that the Authority shall reasonably require from time to time.

- 6.3. The Contractor shall provide the Authority with such supporting documentation as the Authority may require to establish and verify the Contractor's levels of performance.
- 6.4. The Contractor shall meet with the Authority following the completion of the provision of the Services to discuss:
 - 6.4.1. whether the Contractor believes the objectives of the Contract were achieved;
 - 6.4.2. how far the intended benefits sought in the Authority's Specification and that had been forecast in the Tender were achieved; and
 - 6.4.3. to identify any lessons learnt for future projects.
- 6.5. The Authority shall be able to share and use any information arising from such meetings referred to in Clause 6.4 of this Schedule 2 as it sees fit.

7. PRICE AND PAYMENT

Contract Price

- 7.1. In consideration of the Contractor carrying out its obligations under the Contract, including the provision of the Services, the Authority shall pay the Contractor the Contract Price in accordance with this Clause 7 (Price and Payment) of this Schedule 2. The Contract Price is capped time and material.
- 7.2. The Contractor shall not suspend the supply of the Services unless the Contractor is entitled to terminate the Contract under Clause 15.5 (Termination) of this Schedule 2 for failure to pay undisputed sums of money. Interest shall be payable by the Authority on the late payment of any undisputed sums of money properly invoiced in accordance with the Late Payment of Commercial Debts (Interest) Act 1998.
- 7.3. The Authority may retain or set-off any amount owed by the Contractor to the Crown or any part of the Crown (including the Authority) against any amount due to the Contractor under this Contract or under any agreement between the Contractor and the Authority.

VAT

- 7.4. The Contract Price is stated exclusive of VAT, which shall be added at the prevailing rate as applicable and paid by the Authority following delivery of a valid VAT invoice.
- 7.5. The Contractor shall indemnify the Authority on a continuing basis against any liability, including any interest, penalties or costs incurred, that is levied, demanded or assessed on the Authority at any time in respect of the Contractor's failure to account for or to pay

any VAT relating to payments made to the Contractor under this Contract. Any amounts due under this Clause 7.5 shall be paid in cleared funds by the Contractor to the Authority not less than five Working Days before the date upon which the tax or other liability is payable by the Authority.

Invoicing

- 7.6. The Contractor shall submit an invoice to the Authority Monthly in arrears. The Contractor shall ensure that each invoice contains all appropriate references and a detailed breakdown of the Services supplied and that it is supported by any other documentation as may be reasonably required by the Authority to substantiate such invoice. Where travel and subsistence is claimed, all claims must comply with the provisions set out in the Schedule 6 and must be accompanied by appropriate receipts to cover the total amount claimed.
- 7.7. The Authority shall verify and pay each valid and undisputed invoice received in accordance with Clause 8.6 of this Schedule 2 within thirty (30) days of receipt of such invoice at the latest. If there is undue delay in verifying the invoice in accordance with this Clause 8.7 of this Schedule 2, the invoice shall be regarded as valid and undisputed for the purposes this Clause 8.7 after a reasonable time has passed

Recovery of Sums Due

- 7.8. The Authority shall be entitled to withhold payment due under this Clause 7 (Price and Payment) of this Schedule 2 for so long as the Contractor, in the Authority's reasonable opinion, has failed to comply with its obligations to pay any Sub-contractors promptly in accordance with Clause 24.9 (Assignment, Novation and Sub-contracting) of this Schedule 2. For the avoidance of doubt the Authority shall not be liable to pay any interest or penalty in withholding such payment.

Electronic Invoicing

- 7.9. The Authority shall accept and process for payment an electronic invoice submitted for payment by the Contractor where the invoice is undisputed and where it complies with the standard on electronic invoicing.
- 7.10. For the purposes of clause 7.9, an electronic invoice complies with the standard on electronic invoicing where it complies with the European standard and any of the syntaxes published in Commission Implementing Decision (EU) 2017/1870.
- 7.11. The Authority's right to request paper form invoicing shall be subject to procurement policy note

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(https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/437471/PN_e-invoicing.pdf) in respect of the Authority's obligation to accept unstructured electronic invoices from the Contractor where and as required under that procurement policy note (as amended from time to time).

8. WARRANTIES

8.1. The Contractor represents and warrants that:

- 8.1.1. it is validly incorporated, organised and subsisting in accordance with the Laws of its place of incorporation;
- 8.1.2. it has full capacity and authority (including, where its procedures so require, the consent of its parent company) to enter into and perform its obligations under the Contract;
- 8.1.3. this Contract is executed by a duly authorised representative of the Contractor;
- 8.1.4. all necessary rights, authorisations, licences, consents and regulatory approvals (including in relation to IPRs) are in place to enter into this Contract, enable the Contractor to perform its obligations under the Contract and for the Authority to receive the Services;
- 8.1.5. in entering the Contract it has not committed any Fraud;
- 8.1.6. all written statements and representations in any written submissions made by the Contractor as part of the procurement process, including without limitation its response to the selection questionnaire and invitation to tender (if applicable), its tender and any other documents submitted remain true, accurate and not misleading, save as may have been specifically disclosed in writing to the Authority prior to execution of the Contract;
- 8.1.7. it has notified the Authority in writing of any actions, suits or proceedings or regulatory investigations before any court or administrative body or arbitration tribunal pending or, to its knowledge any threatened against it or any of its Affiliates that might affect its ability to perform its obligations under the Contract;
- 8.1.8. its execution, delivery and performance of its obligations under this Contract will not constitute a breach of any Law or obligation applicable to it and will not cause or result in a default under any agreement by which it is bound;

- 8.1.9. its obligations under this Contract constitute its legal, valid and binding obligations, enforceable in accordance with their respective terms subject to applicable bankruptcy, reorganisation, insolvency, moratorium or similar Laws affecting creditors' rights generally and subject, as to enforceability, to equitable principles of general application (regardless of whether enforcement is sought in a proceeding in equity or law);
- 8.1.10. 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 Contract;
- 8.1.11. no proceedings or other steps have been taken and not discharged (nor, to the best of its knowledge, are threatened) for the winding up of the Contractor 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 Contractor's assets or revenue;
- 8.1.12. it owns, has obtained, valid licences for all Intellectual Property Rights that are necessary for the performance of its obligations under the Contract and/or the receipt of the Services by the Authority;
- 8.1.13. in the three (3) years prior to the Commencement Date:
 - (a) 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;
 - (b) it has been in full compliance with all applicable securities and tax laws and regulations in the jurisdiction in which it is established; and
 - (c) 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, ability to fulfil its obligations under the Contract or provide the Services; and
- 8.2. The Contractor warrants and undertakes to the Authority that as at the Commencement Date, it has notified the Authority in writing of any Occasions of Tax Non-Compliance or any litigation that it is involved in that is in connection with any Occasions of Tax Non-Compliance. If, at any point during the Term, an Occasion of Tax Non-Compliance occurs, the Contractor shall:

- 8.2.1. notify the Authority in writing of such fact within five (5) Working Days of its occurrence; and
- 8.2.2. promptly provide to the Authority:
 - (a) details of the steps which the Contractor is taking to address the Occasion of Tax Non-Compliance and to prevent the same from recurring, together with any mitigating factors that it considers relevant; and
 - (b) such other information in relation to the Occasion of Tax Non-Compliance as the Authority may reasonably require.
- 8.3. The Contractor warrants and undertakes to the Authority that:
 - 8.3.1. its responses to the Authority's slavery and human trafficking due diligence questionnaire, if any, are complete and accurate; and
 - 8.3.2. neither the Contractor nor any of its Contractor Personnel:
 - (a) has been convicted of any offence involving slavery and human trafficking; and
 - (b) having made reasonable enquiries, so far as it is aware, has been or is the subject of any investigation, inquiry or enforcement proceedings by any governmental, administrative or Regulatory Body regarding any offence or alleged offence of or in connection with slavery and human trafficking; and
 - 8.3.3. it shall at all times conduct its business in a manner that is consistent with any anti-slavery policy of the Authority that is notified to the Contractor and shall provide to the Authority any reports or other information that the Authority may request as evidence of the Contractor's compliance with this Clause 8.3.3 and/or as may be requested or otherwise required by the Authority in accordance with its anti-slavery policy.
- 8.4. The Contractor shall implement due diligence procedures for its own suppliers, Sub-contractors and other participants in its supply chains, to ensure that there is no slavery or human trafficking in its supply chains.
- 8.5. The representations and warranties set out in this Clause 8 (Warranties) of this Schedule 2 shall be deemed to be repeated by the Contractor on the Commencement Date (if later than the date of signature of this Contract) by reference to the facts then existing.

- 8.6. Each of the representations and warranties set out in this Clause 8 (Warranties) of this Schedule 2 shall be construed as a separate representation and warranty and shall not be limited or restricted by reference to, or inference from, the terms of any other representation, warranty or any other undertaking in this Contract.
- 8.7. If at any time the Contractor becomes aware that a representation or warranty given by it under this Clause 8 (Warranties) has been breached, is untrue or is misleading, it shall immediately notify the Authority of the relevant occurrence in sufficient detail to enable the Authority to make an accurate assessment of the situation.
- 8.8. For the avoidance of doubt, the fact that any provision within this Contract is expressed as a warranty shall not preclude any right of termination which the Authority may have in respect of breach of that provision by the Contractor.
- 8.9. Except as expressly stated in this Contract, all warranties and conditions whether express or implied by statute, common law or otherwise are hereby excluded to the extent permitted by Law.

9. INTELLECTUAL PROPERTY

- 9.1. Each Party keeps ownership of its own Existing IPRs. Neither Party has the right to use the other Party's IPR, including any use of the other Party's names, logos or trademarks, except as expressly granted elsewhere under the Contract or otherwise agreed in writing.
- 9.2. Except as expressly granted elsewhere under the Contract, neither Party acquires any right, title or interest in or to the IPR owned by the other Party or any third party.

9.3. Licences granted by the Contractor: Contractor Existing IPR

- 9.3.1. Where the Authority orders Services which contain or rely upon Contractor's Existing IPR, the Contractor hereby grants the Authority a Contractor's Existing IPR Licence on the terms set out in Paragraph 9.3.2.
- 9.3.2. The Contractor gives the Authority a non-exclusive, perpetual, royalty-free, irrevocable, transferable worldwide licence to use, change and sub-license the Contractor's Existing IPR which is reasonably required by the Authority to enable it:
 - (a) or any End User to use and receive and use the Services; or
 - (b) to use, sub-license or commercially exploit (including by publication under Open Licence) the New IPR and New IPR Items,

for any purpose relating to the exercise of the Authority's or any other Public Sector Body's) business or function.

9.4. Licences granted by the Authority and New IPR

- 9.4.1. Any New IPR created under the Contract is owned by the Authority. The Authority gives the Contractor a licence to use any Existing IPRs and New IPRs for the purpose of fulfilling its obligations during the Term.
- 9.4.2. Where a Party acquires ownership of IPR incorrectly under this Contract it must do everything reasonably necessary to complete a transfer assigning them in writing to the other Party on request and at its own cost.
- 9.4.3. Unless otherwise agreed in writing, the Contractor and the Authority will record any New IPR in the table at Annex 1 to this Clause 9 and keep this updated throughout the Term

9.5. **Open Licence Publication**

- 9.5.1. Subject to Paragraph 9.5.4, the Contractor agrees that the Authority may at its sole discretion publish under Open Licence all or part of the New IPR Items.
- 9.5.2. Subject to Paragraph 9.5.4, the Contractor hereby warrants that the New IPR Items are suitable for release under Open Licence.
- 9.5.3. The Contractor will supply any or all New IPR Items in a format suitable for publication under Open Licence ("the Open Licence Publication Material") within 30 days of written request from the Contractor ("Authority Open Licence Request").
- 9.5.4. The Contractor may within 15 days of a Authority Open Licence Request under Paragraph 9.5.3 request in writing that the Contractor excludes all or part of:
 - (a) the New IPR; or
 - (b) Contractor's Existing IPR or Third Party IPR that would otherwise be included in the Open Licence Publication Material supplied to the Authority pursuant to Paragraph 9.5.3

from Open Licence publication.

- 9.5.5. Any decision to Approve any such request from the Contractor pursuant to Paragraph 9.5.4 shall be at the Authority's sole discretion, not to be unreasonably withheld, delayed or conditioned.
- 9.5.6. Subject to Clauses 13 (Indemnity and Limitation of Liability) and 14 (Insurance), the Authority will not be liable in the event that any Contractor's Existing IPR or Third Party IPR is included in the Open Licence Publication Material published by the Contractor.

9.6. **Third Party IPR**

- 9.6.1. The Contractor shall not use in the delivery of the Services any Third Party IPR unless Approval is granted by the Authority and it has procured that the owner or an authorised licensor of the relevant Third Party IPR has granted a Third Party IPR Licence on the terms set out in Paragraph 9.6.3. If the Contractor cannot obtain for the Authority a licence on the terms set out in Paragraph 9.6.3 in respect of any Third Party IPR the Contractor shall:
 - (a) notify the Authority in writing; and
 - (b) use the relevant Third Party IPR only if the Authority has provided authorisation in writing, with reference to the acts authorised and the specific IPR involved.
- 9.6.2. In spite of any other provisions of the Contract and for the avoidance of doubt, award of this Contract by the Authority and the ordering of any Services under it does not constitute an authorisation by the Crown under Sections 55 and 56 of the Patents Act 1977 Section 12 of the Registered Designs Act 1949 or Sections 240 – 243 of the Copyright, Designs and Patents Act 1988.
- 9.6.3. The Third Party IPR Licence granted to the Authority shall be a non-exclusive, perpetual, royalty-free, irrevocable, transferable, worldwide licence to use, change and sub-licence any Third Party IPR which is reasonably required by the Authority to enable it or any End User to receive and use the Services and make use of the Services provided by a Replacement Contractor.

9.7. **Termination of licences**

- 9.7.1. The Contractor's Existing IPR Licence granted pursuant to Paragraph 9.3 and the Third Party IPR Licence granted pursuant to Paragraph 9.6 shall survive the Expiry Date and termination of this Contract.

- 9.7.2. The Contractor shall, if requested by the Authority in accordance with Clause 9 (Exit Plan and Service Transfer) and to the extent reasonably necessary to ensure continuity of service during exit and transition to any Replacement Contractor, grant (or procure the grant) to the Replacement Contractor a licence to use any Contractor Existing IPR or Third Party IPR on terms equivalent to the Contractor's Existing IPR Licence or Third Party IPR Licence (as applicable) subject to the Replacement Contractor entering into reasonable confidentiality undertakings with the Contractor.
- 9.7.3. Any licence granted to the Contractor pursuant to Paragraph 9.4 (Licence granted by the Authority) shall terminate automatically on the Expiry Date and the Contractor shall:
- (a) immediately cease all use of the Authority's Existing IPR (including the Authority Data within which the Authority's Existing IPR may subsist);
 - (b) at the discretion of the Authority, return or destroy documents and other tangible materials that contain any of the Authority's Existing IPR and the Authority Data, provided that if the Authority has not made an election within six months of the termination of the licence, the Contractor may destroy the documents and other tangible materials that contain any of the Authority's Existing IPR and the Authority Data (as the case may be); and
 - (c) ensure, so far as reasonably practicable, that any Authority's Existing IPR and Authority Data that are held in electronic, digital or other machine-readable form ceases to be readily accessible from any computer, word processor, voicemail system or any other device of the Contractor containing such Authority's Existing IPR or Authority Data.

ANNEX 1: NEW IPR

Name of New IPR	Details

10. AUTHORITY DATA

- 10.1. The Contractor shall not delete or remove any proprietary notices contained within or relating to the Authority Data.

- 10.2. The Contractor shall not store, copy, disclose, or use the Authority Data except as necessary for the performance by the Contractor of its obligations under the Contract or as otherwise expressly authorised in writing by the Authority.
- 10.3. To the extent that Authority Data is held and/or processed by the Contractor, the Contractor shall supply that Authority Data to the Authority as requested by the Authority in the format the Authority specifies.
- 10.4. Upon receipt or creation by the Contractor of any Authority Data and during any collection, Processing, storage and transmission by the Contractor of any Authority Data, the Contractor shall take all precautions necessary to preserve the integrity of the Authority Data and to prevent any corruption or loss of the Authority Data.
- 10.5. The Contractor shall perform secure back-ups of all Authority Data. The Contractor shall ensure that such back-ups are available to the Authority at all times upon request.
- 10.6. The Contractor shall ensure that any system on which the Contractor holds any Authority Data, including back-up data, is a secure system that complies with the Security Policy.
- 10.7. If the Authority Data is corrupted, lost or sufficiently degraded as a result of the Contractor's Default so as to be unusable, the Authority may:
 - 10.7.1. require the Contractor (at the Contractor's expense) to restore or procure the restoration of the Authority Data and the Contractor shall do so as soon as practicable; and/or
 - 10.7.2. itself restore or procure the restoration of the Authority Data, and shall be repaid by the Contractor any reasonable expenses incurred in doing so.
- 10.8. If at any time the Contractor suspects or has reason to believe that Authority Data has or may become corrupted, lost or sufficiently degraded in any way for any reason, then the Contractor shall notify the Authority immediately and inform the Authority of the remedial action the Contractor proposes to take.

11. PROTECTION OF PERSONAL DATA

Status of the Controller

- 11.1. The Parties acknowledge that for the purposes of the Data Protection Legislation, the nature of the activity carried out by each of them in relation to their respective obligations under this Contract will determine the status of each Party under the Data Protection Legislation. A Party may act as:

- 11.1.1. “Controller” (where the other Party acts as the “Processor”);
 - 11.1.2. “Processor” (where the other Party acts as the “Controller”);
- and the Parties shall set out in Schedule 13 (Processing, Personal Data and Data Subjects) which scenario or scenarios are intended to apply under this Contract.
- 11.2. Where a Party is a Processor, the only Processing that it is authorised to do is listed in Schedule 13 (Processing, Personal Data and Data Subjects) by the Controller.
 - 11.3. The Processor shall notify the Controller immediately if it considers that any of the Controller’s instructions infringe the Data Protection Legislation.
 - 11.4. The Processor shall provide all reasonable assistance to the Controller in the preparation of any Data Protection Impact Assessment prior to commencing any Processing. Such assistance may, at the discretion of the Controller, include:
 - 11.4.1. a systematic description of the envisaged Processing operations and the purpose of the Processing;
 - 11.4.2. an assessment of the necessity and proportionality of the Processing operations in relation to the Services;
 - 11.4.3. an assessment of the risks to the rights and freedoms of Data Subjects; and
 - 11.4.4. the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.
 - 11.5. The Processor shall, in relation to any Personal Data processed in connection with its obligations under this Contract:
 - 11.5.1. process that Personal Data only in accordance with Schedule 13 (Processing, Personal Data and Data Subjects), unless the Processor is required to do otherwise by Law. If it is so required the Processor shall promptly notify the Authority before Processing the Personal Data unless prohibited by Law;
 - 11.5.2. ensure that it has in place Protective Measures, including in the case of the Controller the measures set out in Clause 10 (Authority Data), which the Controller may reasonably reject (but failure to reject shall not amount to approval by the Controller of the adequacy of the Protective Measures) having taken account of the:

- (a) nature of the data to be protected;
- (b) harm that might result from a Data Loss Event;
- (c) state of technological development; and
- (d) cost of implementing any measures;

11.5.3. ensure that:

- (a) the Processor Personnel do not process Personal Data except in accordance with this Contract (and in particular Schedule 13 (Processing, Personal Data and Data Subjects));
- (b) it takes all reasonable steps to ensure the reliability and integrity of any Processor Personnel who have access to the Personal Data and ensure that they:
 - i. are aware of and comply with the Processor's duties under this Clause 11 (Protection of Personal Data), Clause 10 (Authority Data), Clause 26 (Confidential Information) and Clause 26A (Compliance with HFE Legislation) of this Schedule 2;
 - ii. are subject to appropriate confidentiality undertakings with the Processor or any Sub-processor;
 - 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 Controller or as otherwise permitted by this Contract; and
 - iv. have undergone adequate training in the use, care, protection and handling of Personal Data;
- (c) not transfer Personal Data outside of the EU, other than to the Controller, unless the prior written consent of the Controller has been obtained and the following conditions are fulfilled:
 - i. the Controller or the Processor has provided appropriate safeguards in relation to the transfer (whether in accordance with Article 46 of the GDPR or Section 75 of the DPA 2018) as determined by the Controller;

- ii. the Data Subject has enforceable rights and effective legal remedies;
 - iii. the Processor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Controller in meeting its obligations); and
 - iv. the Processor complies with any reasonable instructions notified to it in advance by the Controller with respect to the Processing of the Personal Data; and
 - (d) at the written direction of the Controller, delete or return Personal Data (and any copies of it) to the Controller on termination of the Contract unless the Processor is required by Law to retain the Personal Data.
- 11.6. Subject to Clause 11.7 of this Schedule 2, the Processor shall notify the Controller immediately if it:
- 11.6.1. receives a Data Subject Request (or purported Data Subject Request);
 - 11.6.2. receives a request to rectify, block or erase any Personal Data;
 - 11.6.3. receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
 - 11.6.4. receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data processed under this Contract;
 - 11.6.5. 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
 - 11.6.6. becomes aware of a Data Loss Event.
- 11.7. The Processor's obligation to notify under Clause 11.6 of this Schedule 2 shall include the provision of further information to the Controller in phases, as details become available.
- 11.8. Taking into account the nature of the Processing, the Processor shall provide the Controller with reasonable assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under Clause

- 11.6 of this Schedule 2 (and insofar as possible within the timescales reasonably required by the Controller) including by promptly providing:
- 11.8.1. the Controller with full details and copies of the complaint, communication or request;
 - 11.8.2. such assistance as is reasonably requested by the Controller to enable it to comply with a Data Subject Request within the relevant timescales set out in the Data Protection Legislation;
 - 11.8.3. the Controller, at its request, with any Personal Data it holds in relation to a Data Subject;
 - 11.8.4. assistance as requested by the Controller following any Data Loss Event; and/or
 - 11.8.5. assistance as requested by the Controller with respect to any request from the Information Commissioner's Office, or any consultation by the Controller with the Information Commissioner's Office.
- 11.9. The Processor shall maintain complete and accurate records and information to demonstrate its compliance with this Clause. This requirement does not apply where the Processor employs fewer than 250 staff, unless:
- 11.9.1. the Controller determines that the Processing is not occasional;
 - 11.9.2. the Controller determines the Processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the GDPR; or
 - 11.9.3. the Controller determines that the Processing is likely to result in a risk to the rights and freedoms of Data Subjects.
- 11.10. The Processor shall allow for audits of its Processing activity by the Controller or the Controller's designated auditor.
- 11.11. The Parties shall designate a Data Protection Officer if required by the Data Protection Legislation.
- 11.12. Before allowing any Sub-processor to process any Personal Data related to this Contract, the Processor must:

- 11.12.1. notify the Controller in writing of the intended Sub-processor and Processing;
 - 11.12.2. obtain the written consent of the Controller;
 - 11.12.3. enter into a written agreement with the Sub-processor which give effect to the terms set out in this Clause 11 (Protection of Personal Data) such that they apply to the Sub-processor; and
 - 11.12.4. provide the Controller with such information regarding the Sub-processor as the Controller may reasonably require.
- 11.13. The Processor shall remain fully liable for all acts or omissions of any of its Sub-processors.
- 11.14. The Authority may, at any time on not less than 30 Working Days' notice, revise this Clause by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to this Contract).
- 11.15. The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Authority may on not less than 30 Working Days' notice to the Contractor amend this Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.
- 11.16. Personal Data provided by one Party to the other Party may be used exclusively to exercise rights and obligations under this Contract as specified in Schedule 13 (Processing, Personal Data and Data Subjects).
- 11.17. Personal Data shall not be retained or processed for longer than is necessary to perform each Party's obligations under this Contract which is specified in Schedule 13 (Processing, Personal Data and Data Subjects).

12. RECORDS RETENTION AND RIGHT OF AUDIT

- 12.1. The Contractor shall in accordance with GDPR keep secure and maintain until six (6) years after the final payment of all sums due under the Contract, or such longer period as may be agreed between the Parties, full and accurate records of the Services, all expenditure reimbursed by the Authority and all payments made by the Authority including records and accounts which the Authority has the right to audit.

12.2. The Contractor shall grant to the Authority, or its authorised agents, such access to those records as they may reasonably require in order to check the Contractor's compliance with the Contract.

12.3. For the purpose of:

12.3.1. the examination and certification of the Authority's accounts; or

12.3.2. 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

the Comptroller and Auditor General may examine such documents as he may reasonably require which are owned, held or otherwise within the control of the Contractor and may require the Contractor to provide such oral and/or written explanations as he considers necessary. This Clause does not constitute a requirement or agreement for the examination, certification or inspection of the accounts of the Contractor under Section 6(3)(d) and (5) of the National Audit Act 1983.

12.4. The Parties will bear their own costs when an audit is undertaken unless the audit identifies a material Default by the Contractor, in which case the Contractor will repay the Authority's reasonable costs in connection with the audit.

13. INDEMNITY AND LIMITATION OF LIABILITY

13.1. Subject to the limitations of liability set out in this Clause 13 (Indemnity and Limitation of Liability) and without prejudice to any rights and remedies of the Authority, the Contractor shall indemnify the Authority, and keep it indemnified, from and against any and all Losses whatsoever and howsoever to the extent arising directly (but not indirectly or consequentially) out of the act, default, negligence, breach of contract, breach of statutory or statutory duty by the Contractor or any of its employees or agents acting within the course of their employment or any of its Sub-contractors and their employees or agents.

Unlimited liability

13.2. Neither Party excludes or limits liability to the other Party for:

13.2.1. death or personal injury caused by its negligence, or that of its employees, agents or Sub-contractors (as applicable);

13.2.2. bribery or Fraud or fraudulent misrepresentation by it or its employees;

- 13.2.3. breach of any obligation as to title implied by section 12 of the Sale of Goods Act 1979 or section 2 of the Supply of Goods and Services Act 1982; or; or
- 13.2.4. any liability to the extent it cannot be limited or excluded by Law.
- 13.3. The Contractor's liability in respect of the indemnities in Clauses 3.5 (Income Tax and National Insurance Contributions), Clause 7.4 (VAT), Clause 9.5 (Intellectual Property), of Schedule 2, Schedule 10 (Staff Transfer) and the Annexes to Schedule 10 (Staff Transfer) shall be unlimited.
- 13.4. The Authority's liability in respect of the indemnities in Schedule 10 (Staff Transfer) and the Annexes to Schedule 10 (Staff Transfer) shall be unlimited.

Financials and other limits

- 13.5. Subject to Clauses 13.2, 13.3, 13.4 (Unlimited liability) and Clause 13.7 (Consequential Losses) of this Schedule 2:
 - 13.5.1. the Contractor's aggregate liability in respect of loss of or damage to the Authority Premises or other property or assets of the Authority (including technical infrastructure, assets or equipment but excluding any loss or damage to the Authority Data or any other data) that is caused by Defaults of the Contractor occurring in each and any Contract Year shall in no event exceed £10 million;
 - 13.5.2. the Contractor's aggregate liability in respect of:
 - (a) loss or damage to Authority Data; and
 - (b) breach of the Data Protection Legislation;
 - (c) that is caused by Default of the Contractor occurring in each and any Contract Year shall in no event exceed £10 million;
 - 13.5.3. in respect of all other Losses, the aggregate liability of each Party to the other under or in connection with this Contract whether arising in contract, tort, negligence, breach of statutory duty or otherwise shall in no event exceed the greater of:
 - (a) £5,000,000; or

(b) one hundred and twenty five per cent (125%) of the total Contract Price paid or payable by the Authority to the Contractor for the Services.

13.6. If the total Contract Price paid or payable by the Authority to the Contractor over the Term:

13.6.1. is less than or equal to **£1,000,000** then the figure of **£5,000,000** at Clause 13.5.3 of this Schedule 2 shall be replaced with **£1,000,000**;

13.6.2. is less than or equal to **£3,000,000** but greater than **£1,000,000**, then the figure of **£5,000,000** at Clause 13.5.3 of this Schedule 2 shall be replaced with **£3,000,000**

13.6.3. is equal to, exceeds or will exceed **£10,000,000** then the figure of **£5,000,000** at Clause 13.5.3 of this Schedule 2 shall be replaced with **£10,000,000** and the figure of one hundred and twenty five percent (125%) at Clause 13.5.3 of this Schedule 2 shall be deemed to have been deleted and replaced with one hundred and fifteen percent (115%).

Consequential loss

13.7. Subject always to Clauses 13.2, 13.3, 13.4 (Unlimited liability) and Clause 13.7 of this Schedule 2 neither Party shall be liable to the other Party for:

13.7.1. any indirect, special or consequential loss;

13.7.2. loss of profits, turnover, business opportunities or damage to goodwill (in each case whether direct or indirect).

13.8. Notwithstanding Clause 13.7 but subject to Clause 13.5 the Contractor acknowledges that the Authority may, amongst other things, recover from the Contractor the following losses incurred by the Authority to the extent that they arise as a result of a Default by the Contractor:

13.8.1. 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;

13.8.2. any wasted expenditure or charges;

13.8.3. the additional costs of procuring Replacement Services for the remainder of the Term, which shall include any incremental costs associated with such Replacement Services above those which would have been payable under the Contract;

- 13.8.4. any compensation or interest paid to a third party by the Authority; and
- 13.8.5. any fine, penalty or costs incurred by the Authority pursuant to Law any costs incurred by the Authority in defending any proceedings which result in such fine or penalty.
- 13.9. Each Party shall use its respective reasonable endeavours to mitigate any loss or damage suffered arising out of or connection with the Contract.
- 13.10. Where the Contractor is a consortium, for the avoidance of doubt, the organisations comprising the Contractor shall be jointly and severally liable with regard to the performance by the Contractor of any and all of its obligations under the Contract and in respect of any Losses incurred by the Authority under or in connection with this Contract as a result of Defaults by the Contractor.

14. INSURANCE

- 14.1. The Contractor shall effect 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 Contractor, arising out of the Contractor's performance of its obligations under the Contract, including death or personal injury, loss of or damage to property or any other loss. Such insurance shall be maintained for the duration of the Term and for a minimum of six (6) years following the expiration or earlier termination of the Contract.
- 14.2. The Contractor shall hold employer's liability insurance in respect of Contractor Personnel in accordance with any legal requirement from time to time in force.
- 14.3. Without limitation to any insurance arrangements as required by Law, the Contractor shall put in place and/or maintain the different types and/or levels of indemnity arrangements explicitly required by the Authority, if specified in the Key Provisions.
- 14.4. The Contractor shall from time to time and in any event within five (5) Working Days of written demand provide documentary evidence to the Authority that insurance arrangements taken out by the Contractor pursuant to this Clause 14 (Insurance) of this Schedule 2 and the Key Provisions are fully maintained and that any premiums on them and/or contributions in respect of them (if any) are fully paid.
- 14.5. If, for whatever reason, the Contractor fails to give effect to and maintain the insurances required by the provisions of the Contract the Authority may make alternative arrangements to protect its interests and may recover the costs of such arrangements from the Contractor.

- 14.6. The provisions of any insurance or the amount of cover shall not relieve the Contractor of any liabilities under the Contract. It shall be the responsibility of the Contractor to determine the amount of insurance cover that will be adequate to enable the Contractor to satisfy any liability referred to in Clause 13 (Indemnity and Limitation of Liability) of this Schedule 2.

15. TERMINATION

- 15.1. In the case of a breach of any of the terms of this Contract by the Contractor that is capable of remedy (including, without limitation any failure to pay any sums due under this Contract), the Authority may, without prejudice to its other rights and remedies under this Contract, issue a Breach Notice and shall allow the Contractor the opportunity to remedy such breach in the first instance via a remedial proposal put forward by the Contractor ("**Remedial Proposal**") before exercising any right to terminate this Contract. Such Remedial Proposal must be agreed with the Authority (such agreement not to be unreasonably withheld or delayed) and must be implemented by the Contractor in accordance with the timescales referred to in the agreed Remedial Proposal. Once agreed, any changes to a Remedial Proposal must be approved by the Parties in writing. Any failure by the Contractor to:

- 15.1.1. put forward and agree a Remedial Proposal with the Authority in relation to the relevant Default or breach within a period of ten (10) Working Days (or such other period as the Authority may agree in writing) from the deemed date of receipt of the Breach Notice;
- 15.1.2. comply with such Remedial Proposal (including, without limitation, as to its timescales for implementation, which shall be ten (10) days unless otherwise agreed between the Parties); and/or
- 15.1.3. remedy the Default or breach notwithstanding the implementation of such Remedial Proposal in accordance with the agreed timescales for implementation,

shall be deemed, for the purposes of Clause 15.2.1(b) (Termination) of this Schedule 2, a material breach of this Contract by the Contractor not remedied in accordance with an agreed Remedial Proposal.

- 15.2. The Authority may terminate the Contract, or terminate the provision of any part of the Services, with immediate effect by serving a Termination Notice to the Contractor:

- 15.2.1. if the Contractor commits a material breach of any of the terms of this Contract which is:
 - (a) not capable of remedy; or
 - (b) in the case of a breach capable of remedy, which is not remedied in accordance with a Remedial Proposal; or
- 15.2.2. if the Contractor has been served with a valid Breach Notice having already been served with at least two (2) previous valid Breach Notices within the last twelve (12) Month rolling period as a result of any previous material breaches of this Contract which are capable of remedy (whether or not the Contractor has remedied the breach in accordance with a Remedial Proposal). The twelve (12) Months rolling period is the twelve (12) Months immediately preceding the date of the third Breach Notice.
- 15.2.3. if the Contractor does not commence delivery of the Services by the Commencement Date;
- 15.2.4. if the Contractor, or any third party guaranteeing the obligations of the Contractor under this Contract, ceases or threatens to cease carrying on its business; suspends making payments on any of its debts or announces an intention to do so; is, or is deemed for the purposes of any Law to be, unable to pay its debts as they fall due or insolvent; enters into or proposes any composition, assignment or arrangement with its creditors generally; takes any step or suffers any step to be taken in relation to its winding-up, dissolution, administration (whether out of court or otherwise) or reorganisation (by way of voluntary arrangement, scheme of arrangement or otherwise) otherwise than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation; has a liquidator, trustee in bankruptcy, judicial custodian, compulsory manager, receiver, administrative receiver, administrator or similar officer appointed (in each case, whether out of court or otherwise) in respect of it or any of its assets; has any security over any of its assets enforced; or any analogous procedure or step is taken in any jurisdiction;
- 15.2.5. if the Contractor purports to assign, Sub-contract, novate, create a trust in or otherwise transfer or dispose of this Contract in breach of Clause 24 (Assignment, Novation and Sub-contracting) of this Schedule 2;
- 15.2.6. if the Contractor undergoes a change of control within the meaning of sections 450 and 451 of the Corporation Tax Act 2010 (other than for an intra-group

- change of control) without the prior written consent of the Authority and the Authority shall be entitled to withhold such consent if, in the reasonable opinion of the Authority, the proposed change of control will have a material impact on the performance of this Contract or the reputation of the Authority; or
- 15.2.7. pursuant to and in accordance with Clause 13.6.3(a) (Carbon Footprint / Net Zero Obligations) of Schedule 1 (if applicable), Clause 3.5 (Contractor Personnel), Clause 9.10.3 (Intellectual Property Rights), Clause 19.5 (Conflict of Interest), Clause 21.7 (Force Majeure), Clause 26.10 (Confidential Information), Clause 30.2 (Official Secrets Acts and Finance Act), Clause 31.4 (Disruption) and Clause 32.5 (Complaints), of this Schedule 2;
- 15.2.8. where the warranty given by the Contractor pursuant to Clause 8 (Warranties) of this Schedule 2 is materially untrue;
- 15.2.9. where
- (a) the warranty given by the Contractor pursuant to Clause 8.2 of this Schedule 2 is materially untrue; or
 - (b) the Contractor commits a material breach of its obligation to notify the Authority of any Occasion of Tax Non-Compliance as required by Clause 8.2.1 of this Schedule 2; or
 - (c) the Contractor fails to provide details of proposed mitigating factors required by Clause 8.2.2 of this Schedule 2 which in the reasonable opinion of the Authority, are acceptable; or
- 15.2.10. on the occurrence of any of the statutory provisions contained in Regulation 73(1)(a) to (c) of the Regulations; or
- 15.2.11. if the Contractor commits a breach of the Anti-slavery Policy or the Authority's Anti-slavery Policy.
- 15.3. If the Authority, acting reasonably, has good cause to believe that there has been a material deterioration in the financial circumstances of the Contractor and/or any third party guaranteeing the obligations of the Contractor under this Contract and/or any material Sub-contractor of the Contractor when compared to any information provided to and/or assessed by the Authority as part of any procurement process or other due diligence leading to the award of this Contract to the Contractor or the entering into a Sub-contract by the Contractor, the following process shall apply:

- 15.3.1. the Authority may (but shall not be obliged to) give notice to the Contractor requesting adequate financial or other security and/or assurances for due performance of its material obligations under this Contract on such reasonable and proportionate terms as the Authority may require within a reasonable time period as specified in such notice; and
- 15.3.2. a failure or refusal by the Contractor to provide the financial or other security and/or assurances requested in accordance with Clause 15.3 of this Schedule 2 in accordance with any reasonable timescales specified in any such notice issued by the Authority shall be deemed a breach of this Contract by the Contractor and shall be referred to and resolved in accordance with the Dispute Resolution Procedure.
- 15.4. Notwithstanding any other provision in the Contract, the Authority shall be entitled to terminate this Contract with immediate notice should any information supplied by the Contractor, contained in this Contract or obtained by the Authority (including but not limited to financial or other due diligence information provided by the Contractor or obtained by the Authority) be inaccurate, misleading and/or otherwise give rise to reasonable suspicion by the Authority of fraud.
- 15.5. The Contractor may, by issuing a Termination Notice to the Authority, terminate this Contract if the Authority fails to pay an undisputed sum due to the Contractor under this Contract which in aggregate exceeds **£19,500** and such amount remains outstanding 40 Working Days after the receipt by the Authority of a notice of non-payment from the Contractor, save that such right of termination shall not apply where the failure to pay is due to the Authority exercising its rights under Clause 7.8 (Recovery of Sums Due) of this Schedule 2.

16. CONSEQUENCES OF EXPIRY OR EARLY TERMINATION OF THE CONTRACT

- 16.1. Where the Authority terminates the Contract under Clause 15 (Termination) of this Schedule 2 and then makes other arrangements for the supply of Services, the Authority may recover from the Contractor the cost reasonably incurred of making those other arrangements and any additional expenditure incurred by the Authority throughout the remainder of the Term. The Authority shall take all reasonable steps to mitigate such additional expenditure. Where the Contract is terminated under Clause 15 (Termination) of this Schedule 2 no further payments shall be made by the Authority to the Contractor (for Services supplied by the Contractor prior to termination and in accordance with the Contract but where the payment has yet to be made by the Authority), until the Authority has established the final cost of arranging an alternative supplier of the Services.

16.2. Save as otherwise expressly provided in the Contract:

- 16.2.1. termination or expiry of the Contract shall be without prejudice to any rights, remedies or obligations accrued under the Contract prior to termination or expiration and nothing in the Contract shall prejudice the right of either Party to recover any amount outstanding at such termination or expiry; and
- 16.2.2. termination of the Contract shall not affect the continuing rights, remedies or obligations of the Authority or the Contractor under Clause 7 (Price and Payment), Clause 9 (Intellectual Property), Clause 11 (Protection of Personal Data), Clause 12 (Records Retention and Right of Audit), Clause 13 (Indemnity and Limitation of Liability), Clause 14 (Insurance), Clause 16 (Consequences of Expiry or Early Termination of the Contract), Clause 17 (Recovery upon Expiry or Early Termination of the Contract), Clause 25 (Prevention of Fraud and Bribery), Clause 26 (Confidential Information), Clause 27 (Freedom of Information Act), Clause 30 (Official Secrets Acts and Finance Act), Clauses 36.2 to 36.4 (Waiver), Clause 36.5 (Cumulative Remedies) and Clauses 36.10 to 36.11 (Law and Jurisdiction) of Schedule 2.

17. RECOVERY UPON EXPIRY OR EARLIER TERMINATION OF THE CONTRACT

- 17.1. Upon expiry or earlier termination (for any reason) of this Contract, the Contractor shall at the request of the Authority and at the Contractor's cost:
 - 17.1.1. immediately return to the Authority all Confidential Information, Personal Data, Authority Existing IPR and any New IPR 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 Services (but excluding copies of such Confidential Information, Personal Data or other information that the Contractor is required to retain pursuant to the Law or for regulatory purposes);
 - 17.1.2. except where the retention of Personal Data is required by Law or regulatory purposes, promptly destroy all copies of the Personal Data and provide written confirmation to the Authority that the data has been destroyed;
 - 17.1.3. vacate and procure that the Contractor Personnel vacate any premises of the Authority occupied for the purposes of providing the Services;
 - 17.1.4. return to the Authority any sums prepaid in respect of the Services not provided by the date of expiry or termination (howsoever arising);

- 17.1.5. comply with its obligations under any agreed Exit Plan; and
 - 17.1.6. 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 or for the purpose of allowing the Authority or any Replacement Contractor to conduct due diligence.
- 17.2. If the Contractor fails to comply with Clause 17.1.1 and 17.1.2 of this Schedule 2, the Authority may recover possession of the items mentioned in those Clauses. The Contractor shall grant, and shall procure that any Sub-contractor shall grant, a licence to the Authority for its appointed agents to enter (for the purposes of such recovery) any premises of the Contractor or its Sub-contractors where any such items may be held.

18. DISPUTE RESOLUTION

- 18.1. If there is a dispute, the senior representatives of the Parties who have authority to settle the dispute will, within 28 days of a written request from the other Party, meet in good faith to resolve the dispute.
- 18.2. If the dispute is not resolved at that meeting, the Parties can attempt to settle it by mediation using the Centre for Effective Dispute Resolution (“CEDR”) Model Mediation Procedure current at the time of the dispute. If the Parties cannot agree on a mediator, the mediator will be nominated by CEDR. If either Party does not wish to use, or continue to use mediation, or mediation does not resolve the dispute, Clause 18.3 shall apply.
- 18.3. Unless the Parties refers the dispute to mediation in accordance with Clause 18.2, the Parties agree that the courts of England and Wales have the exclusive jurisdiction to determine the dispute, grant interim remedies or grant any other provisional or protective relief.
- 18.4. The obligations of the Authority and the Contractor under the Contract shall not be suspended, cease or be delayed by the reference of a dispute to mediation and the Contractor and the Contractor Personnel shall comply fully with the requirements of the Contract at all times.

19. CONFLICT OF INTEREST

- 19.1. The Contractor recognises that the Authority is subject to PPN 01/19: Applying Exclusions in Public Procurement, Managing Conflicts of Interest and Whistleblowing: (<https://www.gov.uk/government/publications/procurement-policy-note-0119-applying-exclusions-in-public-procurement-managing-conflicts-of-interest-and-whistleblowing>).

The Contractor shall comply with the provision of this Clause 19 (Conflict of Interest) in order to assist the Authority with its compliance with its obligations under that PPN.

- 19.2. The Contractor shall take appropriate steps to ensure that neither the Contractor nor the Contractor Personnel are placed in a position where (in the reasonable opinion of the Authority) there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interest of the Contractor or the Contractor Personnel and the duties owed to the Authority and other Contracting Authorities under the provisions of the Contract.
- 19.3. The Contractor shall promptly notify and provide full particulars to the Authority or the relevant other Contracting Authority if such conflict arises or may reasonably be foreseen as arising.
- 19.4. Without prejudice to the foregoing, the Contractor shall not knowingly act at any time during the Term of the Contract in any capacity for any person, firm or company in circumstances where a conflict of interest between such person, firm or company and the Authority shall thereby exist in relation to the Services. The Contractor shall immediately report to the Authority Representative any matters which involve or could potentially involve a conflict of interest as referred to in this Clause 19 (Conflict of Interest).
- 19.5. The Authority reserves the right to terminate the Contract with immediate effect by giving written notice to the Contractor and/or take such other steps it deems necessary where, in the reasonable opinion of the Authority, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Contractor and the duties owed to the Authority under the provisions of the Contract. The action of the Authority pursuant to this Clause 19 (Conflict of Interest) shall not prejudice or affect any right of action or remedy which shall have accrued or shall thereafter accrue to the Authority.

20. CHANGE MANAGEMENT

- 20.1. The Contractor acknowledges to the Authority that the Authority's requirements for the Services may change during the Term and the Contractor shall not unreasonably withhold or delay its consent to any reasonable Variation or addition to the Specification and Tender, as may be requested by the Authority from time to time.
- 20.2. Any change to the Services or other Variation to this Contract shall only be binding once it has been agreed either:

- 20.2.1. in accordance with the Change Control Process if the Key Provisions specify that changes are subject to a formal change control process; or
- 20.2.2. if the Key Provisions make no such reference, in writing and signed by an authorised representative of both Parties.

Change in Law

- 20.3. The Contractor shall neither be relieved of its obligations to supply the Services in accordance with the terms and conditions of this Contract nor be entitled to an increase in the Contract Price as the result of:
 - 20.3.1. a General Change in Law; or
 - 20.3.2. a Specific Change in Law where the effect of that Specific Change in Law on the Services is reasonably foreseeable at the Commencement Date.
- 20.4. If a Specific Change in Law occurs or will occur during the Term (other than as referred to in Clause 20.3.2 of this Schedule 2), the Contractor shall:
 - 20.4.1. notify the Authority as soon as reasonably practicable of the likely effects of that change, including:
 - (a) whether any Variation is required to the Services, the Contract Price or this Contract; and
 - (b) whether any relief from compliance with the Contractor's obligations is required; and
 - 20.4.2. provide the Authority with evidence:
 - (a) that the Contractor has minimised any increase in costs or maximised any reduction in costs, including in respect of the costs of its Sub-contractors;
 - (b) as to how the Specific Change in Law has affected the cost of providing the Services; and
 - (c) demonstrating that any expenditure that has been avoided has been taken into account in amending the Contract Price.

- 20.5. Any Variation in the Contract Price or relief from the Contractor's obligations resulting from a Specific Change in Law (other than as referred to in Clause 20.3.2 of this Schedule 2) shall be implemented in accordance with the Clause 20.2 of this Schedule 2.

21. FORCE MAJEURE

- 21.1. Subject to the remaining provisions of this Clause 21 (Force Majeure) (and, in relation to the Contractor, subject to its compliance with its obligations in Clause 12 (Business Continuity and Disaster Recovery) of Schedule 1, if applicable), a Party may claim relief under this Clause 21 (Force Majeure) from liability for failure to meet its obligations under this Contract 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 Contractor in performing its obligations under this Contract 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 Contractor.
- 21.2. 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.
- 21.3. If the Contractor is the Affected Party, it shall not be entitled to claim relief under this Clause 21 (Force Majeure) to the extent that consequences of the relevant Force Majeure Event:
- 21.3.1. are capable of being mitigated, but the Contractor has failed to do so;
 - 21.3.2. should have been foreseen and prevented or avoided by a prudent provider of services similar to the Services, operating to the standards required by this Contract; or
 - 21.3.3. are the result of the Contractor's failure to comply with its BCDR Plan (except to the extent that such failure is also due to a Force Majeure Event that affects the execution of the BCDR Plan).
- 21.4. Subject to Clause 21.5, 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.

- 21.5. 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 Contractor 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.
- 21.6. Where, as a result of a Force Majeure Event:
- 21.6.1. an Affected Party fails to perform its obligations in accordance with this Contract, then during the continuance of the Force Majeure Event:
- (a) the other Party shall not be entitled to exercise any rights to terminate this Contract in whole or in part as a result of such failure other than pursuant to Clause 21.7; and
 - (b) neither Party shall be liable for any Default arising as a result of such failure;
- 21.6.2. the Contractor fails to perform its obligations in accordance with this Contract:
- (a) the Authority shall not be entitled during the continuance of the Force Majeure Event to exercise its rights under Clause 8 (Authority Step-In Rights) of Schedule 1 (if applicable) as a result of such failure; and
 - (b) the Contractor shall be entitled to receive payment of the Contract Price (or a proportional payment of them) only to the extent that the Services (or part of the Services) continue to be performed in accordance with the terms of this Contract during the occurrence of the Force Majeure Event.
- 21.7. Either Party may terminate this Contract by issuing a Termination Notice to the other Party if a Force Majeure Event endures for a continuous period of ninety (90) days and this Contract shall terminate on the date specified in the Termination Notice.
- 21.8. 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 this Contract.
- 21.9. Relief from liability for the Affected Party under this Clause 21 (Force Majeure) shall end as soon as the Force Majeure Event no longer causes the Affected Party to be unable to comply with its obligations under this Contract and shall not be dependent on the serving of notice under Clause 21.8.

22. EQUALITY AND DIVERSITY

22.1. The Contractor shall:

- 22.1.1. ensure that (a) it does not, whether as employer or as supplier of the Services, engage in any act or omission that would contravene the Equality Legislation, and (b) it complies with all its obligations as an employer or supplier of the Services as set out in the Equality Legislation and take reasonable endeavours to ensure the Contractor Personnel do not unlawfully discriminate within the meaning of the Equality Legislation;
- 22.1.2. in the management of its affairs and the development of its equality and diversity policies, cooperate with the Authority in light of the Authority's obligations to comply with its statutory equality duties whether under the Equality Act 2010 or otherwise. The Contractor shall take such reasonable and proportionate steps as the Authority considers appropriate to promote equality and diversity, including race equality, equality of opportunity for disabled people, gender equality, and equality relating to religion and belief, sexual orientation and age; and
- 22.1.3. impose on all its Sub-contractors and suppliers, obligations substantially similar to those imposed on the Contractor by this Clause 22 (Equality and Diversity).
- 22.1.4. The Contractor shall meet reasonable requests by the Authority for information evidencing the Contractor's compliance with the provisions of this Clause 22 (Equality and Diversity).

23. NOTICE

23.1. Any notice required to be given by either Party under this Contract shall be in writing quoting the date of the Contract and shall be delivered by hand or sent by prepaid first class recorded delivery or by email to the person referred to in the Order Form or such other person as one Party may inform the other Party in writing from time to time.

23.2. A notice shall be treated as having been received:

- 23.2.1. if delivered by hand within normal business hours when so delivered or, if delivered by hand outside normal business hours, at the next start of normal business hours; or
- 23.2.2. if sent by first class recorded delivery mail on a normal Working Day, at 9.00 am on the second Working Day subsequent to the day of posting, or, if the

notice was not posted on a Working Day, at 9.00 am on the third Working Day subsequent to the day of posting; or

- 23.2.3. if sent by email, if sent within normal business hours when so sent or, if sent outside normal business hours, at the next start of normal business hours provided the sender has either received an electronic confirmation of delivery or has telephoned the recipient to inform the recipient that the email has been sent.

24. ASSIGNMENT, NOVATION AND SUB-CONTRACTING

- 24.1. The Contractor shall not assign, novate, sub-contract or otherwise dispose of or create any trust in relation to any or all of its rights, obligations or liabilities under the Contract or any part of it without the prior written consent of the Authority.

- 24.2. The Authority may assign, novate or otherwise dispose of any or all of its rights, liabilities and obligations under the Contract or any part thereof to:

- 24.2.1. any other body established by the Crown; or
- 24.2.2. under statute in order substantially to perform any of the functions that had previously been performed by the Authority; or
- 24.2.3. any private sector body which substantially performs the functions of the Authority,

and the Contractor shall, at the Authority's request, enter into a novation agreement in such form as the Authority shall reasonably specify in order to enable the Authority to exercise its rights pursuant to this Clause 24 (Assignment, Novation and Sub-contracting).

- 24.3. If the Authority assigns, novates or otherwise disposes of any of its rights, obligations or liabilities under the Contract to a private sector body in accordance with Clause 24.2 of this Schedule 2 (the “**Transferee**” in the rest of this Clause) the right of termination of the Authority in Clause 15.2.4 (Termination) of this Schedule 2 shall be available to the Contractor in the event of insolvency of the Transferee (as if the references to Contractor in Clause 15.2.4 (Termination) of this Schedule 2 were references to the Transferee).
- 24.4. The Contractor shall exercise due skill and care in the selection of any Sub-contractors to ensure that the Contractor is able to:
 - 24.4.1. manage any Sub-contractors in accordance with Good Industry Practice;

- 24.4.2. comply with its obligations under the Contract in the provision of the Services;
and
 - 24.4.3. assign, novate or otherwise transfer to the Authority or any Replacement Contractor any of its rights and/or obligations under each Sub-contract that relates exclusively to the Contract.
- 24.5. Prior to sub-contracting any of its obligations under the Contract, the Contractor shall notify the Authority and provide the Authority with:
- 24.5.1. the proposed Sub-contractor's name, registered office and company registration number;
 - 24.5.2. the scope of any Services to be provided by the proposed Sub-contractor; and
 - 24.5.3. any further information reasonably requested by the Authority.
- 24.6. The Authority may, within ten (10) Working Days of receipt of the Contractor's notice issued pursuant to Clause 24.5 of this Schedule 2, object to the appointment of the relevant Sub-contractor if they consider that:
- 24.6.1. the appointment of a proposed Sub-contractor may prejudice the provision of the Services or may be contrary to the interests respectively of the Authority under the Contract;
 - 24.6.2. the proposed Sub-contractor is unreliable and/or has not provided reliable goods and or reasonable services to its other customers;
 - 24.6.3. the proposed Sub-contractor employs unfit persons; and/or
 - 24.6.4. the proposed Sub-contractor should be excluded in accordance with Clause 24.12 of this Schedule 2,
- in which case, the Contractor shall not proceed with the proposed appointment.
- 24.7. If the Authority has not notified the Contractor that it objects to the proposed Sub-contractor's appointment by the later of ten (10) Working Days of receipt of the Contractor's notice issued pursuant to Clause 24.5 of this Schedule 2 the Contractor may proceed with the proposed appointment.
- 24.8. The Contractor shall ensure that all Sub-contracts (which in this sub-clause includes any contract in the Contractor's supply chain made wholly or substantially for the purpose of

performing or contributing to the performance of the whole or any part of this Contract) contain provisions:

- 24.8.1. requiring the Contractor or other party receiving goods or services under the contract to consider and verify invoices under that contract in a timely fashion;
 - 24.8.2. that if the Contractor or other party fails to consider and verify an invoice in accordance with Clause 24.8.1 of this Schedule 2, the invoice shall be regarded as valid and undisputed for the purpose of Clause 24.8.3 of this Schedule 2 after a reasonable time has passed;
 - 24.8.3. requiring the Contractor or other party to pay any undisputed sums which are due from it to the Sub-contractor within a specified period not exceeding thirty (30) days of verifying that the invoice is valid and undisputed; and
 - 24.8.4. giving the Authority a right to publish the Contractor's compliance with its obligation to pay undisputed invoices within the specified payment period; and
 - 24.8.5. requiring the Sub-contractor to include a clause to the same effect as this Clause 24.8 in any contracts it enters into wholly or substantially for the purpose of performing or contributing to the performance of the whole or any part of this Contract.
- 24.9. The Contractor shall pay any undisputed sums which are due from it to a Sub-contractor within thirty (30) days of verifying that the invoice is valid and undisputed.
- 24.10. Notwithstanding any provision of Clause 26 (Confidential Information) of this Schedule 2 and Clause 35 (Publicity) of this Schedule 2, if the Contractor notifies the Authority that the Contractor has failed to pay an undisputed Sub-contractor's invoice within thirty (30) days of receipt, or, where Clauses 10.8 to 10.12 (Supply Chain Visibility) of Schedule 1 (Key Provisions) apply, that it has failed to pay 95% or above of its Sub-Contractors or Unconnected Sub-contractors within 60 days after the day on which the Contractor receives an invoice or otherwise has notice of an amount for payment, or the Authority otherwise discovers the same, the Authority shall be entitled to publish the details of the late or non-payment (including on government websites and in the press).
- 24.11. Notwithstanding the Contractor's right to sub-contract pursuant to this Clause 24 (Assignment, Novation and Sub-contracting), the Contractor shall remain responsible for all acts and omissions of its Sub-contractors and the acts and omissions of those employed or engaged by the Sub-contractors as if they were its own.
- 24.12. The Authority may require the Contractor to terminate a Sub-contract where:

- 24.12.1. the acts or omissions of the relevant Sub-contractor have caused or materially contributed to the Authority's right of termination pursuant to Clause 15 (Termination) of this Schedule 2;
- 24.12.2. the relevant Sub-contractor or any of its Affiliates have embarrassed the Authority or otherwise brought the Authority into disrepute by engaging in any act or omission which is reasonably likely to diminish the trust that the public places in the Authority, regardless of whether or not such act or omission is related to the Sub-contractor's obligations in relation to the Services or otherwise;
- 24.12.3. the relevant Sub-contractor has failed to comply in the performance of its Sub-contract with legal obligations in the fields of environmental, social or labour law; and/or
- 24.12.4. the Authority has found grounds for exclusion of the Sub-contractor in accordance with Clause 24.13;
- 24.13. Where the Authority considers whether there are grounds for exclusion of a Sub-contractor under Regulation 57 of the Regulations, then:
 - 24.13.1. if the Authority finds there are compulsory grounds for exclusion, the Contractor shall replace or shall not appoint the Sub-contractor;
 - 24.13.2. if the Authority finds there are non-compulsory grounds for exclusion, the Authority may require the Contractor to replace or not appoint the Sub-contractor and the Contractor shall comply with such a requirement.

25. PREVENTION OF FRAUD AND BRIBERY

- 25.1. The Contractor warrants and represents to the Authority that neither it, nor to the best of its knowledge any Contractor Personnel, have at any time prior to the Commencement Date:
 - 25.1.1. committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act; and/or
 - 25.1.2. been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act.

25.2. The Contractor shall not during the Term:

- 25.2.1. commit a Prohibited Act; and/or
- 25.2.2. do or suffer anything to be done which would cause the Authority or any of the Authority's employees, consultants, contractors, Sub-contractors or agents to contravene any of the Relevant Requirements or otherwise incur any liability in relation to the Relevant Requirements.

25.3. The Contractor shall during the Term:

- 25.3.1. establish, maintain and enforce, and require that its Sub-contractors establish, maintain and enforce, policies and procedures which are adequate to ensure compliance with the Relevant Requirements and prevent the occurrence of a Prohibited Act;
- 25.3.2. keep appropriate records of its compliance with its obligations under Clause 25.3.1 (Prevention of Fraud and Bribery) of this Schedule 2 and make such records available to the Authority on request;
- 25.3.3. if so required by the Authority, within twenty (20) Working Days of the Commencement Date, and annually thereafter, certify in writing to the Authority, the compliance with this Clause of all persons associated with the Contractor or its Sub-contractors who are responsible for supplying the Services in connection with the Contract. The Contractor shall provide such supporting evidence as the Authority may reasonably request; and
- 25.3.4. have, maintain and, where appropriate, enforce an anti-bribery policy (which shall be disclosed to the Authority on request) to prevent it and any Contractor Personnel or any person acting on the Contractor's behalf from committing a Prohibited Act.

25.4. The Contractor shall immediately notify the Authority in writing if it becomes aware of any breach of Clause 25.1 (Prevention of Fraud and Bribery) of this Schedule 2, or has reason to believe that it has or any of the Contractor Personnel has:

- 25.4.1. been subject to an investigation or prosecution which relates to an alleged Prohibited Act;
- 25.4.2. been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for

participation in government procurement programmes or contracts on the grounds of a Prohibited Act; and/or

- 25.4.3. received a request or demand for any undue financial or other advantage of any kind in connection with the performance of the Contract or otherwise suspects that any person or party directly or indirectly connected with the Contract has committed or attempted to commit a Prohibited Act.
- 25.5. If the Contractor makes a notification to the Authority pursuant to Clause 25.4 (Prevention of Fraud and Bribery) of this Schedule 2, the Contractor shall respond promptly to the Authority's enquiries, co-operate with any investigation, and allow the Authority to audit any books, records and/or any other relevant documentation in accordance with Clause 12 (Records Retention and Right of Audit) of this Schedule 2.
- 25.6. If the Contractor breaches Clause 25.1 (Prevention of Fraud and Bribery) of this Schedule 2, the Authority may by notice:
 - 25.6.1. require the Contractor to remove from the performance of the Contract any Contractor Personnel whose acts or omissions have caused the Contractor's breach; or
 - 25.6.2. immediately terminate the Contract pursuant to Clause 15.2.1(a) (Termination) of this Schedule 2.
- 25.7. Any notice served by the Authority under Clause 25.6 of this Schedule 2 shall specify the nature of the Prohibited Act, the identity of the party who the Authority believes has committed the Prohibited Act and the action that the Authority has elected to take (including, where relevant, the date on which the Contract shall terminate).

26. CONFIDENTIAL INFORMATION

- 26.1. For the purposes of this Clause 26 (Confidential Information), the term:
 - 26.1.1. **"Disclosing Party"** shall mean a Party which discloses or makes available directly or indirectly its Confidential Information; and
 - 26.1.2. **"Recipient"** shall mean the Party which receives or obtains directly Confidential Information.
- 26.2. Except to the extent set out in this Clause 26 (Confidential Information) or where disclosure is expressly permitted elsewhere in the Contract, the Recipient shall:

- 26.2.1. treat the Disclosing Party's Confidential Information as confidential and safeguard it accordingly (which is appropriate depending on the form in which such materials are stored and the nature of the Confidential Information contained in those materials);
 - 26.2.2. not disclose the Disclosing Party's Confidential Information to any other person except as expressly set out in the Contract or without the Disclosing Party's prior written consent;
 - 26.2.3. not use or exploit the Disclosing Party's Confidential Information in any way except for the purposes anticipated under the Contract; and
 - 26.2.4. immediately notify the Disclosing Party if it suspects or becomes aware of any unauthorised access, copying, use or disclosure in any form of any of the Disclosing Party's Confidential Information.
- 26.3. Clause 26.1 of this Schedule 2 shall not apply to the extent that:
- 26.3.1. Law requires such disclosure by the Party making the disclosure, including any requirements for disclosure under FOIA, the Regulations or the Environmental Information Regulations;
 - 26.3.2. such information is required in relation to the examination and certification of the Authority's accounts (provided that the disclosure is made on a confidential basis) or for any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Authority is making use of its resources;
 - 26.3.3. the Recipient has reasonable grounds to believe that the Disclosing Party is involved in activity that may constitute a criminal offence under the Bribery Act 2010 and the disclosure is being made to the Serious Fraud Office;
 - 26.3.4. such information was already in the public domain at the time of disclosure otherwise than by a breach of the Contract; or
 - 26.3.5. it is independently developed without access to the other Party's Confidential Information.
- 26.4. If the Recipient is required by Law to make a disclosure of Confidential Information, the Recipient shall, as soon as reasonably practicable and to the extent permitted by Law, notify the Disclosing Party of the full circumstances of the required disclosure including

the relevant Law and/or Regulatory Body requiring such disclosure and the Confidential Information to which such disclosure would apply.

- 26.5. The Contractor may only disclose the Confidential Information of the Authority to the Contractor Personnel directly involved in the provision of the Services and who need to know the information, and shall ensure that such Contractor Personnel are aware of and shall comply with these obligations as to confidentiality.
- 26.6. The Contractor shall not, and shall procure that the Contractor Personnel do not, use any of the Confidential Information of the Authority received otherwise than for the purposes of the Contract and the provision of the Services.
- 26.7. At the written request of the Authority, the Contractor shall procure that Contractor Personnel identified in the Authority's request shall sign a confidentiality undertaking (in a form acceptable to the Authority) prior to commencing any work in accordance with the Contract.
- 26.8. The Authority may disclose the Confidential Information of the Contractor:
 - 26.8.1. on a confidential basis to any Central Government Body for any proper purpose of the Authority or of the relevant Central Government Body;
 - 26.8.2. to Parliament and Parliamentary Committees or if required by any Parliamentary reporting requirement;
 - 26.8.3. to the extent that the Authority (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions;
 - 26.8.4. on a confidential basis to a professional adviser, consultant, supplier or other person engaged by any of the entities described in Clause 26.8.1 of this Schedule 2 including any benchmarking organisation for any purpose relating to or connected with the Contract;
 - 26.8.5. on a confidential basis for the purpose of the exercise of its rights under the Contract; or
 - 26.8.6. on a confidential basis to a proposed successor body in connection with any assignment, novation or disposal of any of its rights, obligations or liabilities under the Contract,

and for the purposes of the foregoing, references to disclosure on a confidential basis shall mean disclosure subject to a confidentiality agreement or arrangement containing terms

no less stringent than those placed on the Authority under this Clause 26 (Confidential Information).

- 26.9. Nothing in this Clause 26 (Confidential Information) shall prevent either Party from using any techniques, ideas or Know-How gained during the performance of the Contract in the course of its normal business to the extent that this use does not result in a disclosure of the other Party's Confidential Information or an infringement of Intellectual Property Rights.
- 26.10. Failure by the Contractor to comply with any of its obligations under this Clause 26 (Confidential Information) shall be an irremediable material breach of this Contract and the Authority shall be entitled to terminate the Contract pursuant to Clause 15.2.1(a) (Termination) of this Schedule 2.

26A COMPLIANCE WITH HFE LEGISLATION

- 26A.1 Notwithstanding any provision to the contrary in this Contract, the Parties each undertake and warrant that they shall comply with the HFE Legislation. This includes keeping informed of and complying with changes to the HFE Legislation, and the enactment of any other relevant laws.
- 26A.2 Without prejudice to the generality of Clause 26A.1, the Contractor shall not disclose or otherwise allow any third party access to any of the information identified by section 31(2) of the 1990 Act unless one of the exemptions prescribed by section 33A of the 1990 Act for disclosing such information applies, and the disclosure otherwise complies with the HFE Legislation, and the Contractor acknowledges that unauthorised or otherwise unlawful disclosure of information contained in section 31(2) of the 1990 Act constitutes a criminal offence under section 41(5) of the 1990 Act.
- 26A.3 Where the third party to whom the Contractor intends to disclose information under clause 26A.2 is neither an employee nor member of the Authority, the Contractor shall obtain the Authority's prior written consent and identify the particular exemption it intends to rely on.
- 26A.4 The Contractor acknowledges that unauthorised or otherwise unlawful disclosure of information contained in section 31(2) of the 1990 Act, as described by Clause 26A.2 , constitutes a criminal offence under section 41(5) of the 1990 Act.
- 26A.5 For the avoidance of doubt, the obligations under this Clause 26A are in addition to, and do not otherwise relieve the Parties from, any other obligations under the HFE Legislation.

27. FREEDOM OF INFORMATION ACT

- 27.1. The Contractor acknowledges that the Authority is subject to the requirements of the FOIA and the Environmental Information Regulations and shall:
- 27.1.1. provide all necessary assistance and cooperation as reasonably requested by the Authority, at the Contractor's expense, to enable the Authority to comply with its obligations under the FOIA and the Environmental Information Regulations;
 - 27.1.2. transfer to the Authority all requests for information that it receives under the FOIA and the Environmental Information Regulations ("**Requests for Information**") relating to the Contract that it receives as soon as practicable and in any event within two (2) Working Days of receipt;
 - 27.1.3. provide the Authority with a copy of all Information belonging to the Authority requested in the Request for Information which is in the Contractor's possession or control in the form that the Authority requires within five (5) Working Days (or such other period as the Authority may reasonably specify) of the Authority's request for such Information; and
 - 27.1.4. not respond directly to a Request for Information unless authorised in writing to do so by the Authority.
- 27.2. The Contractor acknowledges that the Authority may be required under the FOIA and the Environmental Information Regulations to disclose Information (including Commercially Sensitive Information) without consulting or obtaining consent from the Contractor. The Authority shall take reasonable steps to notify the Contractor of a Request For Information (in accordance with the Secretary of State's section 45 Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the FOIA) to the extent that it is permissible and reasonably practical for it to do so but (notwithstanding any other provision in this Contract) the Authority shall be responsible for determining in its absolute discretion whether any Commercially Sensitive Information and/or any other information is exempt from disclosure in accordance with the FOIA and/or the Environmental Information Regulations.
- 27.3. The Contractor shall ensure that all Information is retained for disclosure in accordance with Clause 12 (Records Retention and Right of Audit) of this Schedule 2 and shall permit the Authority to inspect such records as the Authority requests from time to time.

- 27.4. The Contractor acknowledges that the Commercially Sensitive Information is of indicative value only and that such information may be disclosed pursuant to Clause 12 (Records Retention and Right of Audit) of this Schedule 2.

28. TRANSPARENCY

- 28.1. The Contractor recognises that the Authority is subject to PPN 01/17: Update to Transparency Principles (<https://www.gov.uk/government/publications/procurement-policy-note-0117-update-to-transparency-principles>). The Contractor shall comply with the provision of this Clause 28 (Transparency) in order to assist the Authority with its compliance with its obligations under that PPN.
- 28.2. The Parties agree and acknowledge that the content of this Contract is not Confidential Information, except for:
- 28.2.1. any information which is exempt from disclosure in accordance with the provisions of the FOIA, which shall be determined by the Authority; and
- 28.2.2. Commercially Sensitive Information.
- 28.3. Notwithstanding any other provision of this Contract, the Contractor hereby gives consent for the Authority to publish to the general public this Contract in its entirety (but with any information which is exempt from disclosure in accordance with the provisions of the FOIA redacted), including any changes to this Contract agreed from time to time. The Authority may consult with the Contractor to inform its decision regarding any redactions but shall have the final decision in its absolute discretion.
- 28.4. The Contractor shall assist and cooperate with the Authority to enable the Authority to publish this Contract.

29. SUSTAINABILITY

- 29.1. The HM Government published a Contractor Code of Conduct setting out the standards and behaviours expected of suppliers who work with government shall apply for the purposes of this Contract (https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/779660/20190220-Supplier_Code_of_Conduct.pdf) (the “Code”). In addition to the obligations under the Contract, the Authority expects the Contractor and any Sub-contractors to meet the standards set out in that Code.
- 29.2. The Contractor acknowledges that the Authority may have additional requirements in relation to corporate social responsibility. The Authority expects that the Contractor and

its Sub-contractors will comply with such corporate social responsibility requirements as the Authority may notify to the Contractor from time to time.

- 29.3. The Contractor shall comply with reasonable requests by the Authority for information evidencing compliance with the provisions of this Clause 29 (Sustainability) within fourteen (14) days of such request, provided that such requests are limited to two per Contract Year.

Equality and Accessibility

- 29.4. The Contractor shall support the Authority in fulfilling its Public Sector Equality duty under section 149 of the Equality Act 2010 by ensuring that it fulfils its obligations under the Contract in a way that seeks to:

- 29.4.1. eliminate discrimination, harassment or victimisation and any other conduct prohibited by the Equality Act 2010 ; and
- 29.4.2. advance equality of opportunity and good relations between those with a protected characteristic (age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation, and marriage and civil partnership) and those who do not share it.

Modern Slavery, Child Labour and Inhumane Treatment

- 29.5. The Contractor:
- 29.5.1. shall, and shall procure that each of its Sub-contractors shall, comply with the Modern Slavery Act 2015;
 - 29.5.2. shall not use, nor allow its Sub-contractors to use forced, bonded or involuntary prison labour or any practice that is considered to be an indicator of forced labour as defined by the International Labour Organisation;
 - 29.5.3. shall not require any Contractor Personnel or Sub-contractor staff to lodge deposits or identify papers with the employer and shall be free to leave their employer after reasonable notice;
 - 29.5.4. warrants and represents that it has not been convicted of any slavery or human trafficking offences anywhere around the world.

- 29.5.5. warrants that to the best of its knowledge it is not currently under investigation, inquiry or enforcement proceedings in relation to any allegation of slavery or human trafficking offences anywhere around the world.
- 29.5.6. shall make reasonable enquires to ensure that its officers, employees and Sub-contractors have not been convicted of slavery or human trafficking offenses anywhere around the world.
- 29.5.7. shall have and maintain throughout the term of each Contract its own policies and procedures to ensure its compliance with the Modern Slavery Act 2015 and include in its contracts with its Sub-contractors anti-slavery and human trafficking provisions;
- 29.5.8. shall implement due diligence procedures to ensure that there is no slavery or human trafficking in any part of its supply chain performing obligations under a Contract;
- 29.5.9. shall prepare and deliver to the Authority an annual slavery and human trafficking report setting out the steps it has taken to ensure that slavery and human trafficking is not taking place in any of its supply chains or in any part of its business with its annual certification of compliance with this Paragraph;
- 29.5.10. shall not use, nor allow its employees or Sub-contractors to use physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation of its employees or Sub-contractors;
- 29.5.11. shall not use or allow child or slave labour to be used by its Sub-contractors; and
- 29.5.12. shall report the discovery or suspicion of any slavery or trafficking by it or its Sub-contractors to the Authority and Modern Slavery Helpline.
- 29.6. The Contractor shall indemnify the Authority against any losses, liabilities, damages, costs (including but not limited to legal fees) and expenses incurred by, or awarded against, the Authority as a result of any breach of the Anti-slavery Policy and if Key Provision 11 applies, as a result of any breach of the Authority's Anti-slavery Policy.

Environmental Requirements

- 29.7. The Contractor shall comply in all material respects with all applicable environmental laws, permits and regulations in force in relation to the Contract.

- 29.8. The Contractor warrants that it has obtained B Corp UK certification and shall comply with and maintain certification requirements throughout the Term.
- 29.9. The Contractor shall meet the applicable Government Buying Standards applicable to services which can be found online at: <https://www.gov.uk/government/collections/sustainable-procurement-the-government-buying-standards-gbs>
- 29.10. The Contractor must have a documented management system and controls in place to manage the environmental impacts of delivering the Services.
- 29.11. The Contractor shall ensure that any Services are designed, sourced and delivered in a manner which is environmentally and socially responsible.
- 29.12. In delivering the Services, the Contractor must comply with the Authority's sustainability requirements, to be provided to the Contractor by the Authority.
- 29.13. In performing its obligations under the Contract, the Contractor shall to the reasonable satisfaction of the Authority:
- 29.13.1. avoid consumable single use items (including packaging) unless otherwise agreed with the Authority, and unless the use is primarily related to the management of the Contractor's own facilities or internal operations as opposed to the provision of Services;
 - 29.13.2. demonstrate that the whole life cycle impacts (including end of use) associated with the Services that extend beyond direct operations into that of the supply chain have been considered and reduced;
 - 29.13.3. minimise the consumption of resources and use them efficiently (including water and energy), working towards a circular economy including designing out waste and non-renewable resources, using re-use and closed loop systems;
 - 29.13.4. demonstrate protection of the environment including understanding and reduction of biosecurity risks (which include risks to plant and tree health from harmful pests and diseases), and reducing and eliminating hazardous/harmful substances to the environment and preventing pollution;
 - 29.13.5. enhance the natural environment and connecting communities with the environment; and
 - 29.13.6. achieve continuous improvement in environmental (and social) performance.

- 29.14. The Contractor shall inform the Authority within one Working Day in the event that a permit, licence or exemption to carry or send waste generated under this Contract is revoked.

Sustainability

- 29.15. The Contractor shall:

- 29.15.1. comply with all applicable Government Buying Standards which can be found online at: <https://www.gov.uk/government/collections/sustainable-procurement-thegovernment-buying-standards-gbs>;
- 29.15.2. perform its obligations under the Contract in a way that:
- (a) conserves energy, water, wood, paper and other resources;
 - (b) reduces waste and avoids the use of ozone depleting substances; and
 - (c) minimises the release of greenhouse gases, volatile organic compounds and other substances damaging to health and the environment; and
- 29.15.3. use reasonable endeavours to avoid the use of paper and card in carrying out its obligations under this Contract. Where unavoidable under reasonable endeavours, the Contractor shall ensure that any paper or card deployed in the performance of the Services consists of one hundred percent (100%) recycled content and used on both sides where feasible to do so.

- 29.16. The Contractor must demonstrate its progress on climate change adaptation, mitigation and sustainable development, including performance against carbon reduction management plans, and must provide an annual summary of that progress to the Authority.

30. OFFICIAL SECRETS ACTS AND FINANCE ACT

- 30.1. The Contractor shall comply with, and shall ensure the Contractor Personnel comply with, the provisions of:
- 30.1.1. the Official Secrets Acts 1911 to 1989; and
 - 30.1.2. section 182 of the Finance Act 1989.
- 30.2. The Authority may terminate the Contract with immediate effect by giving written notice to the Contractor if the Contractor or any of the Contractor Personnel do not comply with Clause 30.1 (Official Secrets Acts and Finance Act) of this Schedule 2.

31. DISRUPTION

- 31.1. The Contractor shall take reasonable skill and care to a professional standard to ensure that, in the performance of its obligations under the Contract, it does not disrupt the operations of the Authority, its employees or any other contractor employed or engaged by the Authority.
- 31.2. The Contractor shall immediately inform the Authority of any actual or potential industrial action, whether such action be by their own employees or others, which affects or might affect its ability at any time to perform its obligations under the Contract.
- 31.3. In the event of industrial action by the Contractor Personnel, the Contractor shall prepare proposals for the continuation of its obligations under the Contract for the Authority to approve.
- 31.4. If the Contractor's proposals referred to in Clause 31.3 (Disruption) of this Schedule 2 are considered insufficient or unacceptable by the Authority, acting reasonably, then the Contract may be terminated with immediate effect by the Authority by written notice.
- 31.5. If the Contractor is temporarily unable to fulfil the requirements of the Contract owing to disruption of normal business of the Authority, the Contractor may request a reasonable allowance of time and in addition, the Authority will reimburse any additional expense reasonably incurred by the Contractor as a direct result of such disruption.

32. COMPLAINTS

- 32.1. Where a complaint is received about the standard of Services or about the manner in which any Services have been supplied or work has been performed or about the materials or procedures used or about any other matter connected with the performance of the Contractor's obligations under the Contract, then the Authority shall notify the Contractor, and where considered appropriate by the Authority, investigate the complaint. The Authority may, in its sole discretion, uphold the complaint and take further action in accordance with Clause 15 (Termination) of this Schedule 2.
- 32.2. Should the Authority be of the view, acting reasonably, that the Contractor can no longer provide the Services, then without prejudice to the Authority's rights and remedies under this Contract, the Authority shall be entitled to exercise its Step-In Rights if the Key Provisions refer to the Authority having such rights under this Contract.
- 32.3. Without prejudice to its right under Clause 7.8 (Recovery of Sums Due) of this Schedule 2, the Authority may charge the Contractor 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 Contractor for such part of the Services and provided that the Authority uses its reasonable endeavours to mitigate any additional expenditure in obtaining replacement Services.

32.4. If the Contractor fails to supply any of the Services in accordance with the provisions of the Contract and such failure is capable of remedy, then the Authority shall instruct the Contractor to remedy the failure and the Contractor shall, at its own cost and expense, remedy such failure (and any damage resulting from such failure) within ten (10) Working Days or such other period of time as the Authority may direct.

32.5. In the event that:

32.5.1. the Contractor fails to comply with Clause 32.4 (Complaints) of this Schedule 2 and the failure is materially adverse to the interests of the Authority or prevents the Authority from discharging a statutory duty; or

32.5.2. the Contractor persistently fails to comply with Clause 32.4 (Complaints) of this Schedule 2;

the Authority may terminate the Contract with immediate effect by giving written notice.

33. NON-SOLICITATION

33.1. Except in respect of any transfer of staff pursuant to Schedule 10 (Staff Transfer), neither Party shall (except with the prior written consent of the other Party) directly or indirectly solicit or entice away (or attempt to solicit or entice away) from the employment of the other Party any person employed or engaged by such other Party in the provision of the Services or (in the case of the Authority) in the receipt of the Services at any time during the Term or for a further period of twelve (12) Months after the termination of the Contract other than by means of a national advertising campaign open to all comers and not specifically targeted at any of the employees of the other Party.

33.2. If either the Contractor or the Authority commits any breach of Clause 33.1 (Non-Solicitation) of this Schedule 2 the breaching Party shall, on demand, pay to the claiming Party a sum equal to one year's basic salary or the annual fee that was payable by the claiming Party to that employee, worker or independent contractor plus the recruitment costs incurred by the claiming Party in replacing such person.

34. HEALTH AND SAFETY

- 34.1. The Contractor shall take all measures necessary to comply with the requirements of the Health and Safety at Work etc. Act 1974 and any other Laws and codes of practice relating to health and safety, which may apply to Contractor Personnel in the performance of the Services.
- 34.2. The Contractor shall promptly notify the Authority of any health and safety hazards which may arise in connection with the performance of the Services.
- 34.3. The Authority shall promptly notify the Contractor of any health and safety hazards which may exist or arise at the Premises of the Authority and which may affect the Contractor in the performance of the Services.
- 34.4. The Contractor shall inform all Contractor Personnel engaged in the provision of Services at the Premises of the Authority of all known health and safety hazards and shall instruct those Contractor Personnel in connection with any necessary safety measures.
- 34.5. Whilst on the Premises of the Authority, the Contractor shall comply, and shall procure that the Contractor Personnel comply, with any health and safety measures implemented by the Authority in respect of persons working on those Premises.
- 34.6. The Contractor shall notify the Authority Representative immediately in the event of any incident occurring in the performance of the Services on the Premises of the Authority where that incident causes any personal injury or any damage to property which could give rise to personal injury.
- 34.7. The Contractor shall ensure that its health and safety policy statement (as required by the Health and Safety at Work etc. Act 1974) is made available to the Authority on request.

35. PUBLICITY

- 35.1. The Contractor shall not and shall procure that its Sub-contractors shall not:
 - 35.1.1. make any press announcements or publicise the Contract in any way; or
 - 35.1.2. use the Authority's name or brand in any promotion or marketing or announcement,
 without the prior written consent of the Authority.

- 35.2. The Authority shall be entitled to publicise the Contract in accordance with any legal obligation upon the Authority, including any examination of the Contract, by the National Audit Office pursuant to the National Audit Act 1983 or otherwise.
- 35.3. The provisions of this Clause 35 (Publicity) shall apply during the Term and indefinitely after its expiry or the earlier termination of the Contract.

36. GENERAL

Relationship of the Parties

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

Waiver

- 36.2. The failure of either Party to insist upon strict performance of any provision of the Contract, or the failure of either Party to exercise, or any delay in exercising, any right or remedy shall not constitute a waiver of that right or remedy and shall not cause a diminution of the obligations established by the Contract.
- 36.3. No waiver shall be effective unless it is expressly stated to be a waiver and communicated to the other Party in writing in accordance with Clause 23 (Notice) of this Schedule 2.
- 36.4. A waiver of any right or remedy arising from a breach of contract shall not constitute a waiver of any right or remedy arising from any other breach of the Contract.

Cumulative Remedies

- 36.5. Except as otherwise expressly provided by the Contract, all remedies available to either Party for breach of the Contract are cumulative and may be exercised concurrently or separately, and the exercise of any one remedy shall not be deemed an election of such remedy to the exclusion of other remedies.

Severability

- 36.6. If any provision of the Contract is held invalid, illegal or unenforceable for any reason by any court of competent jurisdiction, such provision shall be severed and the remainder of the provisions of the Contract shall continue in full force and effect as if the Contract had been executed with the invalid, illegal or unenforceable provision eliminated. In the event of a holding of invalidity so fundamental as to prevent the accomplishment of the purpose

of the Contract, the Parties shall immediately commence negotiations in good faith to remedy the invalidity.

Entire agreement

- 36.7. The Contract constitutes the entire agreement between the Parties in respect of the matters dealt with herein. The Contract 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 36.536.7 (Entire Agreement) shall not exclude liability in respect of any Fraud or fraudulent misrepresentation.

Further assurances

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

The Contracts (Rights of Third Parties) Act 1999

- 36.9. A person who is not a Party to the Contract shall have no right to enforce any of its provisions which, expressly or by implication, confer a benefit on him, without the prior written agreement of both Parties. This Clause 36.9 (The Contracts (Rights of Third Parties) Act 1999) does not affect any right or remedy of any person which exists or is available apart from the Contracts (Rights of Third Parties) Act 1999 and does not apply to the Crown.

Law and Jurisdiction

- 36.10. This Contract, and any dispute or claim arising out of or in connection with it or its subject matter (including any non-contractual claims), shall be governed by, and construed in accordance with, the laws of England and Wales.
- 36.11. Subject to Clause 18 (Dispute Resolution) of this Schedule 2, the Parties irrevocably agree that the courts of England and Wales shall have exclusive jurisdiction to settle any dispute or claim that arises out of or in connection with this Contract or its subject matter.

SCHEDULE 3 DEFINITIONS AND INTERPRETATION

1. DEFINITIONS

- 1.1. In the Contract unless the context requires otherwise the following definitions shall be used for the purposes of interpreting the Contract. Other definitions that are not of general application are stated in the Clause where the definition first appears and shall apply only to that Clause unless otherwise shown below:

“Affected Party”	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 of that body corporate from time to time;
“Anti-slavery Policy”	means the Contractor’s slavery and human trafficking policy, if any, as amended by notification to the Authority from time to time;
“Authority”	means the Secretary of State for Health acting as part of the Crown;
“Authority’s Anti-slavery Policy”	means the Authority’s slavery and human trafficking policy, if any, as amended by notification to the Contractor from time to time;
“Authority Data”	<p>means 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:</p> <ol style="list-style-type: none"> a. supplied to the Contractor by or on behalf of the Authority; or b. which the Contractor is required to generate, process, store or transmit pursuant to the Contract; or c. any Personal Data for which the Authority is the Controller;

“Authority Existing IPR”	means any and all IPR that are owned by or licensed to the Authority, and where the Authority is a Central Government Body, any Crown IPR, and which are or have been developed independently of the Contract (whether prior to the Commencement Date or otherwise);
"Authority Representative"	means the person authorised to act for the Authority for the purposes of the Contract, being the person specified in the Key Provisions;
“Authority Third Party”	means any supplier to the Authority (other than the Contractor), which is notified to the Contractor from time to time and/or of which the Contractor should have been aware;
“BCDR Plan”	means the business continuity and disaster recovery plan prepared pursuant to Clause 12 (Business Continuity and Disaster Recovery) of Schedule 1 as amended from time to time
“Breach Notice”	means a written notice of breach given by one Party to the other, notifying the Party receiving the notice of its breach of this Contract;
“Business Continuity Event”	means any event or issue that could impact on the operations of the Contractor and its ability to supply the Services;
“Central Government Body”	means a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics: <ul style="list-style-type: none"> a. Government Department; b. Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal); c. Non-Ministerial Department; or d. Executive Agency;

“Change Control Process”	means the change control process, if any, referred to in the Key Provisions;
“Change in Law”	means any change in Law which impacts on the performance of the Services which comes into force after the Commencement Date;
“Commencement Date”	means the date upon which the Contract shall commence as specified in the Order Form;
“Commercially Sensitive Information”	means the information listed in Schedule 8 (Commercially Sensitive Information) comprising the information of a commercially sensitive nature relating to the Contractor, its business or which the Contractor has indicated to the Authority that, if disclosed by the Authority, would cause the Contractor significant commercial disadvantage or material financial loss;
“Comparable Supply”	means the supply of services to another customer of the Contractor that are the same or similar to any of the Services;
“Confidential Information”	<p>means any information which has been designated as confidential by either Party in writing or that ought reasonably 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, trade secrets, Intellectual Property Rights and Know-How of either Party and all Personal Data and sensitive Personal Data within the meaning of the GDPR. Confidential Information shall not include information which:</p> <ul style="list-style-type: none"> a. was public knowledge at the time of disclosure (otherwise than by breach of Clause 26 (Confidential Information) of Schedule 2); 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;

“Contract”	means the form of contract at the front of this document and all Schedules attached to the form of contract;
“Contract Price”	means the price (exclusive of any applicable VAT), payable to the Contractor by the Authority under the Contract, as set out in the Order Form or Schedule 6 (Pricing) (as applicable) for the full and proper performance by the Contractor of its obligations under the Contract but before taking into account the effect of any adjustment of price in accordance with Clause 4 (Price Adjustment on Extension of Term) of Schedule 1, if applicable;
“Contract Year”	<p>means:</p> <ul style="list-style-type: none"> a. a period of 12 Months commencing on the Commencement Date; or b. thereafter a period of 12 Months commencing on each anniversary of the Commencement Date; <p>provided that the final Contract Year shall end on the expiry or termination of the Term;</p>
“Contracting Authority”	means any contracting authority as defined in Regulation 2 of the Regulations;
“Contractor”	means the contractor named on the form of Contract on the second page;
“Contractor Existing IPR”	any and all IPR that are owned by or licensed to the Contractor and which are or have been developed independently of the Contract (whether prior to the Commencement Date or otherwise)
“Contractor Existing IPR Licence”	means a licence to be offered by the Contractor to the Contractor Existing IPR;
“Contractor Personnel”	means all directors, officers, employees, agents, consultants and contractors of the Contractor and/or of any Sub-

	contractor engaged in the performance of the Contractor's obligations under the Contract from time to time;
"Contractor Representative"	means the individual authorised to act for the Contractor for the purposes of the Contract, being the person specified in the Key Provisions;
"Contracts Finder"	means the facility provided by the Cabinet Office to advertise contract opportunities available at https://www.gov.uk/contracts-finder and any successor facility or website;
"Control"	means the beneficial ownership of more than 50% of the issued share capital of a company or the legal power to direct or cause the direction of the management of the company and "Controls" and "Controlled" shall be interpreted accordingly;
"Controller", "Processor", "Data Subject", "Personal Data", "Personal Data Breach", "Data Protection Officer"	take the meaning given in the GDPR;
"Crown"	means the government of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Executive and the National Assembly for Wales), including, but not limited to, government ministers and government departments and particular bodies, persons, commissions or agencies from time to time carrying out functions on its behalf;
"Crown IPR"	means any IPR which is owned by or licensed to the Crown, and which are or have been developed independently of the Contract (whether prior to the Commencement Date or otherwise);
"Data Loss Event"	any event that results, or may result, an unauthorised access to Personal Data held by the Contractor under this Contract, and/or actual or potential loss and/or destruction of Personal Data in breach of this Contract, including any Personal Data Breach;

“Data Protection Impact Assessment”	means an assessment by the Controller of the impact of the envisaged Processing on the protection of Personal Data;
“Data Protection Legislation”	means (i) the GDPR, (ii) Data Protection Act 2018 to the extent that it relates to processing of Personal Data and privacy; (iii) the Privacy and Electronic Communications Regulations 2003 (SI 2003/2426); and (iv) all applicable Law about the processing of Personal Data and privacy;
“Default”	<p>means any breach of the obligations of the relevant Party (including but not limited to fundamental breach or breach of a fundamental term) or any other default, act, omission, negligence or negligent statement:</p> <ul style="list-style-type: none"> a. in the case of the Authority, of its employees, servants or agents; or b. in the case of the Contractor, of its Sub-contractors or any Contractor Personnel, c. in connection with or in relation to the subject matter of the Contract and in respect of which such Party is liable to the other;
“Delivery Phase”	the period between the Commencement Date and the date that the Authority confirms in writing that the Go-Live Milestone has been met;
“DOTAS”	if applicable means the Disclosure of Tax Avoidance Schemes rules which require a promoter of tax schemes to tell HM Revenue & Customs of any specified notifiable arrangements or proposals and to provide prescribed information on those arrangements or proposals within set time limits as contained in Part 7 of the Finance Act 2004 and in secondary legislation made under vires contained in Part 7 of the Finance Act 2004 and as extended to national insurance contributions by the National Insurance Contributions (Application of Part 7 of the Finance Act 2004) Regulations 2012, SI 2012/1868 made under s.132A Social Security Administration Act 1992;
“End User”	means a party that is accessing the Services provided pursuant to this Contract (including the Authority where it is accessing services on its own account as a user);

“Environmental Information Regulations”	means the Environmental Information Regulations 2004 and any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to such regulations;
“Equality Legislation”	means any and all legislation, applicable guidance and statutory codes of practice relating to equality, diversity, non-discrimination and human rights as may be in force in England and Wales from time to time including, but not limited to, the Equality Act 2010, the Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000 and the Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002 (SI 2002/2034) and the Human Rights Act 1998;
“Existing IPRs”	means any and all Intellectual Property Rights that are owned by or licensed to either Party and which are or have been developed independently of the Contract (whether prior to the Commencement Date or otherwise);
“Exit Day”	shall have the meaning in the European Union (Withdrawal) Act 2018;
“Exit Plan”	means the plan for the provisions of the Transitional Assistance Services in the event of the expiry or termination of the Contract, which is to be developed by the Parties pursuant to Clause 9 (Exit and Service Transfer) of Schedule 1;
“Expiry Date”	means the date upon which the Contract shall end which shall be the end of the Initial Term unless the Contract is extended or terminated in accordance with the terms and conditions of the Contract in which case it shall mean that earlier or later date;
“FOIA”	means the Freedom of Information Act 2000 and any subordinate legislation made under this 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”	any event outside the reasonable control of either Party affecting its performance of its obligations under the Contract 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, fire, flood, storm or earthquake, or disaster but excluding any industrial dispute relating to the Contractor or the Contractor Personnel or any other failure in the Contractor's or a Sub-contractor's supply chain or, for the avoidance of doubt, the withdrawal of the United Kingdom from the European Union and any related circumstances, events, changes or requirements;

“Force Majeure Notice”	a written notice served by the Affected Party on the other Party stating that the Affected Party believes that there is a Force Majeure Event;
“Fraud”	means any offence under Laws creating offences in respect of fraudulent acts (including the Misrepresentation Act 1967) or at common law in respect of fraudulent acts including acts of forgery;
“GDPR”	means the UK GDPR as defined in section 3(10) (as supplemented by section 205(4)) of the Data Protection Act 2018;
“General Anti-Abuse Rule”	if applicable, means (a) the legislation in Part 5 of the Finance Act 2013; and (b) any future legislation introduced into parliament to counteract tax advantages arising from abusive arrangements to avoid national insurance contributions;
“General Change in Law”	means a Change in Law where the change is of a general legislative nature (including taxation or duties of any sort affecting the Contractor) 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;

“Halifax Abuse Principle”	if applicable, means the principle explained in the CJEU Case C-255/02 Halifax and others;
“HFE Legislation”	<ul style="list-style-type: none"> a) the Human Fertilisation and Embryology Act 1990 (“the 1990 Act”); b) the Human Fertilisation and Embryology Act 2008 (“the 2008 Act”); c) any Regulations and Directions made under the 1990 Act or the 2008 Act; d) all applicable laws and regulations relating to the disclosure of information falling within section 31(2) of the 1990 Act; and <p>where applicable, the Licence Conditions, and Codes of Practice issued by the HFEA;</p>
“Impact Assessment”	<p>an assessment of the impact of a Variation request, completed in good faith, including:</p> <ul style="list-style-type: none"> a. details of the impact of the proposed Variation on the Services and the Contractor’s ability to meet its other obligations under the Contract; b. details of the cost of implementing the proposed Variation; c. details of the ongoing costs required by the proposed Variation when implemented, including any increase or decrease in the Contract Price, any alteration in the resources and/or expenditure required by either Party, and any alteration to the working practices of either Party; d. a timetable for the implementation, together with any proposals for the testing of the Variation; and e. such other information as the Authority may reasonably request in (or in response to) the Variation request.
“Initial Term”	has the meaning set out in the Order Form;

“Information”	means all information of whatever nature, however conveyed and in whatever form, including in writing, orally, by demonstration, electronically and in a tangible, visual or machine-readable medium (including CD-ROM, magnetic and digital form);
“Intellectual Property Rights”	includes: <ul style="list-style-type: none"> a. copyright, rights related to or affording protection similar to copyright, rights in databases, patents and rights in inventions, semi-conductor topography rights, trade marks, rights in internet domain names and website addresses and other rights in trade or business names, goodwill, designs, Know-How, trade secrets and other rights in Confidential Information; b. applications for registration, and the right to apply for registration, for any of the rights listed at (a) that are capable of being registered in any country or jurisdiction; and c. all other rights having equivalent or similar effect in any country or jurisdiction;
“Key Personnel”	means those persons named in Schedule 11 as being key personnel or such persons as shall be agreed in writing by the Authority from time to time;
“Key Provisions”	means the Key Provisions and Optional Key Provisions (as applicable) set out in Schedule 1;
“Know-How”	means all ideas, concepts, schemes, information, knowledge, techniques, methodology, and anything else in the nature of know-how relating to the Services but excluding know-how already in the other Party’s possession before the applicable Commencement Date;
“Law”	means any law, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of Section 2 of the European Communities Act 1972, regulation, order, regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or

requirements with which the Contractor is bound to comply including but not limited to the Modern Slavery Act 2015;

“Losses”

losses, liabilities, damages, costs 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;

“Milestones”

means the milestones set out in the Tender in response to Question AQ4 which may be amended at any time on mutual agreement by the Parties during the Delivery Phase;

“Month”

means calendar month;

“New IPR”

means:

- a. Intellectual Property Rights in items created by the Contractor (or by a third party on behalf of the Contractor) specifically for the purposes of the Contract and updates and amendments of these items including (but not limited to) database schema; and/or
- b. Intellectual Property Rights in or arising as a result of the performance of the Contractor’s obligations under the Contract and all updates and amendments to the same;

But shall not include the Contractor’s Existing IPR;

“New IPR Item”

means a deliverable, document, product or other item within which New IPR subsists;

“Occasion of Tax Non-Compliance”

means:

- a. any tax return of the Contractor submitted to a Relevant Tax Authority on or after 1 October 2012 is found on or after 1 April 2013 to be incorrect as a result of:
 - i) a Relevant Tax Authority successfully challenging the Contractor 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 Contractor was involved in, and which was, or should have been, notified to a Relevant Tax Authority under the DOTAS or any equivalent or similar regime; and/or

- b. any tax return of the Contractor 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;

“Open Licence”

means any material that is published for use, with rights to access and modify, by any person for free, under a generally recognised open licence including Open Government Licence as set out at <http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3/> and the Open Standards Principles documented at <https://www.gov.uk/government/publications/open-standards-principles/open-standards-principles> ;

"Open Licence Publication Material"

means items created pursuant to the Contract which the Authority may wish to publish as Open Licence which are supplied in a format suitable for publication under Open Licence;

"Party"

means a party to the Contract;

“Premises”

means, where applicable, the location where the Services are to be supplied, as set out in the Schedule 4 (Specification);

“Processing”

means any operation or set of operations which is performed on Personal Data or on sets of Personal Data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission,

dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction;

“Processor Personnel” means all directors, officers, employees, agents, consultants and contractors of the Processor and/or of any Sub-Processor engaged in the performance of its obligations under this Contract;

“Protective Measures” means appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it;

“Profiling” means any form of automated Processing of Personal Data consisting of the use of Personal Data to evaluate certain personal aspects relating to a natural person, in particular to analyse or predict aspects concerning that natural person's performance at work, economic situation, health, personal preferences, interests, reliability, behaviour, location or movements;

“Prohibited Act” means:

- a. to directly or indirectly offer, promise or give any person working or engaged by a Contracting Authority and/or 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. committing any offence:
 - i) under the Bribery Act 2010;
 - ii) under legislation creating offences concerning Fraud; or
 - iii) at common level concerning Fraud; or

- c. committing (or attempting or conspiring to commit) Fraud;

“Pseudonymising”	means the Processing of Personal Data in such a manner that the Personal Data can no longer be attributed to a specific Data Subject without the use of additional information, provided that such additional information is kept separately and is subject to technical and organisational measures to ensure that the Personal Data are not attributed to an identified or identifiable natural person;
“Public Sector Body”	means a formally established organisation that is (at least in part) publicly funded to deliver a public or government service;
“Purchase Order”	means the purchase order required by the Authority’s financial systems, if a purchase order is referred to in the Key Provisions;
“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 Contractor would reasonably and ordinarily be expected to comply with, and as may be further detailed in the Schedule 4 (Specification) and where applicable shall maintain accreditation with the relevant Quality Standards authorisation body;
“Regulations”	means the Public Contracts Regulations 2015 as amended from time to time;
“Regulatory Bodies”	means government departments and regulatory, statutory and other entities, committees, ombudsman 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 Contract and “Regulatory Body” shall be construed accordingly;
“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”	if applicable, means HM Revenue & Customs, or, if applicable, a tax authority in the jurisdiction in which the Contractor is established;
“Relevant Transfer”	shall have the meaning ascribed in Schedule 10 (Staff Transfer);
“Replacement Contractor”	means any third party contractor of Replacement Services appointed by the Authority from time to time and in accordance with the terms of the Contract;
“Replacement Services”	means any services which are identical or substantially similar to any of the Services and which the Authority receives in substitution for any of the Services following the termination or expiry of the Contract, whether those services are provided by the Authority itself or by any Replacement Contractor;
“Security Policy”	means the HMG Security Policy Framework (April 2014) available at https://www.gov.uk/government/publications/security-policy-framework , as amended by notification to the Contractor from time to time;
“Services”	means the services to be supplied as specified in Schedule 4 (Specification);
“SME”	means an enterprise falling within the category of micro, small and medium-sized enterprises (http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en) defined by the Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises;
“Specific Change in Law”	a Change in Law that relates specifically to the business of the Authority and which would not affect a Comparable Supply;

“Specification”	means the Specification set out in the Order Form or Schedule 4 (Specification), as applicable.
“Step-In Rights”	means the step-in rights, if any, referred to in the Key Provisions;
“Sub-contract”	means the Contractor’s contract with a Sub-contractor whereby that Sub-contractor agrees to provide to the Contractor the Services (or any part thereof) or facilities or services necessary for the provision of the Services (or any part thereof) or necessary for the management, direction or control of the Services;
“Sub-contractor”	means any person appointed by the Contractor to carry out any and/or all of the Contractor’s obligations under the Contract;
“Sub-processor”	means any third party appointed to process Personal Data on behalf of the Contractor related to this Contract;
“Support Phase”	the period immediately following the Delivery Phase until the Expiry Date;
“Tender”	means the tender submitted by the Contractor to the Authority and annexed to Schedule 5 (Tender);
“Term”	means the term as set out in the Order Form;
“Termination Notice”	means any notice to terminate this Contract which is given by either Party in accordance with the provisions of the Contract;
“Termination Period”	means the period specified in the Termination Notice during which period the Authority may require the Contractor to continue to provide the Services after a Termination Notice has been given provided always that such period may not extend the Term (as extended by Clause 5.2 (Term) of Schedule 2) by more than six (6) Months;

"Third Party IPR"	Intellectual Property Rights owned by a third party which is or will be used by the Contractor for the purpose of providing the Services;
"Third Party IPR Licence"	means a licence to the Third Party IPR;
"Transitional Assistance Service Charges"	means the charges, if any, payable by the Authority to the Contractor for the provision of the Transitional Assistance Services, which shall be calculated in accordance with Schedule 6;
"Transitional Assistance Services"	means the services to be provided by the Contractor to the Authority pursuant to Clause 9 (Exit and Service Transfer) of Schedule 1 in order to facilitate the transfer of the Services to the Authority or a Replacement Contractor;
"Unconnected Sub-contract"	means any contract or agreement which is not a Sub-contract and is between the Contractor and a third party (which is not an Affiliate of the Contractor) and is a qualifying contract under regulation 6 of the Reporting on Payment Practices and Performance Regulations 2017
"Unconnected Sub-contractor"	means any third party with whom the Contractor enters into an Unconnected Sub-contract
"Variation"	means any variation to this Contract;
"Variation Form"	means the form set out in Schedule 9 (Variation Form);
"VAT"	means value added tax in accordance with the provisions of the Value Added Tax Act 1994;
"Voluntary, Community and Social Enterprise" or "VCSE"	means a non-governmental organisation that is value-driven and which principally reinvests its surpluses to further social, environmental or cultural objectives;
"Worker"	means any one of the Contractor Personnel which the Authority, in its reasonable opinion, considers is an individual to which Procurement Policy Note 08/15 (Tax Arrangements of Public Appointees) applies in respect of the Services;

“Working Day” means any day other than a Saturday or Sunday or public holiday in England and Wales.

- 1.2. The interpretation and construction of the Contract shall be subject to the following provisions:
 - 1.2.1. words importing the singular meaning include, where the context so admits, the plural meaning and vice versa;
 - 1.2.2. words importing the masculine include the feminine and the neuter;
 - 1.2.3. reference to a Clause is a reference to the whole of that Clause unless stated otherwise;
 - 1.2.4. reference to any statute, enactment, order, regulation or other similar instrument shall be construed as a reference to the statute, enactment, order, regulation or instrument as amended by any subsequent enactment, modification, order, regulation or instrument as subsequently amended or re-enacted;
 - 1.2.5. reference to any person shall include natural persons and partnerships, firms and other incorporated bodies and all other legal persons of whatever kind and however constituted and their successors and permitted assigns or transferees;
 - 1.2.6. the words “include”, “includes” and “including” are to be construed as if they were immediately followed by the words “without limitation”; and
 - 1.2.7. headings are included in the Contract for ease of reference only and shall not affect the interpretation or construction of this Contract.
- 1.3. Where a standard, policy or document is referred to in this Contract by reference to a hyperlink, then if the hyperlink is changed or no longer provides access to the relevant standard, policy or document, the Contractor shall notify the Authority and the Parties shall update this Contract with a reference to the replacement hyperlink.
- 1.4. Any Breach Notice issued by a Party in connection with this Contract shall not be invalid due to it containing insufficient information. A Party receiving a Breach Notice (**“Receiving Party”**) may ask the Party that issued the Breach Notice (**“Issuing Party”**) to provide any further information in relation to the subject matter of the Breach Notice that it may reasonably require to enable it to understand the Breach Notice and/or to remedy the breach. The Issuing Party shall not unreasonably withhold or delay the provision of such

further information as referred to above as may be requested by the Receiving Party but no such withholding or delay shall invalidate the Breach Notice.

- 1.5. In entering into this Contract the Authority is acting as part of the Crown.
- 1.6. Any reference in this Contract which immediately before Exit Day was a reference to (as it has effect from time to time):
 - 1.6.1. any EU regulation, EU decision, EU tertiary legislation or provision of the European Economic Area (“**EEA**”) agreement (“**EU References**”) which is to form part of domestic Law by application of section 3 of the European Union (Withdrawal) Act 2018 shall be read on and after Exit Day as a reference to the EU References as they form part of domestic Law by virtue of section 3 of the European Union (Withdrawal) Act 2018 as modified by domestic Law from time to time; and
 - 1.6.2. any EU institution or EU authority or other such EU body shall be read on and after Exit Day as a reference to the UK institution, authority or body to which its functions were transferred.

SCHEDULE 4 SPECIFICATION

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Introduction

About the HFEA

The Human Fertilisation and Embryology Authority (HFEA) is an executive non-departmental public body of the Department of Health and Social Care in the United Kingdom. It is a statutory body that regulates and inspects all clinics in the United Kingdom providing in vitro fertilisation (IVF), artificial insemination and the storage of human eggs, sperm or embryos. It also regulates human embryo research. The HFEA is responsible for maintaining 'The Register' which stores all fertility treatments in the UK.

Project Background

To date the HFEA has mostly built bespoke internal systems and databases to meet the regulatory needs of the organisation so it can meet its statutory responsibilities. Like with most bespoke systems they are challenging to manage, especially when the original developers have since left the HFEA. This document will go into further detail of the challenges we face with certain systems and processes, and it will become evident that the transformation opportunities are significant.

Summary of scope

The HFEA is seeking to replace its bespoke regulatory licence management system (Epicentre) and web portal used by licenced clinics with Microsoft Dynamics 365 and related cloud portal technologies and is seeking to appoint a delivery partner to assist with the transformation. It's imperative the HFEA use this funding wisely to not only ensure the HFEA adopt sustainable systems for the future, but also so we can be in position to make use of upcoming new technologies, such as AI, without needing to redevelop systems.

There are several operating processes currently within the organisation which would benefit from being modernised, such as case management for enquiries and complaints as well as more streamlined reporting to name a few. By moving our regulatory licence management system to Dynamics 365, we are seeking to adopt a more sustainable platform from a technical standpoint, that will adapt to the organisation's future needs. The HFEA already has a small Dynamics 365 deployment to manage a core statutory function in a discrete area of the organisation which has been met with success.

The HFEA is also considering replacing its existing document management system from OpenText's Content Manager to SharePoint online, so that the HFEA can fully benefit from the integration opportunities between Dynamics and SharePoint, as well as addressing some long-term issues and requirements associated with the existing Content Manager environment.

Transformation

HFEA's preference is to reduce complexity where available so that ongoing management of the delivered solution's code and customisation is kept to a minimum, given we'll need to adhere to Microsoft's roadmap for Dynamics releases and updates. The HFEA is willing to consider amending internal processes to fit standardised systems where we can, respecting our obligations and statutory duties as per the HFEA Act.

Desired timescales

Upon successfully selecting a supplier and agreeing terms, the HFEA would wish to proceed with the transformation project immediately, depending on the availability of the winning supplier. As detailed further in this document, the HFEA's core regulatory bespoke system (Epicentre) is running on out-of-support Windows operating system (Windows 2008) which is a significant risk to the organisation should this system fail.

HFEA Departments

Inspection

This team is primarily tasked with the oversight of clinic operations through regular inspections. Responsibilities include pre-inspection preparations, on-site inspections, post-inspection reporting, and ensuring clinics adhere to the standards set by HFEA.

Business Support Inspection Scheduling (BSIS)

BSIS manage the administration support to the Inspection and Licensing teams such as; inspection scheduling, responding to enquiries from licensed centres and stakeholders, compliance and portal support enquiries, processing and assessing applications and other centre-related administrative matters including but not limited to, updating centre details, managing inspector portfolios, adding or closing centres on epicentre, assigning workflow tasks to inspectors and generating patient experience reports and centre invoices. They also produce a quarterly clinical governance report summarising non compliances found on inspection, incidents and complaints.

Licensing

This team handles activities related to licensing including licence renewals, variations, directions and notices, approving PGTM (Preimplantation Genetic Testing for Monogenic Disorders) conditions, publishing minutes/reports and reporting.

Policy

The policy department makes sure the organisation's policies focus on interpreting the law appropriately in relation to licensed fertility treatments and improving the care and treatment of patients and donors. They manage the content of Code of Practice, HFEA's consent forms and relevant internal policies and SOPs. They run HFEA policy advisory groups e.g. Scientific and Clinical Advances Advisory Committee (SCAAC) and the Horizon Scanning Panel. They also respond to patient, public and sector enquiries, including Parliamentary Questions and FOIs.

Planning & Governance

This department deals with patient complains, incident reports by clinics, whistleblowing, publishing alerts and trend analysis for inspections.

Communications

This department is responsible for various communication-related tasks such as newsletters, social media, press releases, maintaining the HFEA website and portal content, managing patient engagement forums, contact management, and handling enquiries.

Intelligence

This department conducts research and analysis using Register data, along with information and feedback held across the organisation to help improve standards. They work across a broad range of areas which includes:

- Working to make better use of Register data for internal and external audiences.
- Analysing and providing advice to colleagues on working with quantitative and qualitative information.
- Enabling research by external research establishments.
- Publishing clear, accurate and unbiased reports on access to and outcomes of fertility treatment.

They have published the [HFEA dashboard](#) using PowerBI, which gives users the opportunity to explore HFEA data and find statistics on their own areas of interest.

Information and Register

This department is responsible for the integrity of the data held in the HFEA Register. The team works with the sector to correct and improve the data they submit to the HFEA, and internal colleagues use that data in ways that allow the HFEA to improve the experience of patients going through fertility treatment. This team is also responsible for overseeing information management through Information Governance and Records Management. Information collated from treatments involving donation is also provided to applicant requests by those affected by donation.

IT

This department supports the technology needs of the organisation, with a small development and data analyst team primarily supporting PRISM and The Register, as well as infrastructure support.

Finance

This department is made up of three staff who oversee the financial activities of the HFEA, covering fee income and expenses. The current finance system is Sage.

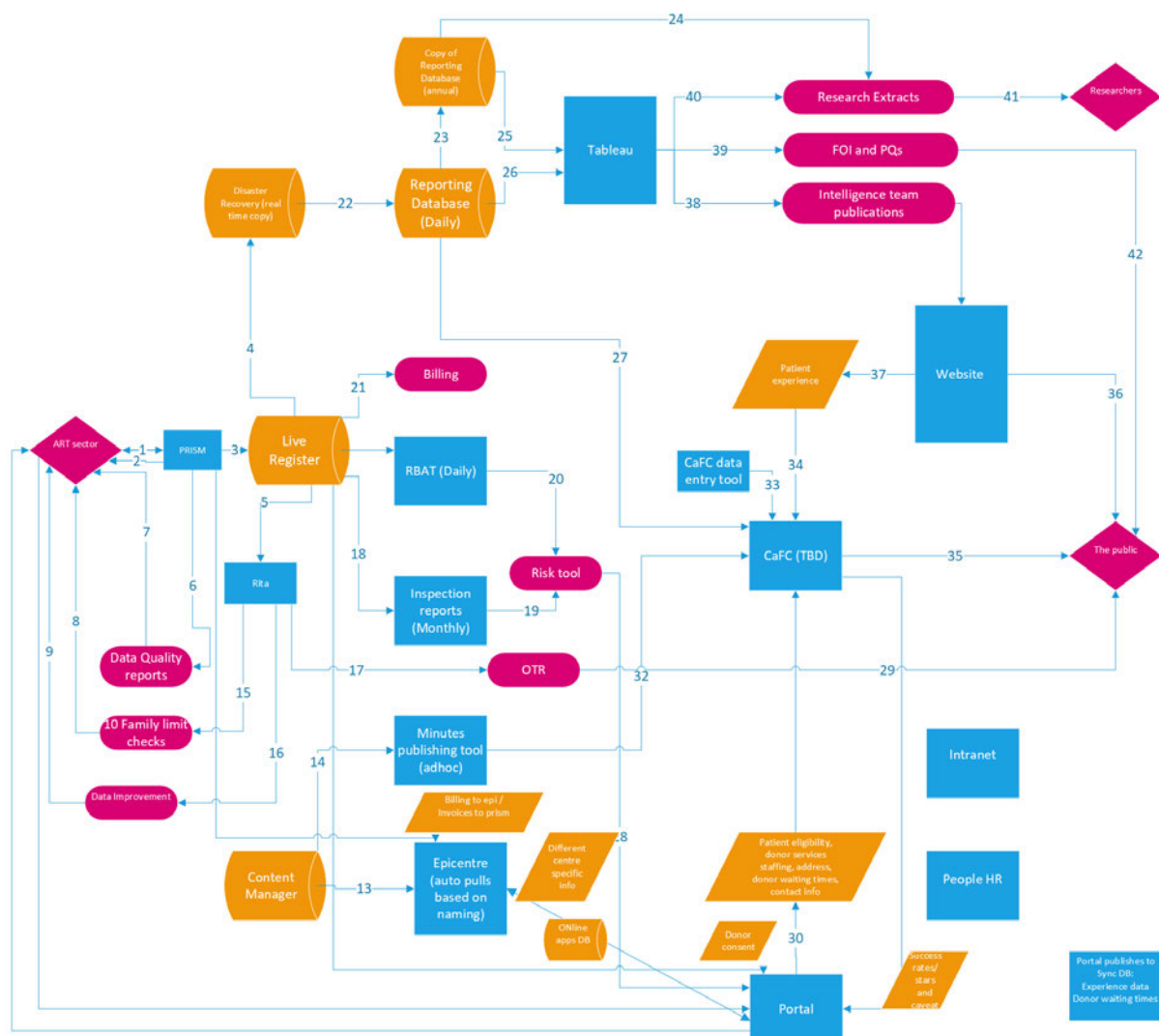
HR

This department is made up of two staff who oversee the human resource activities of the HFEA. The current HR system is PeopleHR (SaaS).

Current system architecture

Filename: **Data Flow 1.2.png**

The following diagram provides a high-level view of the HFEA's main systems.



Epicentre (to be replaced)

Epicentre is the HFEA's regulatory management system, which records and manages activities that relate to clinics including managing licence applications (new and renewals), licensed centres, complaints, incidents, inspections, meetings and key licenced stakeholders. The core licensing and inspection teams depend on Epicentre for their regulatory duties and to meet the HFEA's statutory obligations.

Integration with: HFEA portal, sync service

Technology stack: Windows Server 2008 R2, SharePoint 2010, SQL server

Pain points:

- Due to the system running on a fragile technology stack, the system is not updated and does not receive any security updates.
- Any change requests are not actioned for fear of breaking the system.
- The system is a typical internal web app that is not cloud-native and lacks integration capabilities.
- Licence management is not easy and it's hard to identify variation of existing licences.
- Adding new people to a clinic is not straightforward.
- No option of adding licence length within existing licence.
- Currently the approval mechanism is spreadsheet based.
- Inspection reports are held within the current EDMRS (OpenText Content Manager) with no integration with Epicentre.
- Reporting takes a long time to prepare for stakeholders.
- Views and dashboards can sometimes produce errors when processing request (screenshot below)

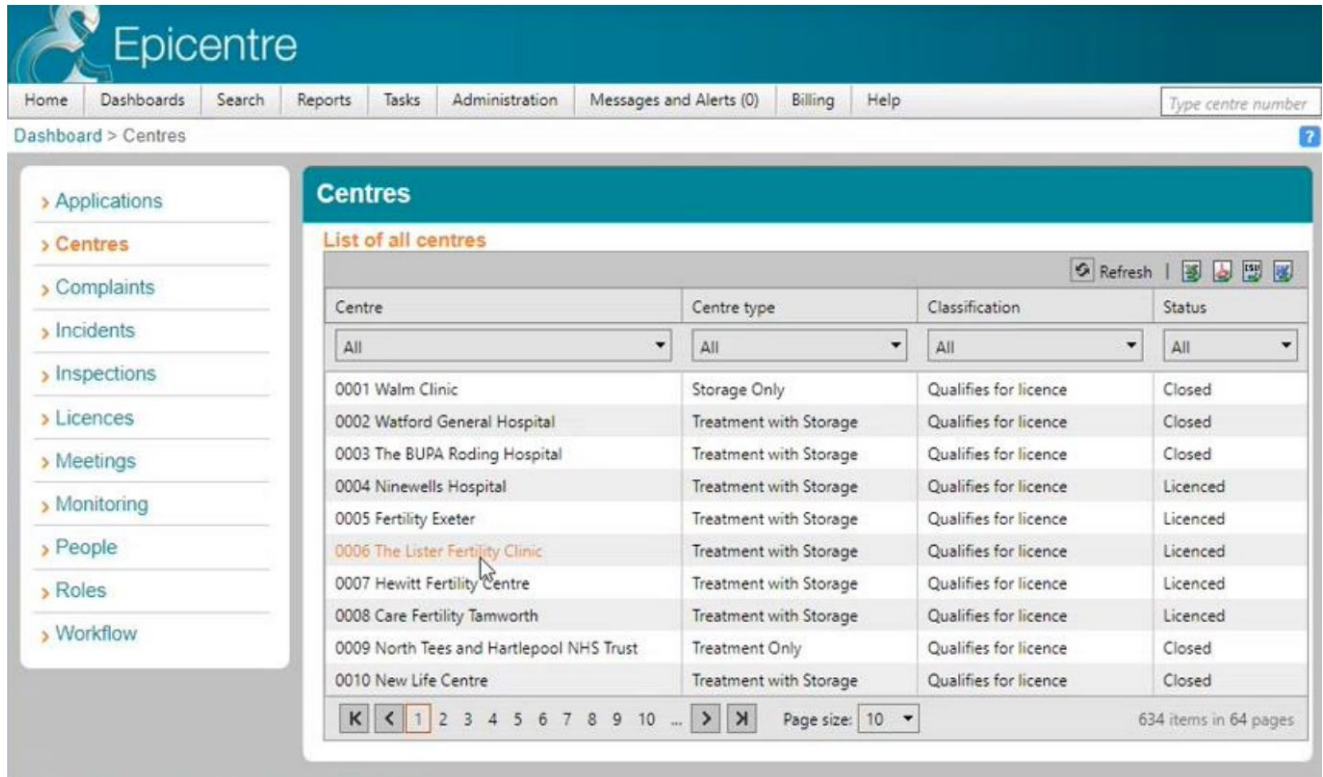
Key features (not exhaustive)

- Basic details of all clinics (licensed, previously licensed and proposed new clinics), including allocated HFEA inspector.
- Incidents and complaints logged (manual input).
- Non-compliances from inspection in Monitoring section (uploaded from Post Inspection tool). This links to the Clinic Portal so that centres can see action required too.
- Applications from Clinic Portal logged automatically (several types of application form – not just inspection).
- Workflow – applications assigned to individual inspector. Progress through workflow steps from start to finish.
- 'Partners' – lists all satellite/transport clinics associated with a licensed clinic. This feeds automatically to our public facing CaFC (Choose a Fertility Clinic) webpage.

- Reports can be run – e.g. Gamete In/Out forms via PRISM data and patient feedback from CaFC reports are generated via Epicentre.

Filename: Epicentre 1.png

Description: List of centres licensed by the HFEA

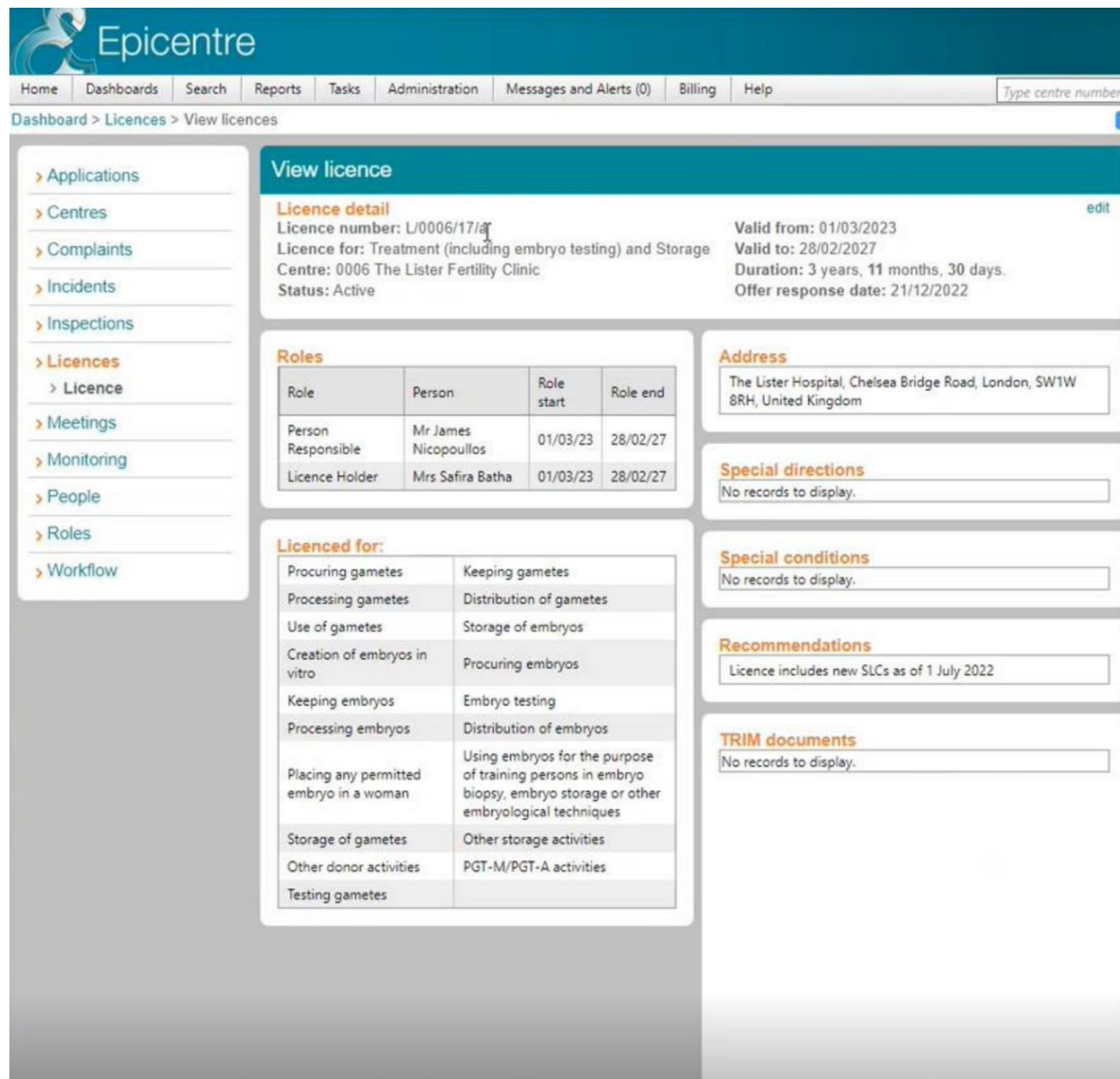


The screenshot shows the Epicentre web application interface. The top navigation bar includes links for Home, Dashboards, Search, Reports, Tasks, Administration, Messages and Alerts (0), Billing, and Help. A search bar on the right is labeled 'Type centre number'. Below the navigation bar, the breadcrumb 'Dashboard > Centres' is visible. On the left, a sidebar menu lists various application areas: Applications, Centres (highlighted), Complaints, Incidents, Inspections, Licences, Meetings, Monitoring, People, Roles, and Workflow. The main content area is titled 'Centres' and displays a 'List of all centres' table. The table has four columns: Centre, Centre type, Classification, and Status. It lists 10 centres, with the 6th row, '0006 The Lister Fertility Clinic', highlighted in orange. The table footer shows pagination controls (1-10, ..., >), a page size of 10, and a total of 634 items in 64 pages.

Centre	Centre type	Classification	Status
All	All	All	All
0001 Walm Clinic	Storage Only	Qualifies for licence	Closed
0002 Watford General Hospital	Treatment with Storage	Qualifies for licence	Closed
0003 The BUPA Roding Hospital	Treatment with Storage	Qualifies for licence	Closed
0004 Ninewells Hospital	Treatment with Storage	Qualifies for licence	Licensed
0005 Fertility Exeter	Treatment with Storage	Qualifies for licence	Licensed
0006 The Lister Fertility Clinic	Treatment with Storage	Qualifies for licence	Licensed
0007 Hewitt Fertility Centre	Treatment with Storage	Qualifies for licence	Licensed
0008 Care Fertility Tamworth	Treatment with Storage	Qualifies for licence	Licensed
0009 North Tees and Hartlepool NHS Trust	Treatment Only	Qualifies for licence	Closed
0010 New Life Centre	Treatment with Storage	Qualifies for licence	Closed

Filename: Epicentre 2.png

Description: View of a licence within Epicentre, Roles, Licensed Activities



Epicentre

Home Dashboards Search Reports Tasks Administration Messages and Alerts (0) Billing Help

Dashboard > Licences > View licences

View licence

Licence detail edit

Licence number: L/0006/17/a
 Licence for: Treatment (including embryo testing) and Storage
 Centre: 0006 The Lister Fertility Clinic
 Status: Active

Valid from: 01/03/2023
 Valid to: 28/02/2027
 Duration: 3 years, 11 months, 30 days
 Offer response date: 21/12/2022

Roles

Role	Person	Role start	Role end
Person Responsible	Mr James Nicopoulllos	01/03/23	28/02/27
Licence Holder	Mrs Safira Batha	01/03/23	28/02/27

Address

The Lister Hospital, Chelsea Bridge Road, London, SW1W 8RH, United Kingdom

Special directions

No records to display.

Special conditions

No records to display.

Recommendations

Licence includes new SLCs as of 1 July 2022

TRIM documents

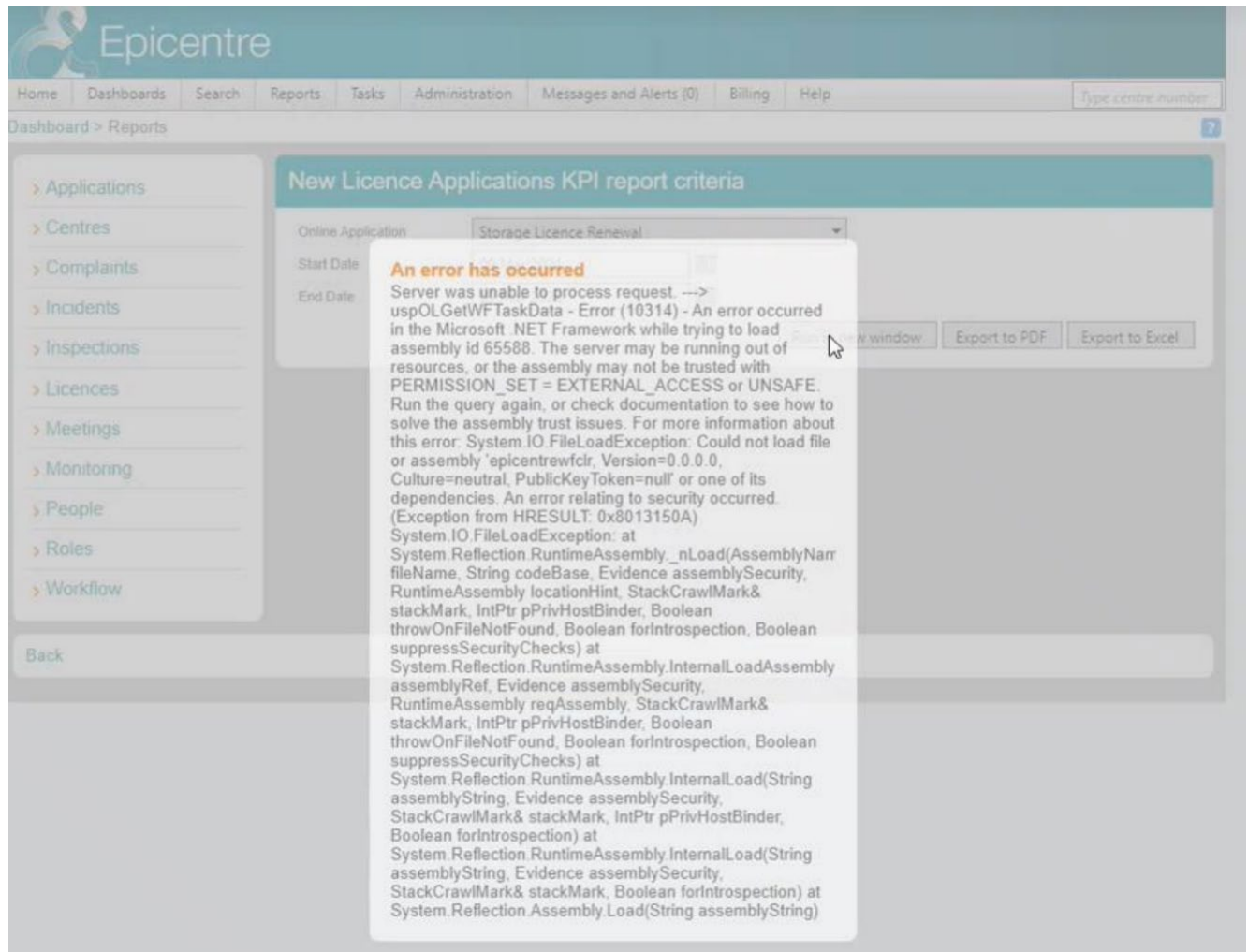
No records to display.

Licensed for:

Procuring gametes	Keeping gametes
Processing gametes	Distribution of gametes
Use of gametes	Storage of embryos
Creation of embryos in vitro	Procuring embryos
Keeping embryos	Embryo testing
Processing embryos	Distribution of embryos
Placing any permitted embryo in a woman	Using embryos for the purpose of training persons in embryo biopsy, embryo storage or other embryological techniques
Storage of gametes	Other storage activities
Other donor activities	PGT-M/PGT-A activities
Testing gametes	

Filename: Epicentre 3.png

Description: Example .NET error in Epicentre that has not been fixed.



Epicentre – Dependencies and interactions

From	To	Process
Epicentre	Sage	Monthly process is run which exports a file which is manually imported into Sage by Finance team so invoices can be added to ledger. PRISM uses an Automated Billing Service (ABS) to generate invoices based upon treatment activity at clinics
Epicentre Centre overview details	Prism, Report Server	A data sync job runs on the production server to extract centre, centre links and licence details to be pushed to the transfer storage account. One account for prism, another for reporting.
Epicentre, numerous tables. Bi-directional on some tables	Portal	Portal gets its updates when an Epicentre record is inserted/modified. A record is maintained on the sync database and subsequently added to the Portal message queue for processing
Epicentre	Permissions	We have a permissions database that currently has all centres maintained by Epicentre. This requirement will probably disappear
Epicentre	RBAT	RBAT looks up centre and inspector details via views
Epicentre	Service Broker	Some background processing is carried out using SQL Server Service Broker

Bespoke tools that interact with Epicentre

Bespoke Tool name	What it does	Scope (to be)
Online Application Viewer (AccessBlobStorage)	Looks up applications submitted via portal	Replaced as portal and Epicentre to be replaced by Dynamics
EpicentrePRLHMaintenance	This application makes up for issues with the current Epicentre application not being able to create Person Responsible (PR) and Licence Holders (LH) users via the existing user interface. In addition it has a wrapper to create Azure B2C users accounts (for portal access) in the three environments currently available (dev, prerod, prod).	Replaced as portal and Epicentre to be replaced by Dynamics
Azure Sanity Check	Checks data synchronized correctly between Portal, sync database and Epicentre	Replaced as portal and Epicentre to be replaced by Dynamics
Azure User Console	Looks up centre details – not sure if still being used	Replaced as portal and Epicentre to be replaced by Dynamics
Code of Practice application	Maintains Code of Practice (COP) data tables	Replaced as portal and Epicentre to be replaced by Dynamics
QA Application	Looks up centre details, and used for reporting across the warehouse and legacy register	
Risk Tool Data Analysis	Looks up centre details and used in reporting	Replaced as portal and Epicentre to be replaced by Dynamics
Risk Tool	Reporting	Replaced as portal and Epicentre to be replaced by Dynamics
HFEA-WS	Internal web service used by RBAT, QA App	Replaced as portal and Epicentre to be replaced by Dynamics

HFEA portal (to be replaced)

The HFEA portal (<https://portal.hfea.gov.uk>) provides guidance and general information for clinics, which is accessible to anyone that visits the main page. Licensed clinics can also log into the portal using a username/password which is issued by the HFEA, which allows clinics to submit licence applications, self-assessment questionnaires (SAQs) and administer other items that relate to their HFEA licence.

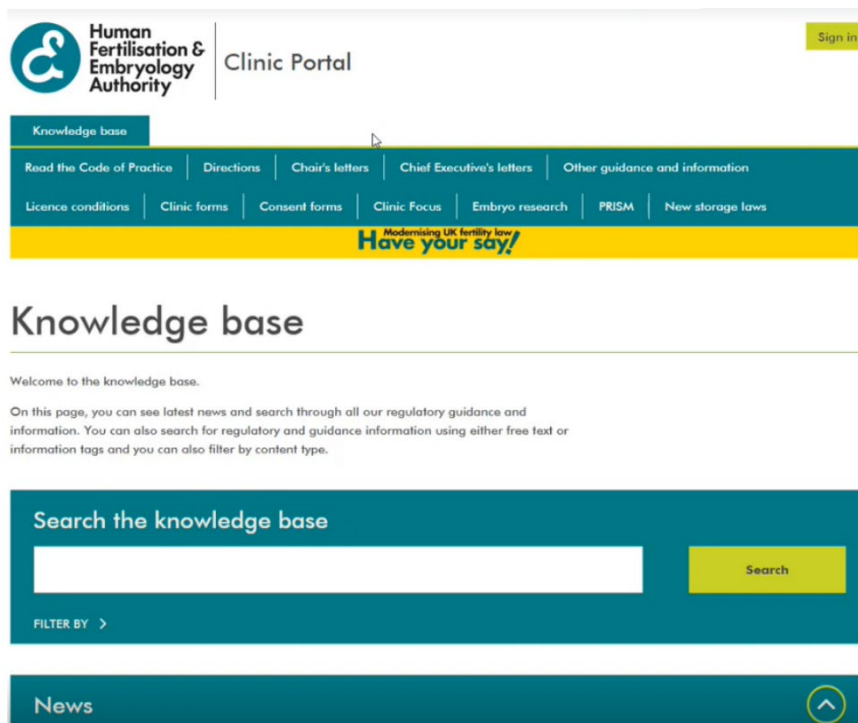
Integration with: Epicentre and other intermediary databases (e.g. which store licence application submissions)

Technology stack: Umbraco (Azure services non-VM), authentication managed by Azure B2C

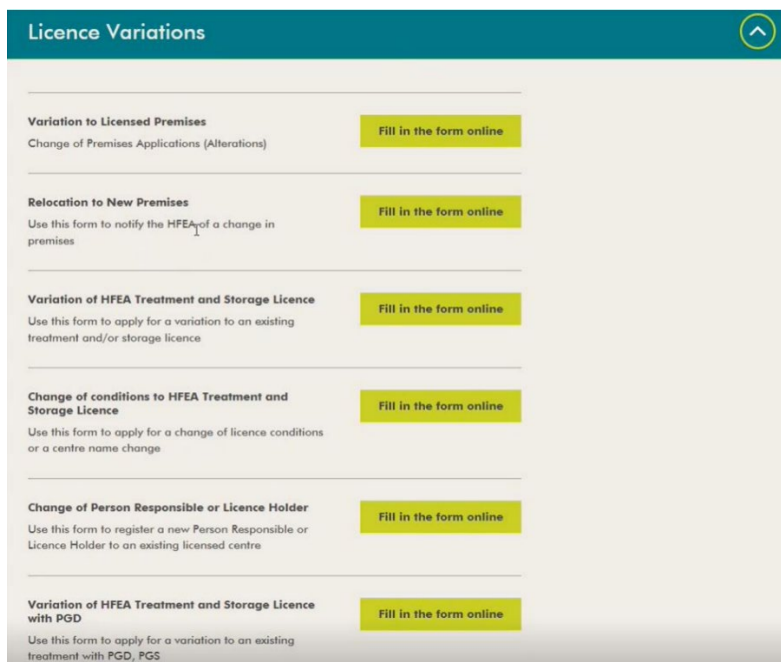
Pain points:

- The portal suffers from poor performance since launch, often leaving clinic users to be logged out whilst in the middle of a licence application or shown a 'Something went wrong' error message, which is frustrating for our clinic stakeholders.
- Amending application portal forms is complex due to the technology and requires forms to be rebuilt on each amendment.
- Clinic users are unable to register to receive HFEA alerts due to broken form integration (HFEA alerts are official email notifications from the HFEA e.g. when there's a field safety notice from a manufacturer or via the MHRA, Medicines & Healthcare products Regulatory Agency)
- Finance users at clinics can't enter a preferred purchase order number for HFEA finance to use for future invoices due to broken form integration.
- General lack of bidirectional integration between Epicentre and the portal.

Filename: Portal 1.png. Description: Main page of HTA portal (<https://portal.hfea.gov.uk>)



Filename: Portal 2.png. Description: Portal page to complete a licence variation form after portal user signed-in



HFEA Portal forms

Form name	Hosted	No. of questions	Summary (what it does)
About your clinic https://portal.hfea.gov.uk/my-profile/clinic-details/	Umbraco	14	Allows user to update clinic contact details, organisation type, data submission system, staff complement by role.
CaFC data https://portal.hfea.gov.uk/my-profile/cafc-information/	Umbraco	50	Allows user to update clinic profile image, treatments, opening hours, facilities, staff, counselling, donor services, donor source, donor gamete availability.
Clinic Portal user set up https://portal.hfea.gov.uk/my-profile/manage-users/create-user/	Umbraco	8	Allows a clinic's Person Responsible (PR) to add a new user at their clinic. Roles to select: User admin, General user, Finance, Register Data
Manage users https://portal.hfea.gov.uk/my-profile/manage-users/	Umbraco	10	Allows user to update users' email addresses and roles.
Annual Data Submission for GIFT	Online apps DB	77	Viewed using bespoke desktop app
Annual Data Submission for IUIP	Online apps DB	77	Viewed using bespoke desktop app
Application to Authorise an Importing Tissue Establishment	Online apps DB	54	Viewed using bespoke desktop app
Change of conditions to HFEA Treatment and Storage Licence	Online apps DB	28	Viewed using bespoke desktop app
Change of Person Responsible or Licence Holder	Online apps DB	49	Viewed using bespoke desktop app
Licence Enquiry Form	Online apps DB	319	Viewed using bespoke desktop app
New HFEA Storage Licence	Online apps DB	170	Viewed using bespoke desktop app
New HFEA Treatment and Storage Licence	Online apps DB	229	Viewed using bespoke desktop app
New HFEA Treatment and Storage Licence with PGD	Online apps DB	235	Viewed using bespoke desktop app
New Research Licence	Online apps DB	112	Viewed using bespoke desktop app
New Treatment (IUI DI) Licence	Online apps DB	184	Viewed using bespoke desktop app
New Treatment (IUI) Licence	Online apps DB	179	Viewed using bespoke desktop app
PGD or Tissue Typing	Online apps DB	21	Viewed using bespoke desktop app
Preimplantation Genetic Diagnosis (New Condition)	Online apps DB	33	Viewed using bespoke desktop app

Relocation to New Premises	Online apps DB	86	Viewed using bespoke desktop app
Renew HFEA Storage Licence	Online apps DB	169	Viewed using bespoke desktop app
Renew HFEA Treatment and Storage with PGD and PGS Licence	Online apps DB	232	Viewed using bespoke desktop app
Renewal of HFEA Research Licence	Online apps DB	110	Viewed using bespoke desktop app
Renewal of HFEA Treatment and Storage Licence	Online apps DB	168	Viewed using bespoke desktop app
Renewal of HFEA Treatment IUI Licence	Online apps DB	179	Viewed using bespoke desktop app
Renewal Treatment (IUI DI) Licence	Online apps DB	183	Viewed using bespoke desktop app
Special Direction Application Form	Online apps DB	63	Viewed using bespoke desktop app
Variation of HFEA Research Licence Activities	Online apps DB	125	Viewed using bespoke desktop app
Variation of HFEA Research Premises Licence	Online apps DB	37	Viewed using bespoke desktop app
Variation of HFEA Research Purpose Licence	Online apps DB	26	Viewed using bespoke desktop app
Variation of HFEA Treatment and Storage Licence	Online apps DB	129	Viewed using bespoke desktop app
Variation of HFEA Treatment and Storage Licence with PGD	Online apps DB	132	Viewed using bespoke desktop app
Variation of Treatment (IUI DI) Licence	Online apps DB	85	Viewed using bespoke desktop app
Variation of Treatment (IUI) Licence	Online apps DB	80	Viewed using bespoke desktop app
Variation to Licensed Premises	Online apps DB	73	Viewed using bespoke desktop app

To note:

The numbers of questions is the maximum possible. In reality, some questions would be hidden depending on previous answers, that's why some seem very high.

For checkboxes, radio buttons and dropdowns we have counted them as one regardless how many options they have. For check boxes there could be multiple inputs, but counted as one.

These are only input fields, so doesn't include any labels, images, URLs, or other formatting elements which need to be added to the form. Control logic decides which fields are enabled/disabled based on previous answers.

Other related bespoke applications

Red Binoculars app (to be replaced)

- To view application forms and Self-Assessment Questionnaires (SAQs) submitted via the clinic portal.

Risk Tool (not currently working)

- Viewing SAQ submitted via the Clinic Portal
- Viewing Charts of centre success rates vs national averages.
- General Performance Indicators accessed via this app. Includes success rates (e.g. pregnancy rates), but also centre specific details re invoice payment and treatment outcomes that are missing (not submitted by a clinic when should have been). When breached, an automated 'risk tool alert' is sent to both the clinic and the clinic's inspector for action.

Post Inspection Tool (to be replaced)

- Generating inspection notebooks (the sections of the notebook are stored on Content Manager and then pull across to this app).
- Generating inspection reports (template on Content Manager and pulled across to this app).
- Uploading non compliances to Epicentre for on-going monitoring.

Migration from OpenText Content Manager to SharePoint Online

The HFEA currently uses OpenText Content Manager 10.1 as its main document management system, which is a traditional server/client deployment that requires desktop software to be installed on all user's computers. Overall, the product is not well liked from an end-user's perspective and technically it's challenging to manage. As the HFEA is embarking on replacing Epicentre with Dynamics, it is now a good opportunity to migrate from Content Manager to SharePoint so the HFEA can fully benefit from the cloud-native integration opportunities that Dynamics and SharePoint offer.

There are some ad hoc SharePoint sites that were created for specific use cases, such as needing to share with external parties or where co-authoring of documents is required. These SharePoint sites will be brought into project scope to ensure good records management policies are applied going forward, once they have been fully defined and approved as part of this project.

We are looking to engage with a partner who can plan an end-to-end delivery to move the HFEA's document management system to SharePoint including but not limited to:

- SharePoint configuration: design, configuration, site hierarchy, permissions, content types, versioning logic, presentation, search configuration, site templates, auditing and reporting of SharePoint.
- Migration of data types: Folders, files, metadata, versions, and links.
- Records Management: File plan and retention policy design and configuration.

Technology stack: Runs on Azure VM for SQL server, Azure Blob storage.

Content Manager Storage (approximate figures): Content Manager is currently holding 414,000 records, with the Azure storage account storing 855,000 items with total size 900GB.

Existing small SharePoint sites (approximate figures): 17 active SharePoint sites, 110GB with 14,000 files.

Pain points:

- Updating and maintaining Content Manager is challenging from an IT perspective.
- Setting up new user profiles is problematic and making changes is challenging e.g. name change
- User experience of Content Manager is poor;
 - Desktop software is not perceived as being user friendly.
 - Outlook plug-in and integration is unreliable.
 - Search results are not comprehensive.
 - Recycle bin feature does not work.
- No native integration with Microsoft Dynamics or other Microsoft cloud services.

- Content Manager lacks document collaboration capabilities like co-authoring of documents.
- Challenges with managing information asset classifications and records management activities, with no automated labelling features. Retention labelling and running disposal actions is a manual process.

Scoping position of systems

System	Scoping position	Description
Epicentre	MUST be replaced	The HFEA's main bespoke system which is used to manage the regulatory activities of the organisation.
HFEA portal	MUST be replaced	Internet facing portal that is used by clinics to manage their licence, submit new licence applications or renewals and other administrative tasks.
Red Binoculars	MUST be replaced	Custom desktop app used by inspectors to view portal submissions/applications sent to intermediary database. Expected to be replaced if Epicentre and Portal are replaced with Dynamics
Post Inspection Tool	MUST be replaced	Generating inspection notebooks/reports. Uploading non-compliance to Epicentre
OpenText Content Manager	MUST be replaced	HFEA's main internal EDRMS to be replaced with SharePoint
Inspector's Notebooks	COULD be replaced	Extensive Microsoft Word template used by inspectors throughout the inspection. Needs consideration.
Risk Tool	COULD be replaced	Bespoke system used by inspectors
The Register	WON'T be replaced	Database that stores all fertility treatments in the UK.
PRISM	WON'T be replaced	System which allows clinics to submit treatment data into The Register.
RITA	WON'T be replaced	A version of PRISM used only by internal HFEA staff.
Reporting databases (PRISM/Register)	WON'T be replaced	Any reporting database that analyses the treatment data held in The Register.
HFEA website	WON'T be replaced	Main HFEA website running on Umbraco, like the HFEA portal, but on a separate cloud instance.

Inspections Processes (As-Is Process)

Inspection process stage	As-Is	Requirements (TBC)
Submission of application form and self-assessment questionnaire (SAQ) from clinic	<p>Both are submitted via the Clinic Portal by the clinic.</p> <p>Once submitted, the application ‘appears’ on Epicentre and is assigned to the clinic inspector’s workflow. An automated email is generated and is sent to the clinic’s inspector.</p> <p>Although the SAQ doesn’t appear on Epicentre, an automated email is generated and sent to the clinic’s inspector.</p>	Application forms and SAQs to be submitted on new Microsoft portal and managed within Dynamics with workflow management.
Review of application form	<p>Red Binoculars app is used to view application form and save as a PDF.</p> <p>Can ‘approve’ or ‘reject’ application form from workflow on Epicentre. We ‘reject’ if we require a clinic to make some changes and then they can see it their end of the Clinic Portal again.</p> <p>[SAQ can also be viewed via Red Binoculars, but format isn’t great. We use the Risk Tool Analysis app to view and create a PDF.]</p>	Dynamics to manage the workflow of applications.
Generate an inspection notebook	<p>Post Inspection app is used to download a Word template notebook from Content Manager (different templates available depending on the type of inspection).</p> <p>This notebook will be automatically partially populated with clinic specific details:</p> <ul style="list-style-type: none"> • From Epicentre - general details about the clinic (address/licence expiry date etc). • Number of cycles of treatment the clinic provided in the last year 	Dynamics to populate Word-based inspection notebook, assuming we keep the Word-based notebook and don’t move to an alternative solution.

	<ul style="list-style-type: none"> It will also pull through all SAQ details and add to the <i>correct section</i> of the notebook. Charts with success rates for the clinic vs national average. (these charts are also available for review via the Risk Tool Analysis app). <p>The SAQ has approximately 380 questions and is split into 31 'Guidance Notes'. These questions form the main structure of the inspection notebook.</p> <p>Two main types of inspection notebook templates: Interim notebook: 31 pages Renewal notebook: 120 pages</p> <p>These will then be populated with additional information by the inspector and can reach over 200 pages. Often have documents (Word/PDF) embedded within too.</p> <p>Additional information includes: details of incidents/complaints (from Epicentre), previous inspections and committee minutes (from Content Manager), patient feedback (report ran from Epicentre), transport of gametes/embryos from outside UK (report ran from Epicentre).</p> <p>Documents requested from the clinic may also be embedded in the notebook.</p>	
Perform inspection and complete inspection notebook	<p>Either on-site inspection or virtual desk based assessment.</p> <p>Each inspector will complete the inspection notebook with their findings.</p> <p>These copies are saved to Content Manager.</p>	TBC how inspectors will record inspection findings in new system.
Write inspection report	Post Inspection app is used to input all non-compliances found on the inspection and then the app will generate a Word template report.	TBC how inspectors will record inspection findings in new system.

	<p>This report will be partially populated with clinic specific details:</p> <ul style="list-style-type: none"> • From Epicentre - general details about the clinic (address/licence expiry date etc) are automatically added. • Non-compliances – added to the <i>correct sections</i> of the report. <p>A copy of the report is saved to Content Manager and then further revision occurs.</p> <p>Draft report goes to centre for their response.</p>	
Finalising inspection report	Inspection team finalises the inspection report and send to licensing department for consideration by a committee.	Dynamics to manage workflow.
Ongoing monitoring	<p>The final non-compliances from the Post Inspection app are uploaded to Epicentre.</p> <p>These appear on the monitoring page of Epicentre, for inspectors to follow up on actions that the clinic was to take following the inspection.</p>	Dynamics to manage non-compliances. New Microsoft Portal to provide licensed centres access to their non-compliances so they can provide updates.

Business Support Inspection Scheduling (BSIS)

High-level Processes	Description	Requirements (TBC)
Inspection scheduling	<ul style="list-style-type: none"> • Inspection schedule is Excel spreadsheet in Content Manager (CM). Only BSIS can make changes to spreadsheet, other HFEA staff can only view. • Planning further inspections (assignment of who is at a later stage around Sep). • Communicate schedule with team. • Dates of inspection are stored in Epicentre, can be subject to change. • Release of SAQs to clinics prior the inspection, via the Risk Tool application for Treatment & Storage. Research is managed via email. 	Consider how Dynamics could manage inspection scheduling.
Licence enquiries	<ul style="list-style-type: none"> • Managing enquiries from clinics that relate to either their current licence or potential new licence. 	Dynamics to manage enquires

Licence applications	<ul style="list-style-type: none"> • BSIS team setup potential new licences on Epicentre; proposed Personal Responsible (PR) and Licence Holder (LH) contact details, potential HFEA inspector that may manage this centre. • BSIS set this centre as 'enquiry only' on Epicentre until licence granted/withdrawal of application. • Inspectors conduct an inspection and create a report which is then taken to committee. • ELP (Executive Licensing Panel) will review standard application. Complex applications are reviewed LC (Licence Committee, often made up of rotating Authority Members) • Once decision has been made, Licensing team update Epicentre with decision e.g. grant/reject licence. 	Dynamics to manage the licence application process and workflows.
Licence renewals / Self-Assessment Questionnaire (SAQ)	<ul style="list-style-type: none"> • BSIS sends centres an email informing SAQs have been released on portal and asks centres to complete, 16 weeks prior to a scheduled inspection and have 4 weeks to complete. • Interim inspection – SAQs are submitted to centre prior to inspection. • Renewals – SAQs and applications are expected to be submitted by centre. • Once SAQ is submitted by centre, the Inspectors will review. • Once application is submitted by centre, Epicentre workflow 	Dynamics to manage the licence renewal process and workflows.

	<p>indicates completion. Epicentre generates invoice request information so that BSIS can send to HFEA finance to generate an invoice. BSIS assign application to centre's inspector for review.</p>	
Reporting	<ul style="list-style-type: none"> Quarterly governance report detailing all the non-compliances identified in the last quarter during inspections. Communications team report trends in non-compliances (not mentioning specific clinics) and included in the Clinic Focus newsletter. Patient Experience Report – Complaints and feedback from patients about the clinics. Clinic post-inspection survey – Ad-hoc survey sent to centres post-inspection (via SurveyMonkey). Up to inspector to send / not always used but desire to increase frequency / possible automation opportunity. KPI – Collation dates and duration for key processes to be completed, number of planned inspections vs actual inspections. Figures manually uploaded to KPI spreadsheet used by all HFEA teams. 	Dynamics/PowerBI to provide reporting. Consider Dynamics for post-inspection survey or integration with existing SurveyMonkey.
Centre Notifications	<ul style="list-style-type: none"> Occasional notifications to all Person Responsible (PR) and nominated HFEA Alert contacts with important communication e.g. from other government bodies 	Dynamics to manage notification to external PRs.
Change of role (PR/LH/Centre name)	<ul style="list-style-type: none"> Centres required to submit application via portal for any change of official roles/details, PR / LH / Centre name). BSIS would review and check qualifications/experience. 	Dynamics/Microsoft portal to manage the request for change of role and associated workflows.

	<p>Prepare a paper to Licensing team with proposed changes which goes to committee to decide.</p> <ul style="list-style-type: none"> Licensing team update Epicentre with changes. BSIS required to provide portal access to new PR/LH. 	
Change of premises	<ul style="list-style-type: none"> Centres required to submit change of premises application via portal. Inspectors carryout inspection at new premises (virtual/onsite), generate a report which goes to committee. Shared responsibility to update Epicentre between Licensing team and BSIS. Potential trigger of invoice to centre if change meets criteria. 	Dynamics/Microsoft portal to manage the request for change of details and associated workflows.
Inspector portfolio management	<ul style="list-style-type: none"> Each centre is assigned an Inspector. Occasionally centres are reassigned to different inspectors. 	Dynamics to manage the assignment of lead inspector to centres.
Adding Satellite centres	<ul style="list-style-type: none"> Does not require a portal application to add a satellite. Centres email Inspector with request to add. Inspector checks third-party agreements before approving. BSIS would add the satellite to Epicentre as a centre that does not require a licence (NQ / Not qualified) but is associated to parent licence that is managed. 	Dynamics to manage the process of adding/removing/changing satellite centres and associated workflows.
Closing a centre	<ul style="list-style-type: none"> Typically managed by the inspection team. Goes to committee for decision. BSIS close centre on Epicentre. 	Dynamics to manage the process of closing centres and associated workflows.
Inspection travel booking	<ul style="list-style-type: none"> BSIS update Excel spreadsheet with travel and accommodation costs that 	To discuss

	relate to each inspection. Not currently stored in Epicentre.	
Inspector's expenses	<ul style="list-style-type: none"> Inspectors submit an expense claim through online expense system (WAP). BSIS check expenses relate to inspection and are reasonable. BSIS approve/reject expense claim. HFEA does not claim expenses back from centres (typically funded through licence fees). 	
PREP test (for Persons Responsible)	<ul style="list-style-type: none"> Completed prior to them applying to become a PR. PR test is online via Adobe Captivate. PR test results sent to BSIS. If passed, then BSIS issue certificate to PR and update Epicentre. BSIS keep an Excel spreadsheet with PR test results pass/fail and invoice numbers. HFEA charge £45 for clinic (not for Research licences) 	HFEA is separately looking at replacing Adobe Captivate with another Learning Management System (LMS). To consider recording PR test results in Dynamics.
Special Directions	<ul style="list-style-type: none"> Centre's PR submit a Special Direction via HFEA portal. Epicentre workflow informs BSIS of a new Special Direction. BSIS assign to centre's inspector for review. 	Dynamics/Microsoft portal to manage the submission and associated workflows.

Licensing (As-Is Process)

The licensing team at HFEA focuses on various areas related to licensing and regulatory compliance. Some of the key areas that the licensing team is responsible for include:

Initial Licensing

The licensing team handles the process of granting initial licences to fertility clinics and research establishments, ensuring compliance with legal requirements and regulations.

Licence Renewal

They manage the renewal process for existing licences, ensuring compliance with legal requirements and regulations.

Research licences

As above the Licensing team handles the processing of initial and renewal licences. This also includes maintaining a record of individual research project titles and research purposes.

Licence Variations

The team handles requests for changes or variations in licenses, such as modifications in services provided, premises changes and certain staffing changes e.g. Person Responsible (PR) and Licence Holder (LH).

Special Directions, notices, suspensions

They oversee the issuing of special products.

PGTM Conditions

The team manages the licensing conditions related to Preimplantation Genetic Testing for Monogenic Disorders (PGTM), ensuring that approved conditions are maintained accurately on the PGTM list which is also shown on the website. PGTM minutes are also linked to the website.

Publishing

They are responsible for publishing relevant information and reports related to licensing, primarily minutes and inspection reports.

Compliance Management

They maintain the list of Standard Licence Conditions that all centres must adhere to and that appear on all licences.

Meeting Scheduling Process

To schedule individual items on SAC, Licence Committee and ELP (Executive Licensing Panel)

Process Area	Current Process	Requirements (TBC)
Whiteboard document creation and updates	Committee Officer updates a whiteboard document in Document Management System (Content Manager)	Potential automation/workflow opportunities in Dynamics
Compliance and Meeting Agenda	Compliance team updates the whiteboard document and emails meeting agenda documents to the Licensing mailbox	
Meeting Preparation and Review	Committee Officer extracts emails from the Licensing mailbox, merges documents and prepares for the upcoming meetings	
Meeting Invitation and Document Access	Committee Officer sends meeting invitations and provides a SharePoint link for Authority Member participants to access merged documents, who have an HFEA account but access from their own devices.	
Meeting Outcomes and Approval	Meeting outcomes and handled in Excel and Word, with documents stored in various systems.	
Licence Document Distribution	Committee Officer sends licence documents to clinics via email.	

Licence Applications/Variations (including renewals)

Process Area	Current Process	Requirements (TBC)
Whiteboard Document creation and updates (Renewal)	Compliance team inserts applications in the whiteboard document in Word	Potential automation/workflow opportunities in Dynamics
	Compliance and Inspectors email Licensing team summary about application and email individual documents for bundling	

Meeting Preparation and Review	Committee Officer creates bundle made up of documents to send to the committee	
	Committee Office invites members of committee and sends papers in advance of meeting.	
	Scheduled Licensing meeting happens	
	Minutes of meeting drafted in Content Manager. Copies of minutes are copied to SharePoint for members to access.	
	Minutes are finalised after comments received.	
	Inspection reports (new, renewals and interim inspections) are added to the minutes and then published onto CaFC and also stored within Content Manager.	
Post Meeting and Renewal Communication	Committee Officer sends renewed licence by email to the clinic and updates the licence details.	
Status Tracking	Epicentre is updated to reflect the new licence details.	

Maintaining the PGMT list

Process Area	Current Process	Requirements (TBC)
Clinic Request for PGTM Condition	Clinic submits application via HFEA portal to add a specific condition to the approved list of conditions that can be tested	Potential automation/workflow opportunities in Dynamics and Microsoft portal.
Review and Approval of PGTM Condition	The application is added to the whiteboard document to be reviewed at an upcoming meeting	
Post Meeting Actions for Approved PGTM Condition	Committee Officer updates PGMT list in Epicentre. Publishes minutes to website and Choose a Fertility Clinic (CaFC).	

Policy (As-Is Process)

Service delivery planning

Process Area	Current Process	Requirements (TBC)
Attending SAIA meetings and document retrieval	Heads of Policy attend SAIA meetings and retrieve HFEA business plan and last year's Service Delivery Plan (SDP)	Likely to be left as is. TBC
Sharing and organisation documents	Heads of Policy share retrieved documents with the team and organise document meetings	
Approval Process for Service Delivery Plan	Approval and questions from Director of Strategy and Corporate Affairs handled over Teams and Outlook	
Data extraction, storage and distribution	Multiple documents stored in Content Manager, with manual distribution of changes.	

Project Management process

Process Area	Current Process	Requirements (TBC)
Retrieval of Service Delivery Plan (SDP)	Service Delivery Plan retrieved from Content Manager	Likely to be left as is. TBC
Project Initiation and Planning	Project Manager creates a business case, project plan, benefits realisation plan, and interpersonal dependency document using Excel	
CMG Meeting	Project presented and discussed during the CMG meeting	
Project Assurance Group Meeting	Project Manager attends the Project Assurance Group meeting	

Public Enquiry Response process (Comms & Policy)

Process Area	Current Process	Requirements (TBC)
Public Enquiry Receipt	Public email enquiries received into the Enquires Team mailbox	Dynamics to manage logging and case management of enquiries.
Enquiry Handling and Escalation	Enquiries Team handles the enquiry; if unable to respond they collaborate internally with other teams to obtain the required response	
Enquiries Log and Email Storage	Enquiries logged in an Excel enquires log and email responses stored in Outlook and Content Manager	

SCAAC Membership Management

Process Area	Current Process	Requirements (TBC)
Expiring Membership and Job Description Creation	Head of Policy checks for expiring membership and creates job descriptions for expert advisors	Likely to be left as is. TBC
Publication of Job Description and Applications	Job descriptions published in the newsletter and on LinkedIn for applicants	
Application Review and Invitation	Applications reviewed by the Chair of the SCIENC and the Chair of HFEA via email	
Acceptance and EAC Agreement	Suitable candidates invited to join the SCAAM and accept the offer	

SCAAC Meeting Organisation

Process Area	Current Process	Requirements (TBC)
SCAAC Meeting Organisation	Chair of the SCAAC and Chair of the HFEA agreed on three meetings per year	Likely to be left as is. TBC
Retrieval and Distribution of Meeting Papers	Scientific Policy Team retrieves member list and meeting papers	
Meeting Minutes and Publication	Meeting minutes are stored in an Excel sheet in Content Manager	

Publication of Papers to Website	Papers are published to the website for public access	
Public Enquiries regarding SCAAC Meetings	Public can inquire about specific areas regarding the SCAAC meetings	

Consultation Management

Process Area	Current Process	Requirements (TBC)
Consultation Creation	Questionnaire created as a Word document and stored in Content Manager	Potentially use Dynamics for managing consultation responses and reports.
Distribution to Target Audience	Survey Monkey used to distribute the questionnaire to the specific target audience	
Response Collection and Report Generation	Responses are collected and sent back to the intelligence team for reporting	
Storage of Reports and Statistics	Reports stored in Content Manager, statistics stored within separate systems	

Management and update policies

Process Area	Current Process	Requirements (TBC)
Policy and SOPs Management	Internal Policies, SOPs and MOUs stored in Content Manager	Consider using SharePoint to manage the drafting and publication of policies, SOPs and MOUs. Version control and clear audit trail required.
Prioritization and Update Process	Policy team manages the policies potential changes in Excel, priorities items and updates relevant policies	
Policy Publication and Distribution	Updated policies are published to the intranet (The Hub)	
Storage of Updated Policies	Documents stored in Content Manager	

Code of Practice

Process Area	Current Process	Requirements (TBC)
Code of Practice Management	Code of Practice stored in Content Manager	Likely to be left as is for now. Audit recommendations state Code of Practice PDF does not meet accessibility standards. HFEA to consider converting Code of Practice to be web native e.g. Wiki-like
Prioritization and Update Process	Policy team manages the Code of Practice potential changes in Excel, priorities items and updates relevant policies	
Policy Publication and Distribution	Updated policies are published to the website, social media, and clinics via email	
Storage of Updated Policies and Code of Practice	Code of Practice are stored as Word documents in Content Manager and published as a PDF on website	

Prep Test for Persons Responsible (PR)

Process Area	Current Process	Requirements (TBC)
Questionnaire Management	Questionnaire managed using Adobe Forms, with policy team updating and creating questions for potential new Persons Responsible and ongoing learning	HFEA is separately looking at replacing Adobe Captivate with another Learning Management System (LMS). To consider recording PR test results manually in Dynamics (volume of test completion is low).
Question Storage	Copy of questions stored in Content Manager and SharePoint	
Answer Management and Analysis	Policy team manages answers to the questionnaire going forward	

MOU Agreements

Process Area	Current Process
MOU Agreement Management	MOU agreements stored as drafts in Content Manager for updates. The Regulatory Policy Manager with the Chief Inspector manages the MOU agreements
Collaboration with Regulatory Agencies	Policy team works with the Care Quality Commission (CQC) and Medicines and Healthcare products Regulatory Agency (MHRA)
Communication and Distribution	Changes in MOU agreements communicated and distributed via the comms team
Centralised Information Storage	Lack of central route to manage MOU agreements, currently handled via email

Clinical Governance (As-Is Process)

Patient Complaints

Process Area	Current Process	Requirements (TBC)
Complaint Intake	Patient email or call the enquires team to register a complaint	Dynamics to manage the logging and management of patient complaints.
Assessment and Escalation	Enquiries team forwards valid complaints to the clinic governance lead	
Clinical Governance Meetings	Complaints discussed during clinics governance team meetings	
Incident Association	Complaints associated with related incidents mapped in Content Manager	
Complaint Handling	Complaints assigned to relevant individuals for assessment and action	
Outcome Communication	Outcome communicated to the clinic via email and patient contact	
Centralised Information Storage	Complaints and correspondence stored in multiple systems	

Incident Reporting

Process Area	Current Process	Requirements (TBC)
Incident Reporting	Incidents reported to clinical governance lead via email	Dynamics to manage the logging and management of incidents, including follow-up processes that involve responses from licensed centres.
Incident Severity and Grading	Incidents categorised based on severity, logged in Epicentre	
Clinical Governance Meetings	Incidents discussed in clinical governance team meetings	
Follow-up Report Review	Follow-up reports requested for more serious incidents	
Incident Resolution	Actions planned and reviewed for incident resolution	
Site Visits	Site visits scheduled for further investigation and review	
Correspondence and PR	Inspector corresponds with clinic's Person Responsible (PR) and possibly solicitor for investigation	
Action Plan Tracking	Clinic adherence to action plan monitored and tracked	

Incident Grading

Incident Grading	Description	Process
Near Miss (NM)	Incidents with potential for harm, but no harm occurs	Incident is logged in system. Relevant details are recorded in the incident log.
Grade C	Incidents where minor harm or inconvenience occurs	Incident is logged in system. Details and severity are recorded in the incident log.
Grade B	Incidents where moderate harm or adverse effects occurs	Incident is logged in system. Details and severity are recorded in the incident log. A follow-up report is request from the clinic.
Grade A	Incidents where severe harm or critical events occur.	Would be referred to Licence Committee via an executive summary report. Incident is immediately communicated to the clinic. Urgent follow-up report is requested from the clinic. Site visit is scheduled for in-depth investigation. Findings and action plan are developed and tracked.

Field Safety Notices (HFEA Alerts)

Process Area	Current Process	Requirements (TBC)
Field Safety Notice Communication	Field safety notice received via email from the Medicines and Healthcare products Regulatory Agency	Dynamics to manage the publication and distribution of HFEA alerts to a distribution list managed within Dynamics. Previous HFEA alerts to be visible when centres login to the Microsoft powered portal.
Analyse Field Safety Notice	Scientific policy manager and clinical governance team review and analyse the notices	
Senior Team Approval	Alert sent back-and-forth via email approval from the senior team	
Website Information Update and Alert Creation	Web manager informed to update website with information regarding the field	

	safety notice. Alert templates stored in Content Manager	
Newsletter Inclusion and Email Distribution	Approved alert information sent to the comms team for inclusion in the newsletter. Emails with alert information sent to PRs and nominated 'HFEA Alert' contacts at each clinic	

Non-functional requirements

Accessibility (WCAH 2.2)

Consideration will need to be given when developing the portal to Accessibility standard (WCAG 2.2). Further information can be found at <https://service-manual.nhs.uk/accessibility/new-accessibility-requirements-wcag-2-2>

User Centred Design Principles

Consideration will need to be given to ensure User Centred Design Principles are followed and that NHS style guides are used. Further information can be found <https://service-manual.nhs.uk/design-system>

Technology Code of Practice

Consideration will need to be given to ensure the project aligns with the Technology Code of Practice. Further information can be found <https://www.gov.uk/guidance/the-technology-code-of-practice>

Security requirements

We expect the new system to be aligned with Microsoft's best practice for security in the modern workplace. The HFEA is required to comply with NHS's Data Security Protection Toolkit (DSPT) <https://www.dsptoolkit.nhs.uk/> which covers a range of security requirements and best practice from the National Cyber Security Centre (NCSC).

Support and Maintenance

Support requirements

The HFEA's in-house development resource is limited and is not skilled in Microsoft Dynamics and Power Platform environments. The HFEA would be seeking an ongoing support contract from the delivery partner of the developed solution. The HFEA's IT team would triage any support requests and escalate to the delivery partner for investigation and resolution. The HFEA will consider a 12-month support contract with the delivery partner with the option to renew further, assuming both parties were happy with the service performance provided in the preceding 12 months.

Change requests

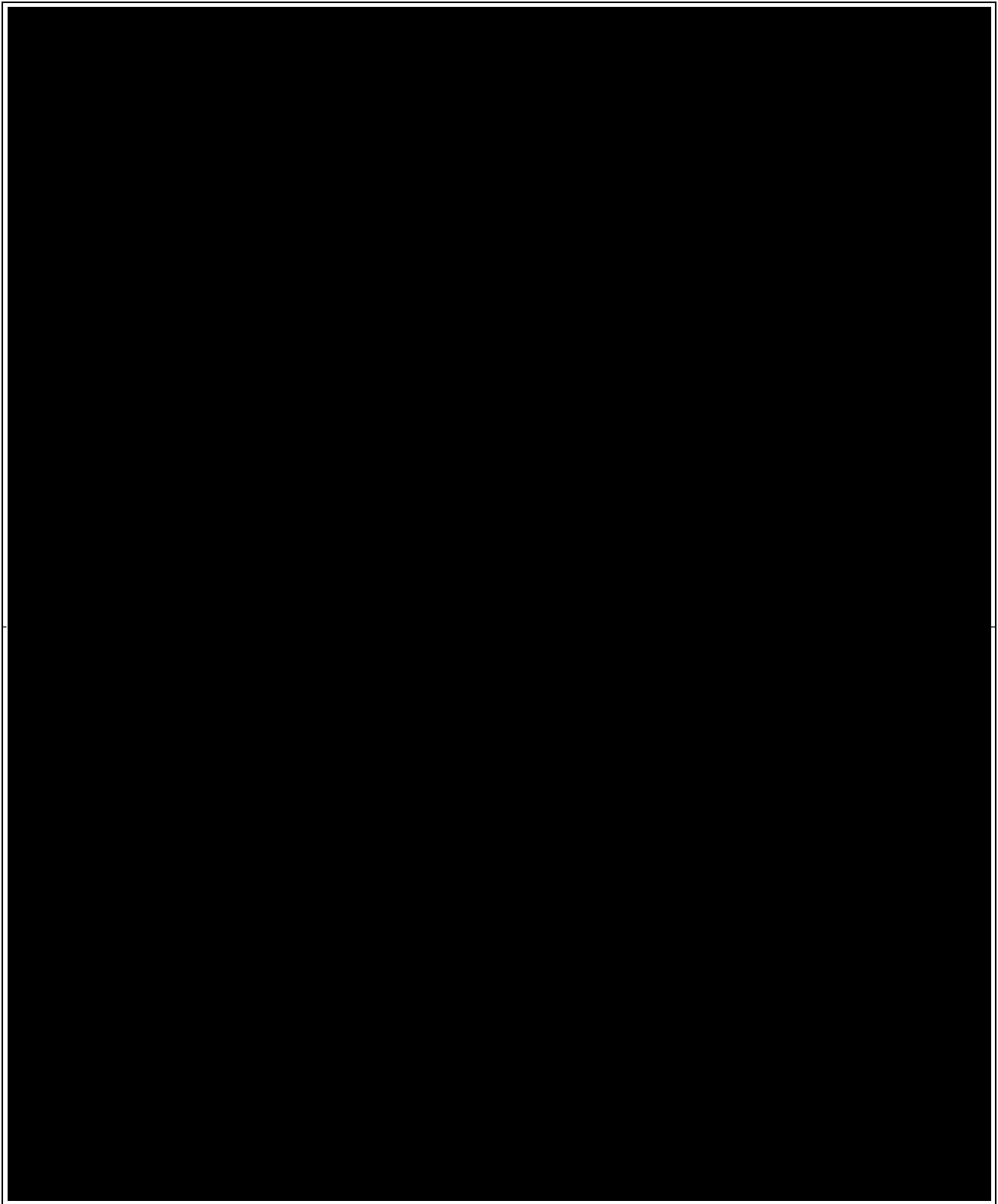
The HFEA would be seeking to agree a formalised process for identifying, scoping, and quoting future change requests in the developed solution with the delivery partner.

Annex**Clarification Questions and Responses**

Please see attached Clarification Log

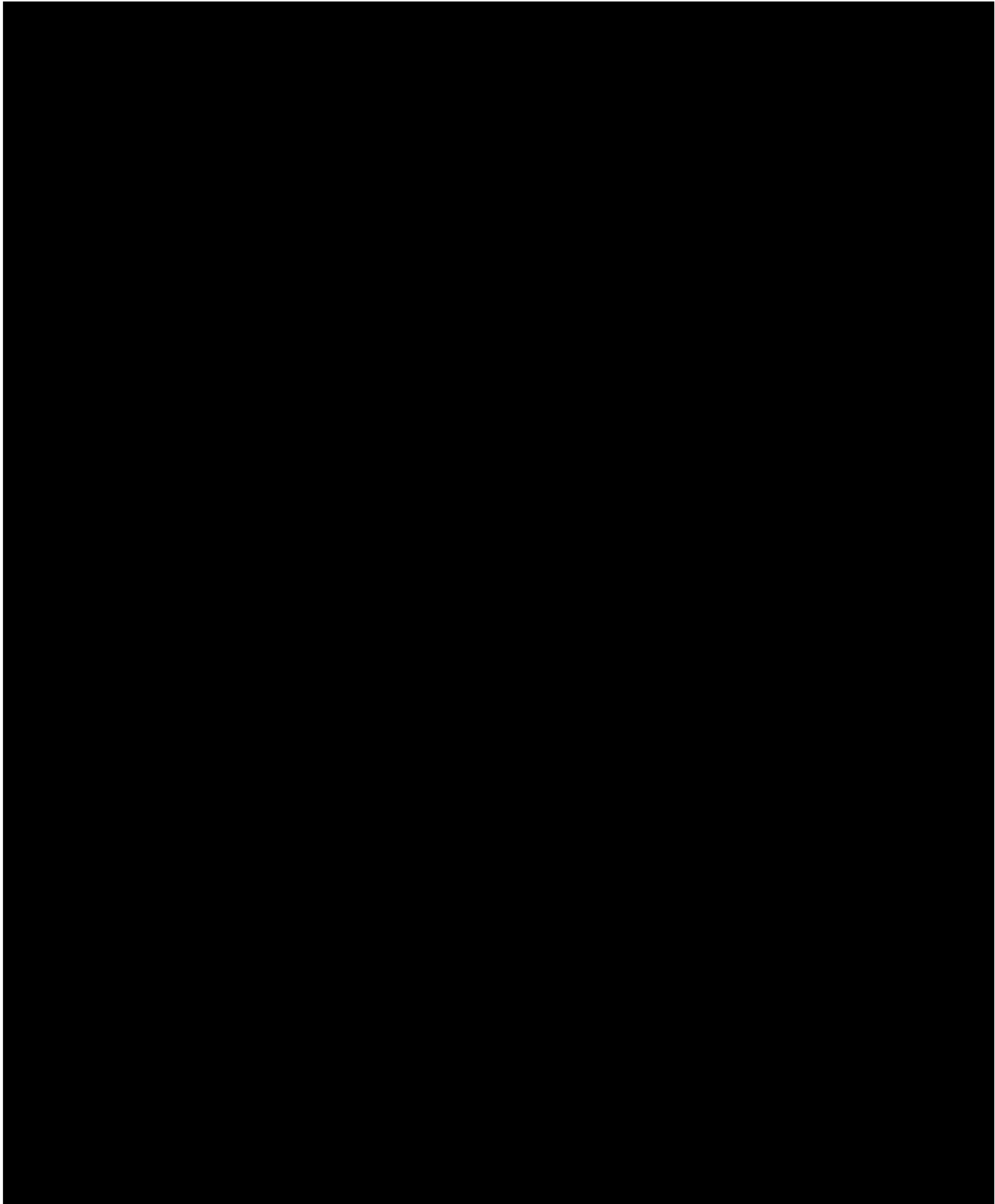
**SCHEDULE 5
TENDER****QUALIFICATION (MANDATORY REQUIREMENTS) RESPONSE EVALUATION**

MQ.01 Question	Subject and Response Guidance Questions are presented in each Award Questionnaire	Evaluation	Yes / No
MQ1	<p>Terms and Conditions</p> <p>The Authority will not consider any proposed amendment(s) to the terms and conditions, at this stage or following the tender close date.</p> <p>The terms and conditions selected for this procurement are set out in Attachment Three and are uploaded to the shared area of the e-Sourcing Portal. Tenderers are required to confirm their acceptance of the terms and conditions in order to pass this Mandatory Requirement.</p>	Pass / Fail	
MQ2	Is your company an official Microsoft Solutions Partner for Business Applications?	Pass / Fail	
MQ3	Does your company have consultants that are based in UK?	Pass / Fail	
MQ4	Could your company start work by 2 December 2024 if awarded?	Pass / Fail	
MQ5	With respect to the consultants you are considering assigning to this project, would you be willing to provide evidence of their relevant Microsoft certifications and a summary of their work experience?	Pass / Fail	



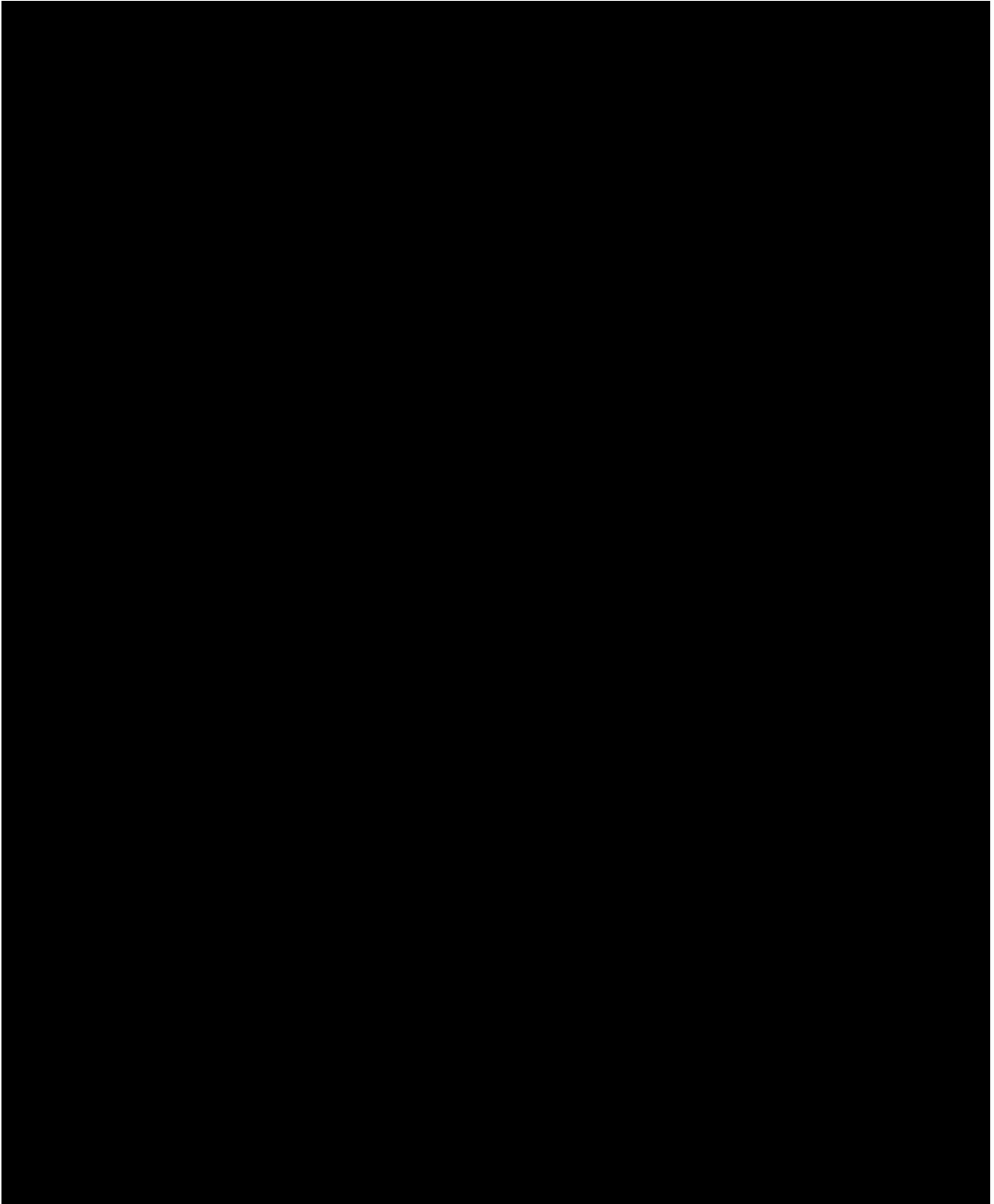


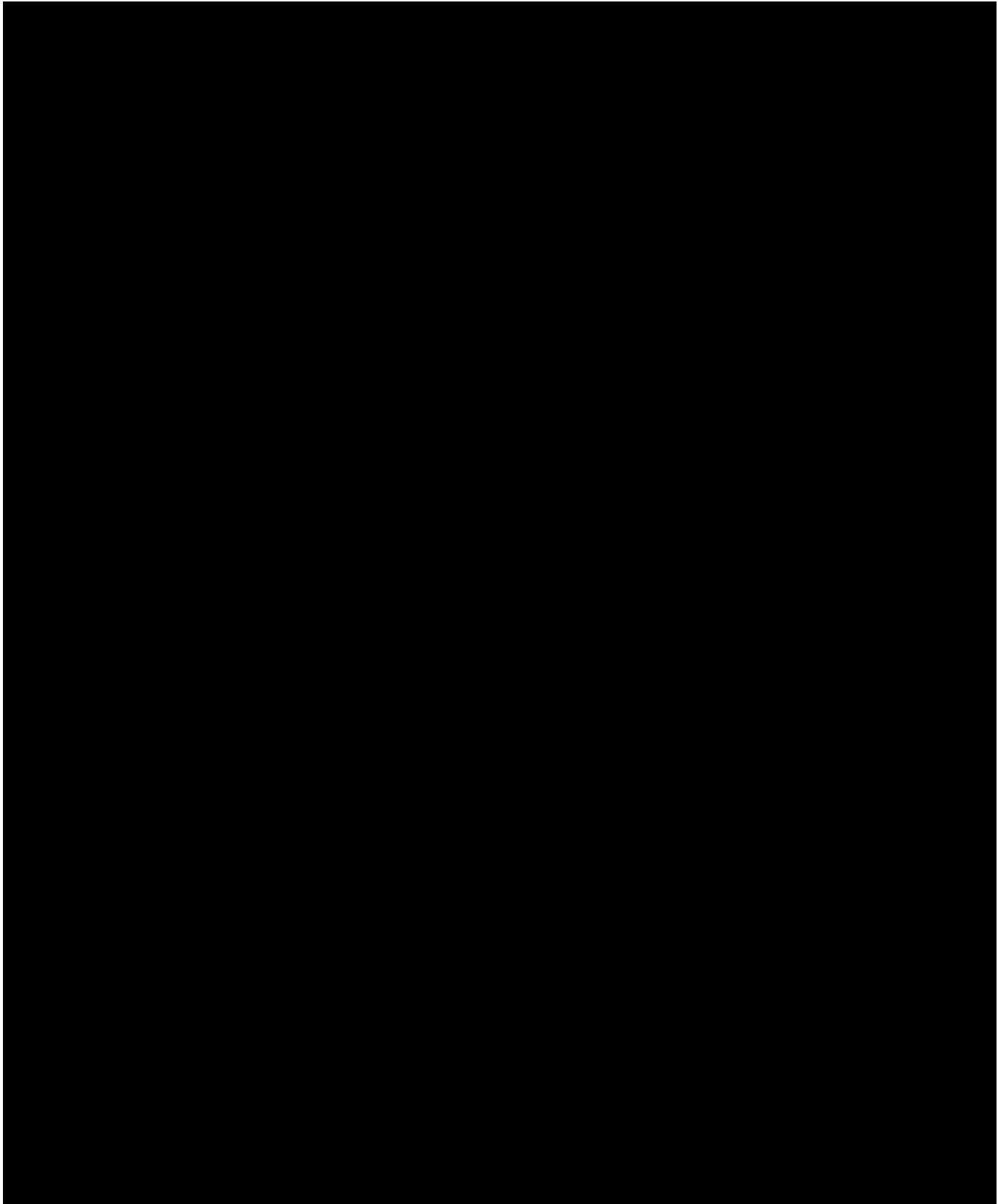
MQ6	Please provide two customer references where you have delivered a programme of work that involved Microsoft Dynamics 365 and SharePoint, preferably in the last 2-3 years. This should include contact details, short description of the work undertaken, and business impact delivered.	Pass / Fail	

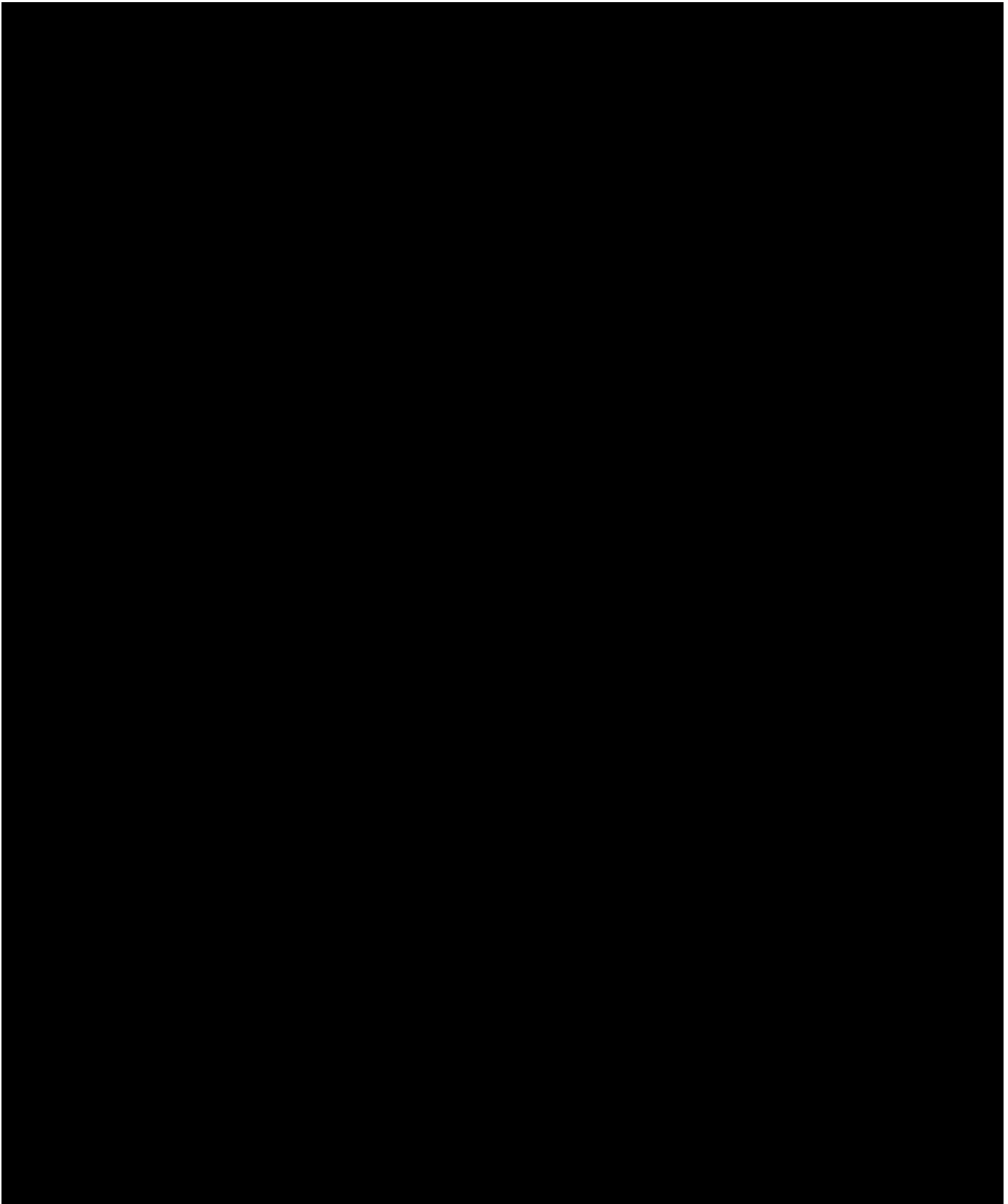


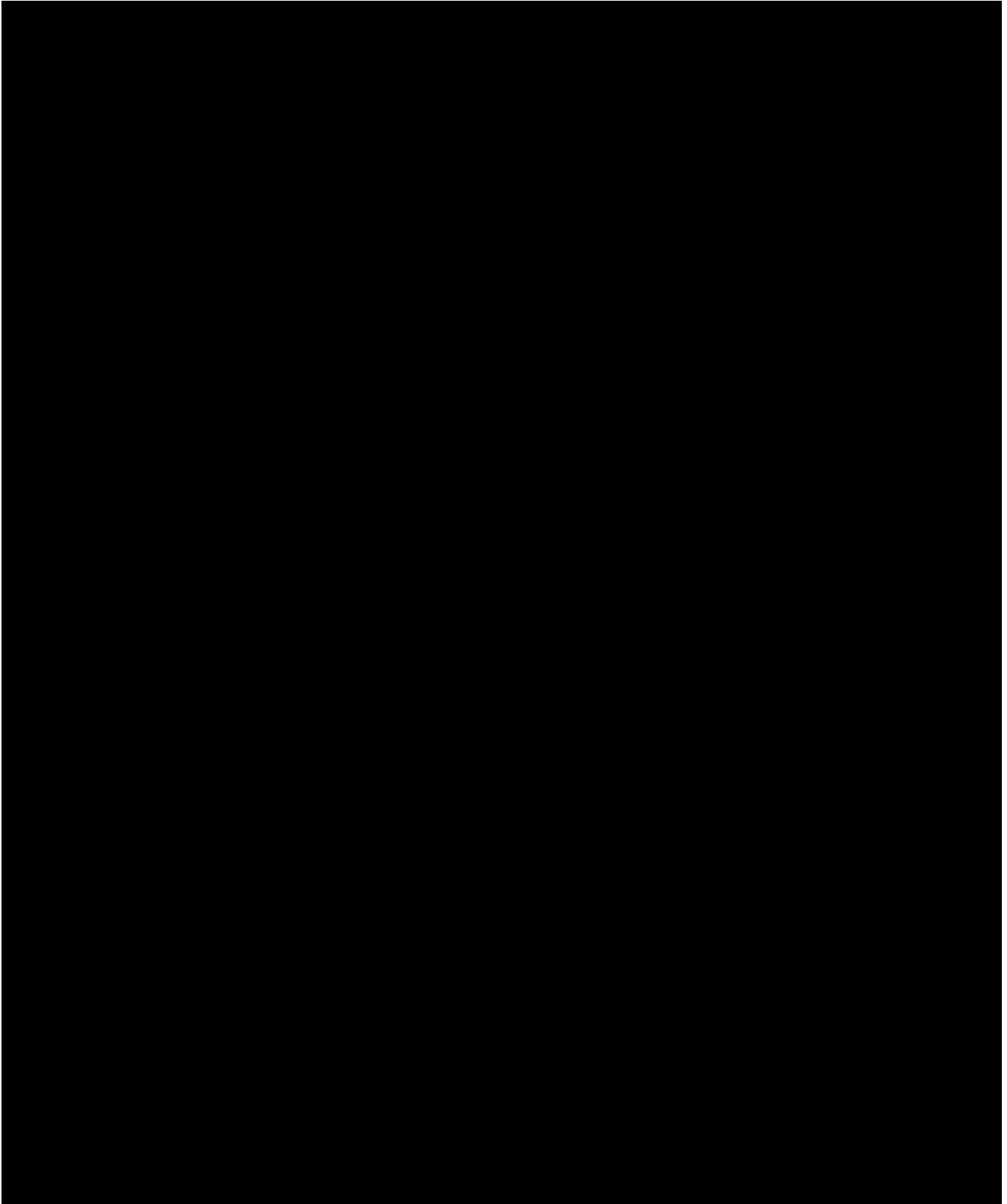
TECHNICAL (AWARD QUESTIONNAIRE) EVALUATION

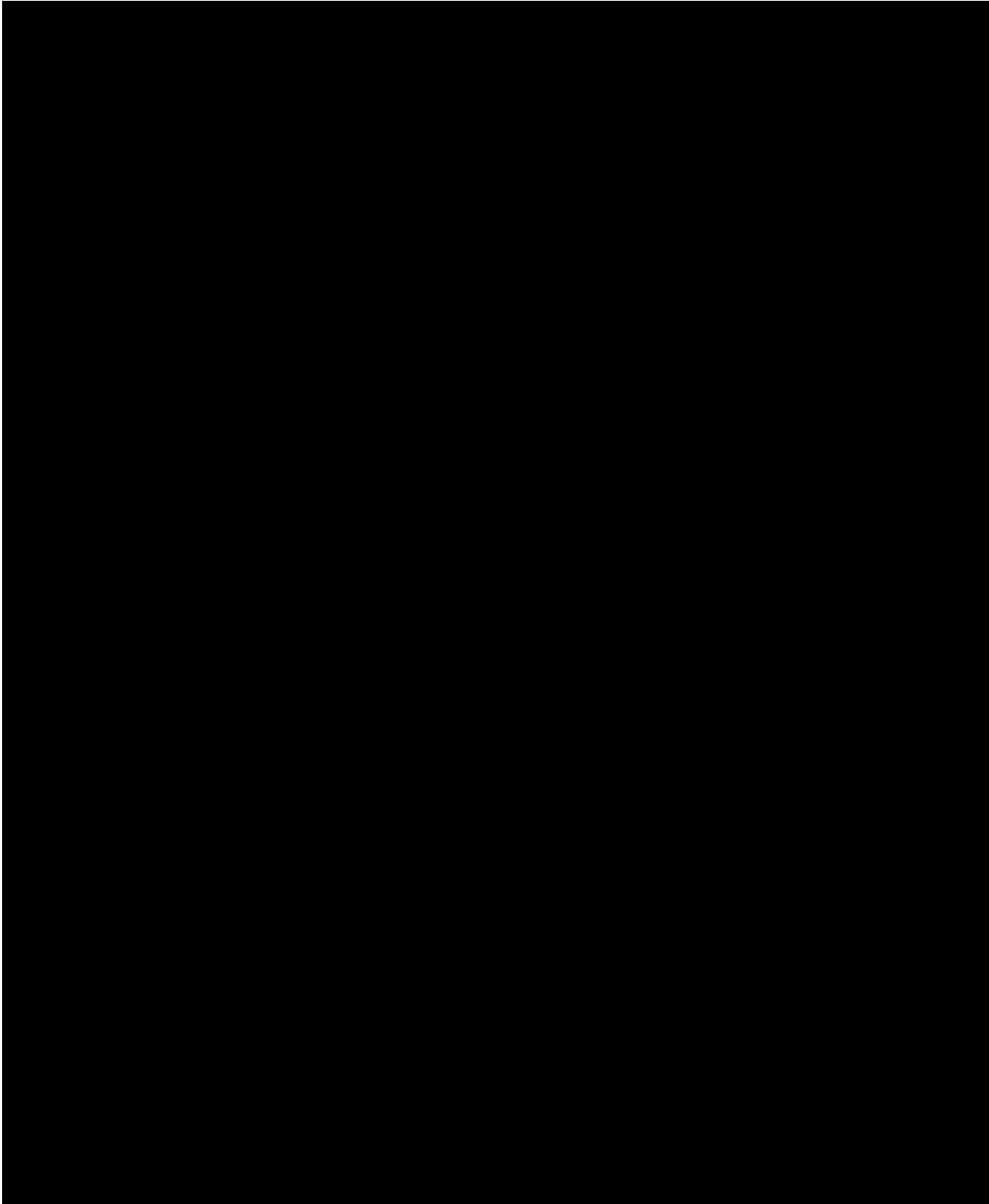
AQ.01 Question	Subject and Response Guidance Questions are presented in each Award Questionnaire	Weighting for Question	Word Count
AQ1	Explain how you propose to approach replacing the legacy Epicentre system and bespoke applications, with specific reference to how you will meet the requirements as detailed in the specification. Include the expected benefits to be realised.	35	3000 words and images/diagrams

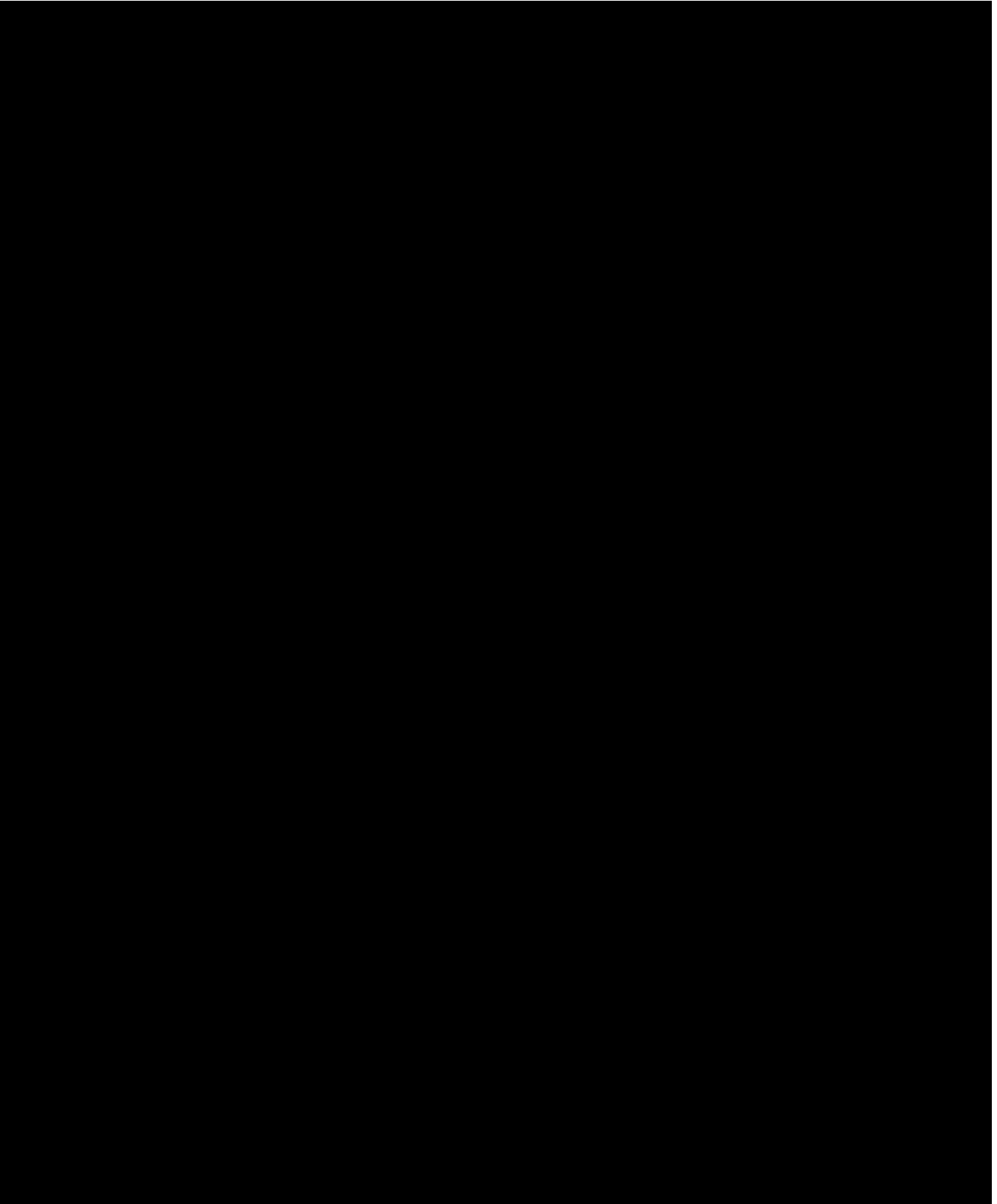


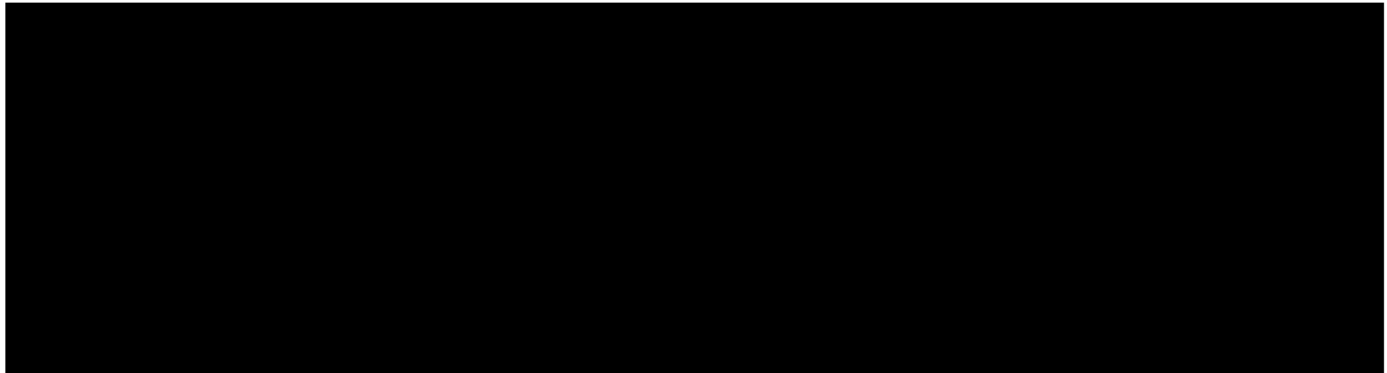




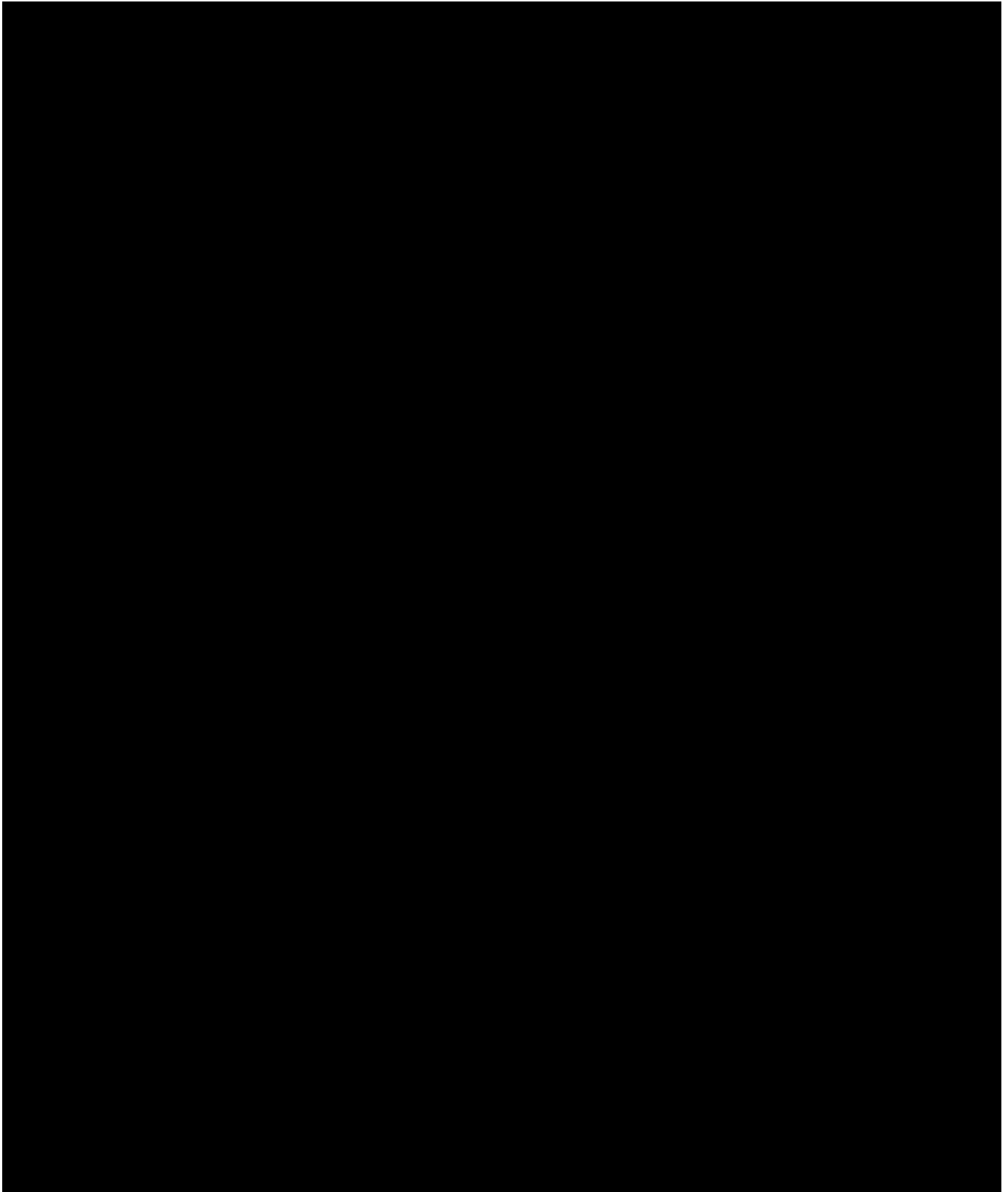


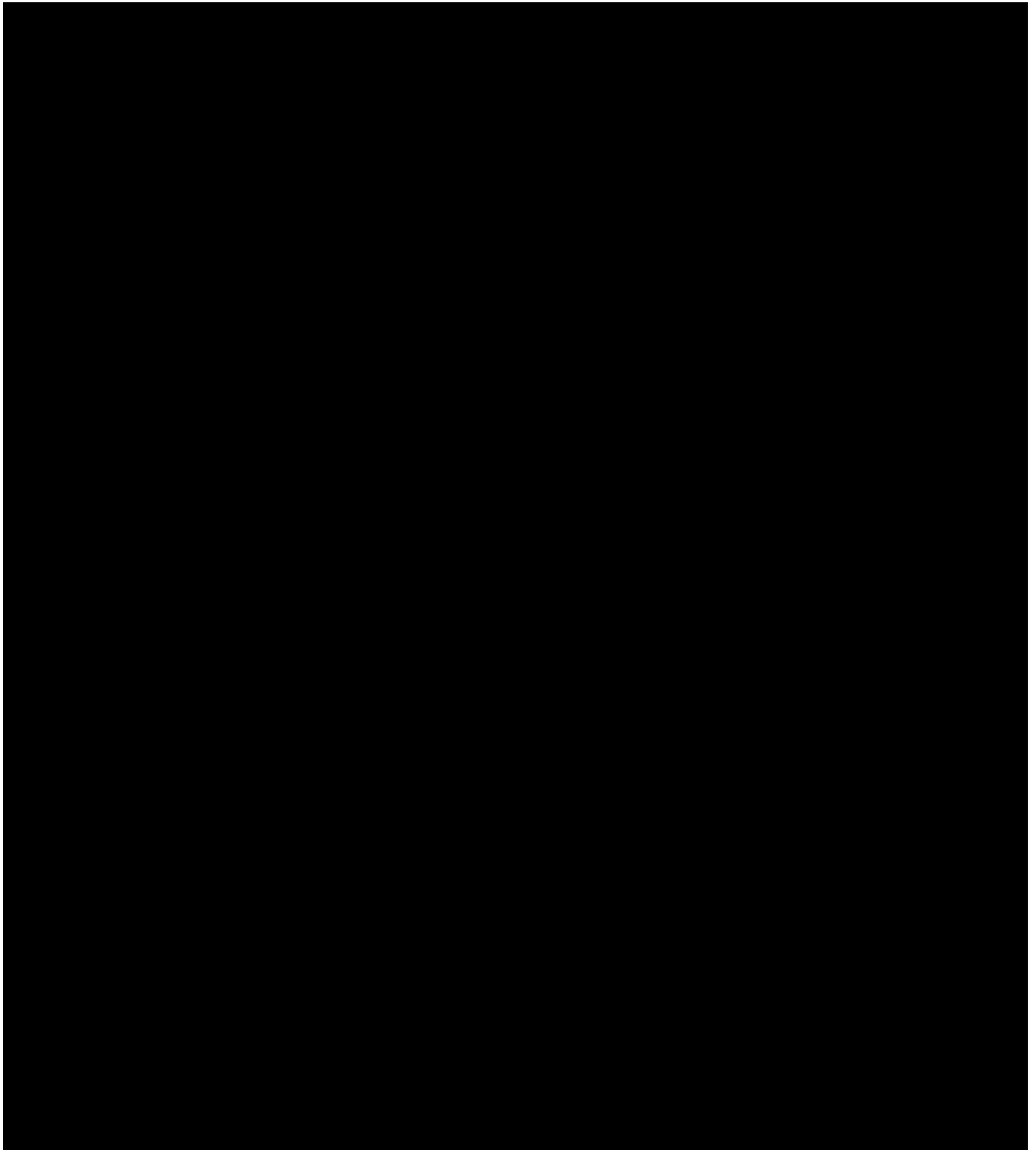


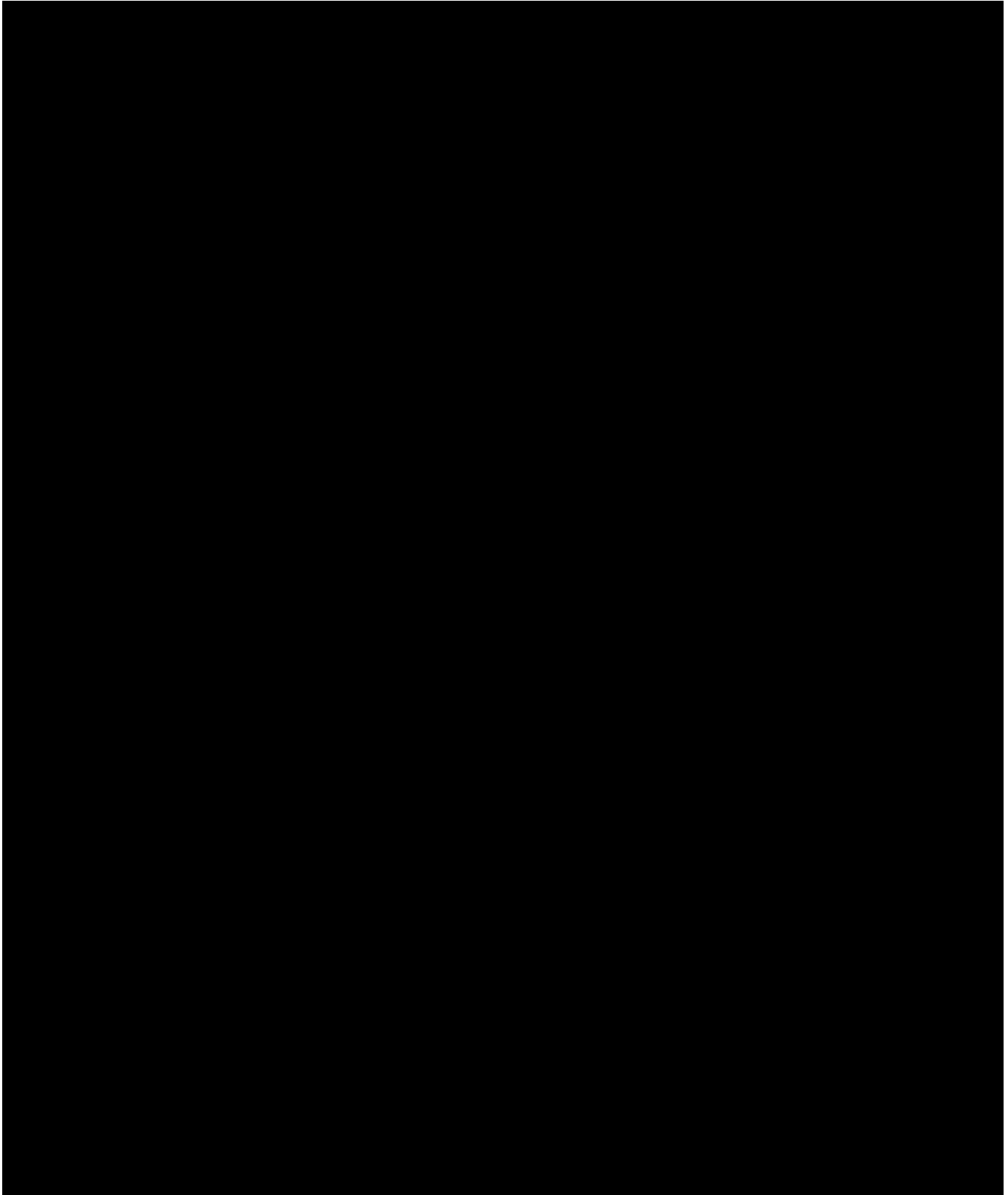


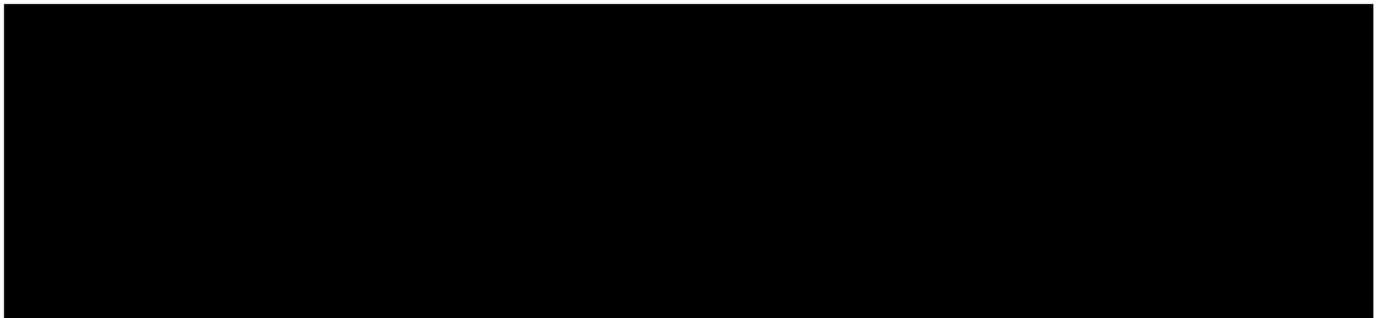


AQ2	Explain how you propose to approach replacing the legacy portal, with specific reference to how you will meet the requirements as detailed in the specification. Include the expected benefits to be realised.	18	2000 words and images/diagrams
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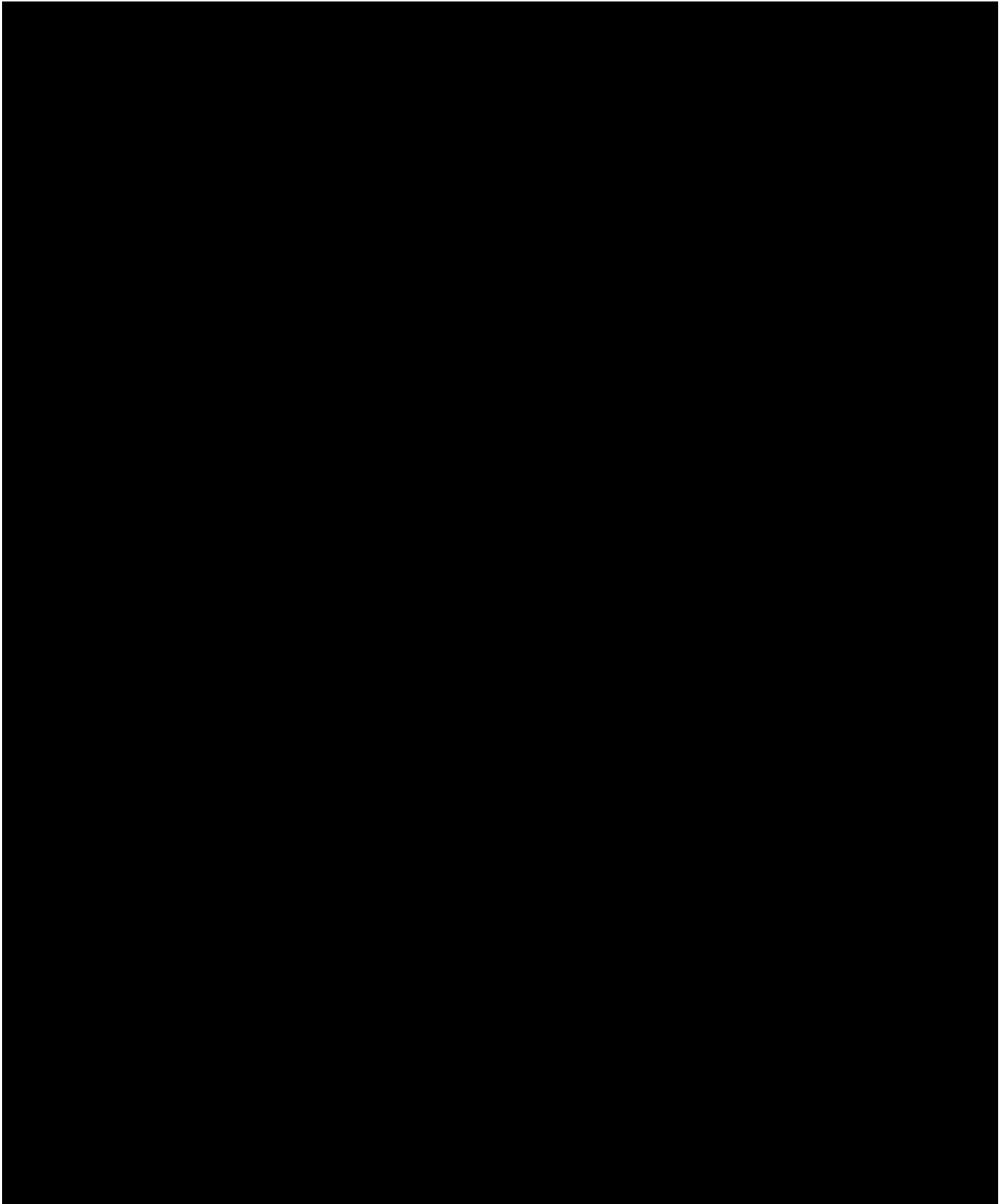


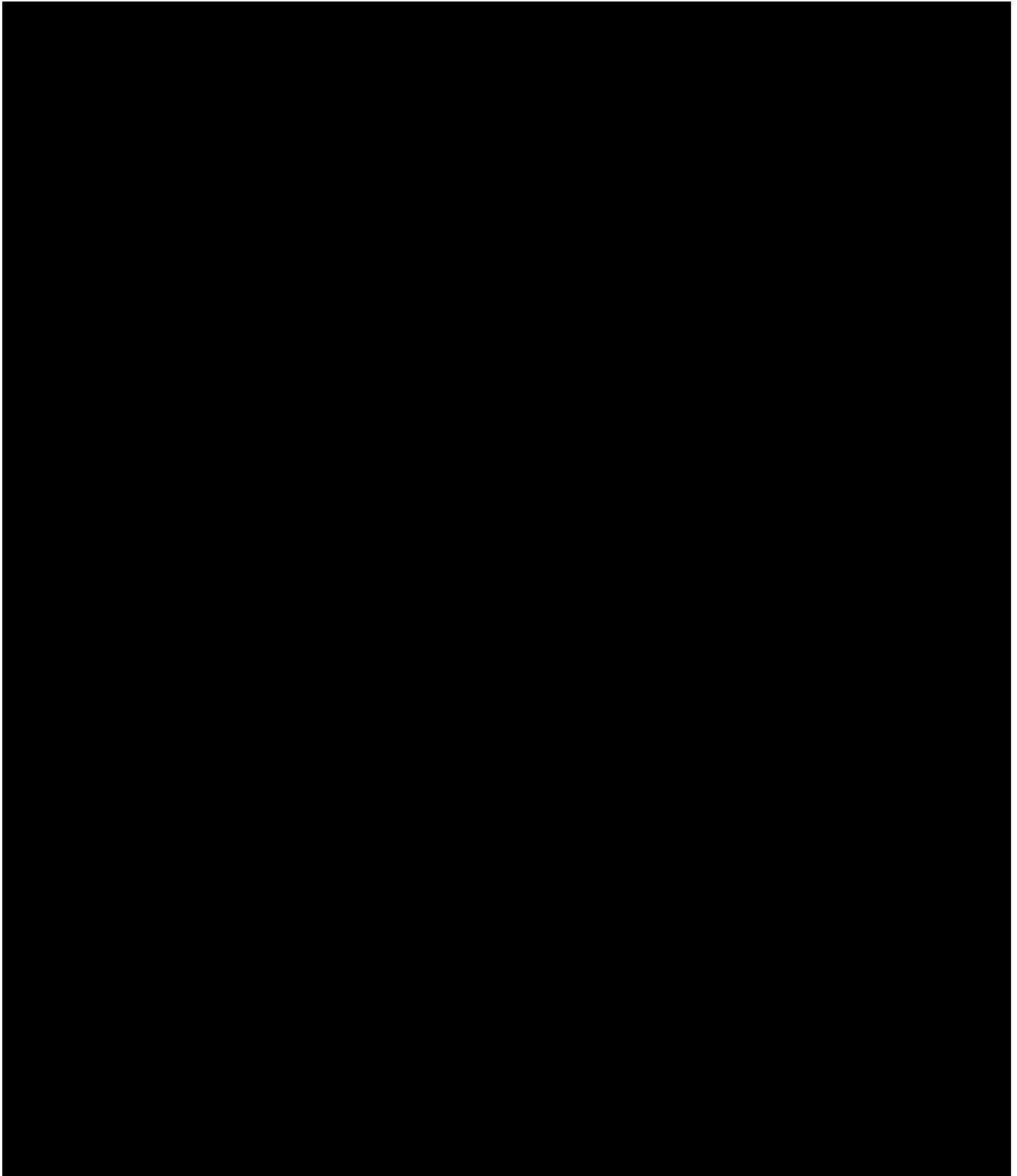


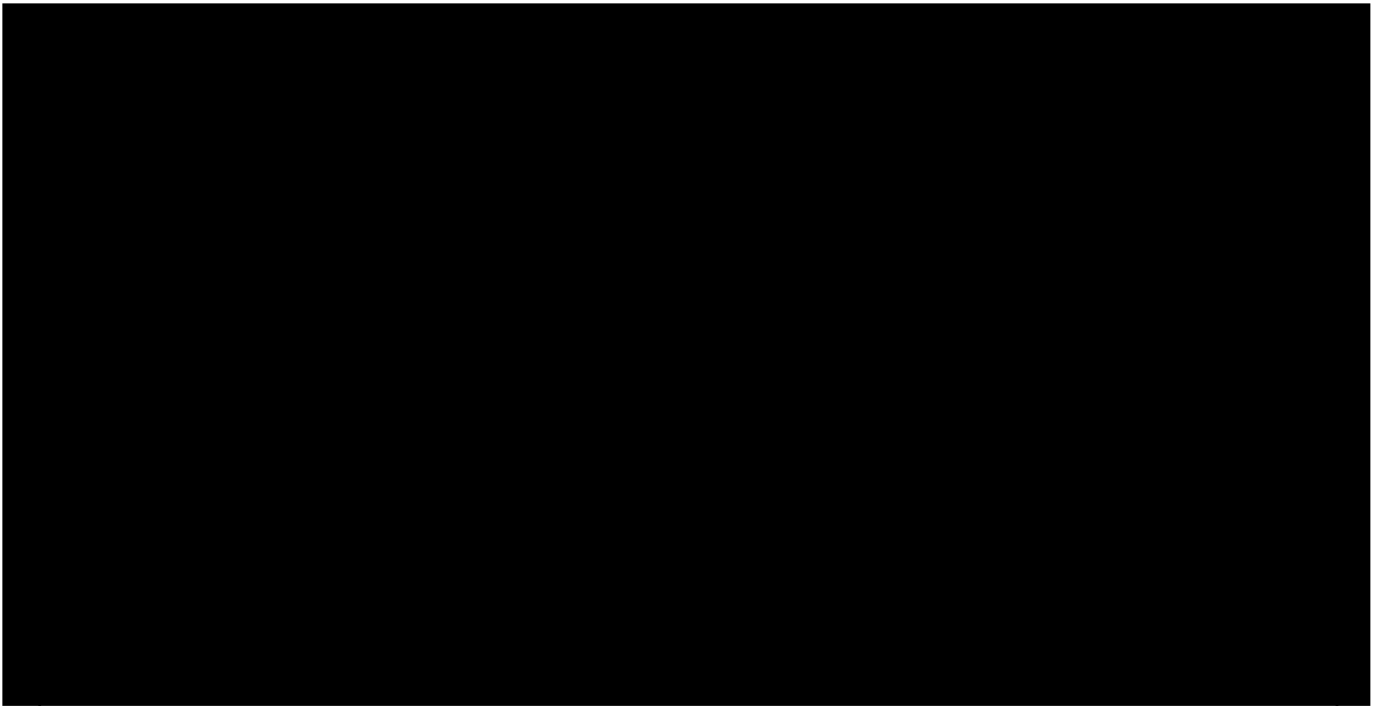




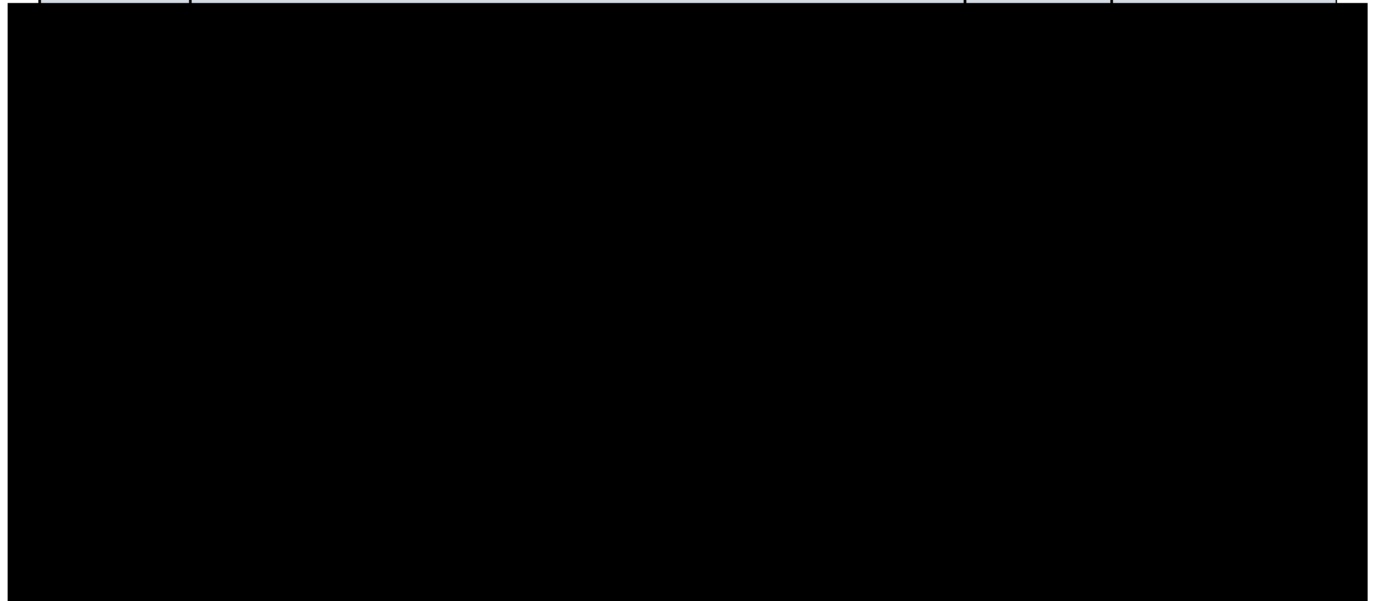
AQ3	Explain how you propose to approach replacing Content Manager with SharePoint, with specific reference to how you will meet the requirements as detailed in the specification. Include the expected benefits to be realised.	18	2000 words and images/diagrams
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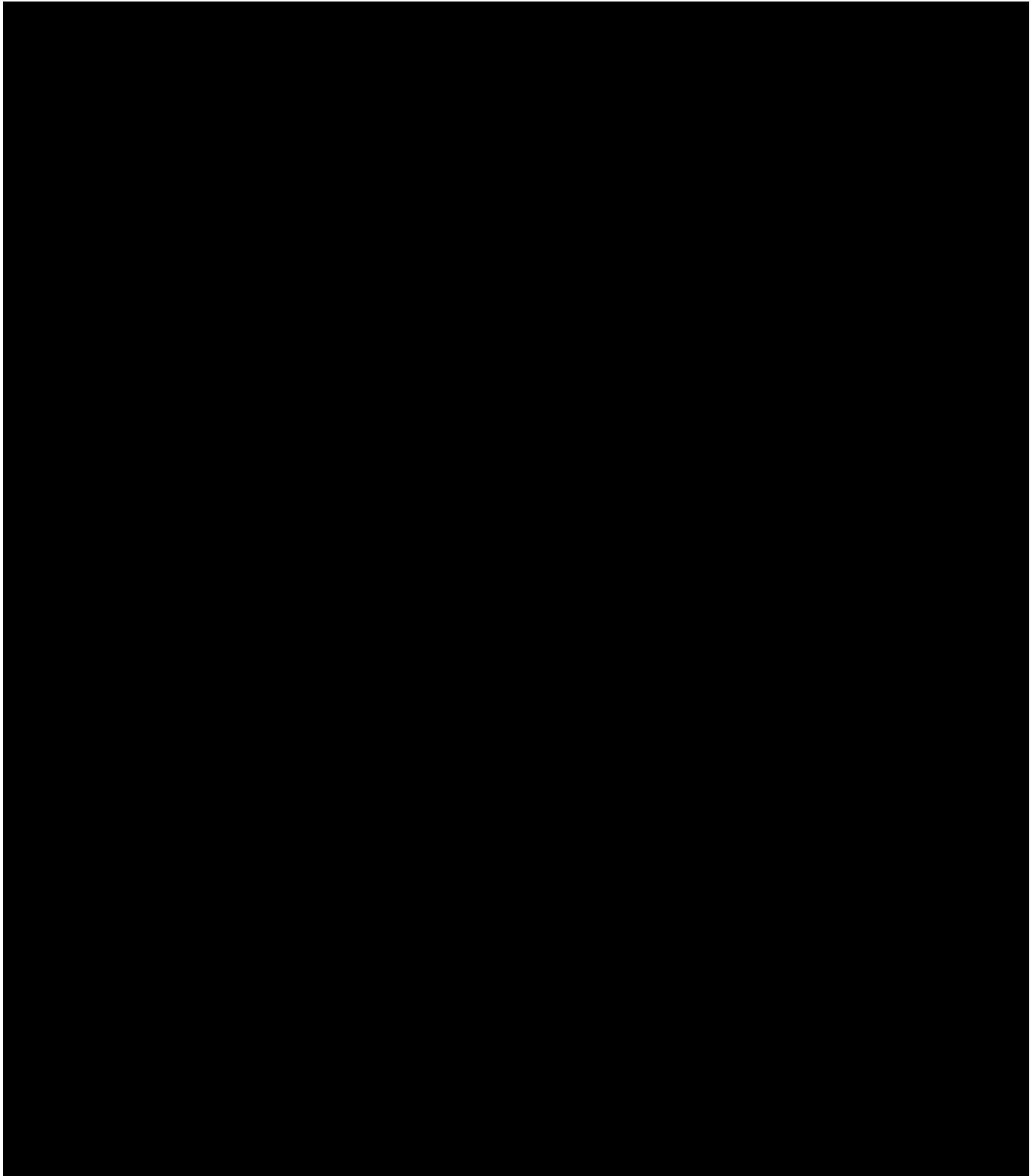


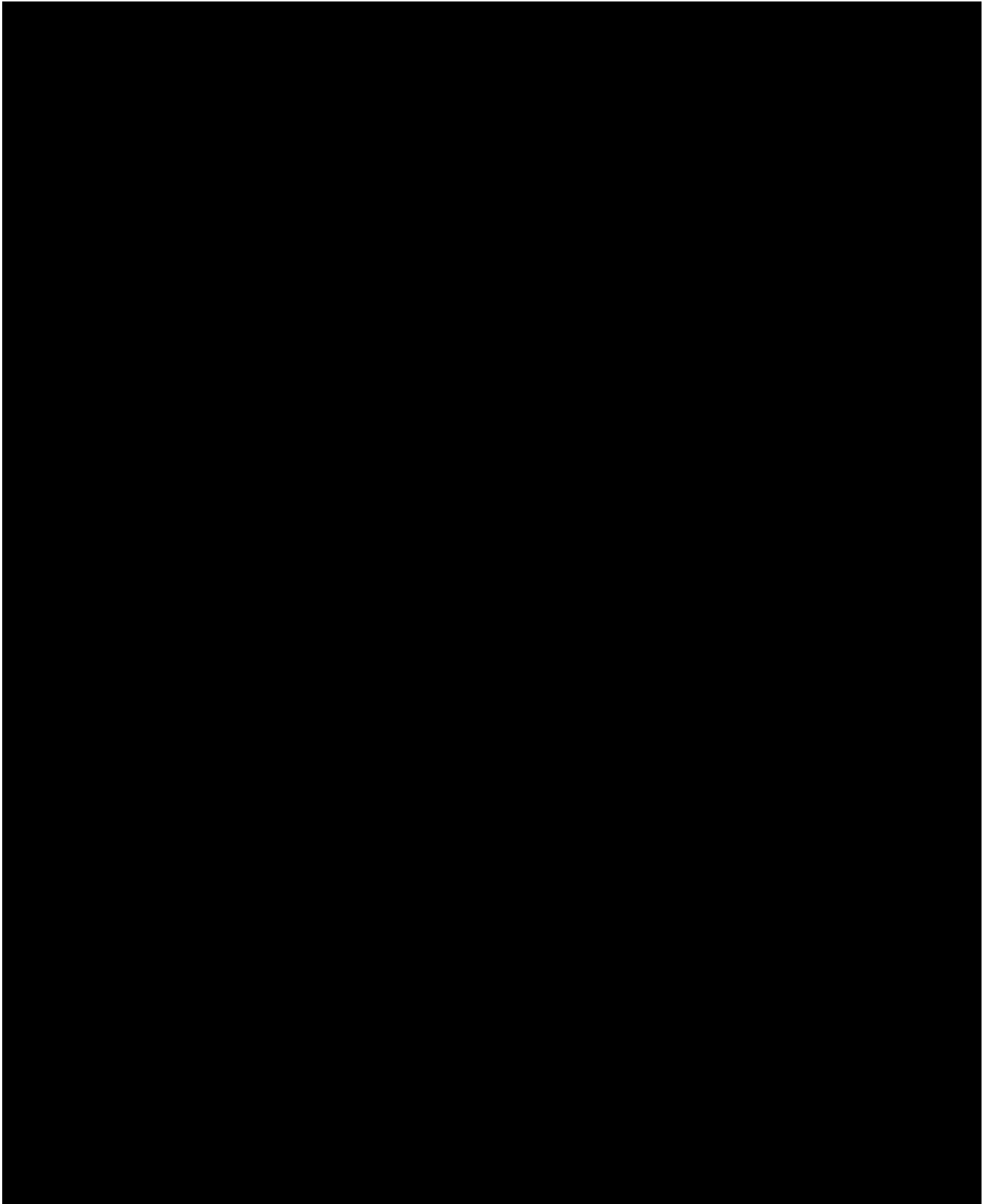


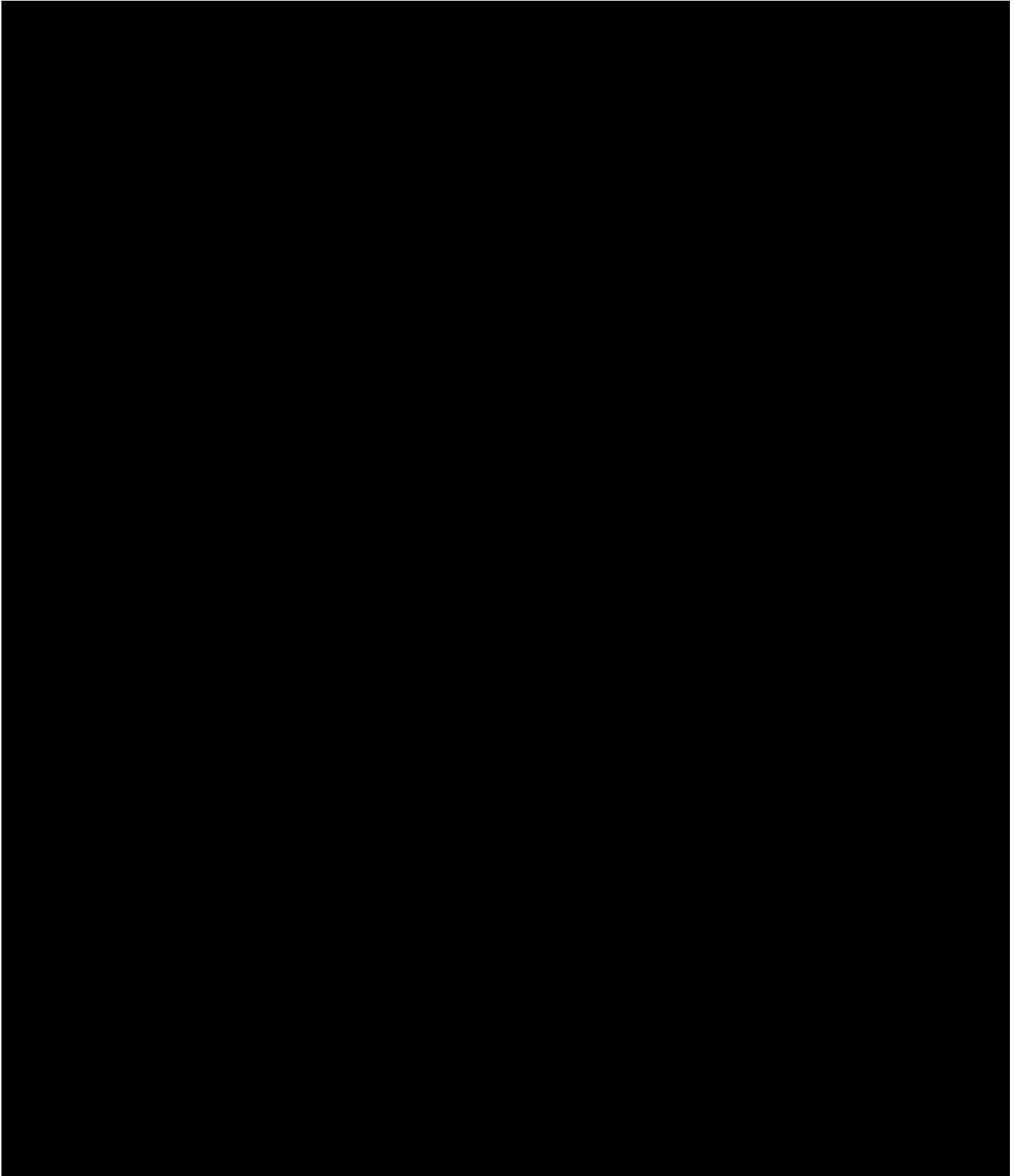


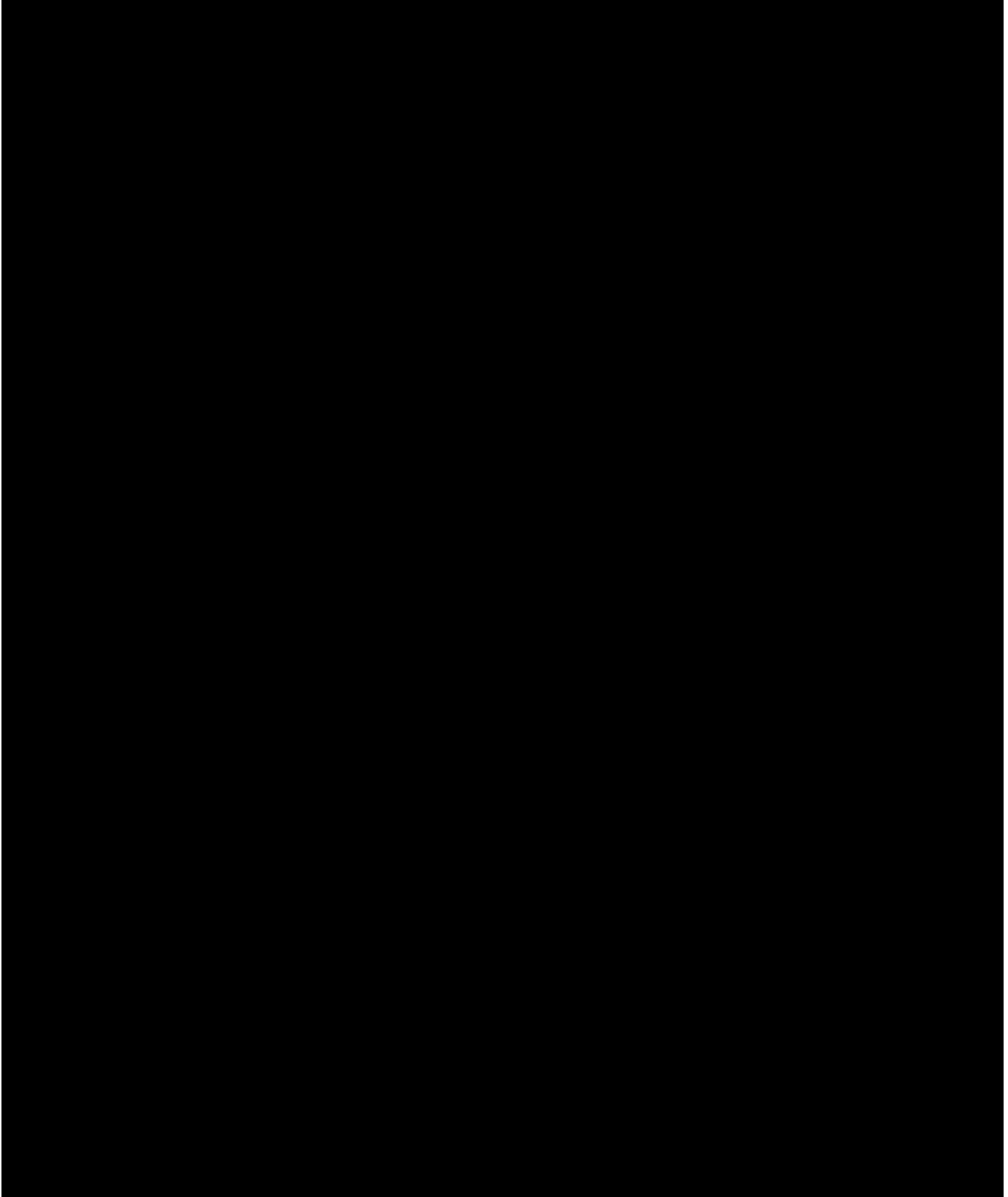
AQ4	Provide a project plan with proposed timelines, detailing the intended approach factoring in the three different workstreams as indicated in the above questions.	15	1500 words and images/diagrams
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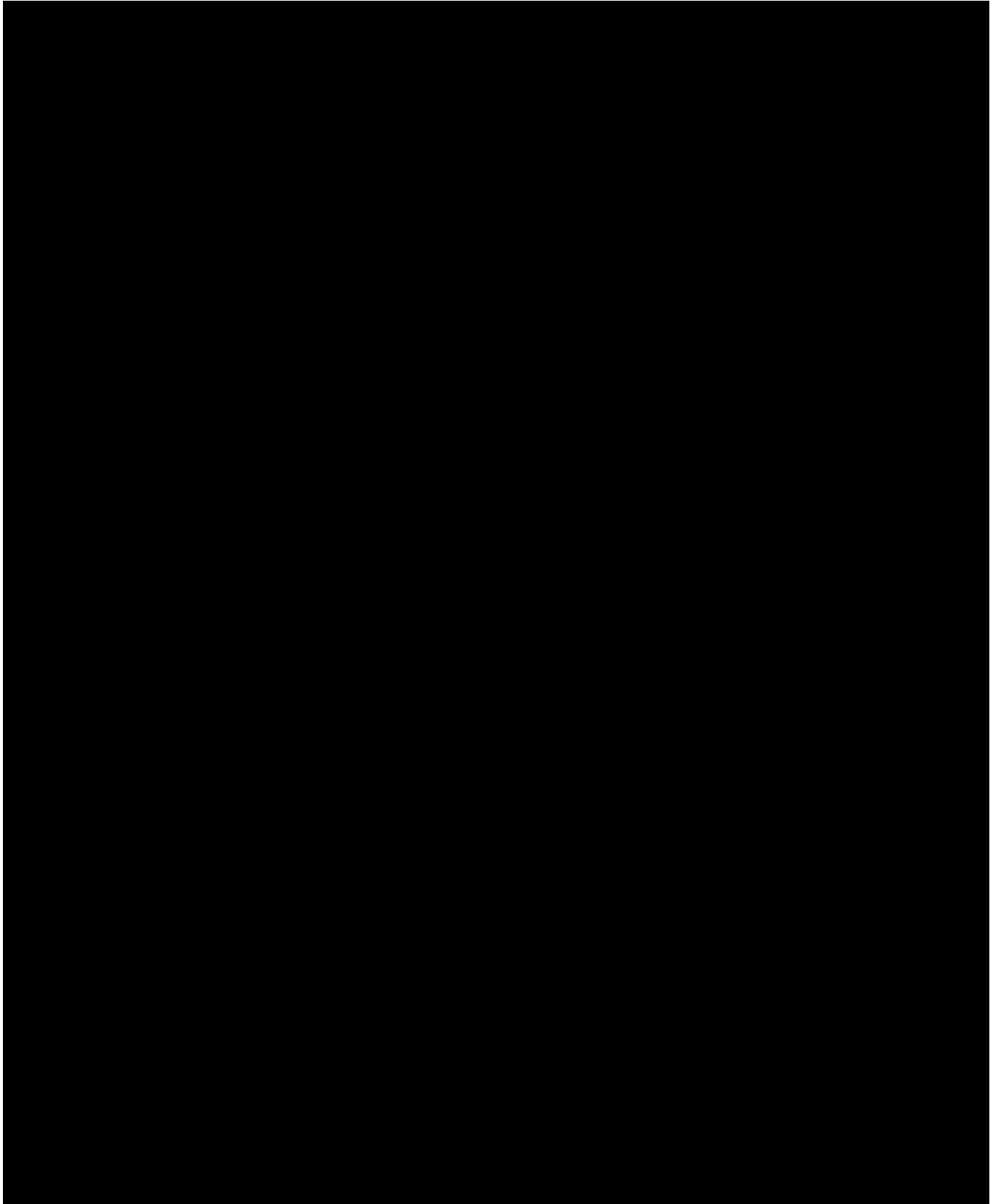


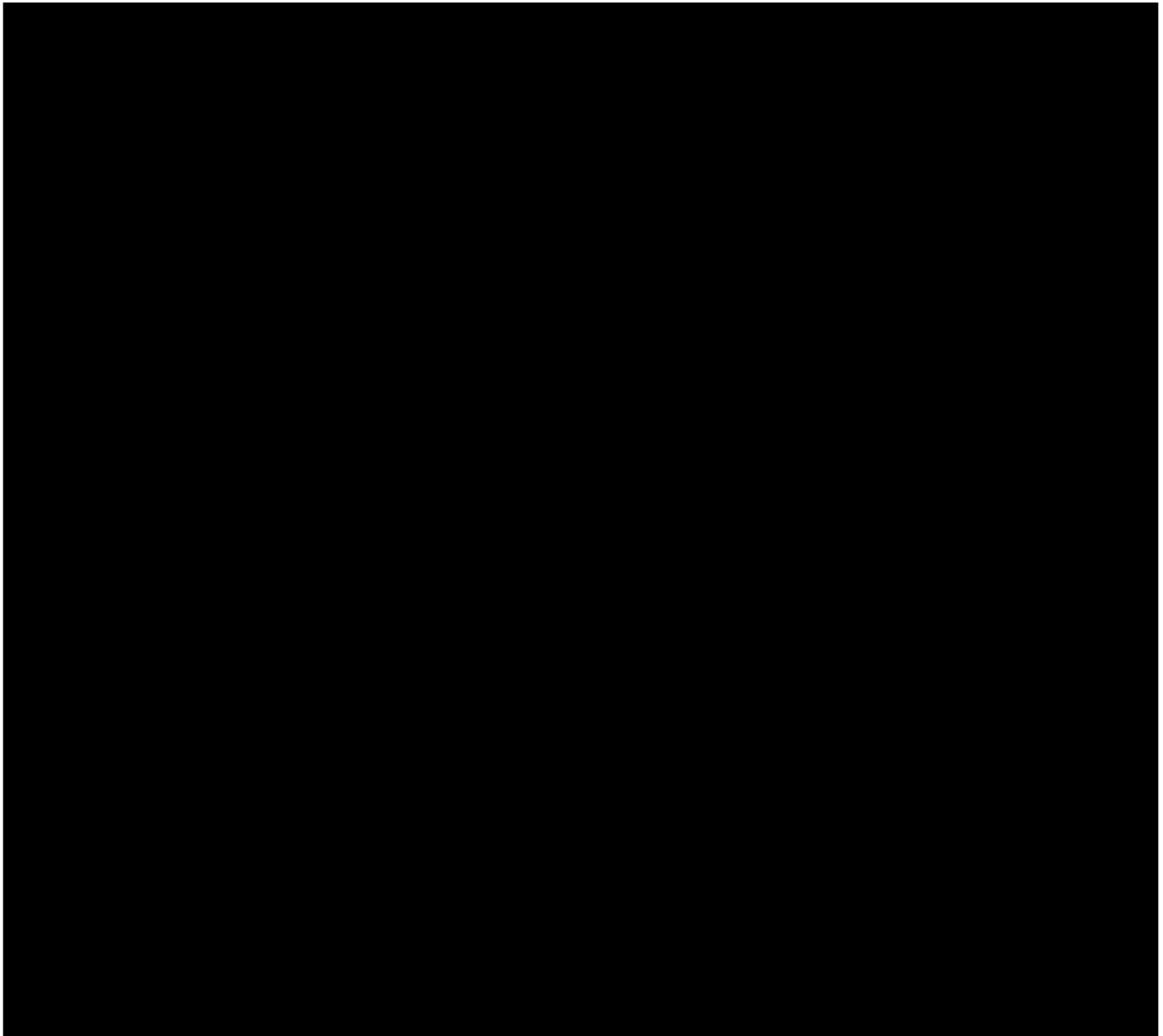




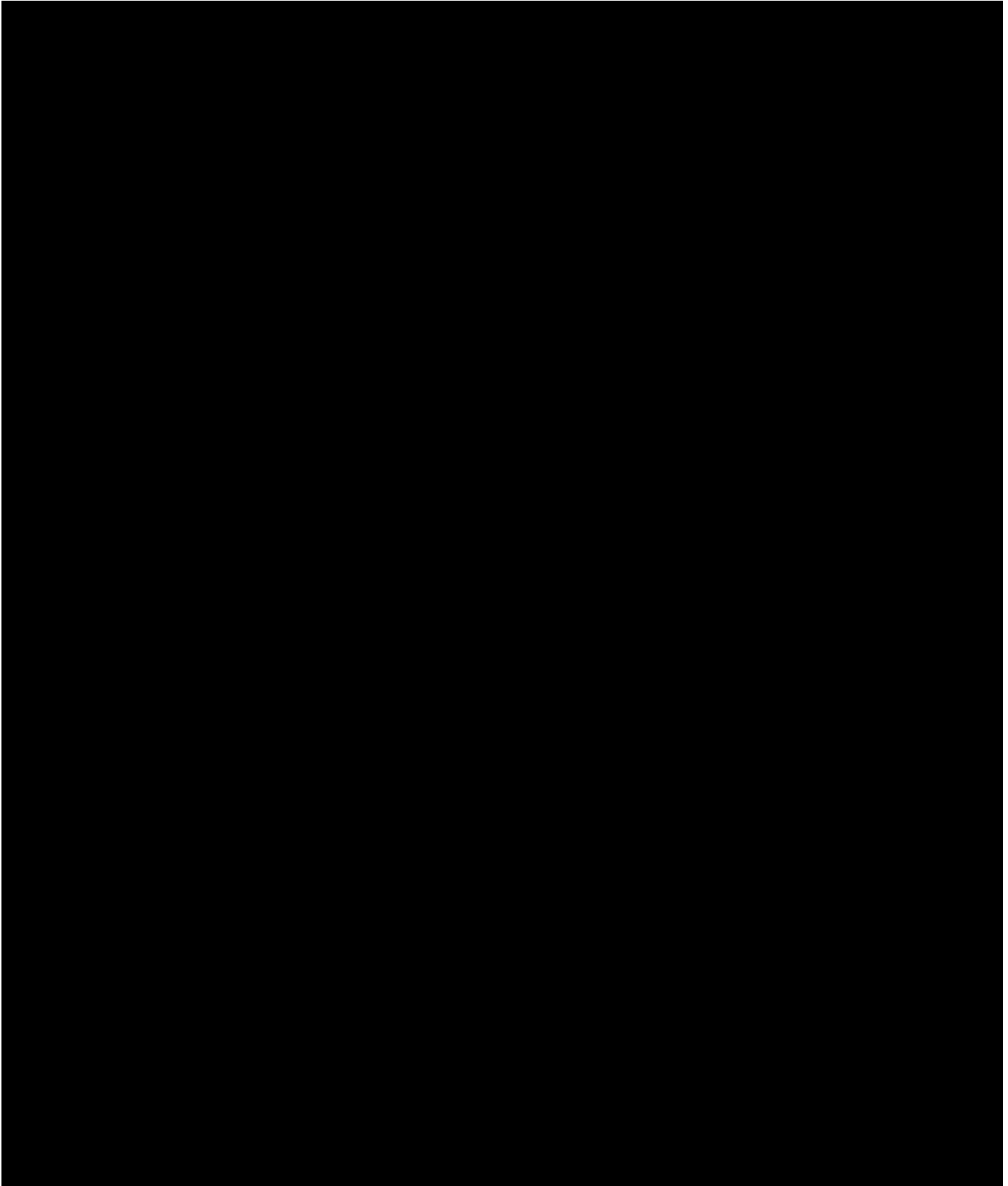


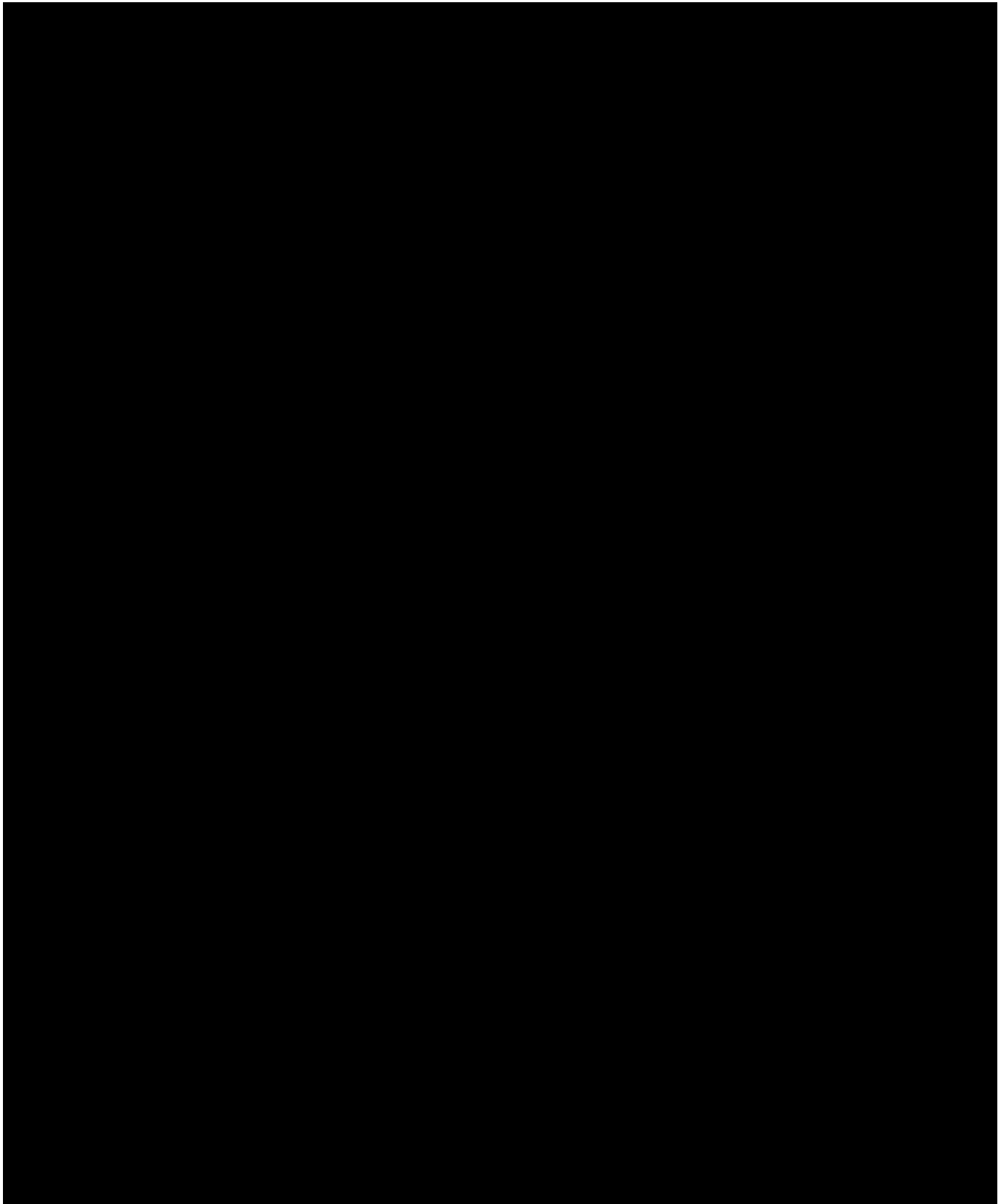


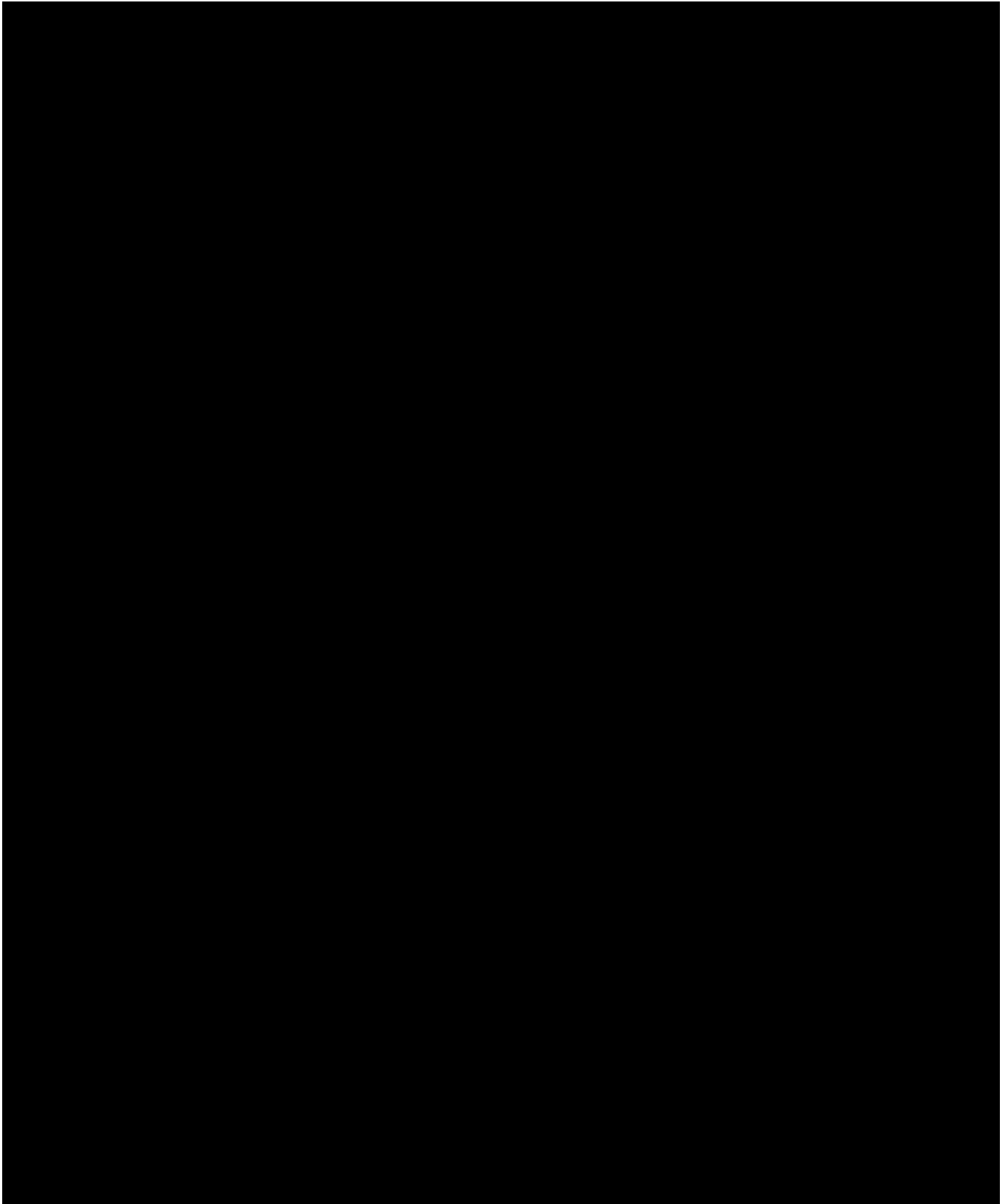


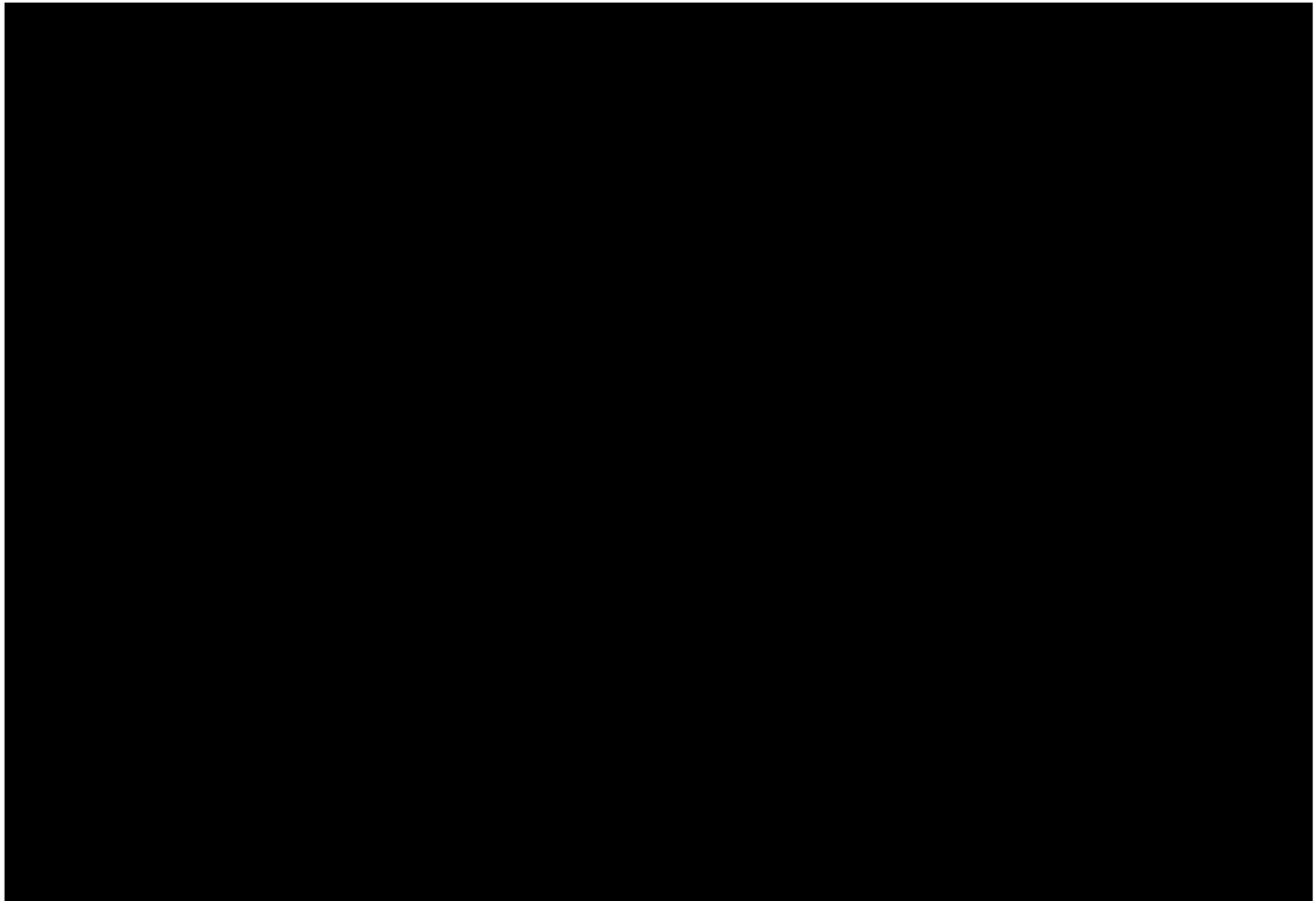


AQ5	Describe how the team you are proposing to undertake this work is structured, including reference to their skills, experience, and qualifications relevant to this project.	10	1000 words
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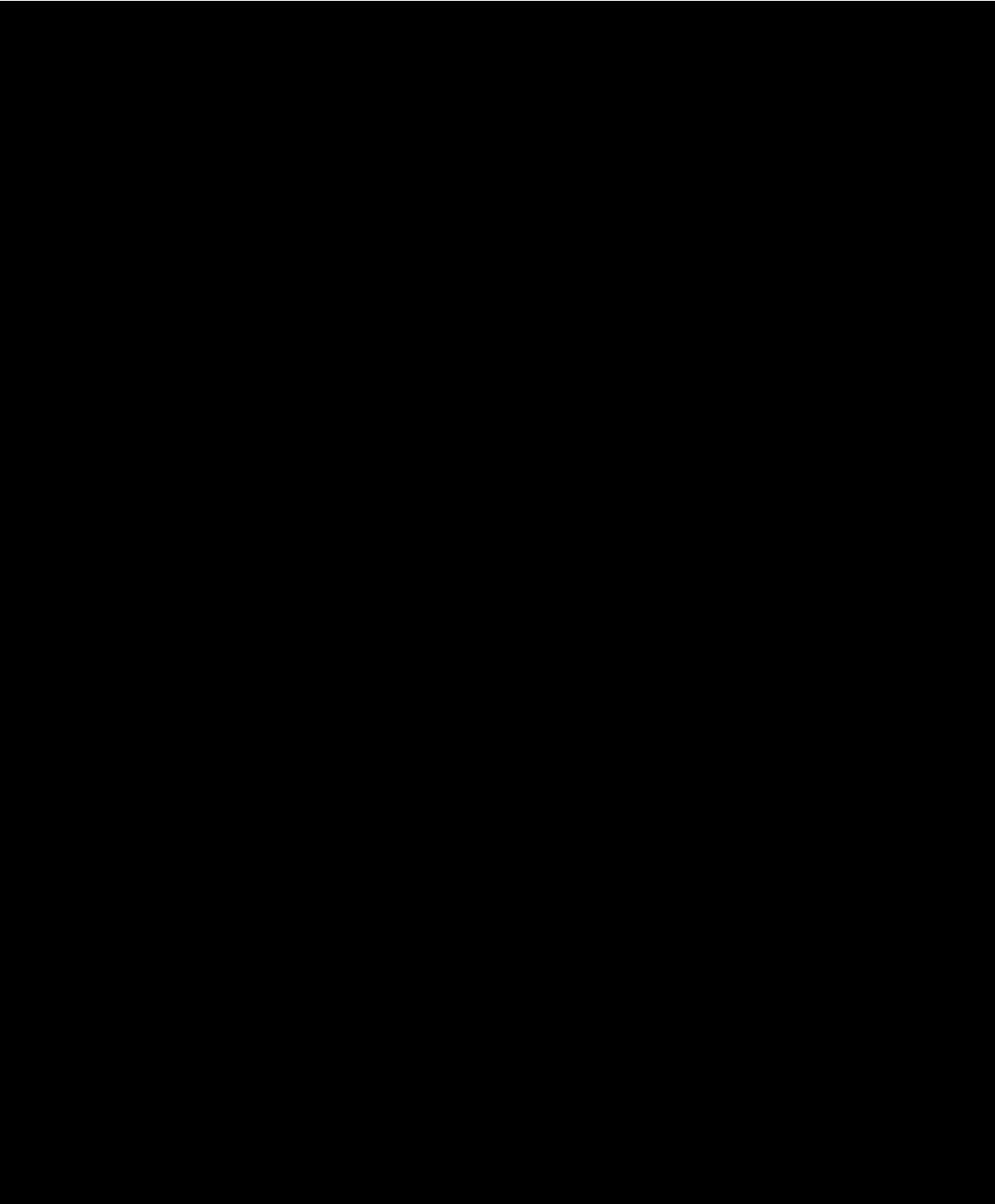


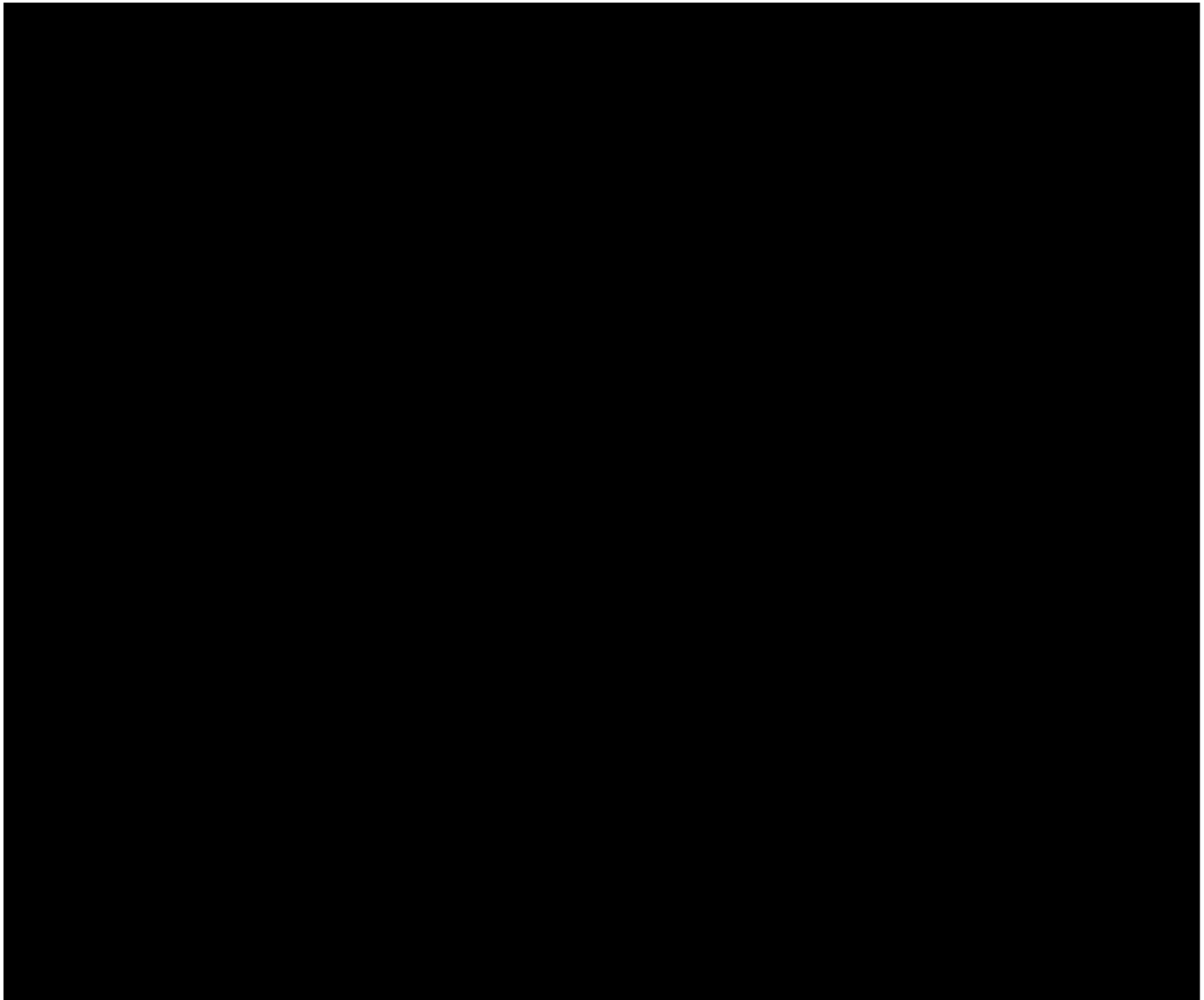




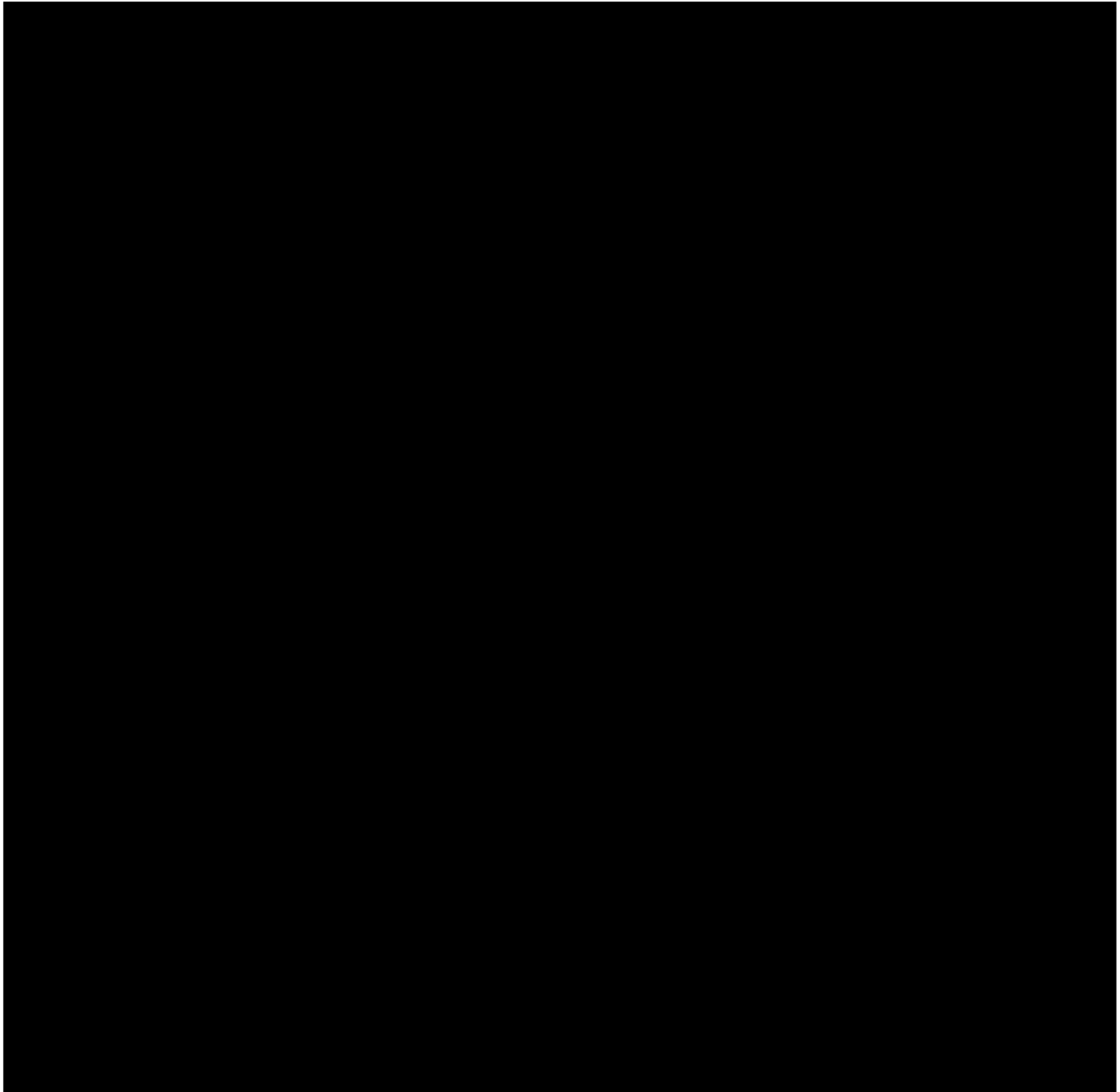


AQ6	Describe how you will provide and manage supplier support for the new system(s), including adhering to the Microsoft release schedule. Explain how you would accommodate future changes to the system once the new system(s) are in production.	10	1000 words
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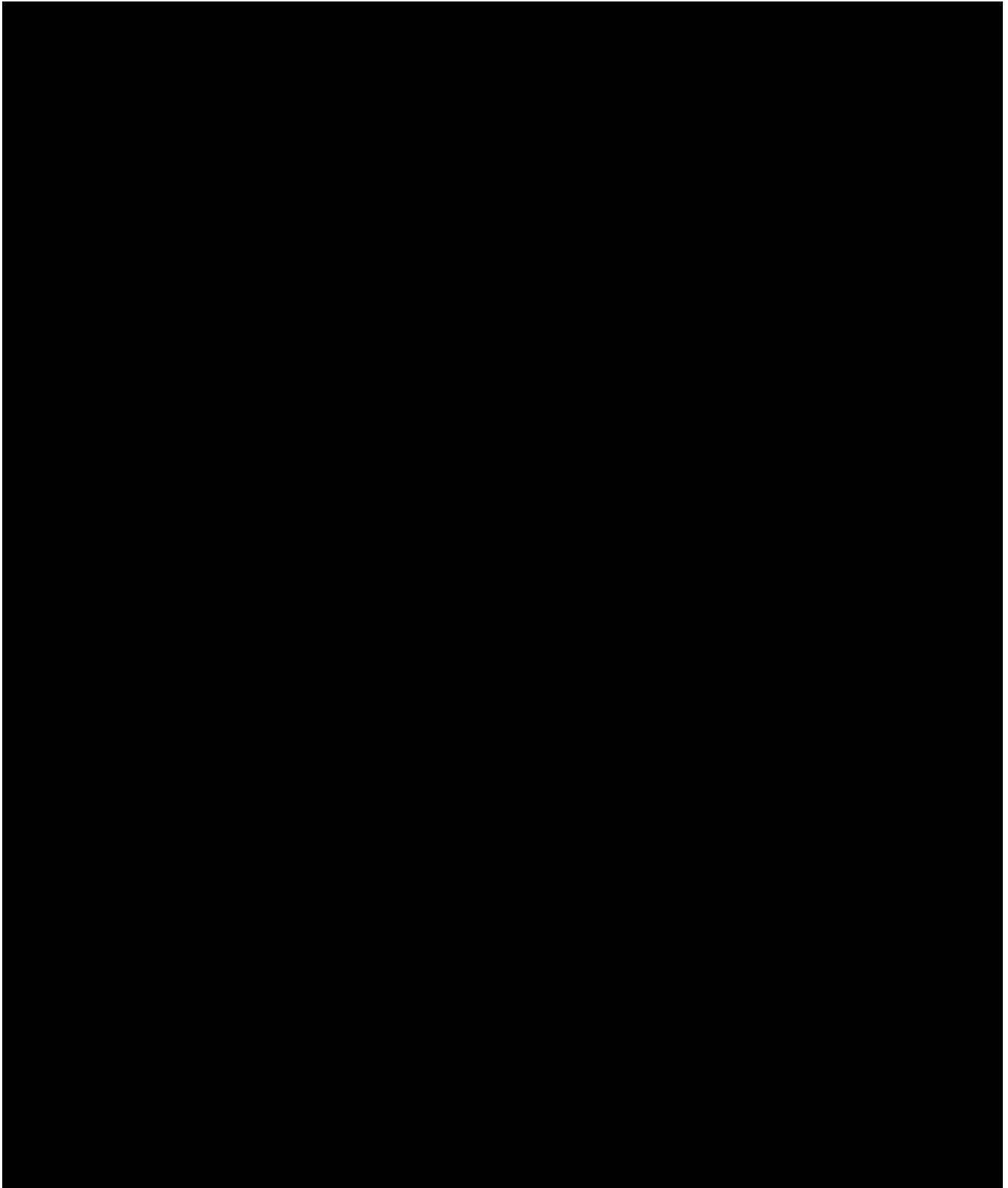


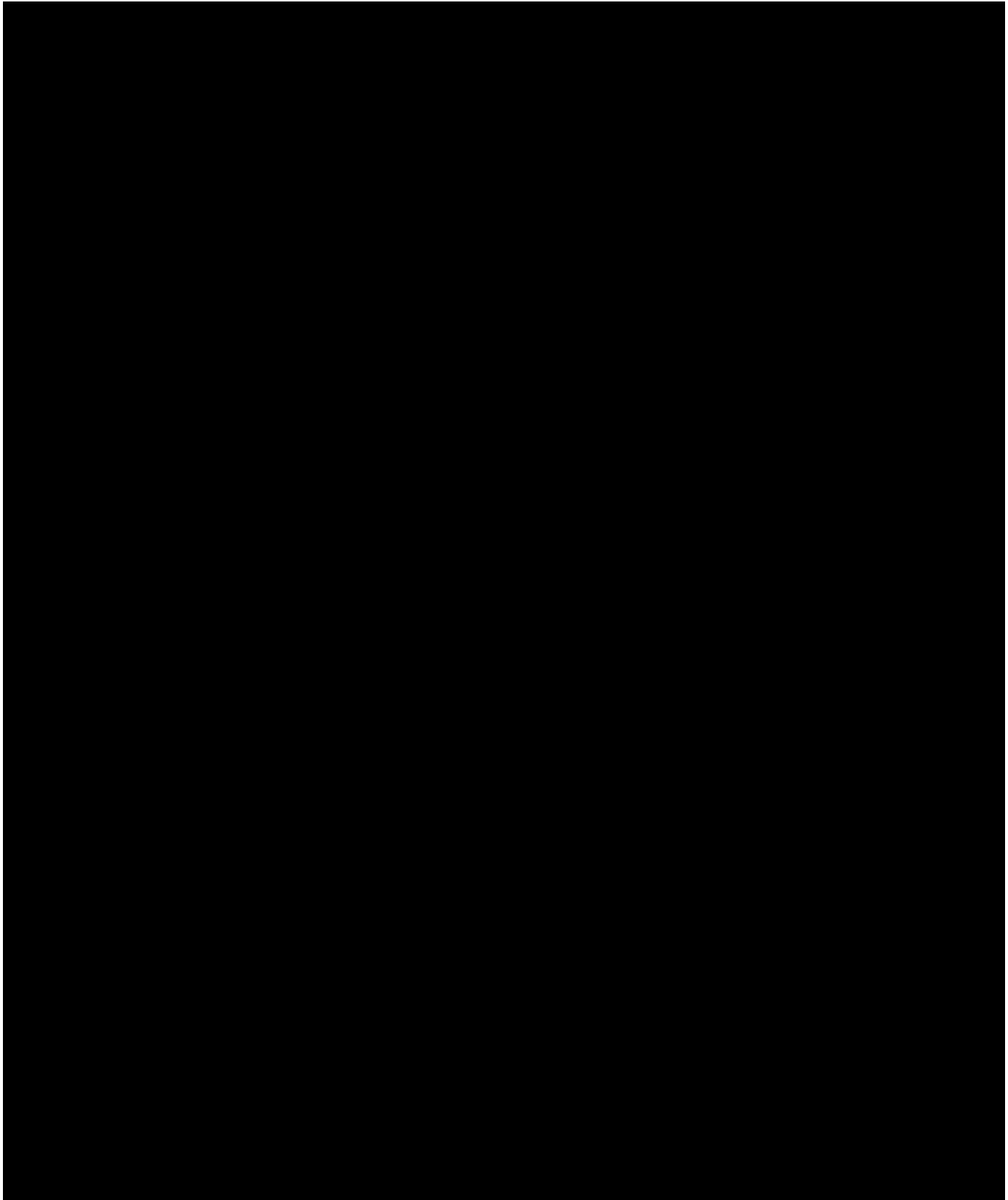


AQ7	Outline your approach to working with a wide range of stakeholders, including ones who have little knowledge or experience of changing IT systems or limited time to engage.	5	500 words
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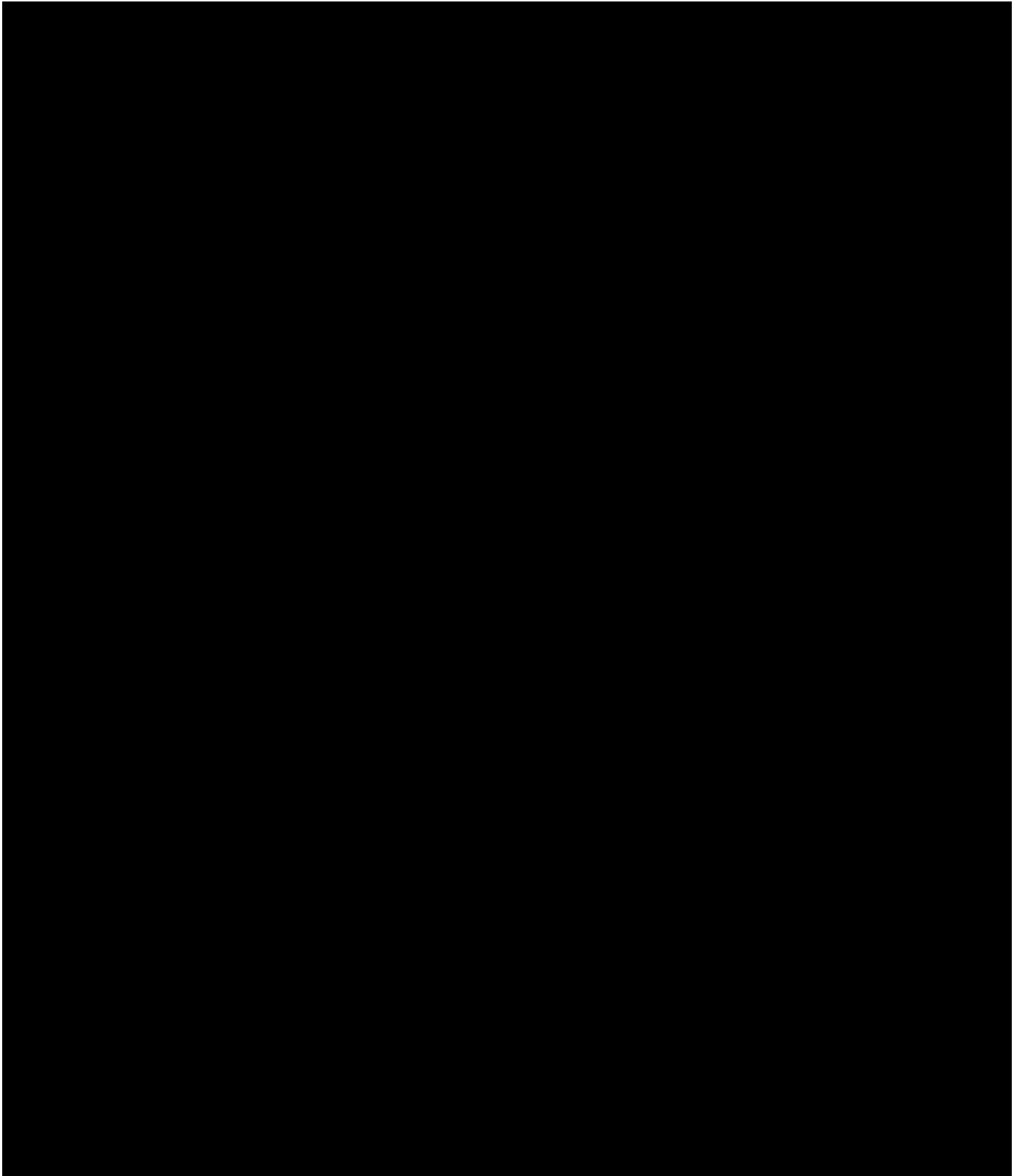


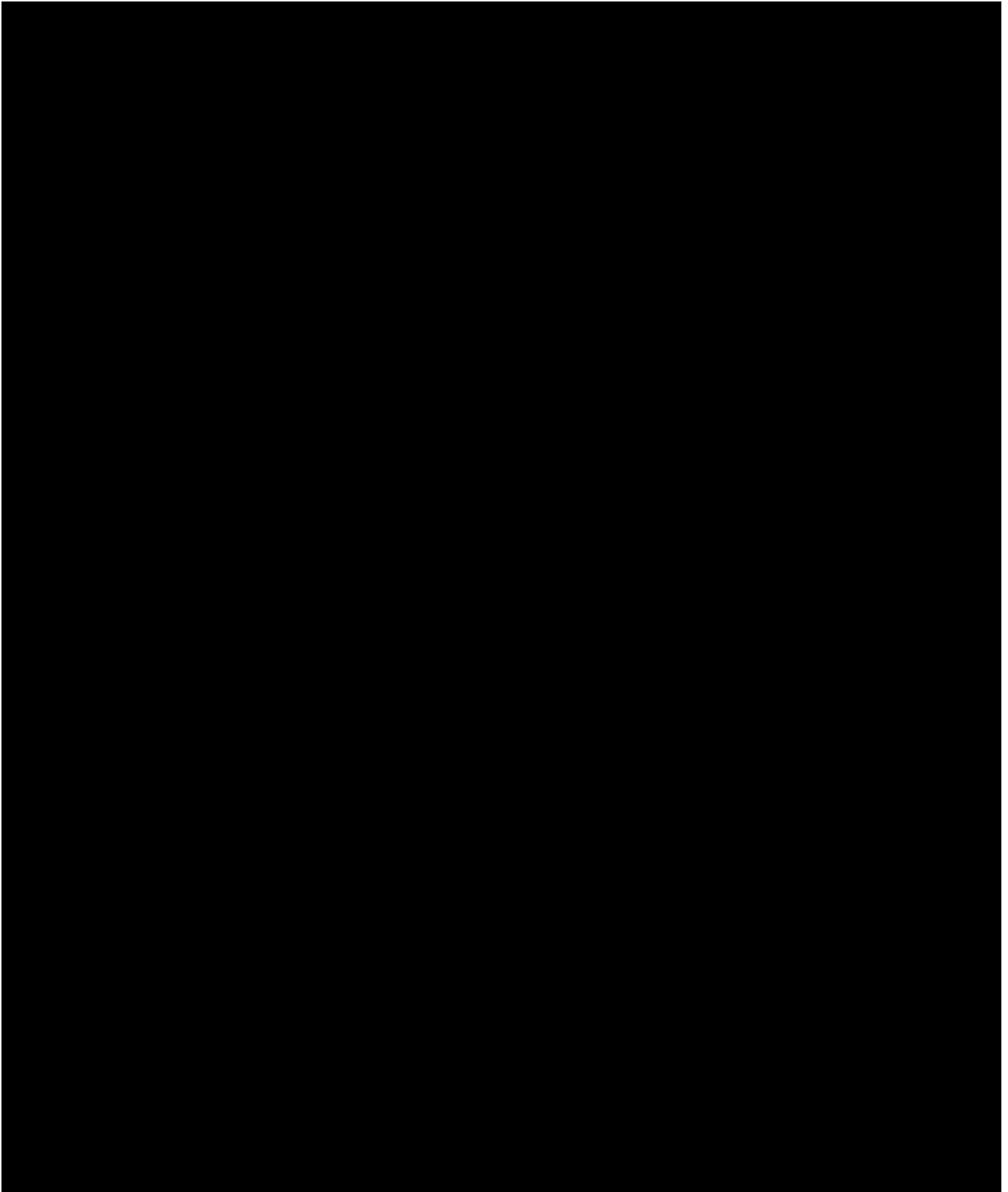
AQ8	Considering your proposed project plan in AQ4, what do you see as the main risks and how will you mitigate them? Include some previous risks you've come across and mitigated in previous projects of this nature.	10	1000 words
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AQ9	Outline your style and approach to working transparently & collaboratively when making decisions and recommendations, with at least two examples of how you have used the technique successfully.	5	1000 Words

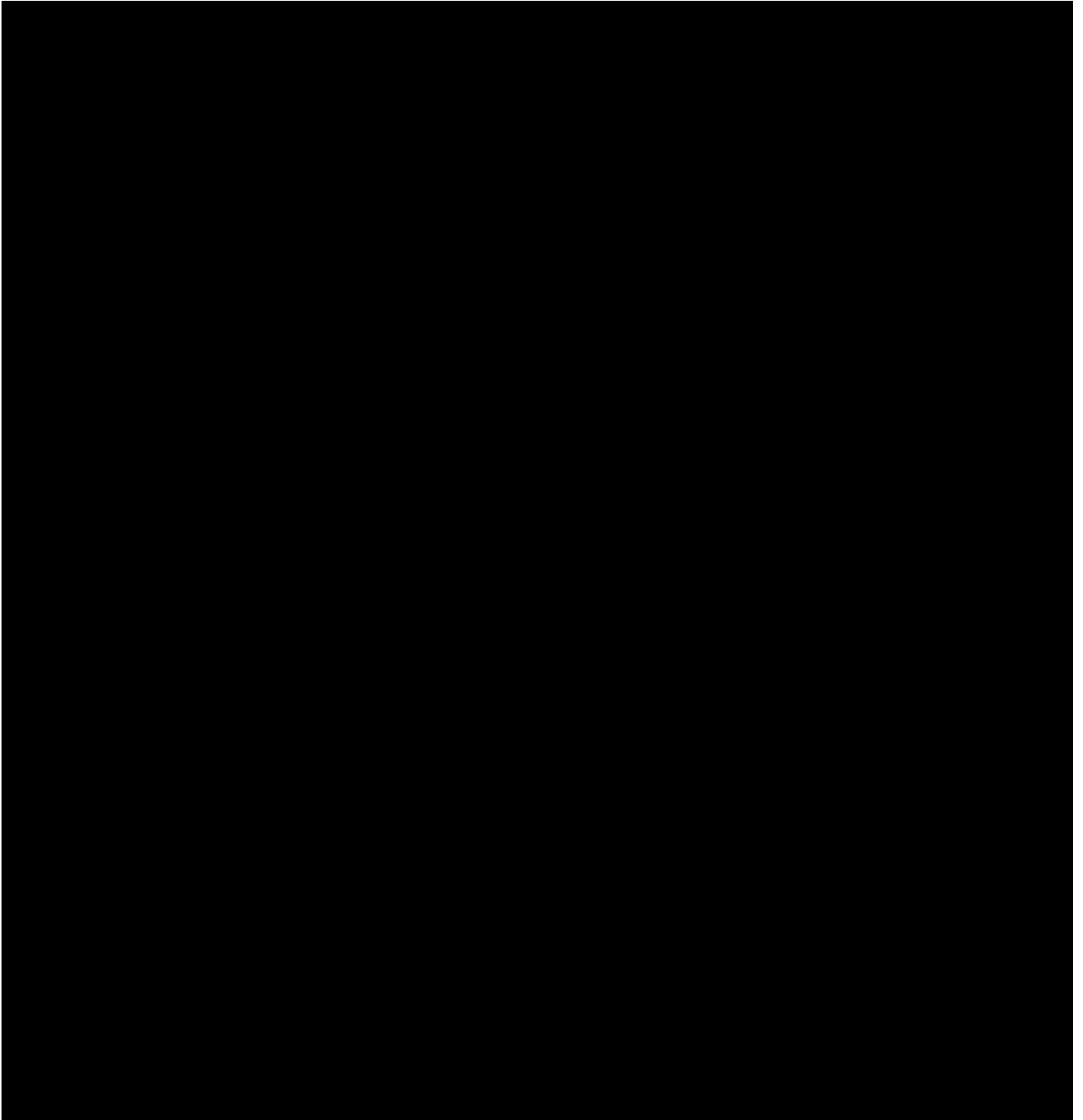


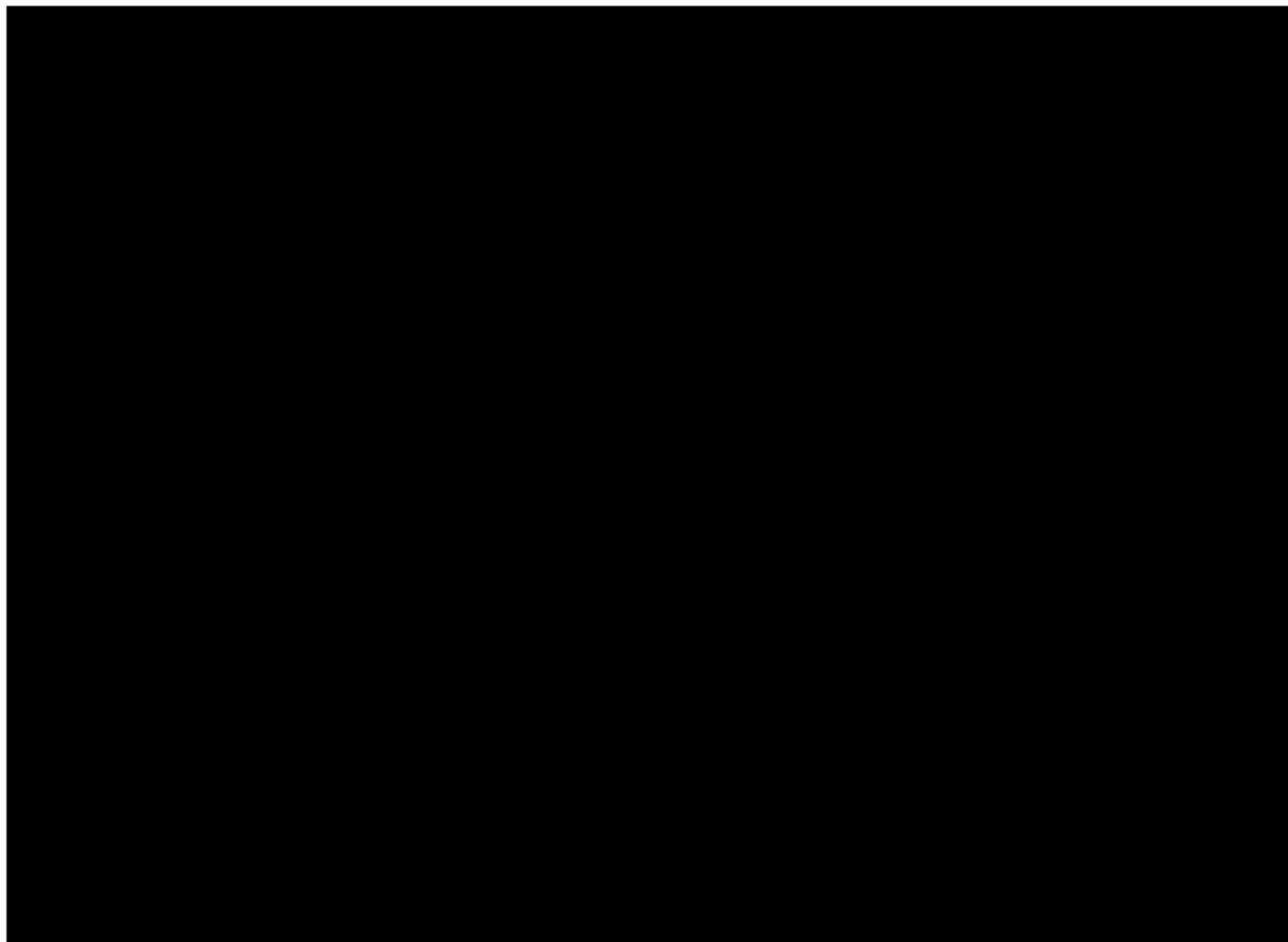


SOCIAL VALUE EVALUATION CRITERIA

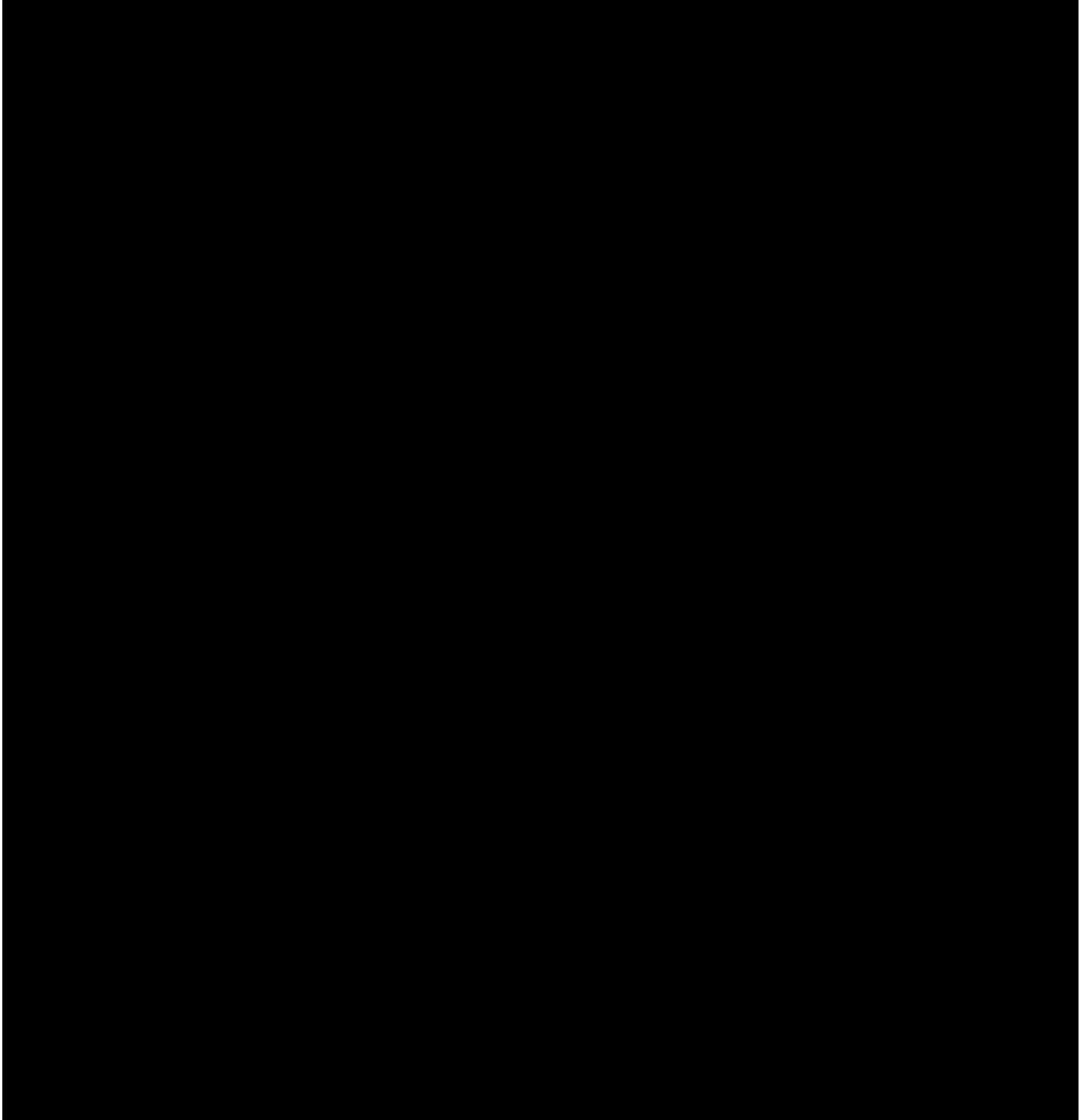
SV.01 Question	Subject and Response Guidance Questions are presented in each Award Questionnaire	Weighting for Question	Word Count
	<p>Describe the commitment your organisation will make, for this contract, to ensure that opportunities under the contract deliver the Policy Outcome and Award Criteria.</p> <p>Please include: -</p> <ul style="list-style-type: none"> • your 'Method Statement', stating how you will achieve this and how your commitment meets the Award Criteria, and • a timed project plan and process, including how you will implement your commitment and by when. • Also, how you will monitor, measure and report on your commitments/the impact of your proposals. <p>You should include but not be limited to:</p> <ul style="list-style-type: none"> ○ timed action plan ○ quantitative commitments ○ use of reporting metrics ○ tools/processes used to gather data ○ reporting ○ feedback ○ transparency <p>how you will influence staff, suppliers, customers and communities through the delivery of the contract to support the Policy Outcome, e.g., engagement, codesign/creation, training and education, partnering/collaborating, volunteering.</p>		
	Social-Value-Model-Quick-Reference-Table-Edn-1.1-3-Dec-20.pdf (publishing.service.gov.uk)		
SV1	<p>Theme 2: Tackling Economic Inequality / Create new businesses, new jobs and new skills</p> <p>MAC 2.2: Create employment and training opportunities particularly for those who face barriers to employment and/or who are located in deprived areas, and for people in industries with known skills shortages or in high growth sectors</p>	7	750 words

<p>Activities that demonstrate and describe your existing or planned:</p>	<p>Sub-criteria</p> <ul style="list-style-type: none"> • Support for the contract workforce by providing career advice, and providing opportunities for staff working on the contract with in-work progression career development into known skills shortages or high growth areas. Illustrative examples: mentoring; mock interviews; CV advice and careers guidance; learning and development; volunteering; influencing staff, suppliers, customers and communities through the delivery of the contract to support employment and skills opportunities in high growth sectors • Promotion of awareness of careers and recruitment opportunities relating to known skills shortages or in high growth sectors relating to the subject matter of the contract. <p>Reporting Metrics</p> <ul style="list-style-type: none"> • Number of training opportunities (Level 2, 3, and 4+) created or retained under the contract, other than apprentices, by UK region.
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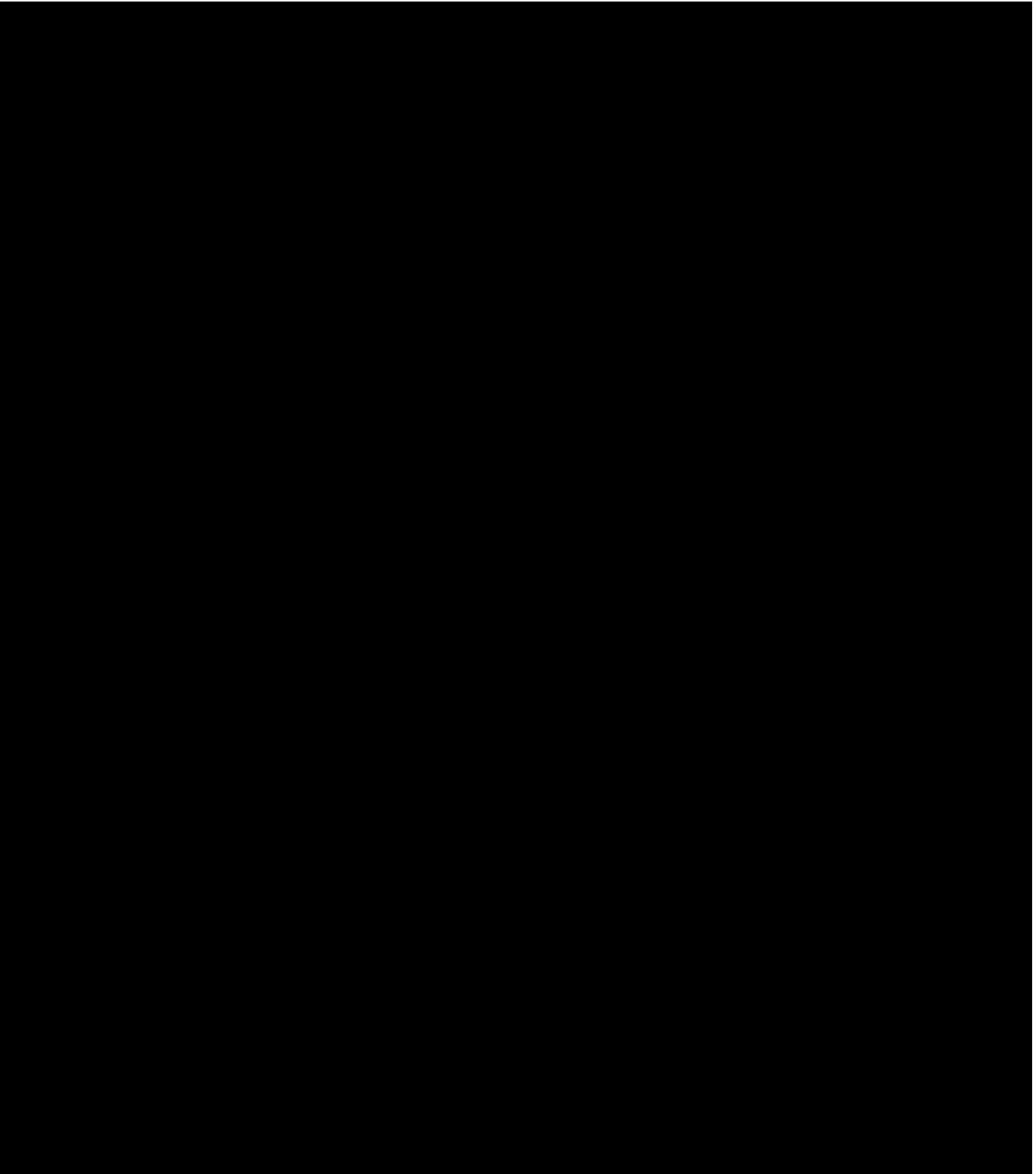




SV2	Theme 5: Wellbeing	7	750 words
	MAC 7.1: Demonstrate action to support health and wellbeing, including physical and mental health, in the contract workforce		



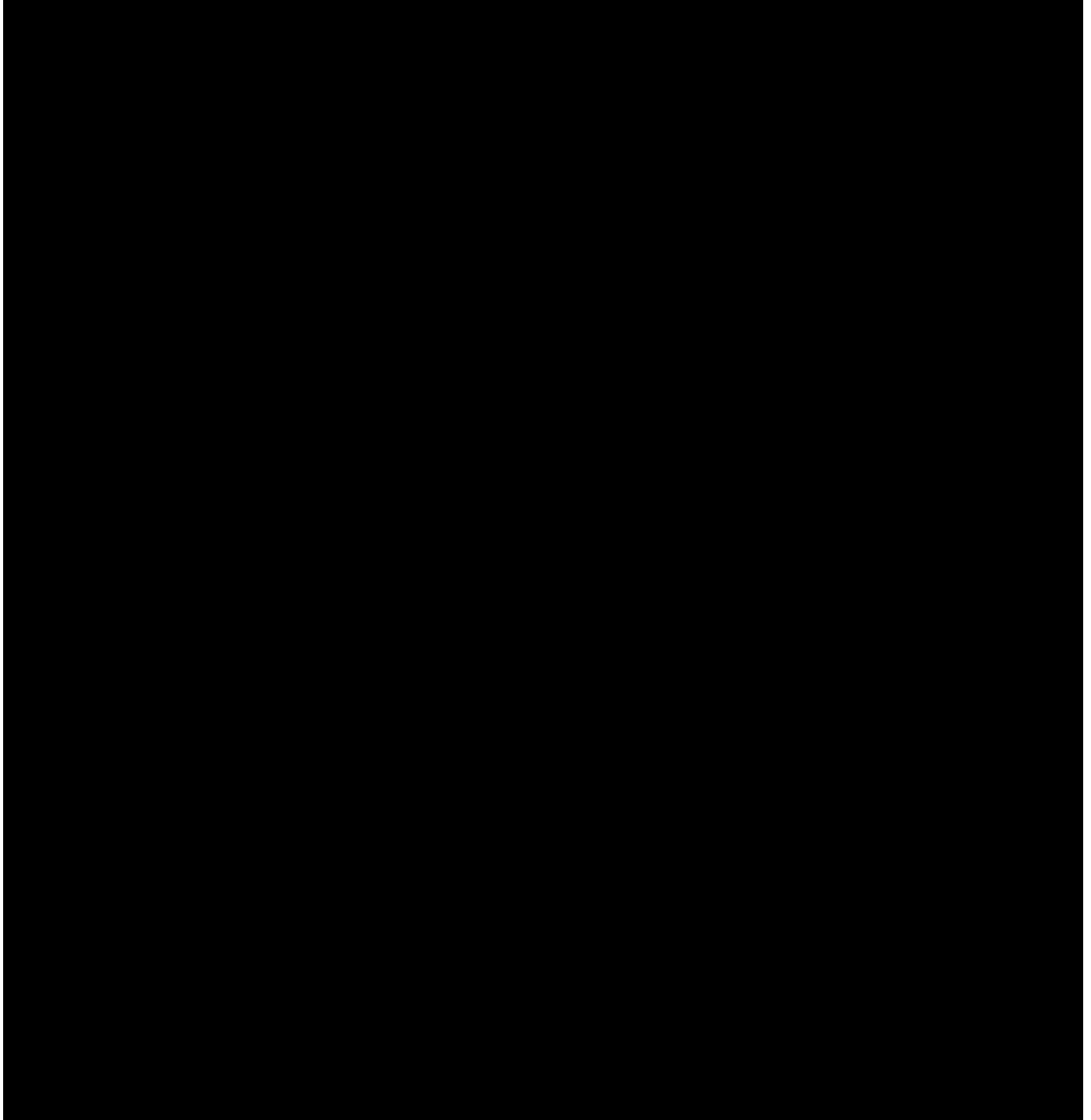
**SCHEDULE 6
PRICING**



**SCHEDULE 7
CONTRACT MONITORING**

Not Used

SCHEDULE 8
COMMERCIALLY SENSITIVE INFORMATION



**SCHEDULE 9
VARIATION FORM**

No of Contract being varied:

.....

Variation Form No:

.....

BETWEEN:

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

and

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

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

[Insert details of the Variation]

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

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

Signature

.....

Date

.....

Name (in Capitals)

.....

Address

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

Signature

Date

Name (in Capitals)

Address

SCHEDULE 10 STAFF TRANSFER: EMPLOYMENT EXIT PROVISIONS

1. DEFINITIONS

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

“Contractor’s Final Contractor Personnel List”	a list provided by the Contractor of all Contractor Personnel who will transfer under the Employment Regulations on the Relevant Transfer Date;
“Contractor’s Provisional Contractor Personnel List”	a list prepared and updated by the Contractor of all Contractor Personnel who are engaged in or wholly or mainly assigned to the provision of the Services or any relevant part of the Services which it is envisaged as at the date of such list will no longer be provided by the Contractor
“Employee Liabilities”	<p>all claims, actions, proceedings, orders, demands, complaints, investigations (save for any claims for personal injury which are covered by insurance) and any award, compensation, damages, tribunal awards, fine, loss, order, penalty, disbursement, payment made by way of settlement and costs, expenses and legal costs reasonably incurred in connection with a claim or investigation related to employment including in relation to the following:</p> <ul style="list-style-type: none"> a. redundancy payments including contractual or enhanced redundancy costs, termination costs and notice payments; b. unfair, wrongful or constructive dismissal compensation; c. compensation for discrimination on grounds of sex, race, disability, age, religion or belief, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation or claims for equal pay;

- d. compensation for less favourable treatment of part-time workers or fixed term employees;
- e. outstanding employment debts and unlawful deduction of wages including any PAYE and national insurance contributions;
- f. employment claims whether in tort, contract or statute or otherwise;
- g. any investigation relating to employment matters by the Equality and Human Rights Commission or other enforcement, regulatory or supervisory body and of implementing any requirements which may arise from such investigation;

“Former Contractor”	a supplier supplying services to the Authority before the Relevant Transfer Date that are the same as or substantially similar to the Services (or any part of the Services) and shall include any sub-contractor of such supplier (or any sub-contractor of any such sub-contractor);
“Relevant Transfer”	a transfer of employment to which the Employment Regulations applies;
“Relevant Transfer Date”	in relation to a Relevant Transfer, the date upon which the Relevant Transfer takes place;
“Replacement Sub-contractor”	a sub-contractor of the Replacement Contractor to whom Transferring Contractor Employees will transfer on a Service Transfer Date (or any sub-contractor of any such Sub-contractor);
“Service Transfer”	any transfer of the Services (or any part of the Services), for whatever reason, from the Contractor or any Sub-contractor to a Replacement Contractor or a Replacement Sub-contractor;

“Service Date”	Transfer	The date of a Service Transfer;
“Staffing Information”		<p>in relation to all persons identified on the Contractor's Provisional Contractor Personnel List or Contractor's Final Contractor Personnel List, as the case may be, such information as the Authority may reasonably request (subject to all applicable provisions of the Data Protection Legislation), but including in an anonymised format:</p> <ul style="list-style-type: none"> a. their ages, dates of commencement of employment or engagement and gender; b. details of whether they are employed, self-employed contractors or consultants, agency workers or otherwise; c. the identity of the employer or relevant contracting Party; d. their relevant contractual notice periods and any other terms relating to termination of employment, including redundancy procedures, and redundancy payments; e. their wages, salaries and profit sharing arrangements as applicable; f. details of other employment-related benefits, including (without limitation) medical insurance, life assurance, pension or other retirement benefit schemes, share option schemes and company car schedules applicable to them; g. any outstanding or potential contractual, statutory or other liabilities in respect of such individuals (including in respect of personal injury claims); h. details of any such individuals on long term sickness absence, parental leave, maternity leave or other authorised long term absence;

- i. copies of all relevant documents and materials relating to such information, including copies of relevant contracts of employment (or relevant standard contracts if applied generally in respect of such employees); and
- j. any other “employee liability information” as such term is defined in Regulation 11 of the Employment Regulations;

“Transferring Contractor Employees”

those employees of the Contractor and/or the Contractor’s Sub-contractors to whom the Employment Regulations will apply on the Service Transfer Date; and

2. INTERPRETATION

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

3. PRE-SERVICE TRANSFER OBLIGATIONS

3.1. The Contractor agrees that within twenty (20) Working Days of the earliest of:

- 3.1.1. receipt of the giving of notice of early termination of this Contract;
- 3.1.2. the date which is twelve (12) Months before the end of the Term; and
- 3.1.3. receipt of a written request of the Authority at any time (provided that the Authority shall only be entitled to make one such request in any six (6) Month period),

it shall provide in a suitably anonymised format so as to comply with the Data Protection Legislation, the Contractor’s Provisional Contractor Personnel List, together with the Staffing Information in relation to the Contractor’s Provisional Contractor Personnel List and it shall provide an updated Contractor’s Provisional Contractor Personnel List at such intervals as are reasonably requested by the Authority.

- 3.2. At least twenty (20) Working Days prior to the Service Transfer Date, the Contractor shall provide to the Authority or at the direction of the Authority to any Replacement Contractor and/or any Replacement Sub-contractor:
 - 3.2.1. the Contractor's Final Contractor Personnel List, which shall identify which of the Contractor Personnel are Transferring Contractor Employees; and
 - 3.2.2. the Staffing Information in relation to the Contractor's Final Contractor Personnel List (insofar as such information has not previously been provided).
- 3.3. The Authority shall be permitted to use and disclose information provided by the Contractor under Paragraphs 3.1 and 3.2 for the purpose of informing any prospective Replacement Contractor and/or Replacement Sub-contractor.
- 3.4. The Contractor warrants, for the benefit of the Authority, any Replacement Contractor, and any Replacement Sub-contractor that all information provided pursuant to Paragraphs 3.1 and 3.2 shall be true and accurate in all material respects at the time of providing the information.
- 3.5. From the date of the earliest event referred to in Paragraph 1.1, the Contractor agrees, that it shall not, and agrees to procure that each Sub-contractor shall not, assign any person to the provision of the Services who is not listed on the Contractor's Provisional Contractor Personnel List and shall not without the approval of the Authority (not to be unreasonably withheld or delayed):
 - 3.5.1. replace or re-deploy any Contractor Personnel listed on the Contractor Provisional Contractor Personnel List other than where any replacement is of equivalent grade, skills, experience and expertise and is employed on the same terms and conditions of employment as the person he/she replaces;
 - 3.5.2. make, promise, propose or permit any material changes to the terms and conditions of employment of the Contractor Personnel (including any payments connected with the termination of employment);
 - 3.5.3. increase the proportion of working time spent on the Services (or the relevant part of the Services) by any of the Contractor Personnel save for fulfilling assignments and projects previously scheduled and agreed;
 - 3.5.4. introduce any new contractual or customary practice concerning the making of any lump sum payment on the termination of employment of any employees listed on the Contractor's Provisional Contractor Personnel List;

- 3.5.5. increase or reduce the total number of employees so engaged, or deploy any other person to perform the Services (or the relevant part of the Services); or
- 3.5.6. terminate or give notice to terminate the employment or contracts of any persons on the Contractor's Provisional Contractor Personnel List save by due disciplinary process,

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

- 3.6. During the Term, the Contractor shall provide, and shall procure that each Sub-contractor shall provide, to the Authority any information the Authority may reasonably require relating to the manner in which the Services are organised, which shall include:

- 3.6.1. the numbers of employees engaged in providing the Services;
- 3.6.2. the percentage of time spent by each employee engaged in providing the Services; and
- 3.6.3. a description of the nature of the work undertaken by each employee by location.

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

- 3.7.1. the most recent Month's copy pay slip data;

- 3.7.2. details of cumulative pay for tax and pension purposes;
- 3.7.3. details of cumulative tax paid;
- 3.7.4. tax code;
- 3.7.5. details of any voluntary deductions from pay; and
- 3.7.6. bank/building society account details for payroll purposes.

4. EMPLOYMENT REGULATIONS EXIT PROVISIONS

- 4.1. The Authority and the Contractor acknowledge that subsequent to the commencement of the provision of the Services, the identity of the provider of the Services (or any part of the Services) may change (whether as a result of termination of this Contract or otherwise) resulting in the Services being undertaken by a Replacement Contractor and/or a Replacement Sub-contractor. Such change in the identity of the supplier of such services may constitute a Relevant Transfer to which the Employment Regulations and/or the Acquired Rights Directive will apply. The Authority and the Contractor further agree that, as a result of the operation of the Employment Regulations, where a Relevant Transfer occurs, the contracts of employment between the Contractor and the Transferring Contractor Employees (except in relation to any contract terms disapplied through operation of Regulation 10(2) of the Employment Regulations) will have effect on and from the Service Transfer Date as if originally made between the Replacement Contractor and/or a Replacement Sub-contractor (as the case may be) and each such Transferring Contractor Employee.
- 4.2. The Contractor shall, and shall procure that each Sub-contractor shall, comply with all its obligations in respect of the Transferring Contractor Employees arising under the Employment Regulations in respect of the period up to (and including) the Service Transfer Date and shall perform and discharge, and procure that each Sub-contractor shall perform and discharge, all its obligations in respect of all the Transferring Contractor Employees arising in respect of the period up to (and including) the Service Transfer Date (including the payment of all remuneration, benefits, entitlements and outgoings, all wages, accrued but untaken holiday pay, bonuses, commissions, payments of PAYE, national insurance contributions and pension contributions which in any case are attributable in whole or in part to the period ending on (and including) the Service Transfer Date) and any necessary apportionments in respect of any periodic payments shall be made between: (i) the Contractor and/or the Sub-contractor (as appropriate); and (ii) the Replacement Contractor and/or Replacement Sub-contractor.

- 4.3. Subject to Paragraph 4.4 the Contractor shall indemnify the Authority and/or the Replacement Contractor and/or any Replacement Sub-contractor against any Employee Liabilities in respect of any Transferring Contractor Employee (or, where applicable any employee representative as defined in the Employment Regulations) arising from or as a result of:
- 4.3.1. any act or omission of the Contractor or any Sub-contractor whether occurring before, on or after the Service Transfer Date;
 - 4.3.2. the breach or non-observance by the Contractor or any Sub-contractor occurring on or before the Service Transfer Date of:
 - (a) any collective agreement applicable to the Transferring Contractor Employees; and/or
 - (b) any other custom or practice with a trade union or staff association in respect of any Transferring Contractor Employees which the Contractor or any Sub-contractor is contractually bound to honour;
 - 4.3.3. any claim by any trade union or other body or person representing any Transferring Contractor Employees arising from or connected with any failure by the Contractor or a Sub-contractor to comply with any legal obligation to such trade union, body or person arising on or before the Service Transfer Date;
 - 4.3.4. any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:
 - (a) in relation to any Transferring Contractor Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on and before the Service Transfer Date; and
 - (b) in relation to any employee who is not a Transferring Contractor Employee, and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Contractor to the Authority and/or Replacement Contractor and/or any Replacement Sub-contractor, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising on or before the Service Transfer Date;
 - 4.3.5. a failure of the Contractor or any Sub-contractor to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax

deductions and national insurance contributions relating to the Transferring Contractor Employees in respect of the period up to and including the Service Transfer Date;

- 4.3.6. any claim made by or in respect of any person employed or formerly employed by the Contractor or any Sub-contractor other than a Transferring Contractor Employee for whom it is alleged the Authority and/or the Replacement Contractor and/or any Replacement Sub-contractor may be liable by virtue of this Contract and/or the Employment Regulations and/or the Acquired Rights Directive; and
 - 4.3.7. any claim made by or in respect of a Transferring Contractor Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Contractor Employee relating to any act or omission of the Contractor or any Sub-contractor in relation to its obligations under Regulation 13 of the Employment Regulations, except to the extent that the liability arises from the failure by the Authority and/or Replacement Contractor to comply with Regulation 13(4) of the Employment Regulations.
- 4.4. The indemnities in Paragraph 4.3 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Replacement Contractor and/or any Replacement Sub-contractor whether occurring or having its origin before, on or after the Service Transfer Date, including any Employee Liabilities:
- 4.4.1. arising out of the resignation of any Transferring Contractor Employee before the Service Transfer Date on account of substantial detrimental changes to his/her working conditions proposed by the Replacement Contractor and/or any Replacement Sub-contractor to occur in the period on or after the Service Transfer Date; or
 - 4.4.2. arising from the Replacement Contractor's failure, and/or Replacement Sub-contractor's failure, to comply with its obligations under the Employment Regulations.
- 4.5. If any person who is not a Transferring Contractor Employee claims, or it is determined in relation to any person who is not a Transferring Contractor Employee, that his/her contract of employment has been transferred from the Contractor or any Sub-contractor to the Replacement Contractor and/or Replacement Sub-contractor pursuant to the Employment Regulations or the Acquired Rights Directive, then:

- 4.5.1. the Authority shall procure that the Replacement Contractor shall, or any Replacement Sub-contractor shall, within five (5) Working Days of becoming aware of that fact, give notice in writing to the Contractor; and
- 4.5.2. the Contractor may offer (or may procure that a Sub-contractor may offer) employment to such person within fifteen (15) Working Days of the notification by the Replacement Contractor and/or any and/or Replacement Sub-contractor or take such other reasonable steps as it considers appropriate to deal with the matter provided always that such steps are in compliance with Law.
- 4.6. If such offer is accepted, or if the situation has otherwise been resolved by the Contractor or a Sub-contractor, the Authority shall procure that the Replacement Contractor shall, or procure that the Replacement Sub-contractor shall, immediately release or procure the release of the person from his/her employment or alleged employment.
- 4.7. If after the fifteen (15) Working Day period specified in Paragraph 4.5.2 has elapsed:
 - 4.7.1. no such offer of employment has been made;
 - 4.7.2. such offer has been made but not accepted; or
 - 4.7.3. the situation has not otherwise been resolved

the Authority shall advise the Replacement Contractor and/or Replacement Sub-contractor, as appropriate that it may within five (5) Working Days give notice to terminate the employment or alleged employment of such person.
- 4.8. Subject to the Replacement Contractor and/or Replacement Sub-contractor acting in accordance with the provisions of Paragraphs 4.5 to 4.7, and in accordance with all applicable proper employment procedures set out in applicable Law, the Contractor shall indemnify the Replacement Contractor and/or Replacement Sub-contractor against all Employee Liabilities arising out of the termination pursuant to the provisions of Paragraph 4.7 provided that the Replacement Contractor takes, or shall procure that the Replacement Sub-contractor takes, all reasonable steps to minimise any such Employee Liabilities.
- 4.9. The indemnity in Paragraph 4.8:
 - 4.9.1. shall not apply to:
 - (a) any claim for:

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

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

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

4.9.2. shall apply only where the notification referred to in Paragraph 4.5.1 is made by the Replacement Contractor and/or Replacement Sub-contractor to the Contractor within six (6) Months of the Service Transfer Date.

4.10. If any such person as is described in Paragraph 4.5 is neither re-employed by the Contractor or any Sub-contractor nor dismissed by the Replacement Contractor and/or Replacement Sub-contractor within the time scales set out in Paragraphs 4.5 to 4.7, such person shall be treated as a Transferring Contractor Employee and the Replacement Contractor and/or Replacement Sub-contractor shall comply with such obligations as may be imposed upon it under applicable Law.

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

4.11.1. the Contractor and/or any Sub-contractor; and

4.11.2. the Replacement Contractor and/or the Replacement Sub-contractor.

4.12. The Contractor shall, and shall procure that each Sub-contractor shall, promptly provide to the Authority and any Replacement Contractor and/or Replacement Sub-contractor, in

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

- 4.13. Subject to Paragraph 2.14, the Authority shall procure that the Replacement Contractor indemnifies the Contractor on its own behalf and on behalf of any Replacement Sub-contractor and its sub-contractors against any Employee Liabilities in respect of each Transferring Contractor Employee (or, where applicable any employee representative (as defined in the Employment Regulations) of any Transferring Contractor Employee) arising from or as a result of:
 - 4.13.1. any act or omission of the Replacement Contractor and/or Replacement Sub-contractor;
 - 4.13.2. the breach or non-observance by the Replacement Contractor and/or Replacement Sub-contractor on or after the Service Transfer Date of:
 - (a) any collective agreement applicable to the Transferring Contractor Employees; and/or
 - (b) any custom or practice in respect of any Transferring Contractor Employees which the Replacement Contractor and/or Replacement Sub-contractor is contractually bound to honour;
 - 4.13.3. any claim by any trade union or other body or person representing any Transferring Contractor Employees arising from or connected with any failure by the Replacement Contractor and/or Replacement Sub-contractor to comply with any legal obligation to such trade union, body or person arising on or after the Relevant Transfer Date;
 - 4.13.4. any proposal by the Replacement Contractor and/or Replacement Sub-contractor to change the terms and conditions of employment or working conditions of any Transferring Contractor Employees on or after their transfer to the Replacement Contractor or Replacement Sub-contractor (as the case may be) on the Relevant Transfer Date, or to change the terms and conditions of employment or working conditions of any person who would have been a Transferring Contractor Employee but for their resignation (or decision to treat

their employment as terminated under Regulation 4(9) of the Employment Regulations) before the Relevant Transfer Date as a result of or for a reason connected to such proposed changes;

- 4.13.5. any statement communicated to or action undertaken by the Replacement Contractor or Replacement Sub-contractor to, or in respect of, any Transferring Contractor Employee on or before the Relevant Transfer Date regarding the Relevant Transfer which has not been agreed in advance with the Contractor in writing;
 - 4.13.6. any proceeding, claim or demand by HMRC or other statutory authority in respect of any financial obligation including, but not limited to, PAYE and primary and secondary national insurance contributions:
 - (a) in relation to any Transferring Contractor Employee, to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising after the Service Transfer Date; and
 - (b) in relation to any employee who is not a Transferring Contractor Employee, and in respect of whom it is later alleged or determined that the Employment Regulations applied so as to transfer his/her employment from the Contractor or Sub-contractor, to the Replacement Contractor or Replacement Sub-contractor to the extent that the proceeding, claim or demand by HMRC or other statutory authority relates to financial obligations arising after the Service Transfer Date;
 - 4.13.7. a failure of the Replacement Contractor or Replacement Sub-contractor to discharge or procure the discharge of all wages, salaries and all other benefits and all PAYE tax deductions and national insurance contributions relating to the Transferring Contractor Employees in respect of the period from (and including) the Service Transfer Date; and
 - 4.13.8. any claim made by or in respect of a Transferring Contractor Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Contractor Employee relating to any act or omission of the Replacement Contractor or Replacement Sub-contractor in relation to obligations under Regulation 13 of the Employment Regulations.
- 4.14. The indemnities in Paragraph 4.13 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Contractor and/or any Sub-contractor (as applicable) whether occurring or having its origin before, on or after the

Relevant Transfer Date, including any Employee Liabilities arising from the failure by the Contractor and/or any Sub-contractor (as applicable) to comply with its obligations under the Employment Regulations.

**SCHEDULE 11
KEY PERSONNEL**

Not Used

Key Role	Name of Key Personnel	Responsibilities / Authorities	Minimum period in Key Role

SCHEDULE 12 EXIT PLAN AND SERVICE TRANSFER ARRANGEMENTS

1. DEFINITIONS

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

"Documentation"		any descriptions of the Services, technical specifications, user manuals, training manuals, operating manuals, process definitions and procedures, system environment descriptions and all such other documentation (whether in hardcopy or electronic form) which is required to be supplied by the Contractor to the Authority under the Contract as: <ul style="list-style-type: none"> a) would reasonably be required by a competent third party capable of Good Industry Practice contracted by the Authority to develop, configure, build, deploy, run, maintain, upgrade and test the individual systems that provide the Services; b) is required by the Contractor in order to provide the Services; and/or c) has been or shall be generated for the purpose of providing the Services;
"Ethical Agreement"	Wall	means an ethical wall agreement in a form similar to the draft ethical wall agreement set out in the Model Services Contract at Schedule 8.5 (Exit Management) Annex 2 (Draft Ethical Wall Agreement) or an alternative form of ethical wall agreement agreed between the Parties;
"Model Contract"	Services	means the Model Services Contract published and maintained by Cabinet Office, as update from time to time, the current version of which is published at https://www.gov.uk/government/publications/model-services-contract
"Registers"		means the registers and database referred to in Paragraph 4.2.1 and Paragraph 4.2.2 of this Schedule 12;

"Transferable Contracts"	Sub-contracts, licences or other agreements which are necessary to enable the Authority or any Replacement Contractor to provide the Replacement Services, including in relation to licences all relevant Documentation;
"Transitional Assistance Notice"	has the meaning set out in Paragraph 5.1 of this Schedule 12;
"Transitional Assistance Period"	has the meaning set out in Paragraph 5.1.3 of this Schedule 12.

2. PURPOSE OF THIS SCHEDULE

- 2.1. The Contractor is required to ensure the orderly transition of the Services from the Contractor to the Authority or any Replacement Contractor in the event of any termination (including partial termination) or expiry of this Contract. This Schedule sets out the principles of the exit and service transition arrangements which are intended to achieve this and upon which the Exit Plan shall be based.
- 2.2. For the avoidance of doubt the Contractor is responsible for the overall management of the exit and Service transfer arrangements.

3. EXIT

- 3.1. The Exit Plan shall:
 - 3.1.1. address each of the issues set out in this Schedule 12 (Exit Plan and Service Transfer Arrangements) to facilitate the transition of the Services from the Contractor to the Replacement Contractor and/or the Authority and shall ensure that there is no disruption in the supply of the Services and no deterioration in the quality of delivery of the Services;
 - 3.1.2. detail how the Services will transfer to the Replacement Contractor and/or the Authority including details of the processes, documentation, data transfer, systems migration, security and the segregation of the Authority's technology components from any technology components run by the Contractor or any of its Sub-contractors (where applicable);
 - 3.1.3. specify the scope of the Transitional Assistance Services that may be required by the Authority, any charges that would be payable for the provision of

Transitional Assistance Services and detail how such services would be provided (if required) during the Termination Period;

3.1.4. provide a timetable and identify critical issues for carrying out the Transitional Assistance Services; and

3.1.5. set out the management structure to be put in place and employed during the Termination Period.

4. OBLIGATIONS DURING THE TERM

4.1. The Contractor and the Authority shall each appoint an exit manager and provide written notification of such appointment to each other within six (6) Months after the Commencement Date. The Contractor's exit manager shall be responsible for ensuring that the Contractor and its employees, agents and Sub-contractors comply with this Schedule. The Contractor shall ensure that its exit manager has the requisite authority to arrange and procure any resources of the Contractor as are reasonably necessary to enable the Contractor to comply with this Paragraph 4.1. The exit managers shall liaise with one another in relation to all issues relevant to termination or expiry and all matters connected with this Schedule 12 and each Party's compliance with it.

4.2. During the Term, the Contractor shall:

4.2.1. create and maintain a register of:

(a) all assets, detailing their ownership status; and

(b) all Sub-contracts and other agreements required to perform the Services;

4.2.2. create and maintain a database setting out the Contractor's technical infrastructure through which the Services are delivered. Such database shall be capable of allowing staff of the Replacement Contractor and/or the Authority to acquire sufficient technical understanding of how the Contractor provides the Services to ensure the smooth transition of the Services with the minimum of disruption; and

4.2.3. at all times keep the Registers up to date and shall maintain copies of any agreements referred to in any Register.

4.3. The Parties shall agree the format of the Registers as part of the process of agreeing the first Exit Plan.

- 4.4. At the same time as the Contractor submits a revised Exit Plan, it shall also submit to the Authority up-to-date Registers.
- 4.5. On reasonable notice, the Contractor shall provide to the Authority and/or to its Replacement Contractor (subject to the Replacement Contractor entering into reasonable written confidentiality undertakings with the Contractor), such material and information as the Authority shall reasonably require in order to facilitate the preparation by the Authority of any invitation to tender and/or to facilitate any potential Replacement Contractor undertaking due diligence.

5. TRANSITIONAL ASSISTANCE SERVICES

- 5.1. The Authority shall be entitled to require the provision of Transitional Assistance Services by sending the Contractor a notice to that effect (a “**Transitional Assistance Notice**”) at any time prior to the termination or expiry of the Contract. The Transitional Assistance Notice shall specify:
 - 5.1.1. the date from which Transitional Assistance Services are required;
 - 5.1.2. the nature and extent of the Transitional Assistance Services required; and
 - 5.1.3. the period during which it is anticipated that Transitional Assistance Services will be required (“**Transitional Assistance Period**”) which shall continue no longer than twelve (12) Months after the date that the Contractor ceases to provide the Services.
- 5.2. The Authority shall have an option to extend the Transitional Assistance Period beyond the period specified in the Transitional Assistance Notice by written notice to the Contractor provided that such extension shall not extend beyond six (6) Months after the expiry of the period referred to in Paragraph 5.1.3 (Transitional Assistance Services) of this Schedule 12 (Exit Plan and Service Transfer Arrangements).
- 5.3. The Authority shall have the right to terminate its requirement for Transitional Assistance Services by serving not less than twenty (20) days' notice upon the Contractor to such effect.
- 5.4. The Transitional Assistance Services shall be provided in good faith and in accordance with Good Industry Practice.
- 5.5. During the Transitional Assistance Period, the Contractor shall, in addition to providing the Services and the Transitional Assistance Services, provide to the Authority any

reasonable assistance requested by the Authority to allow the Services to continue without interruption and to facilitate the orderly transfer of the Services. The Contractor shall use all reasonable endeavours to reallocate resources to provide these services without additional costs. However if this is not possible, any additional reasonable costs incurred by the Contractor in this regard which are not already in the scope of the Transitional Assistance Services or the Exit Plan shall be provided on a time-and-materials basis in accordance with the applicable rates set out in Schedule 6 and subject to agreement under the Change Control Process.

- 5.6. The Authority and the Contractor acknowledge that the transition of the Services to the Replacement Contractor may be phased over a period of time so that certain identified Services are transferred to the Replacement Contractor before others.
- 5.7. The Authority shall, at the Contractor's reasonable request, require the Replacement Contractor and any agent or personnel of the Replacement Contractor, to enter into an appropriate confidentiality undertaking with the Contractor.
- 5.8. The Contractor shall comply with all of its obligations contained in the Exit Plan.
- 5.9. From the date six (6) Months before expiry or from the service by either Party of any Termination Notice (whichever is the earlier) and during any Termination Period, the Contractor shall not terminate or vary in any material respect any Transferable Contract without the Authority's prior written consent, such consent not to be unreasonably withheld or delayed.
- 5.10. The Contractor shall comply with all of its obligations regarding the Contractor Personnel in accordance with Clause 3 (Application of TUPE at the Commencement of the Provision of the Services) of Schedule 1 and Schedule 10 (Staff Transfer).
- 5.11. Upon the termination or expiry of the Contract (as the case may be) or upon expiration of the Termination Period or, provided that it does not have an adverse impact on the ability of the Contractor to provide the Services or the Transitional Assistance Services, at any time during the Termination Period (as the Authority shall require):
 - 5.11.1. the Contractor shall cease to use the Authority Data and, at the direction of the Authority either:
 - (a) provide the Authority or Replacement Contractor with a complete and uncorrupted version of the Authority Data in electronic form (or such other format as reasonably required by the Authority); or

- (b) destroy (including removal from any hard disk) or return (at the Authority's option) all copies of the Authority Data not required to be retained by the Contractor for statutory compliance purposes and confirm in writing that such destruction has taken place;
- 5.11.2. the Contractor shall erase from any computers, storage devices and storage media that are to be retained by the Contractor after the end of the Termination Period any software containing the Intellectual Property Rights owned by the Authority;
- 5.11.3. the Contractor shall return to the Authority such of the following as are in the Contractor's possession or control:
 - (a) all materials created by the Contractor under this Contract, the Intellectual Property Rights in which are owned by the Authority;
 - (b) any other equipment which belongs to the Authority; and
 - (c) any items that have been on-charged to the Authority, such as consumables;
- 5.11.4. the Contractor shall vacate any Authority's Premises; and
- 5.11.5. each Party shall return to the other Party all Confidential Information of the other Party and shall certify that it does not retain the other Party's Confidential Information.
- 5.12. The Transitional Assistance Services to be provided by the Contractor shall include (without limitation) such of the following services as the Authority may specify:
 - 5.12.1. providing assistance and expertise as necessary to examine all operational and business processes (including all supporting documentation) in place and re-writing and implementing processes and procedures such that they are appropriate for use by the Authority or Replacement Contractor after the end of the Termination Period;
 - 5.12.2. providing details of work volumes and staffing requirements over the preceding twelve (12) Months;
 - 5.12.3. analysing and providing information about capacity and performance requirements, processor requirements and bandwidth requirements, and known planned requirements for capacity growth;


- 5.12.4. transferring all training material and providing appropriate training to those Authority and/or Replacement Contractor staff responsible for internal training in connection with the provision of the Services;
- 5.12.5. providing for transfer to the Authority and/or the Replacement Contractor of all knowledge reasonably required for the provision of the Services which may, as appropriate, include information, records and documents; and
- 5.12.6. answering all reasonable questions from the Authority and/or the Replacement Contractor regarding the Services.

6. OBLIGATION TO ENTER INTO AN ETHICAL WALL AGREEMENT ON RE-TENDERING OF SERVICES

- 6.1. The Authority may require the Contractor to enter into the Ethical Wall Agreement at any point during a re-tendering or contemplated re-tendering of the Services or any part of the Services.
- 6.2. If required to enter into the Ethical Wall Agreement, the Contractor will return a signed copy of the Ethical Wall Agreement within 10 Working Days of receipt. The Contractor's costs of entering into the Ethical Wall Agreement will be borne solely by the Contractor.

SCHEDULE 13
PROCESSING, PERSONAL DATA AND DATA SUBJECTS

ANNEX 1: PROCESSING PERSONAL DATA

Description	Details
Identity of Controller for each Category of Personal Data	<p>The Authority is Controller and the Contractor is Processor</p> <p>The Parties acknowledge that in accordance with Clause 11.2 to 11.15 (Protection of Personal Data) and for the purposes of the Data Protection Legislation, the Authority is the Controller and the Contractor is the Processor.</p>
Subject matter of the processing	<p>The processing is needed in order to ensure that the Processor can effectively deliver the contract to provide a service to the Authority. The purpose is to provide the Contractor access to the Authority's systems to review and evaluate the type of data held, in order to develop and configure new replacement systems. The Contractor will migrate data, including personal data, from such legacy systems into the Microsoft cloud platform, such as Dynamics and SharePoint.</p>
Duration of the processing	<p>The Contractor will have limited access to the Authority's systems for approximately 18 months for the development of new systems, and thereafter for 12 months to support the new systems once gone live.</p>
Nature and purposes of the processing	<p>The nature of the processing by the Processor will be to review and evaluate the Authority's existing systems and, once new systems are configured, to migrate data (including personal data) to those new systems.</p> <p>There will be no requirement for the Contractor to create, amend or delete personal data as part of the project.</p>
Type of Personal Data being Processed	

Categories of Data Subject	[REDACTED]
Plan for return and destruction of the data once the processing is complete UNLESS requirement underlaw to preserve that type of data	Personal data will remain held on the Authority's systems for the duration of the processing. Access to the data by the Contractor will be removed once the project is complete.
Locations at which the Contractor and/or its Sub-contractors process Personal Data under this Contract	[REDACTED]
Protective Measures that the Contractor and, where applicable, its Sub-contractors have implemented to protect Personal Data processed under this Contract against a breach of security (insofar as that breach of security	<p>The development and test environments will be on par with the live environment; data will be encrypted at-rest and in-transit; access to test environments will be controlled in the same fashion as the live environment i.e. user authentication with roles-based access.</p> <p>Named IT accounts will be issued to the Contractor's employees working on the project and such employees will not share access with other individuals.</p> <p>The Contractor will not transfer HFEA data outside of HFEA's IT environment.</p> <p>The Contractor has ISO27001 and Cyber essentials plus certifications, which it will maintain for the duration of the processing activities.</p>

relates to data) or a Personal Data Breach	
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