



Department for  
Energy Security  
& Net Zero

**CONTRACT FOR THE PROVISION OF THE MARKET ACCELERATION OF GREENER CONSTRUCTION LEARNING AND EVALUATION PARTNER TO THE DEPARTMENT FOR ENERGY SECURITY AND NET ZERO (THE CONTRACT OFFER LETTER)**

Contract number: con\_4222

Project reference number: prj\_605

This Contract is dated 12<sup>th</sup> June 2023 and is made between:-

1. **The Secretary of State for Energy Security and Net Zero** (the “Authority”) of 1 Victoria Street, London SW1H 0ET, acting as part of the Crown;  
and
2. **Ipsos (market research) Ltd** (the “Contractor”) whose registered office is at 3 Thomas More Square, London, E1W 1YW.

**INTRODUCTION**

- (A) On 23<sup>rd</sup> November 2023 the Authority issued an invitation to tender for the provision of an independent evaluator to assess whether the Market Acceleration of Greener Construction (MAGC) programme is having the intended benefits, whilst maximising the learning and transformation potential and informing future strategic decisions - including the specification a copy of which is set out in Schedule 2 (the “Specification”).
- (B) In response the Contractor submitted a proposal dated 26<sup>th</sup> January explaining how it would provide the Services a copy of which is set out in Schedule 3 (the “Proposal”).

The parties agree as follows:-

**1. SUPPLY OF SERVICES AND PRICE**

- 1.1 In consideration of payment by the Authority to the Contractor of the sums set out in Schedule 4 (inclusive of Value Added Tax) (the “Contract Price”) and in accordance with (a) the Specification; (b) the Contractor’s Proposal; and (c)

the Authority's Standard Terms and Conditions of Contract for Services (the "Standard Terms") (a copy of which is attached at Schedule 1); the Contractor shall provide the Services described in the Specification and the Contractor's Proposal to the Authority.

- 1.2 The maximum available budget for this contract is £973,450, which is made up of £873,450 delivery fees and £100,000 contingency. The contingency may only be used with the approval from the Authority and conditions set in Schedule 4, Clause 1.3.

## **2. COMMENCEMENT AND CONTINUATION**

- 2.1 This Contract shall commence on 12<sup>th</sup> June 2023 and subject to any provisions for earlier termination contained in the Standard Terms shall end on 29<sup>th</sup> October 2023.
- 2.2 The Contract will be let for the full initial term with a formal review point at the end of the Interim Evaluation and then on an annual basis. If agreed by both parties, the Contract may be extended beyond the initial term by up to 24 months. Take-up of any extension period is subject to the Authority's approval and the continuing needs of the Contract. These extension periods may be used on a no-cost or an additional cost basis subject to the approval of the Authority.
- 2.3 Over the length of the contract given the need for the Contractor to be responsive to developments and changes in the MAGC Programme over the course of delivery, the ambition to incorporate lessons learned from the Interim Evaluation into later stages of delivery and the envisioned rescoping exercise that will take place before the start of the Final Evaluation, the Authority reserves the right to update and amend the detailed scope in agreement with the Supplier within the confines of what can reasonably be considered an Evaluation of the MAGC Programme. This may include but not be limited to:
- Budgetary changes in line with budget principles outlined in Schedule 2, Section 2 Specification of Requirements, Section 10
  - Changes in geographical scope and focus
  - Changes in emphasis on certain parts of the evaluation
  - Changes to evaluation questions
  - Changes to timelines and deliverables

The use of the contingency and modification to costs and budgets will be agreed with the Contractor in the rescoping phase prior to the final evaluation. Increases in costs must be justifiable and approved by DESNZ and may not lead to an increase in the overall profit margin of the Contractor as provided at the time of bidding.

## **3. TERMS AND CONDITIONS**

- 3.1 The Standard Terms shall form part of this Contract.

- 3.2 Not used
- 3.3 Not used
- 3.4 The Contractor's terms and conditions of business shall not apply to this Contract.
- 3.5 This Contract is formed of these clauses and the Schedules hereto. Any other attachments are provided for information purposes only and are not intended to be legally binding. In the event of any conflict or inconsistency, the documents prevail in the following order:
- a) these clauses;
  - b) the Standard Terms (as set out in Schedule 1);
  - c) the Specification (as set out in Schedule 2) and Contract Price (as set out in Schedule 4); and
  - d) the Contractor's Proposal (as set out in Schedule 3)
  - e) the remaining Schedules

(save that where the Contractor's Proposals contain a provision requiring a higher standard of service provision, the Authority may (at its discretion and for no additional remuneration confirm that such higher standard applies).

#### **4. CONTRACTOR'S OBLIGATIONS**

- 4.1 Where the Contractor is supplying goods to the Authority these shall be delivered to the Authority in full compliance with the Specification and shall be of satisfactory quality and fit for purpose. Where the Contractor is performing Services for the Authority it shall do so in accordance with the Specification and exercise reasonable skill and care.

#### **5. MANAGEMENT AND COMMUNICATIONS**

- 5.1 The Contractor shall perform the Services under the direction of the Authority.
- 5.2 Any direction by the Authority may be given by REDACTED (the "Contract Manager") who is an officer in the Authority's International Net Zero – Green Finance and Capability Directorate at 1 Victoria Street, London SW1H 0ET or such other person as is notified by the Authority to the Contractor in writing. All queries (including any notice or communication required to be provided under this Contract) to the Authority from Contractor shall initially be addressed to the Contract Manager
- 5.3 The Contractor appoints REDACTED, Public Affairs, Ipsos UK, 3 Thomas More Square, London, E1W 1YW to be the Contractor's first point of contact for this Contract. All queries (including any notice or communication required to be provided under this Contract) to the Contractor from the Authority's Contract Manager shall initially be addressed to the Contractor's first point of contact.

- 5.4 The Contractor's first point of contact and the Contract Manager shall meet as often as either the Contractor or the Authority may require to review the Contractor's performance of the Contract.

## **6. INVOICES AND PAYMENT**

- 6.1 Subject to the Contractor providing Services to the Authority in accordance with this Contract and submitting invoice/s to the Contract Manager in the manner reasonably required by the Contract Manager payment will be made by the Authority to the Contractor in accordance with condition 17 of the Standard Terms.

## **7. TRANSPARENCY**

- 7.1 The Authority will publish the Contract and the Schedules hereto on a designated government internet site, using a redacted version of the contract. The Authority will make the decision on the specific redactions to be made in light of the exemptions under the Freedom of Information Act 2000 (FOIA) and Condition 40 of the Standard Terms.
- 7.2 However, subject to those redactions, the rest of the Contract and Schedules will be published in full, in accordance with the government's policy on the publication of contracts, which forms part of the government's transparency agenda, and the Contract is therefore entered into on the basis of such publication taking place.
- 7.3 The Authority emphasises that its decision to redact information on this occasion does not preclude it publishing such information in the future in the context of other contracts. Neither does it preclude the disclosure of such information in the circumstances of a request for disclosure under FOIA or the Environmental Information Regulations 2004 (EIR) or where such disclosure is required by virtue of any other legal requirement. In such cases, the Authority would need to consider disclosure in the context of the particular circumstances of the request or requirement concerned.

Signed by the parties' duly authorised representatives.

Signatures will be processed through the Authority's e-signature platform and the signature page attached to this contract.

### **The following Schedules form part of this Contract:**

Schedule 1	The Authority's Standard Terms & Conditions of Contract for Services
Schedule 2	The Authority's Specification
Schedule 3	The Contractor's Proposal

Schedule 4	Contract Price
Schedule 5	The Correspondence
Schedule 6	Expenses Policy and Eligible Costs Guidance
Schedule 7	Performance Management
Schedule 8	Processing, Personal Data and Data Subjects schedule
Schedule 9	Variation Template

#### Annex 1 SME MI Reporting Template

Suppliers are required to provide data on their direct spend with SMEs in the supply chain relating to the Contract.



## SCHEDULE 1 - DESNZ STANDARD TERMS AND CONDITIONS OF CONTRACT FOR SERVICES

### INDEX

1	DEFINITIONS AND INTERPRETATIONS.....	8
2	CONFLICT .....	14
3	ENTIRE AGREEMENT .....	14
4	ACTS BY THE AUTHORITY .....	14
5	CONTRACTOR STATUS .....	14
6	ASSIGNMENT AND SUBCONTRACTING .....	14
7	AMENDMENTS AND VARIATIONS.....	16
8	INFORMATION CONFIDENTIAL TO THE CONTRACTOR .....	16
9	TRANSPARENCY.....	16
10	CONFIDENTIALITY .....	17
11	FREEDOM OF INFORMATION .....	18
12	DATA PROTECTION .....	19
13	BRIBERY AND CORRUPTION .....	23
14	OFFICIAL SECRETS.....	24
15	CONTRACTOR'S PERSONNEL .....	24
16	GOVERNMENT PROPERTY .....	25
17	INVOICES AND PAYMENT .....	27
18	ACCOUNTS .....	29
19	RECOVERY OF SUMS DUE .....	29
20	VALUE ADDED TAX .....	29
21	PROVISION OF SERVICES .....	30
22	CONFLICTS OF INTEREST .....	32
23	REPORTING, MONITORING AND MANAGEMENT INFORMATION .....	32
24	INTELLECTUAL PROPERTY RIGHTS.....	33
25	RIGHTS OF THIRD PARTIES .....	34
26	INDEMNITIES AND LIABILITIES .....	34
27	INSURANCE .....	36
28	DISPUTE RESOLUTION .....	36
29	TERMINATION FOR INSOLVENCY OR CHANGE OF CONTROL .....	37
30	TERMINATION FOR BREACH OF CONTRACT .....	39
31	CANCELLATION .....	39
32	SUSPENSION OF THE SERVICES .....	39
33	CONSEQUENCES OF TERMINATION/EXPIRY .....	40
34	EXIT MANAGEMENT .....	41

35	CONSEQUENTIAL LOSSES.....	45
36	SURVIVAL OF TERMS.....	45
37	TRANSFER OF SERVICES.....	45
38	SERVICE OF NOTICES AND COMMUNICATIONS.....	46
39	FORCE MAJEURE .....	47
40	WAIVER .....	47
41	SEVERABILITY .....	47
42	PAYMENT OF TAXES: INCOME TAX AND NICS .....	48
43	PAYMENT OF TAXES: OCCASIONS OF TAX NON-COMPLIANCE.....	49
44	EQUALITY AND NON-DISCRIMINATION .....	51
45	WELSH LANGUAGE ACT .....	52
46	SUSTAINABLE PROCUREMENT.....	52
47	CYBER ESSENTIALS .....	52
48	SAFEGUARDING .....	53
49	MODERN SLAVERY.....	54
50	OTHER LEGISLATION.....	55
51	HEALTH AND SAFETY .....	56
52	LAW AND JURISDICTION .....	56

# 1 Definitions and Interpretations

- (1) In these terms and conditions of contract for services, unless the context otherwise requires, capitalised expressions shall have the meanings set out below.

**“Annex 1”** means the Annex 1 (Processing, Personal Data and Data Subjects schedule) attached to the Contract Offer Letter which forms part of this Contract;

**“Authority”** means the Secretary of State for Business, Energy and Industrial Strategy of 1 Victoria Street, London SW1H 0ET, acting as part of the Crown;

**“Authority’s Premises”** premises owned, controlled or occupied by the Authority which are made available for use by the Contractor or its subcontractors for provision of the Services (or any of them);

**“Charges”** means the Contract Price (or parts thereof) agreed in respect of the Services, excluding Value Added Tax (as more fully detailed in Schedule 4 of the Contract Offer Letter);

**“Confidential Information”**: information in whatever form (including without limitation, in written, oral, visual or electronic form or on any magnetic or optical disk or memory and wherever located) relating to the business, activities, suppliers, products, affairs and finances of the Authority or any other department or office of her Majesty’s Government or related to or connected with the Contract or the Services including, without limitation, technical data and know-how relating to Her Majesty’s Government, the Contract or the Services or any of their suppliers, agents, management or contacts and including (but not limited to) information that the Contractor creates, develops, receives or obtains in connection with their Contract or the Services, whether or not such information (if in anything other than oral form) is marked confidential (but “Confidential Information” does not include the Contract itself and the provisions of the Contract where, or to the extent that, the Authority publishes them in the public domain);

**“Consents”** means all permissions, consents, approvals, certificates, permits, licenses and authorisations required for the performance of any of the Contractor's obligations under this Contract including for the avoidance of doubt environmental permits, planning permissions and obligations, consents of third parties (whether or not from a public authority or any other person whatsoever);

**“Contract”** means the agreement concluded between the Authority and the Contractor for the supply of Services, including without limitation the Contract Offer Letter (and Schedules thereto), Annex 1, these Standard Terms and Conditions (to the extent that they are not expressly excluded or modified), all specifications, plans, drawings and other documents which are incorporated into the agreement;

**“Contract Offer Letter”** means the offer letter that sets out inter-alia the Parties to the Contract and the key Contract terms;

**“Contract Period”** means the period from the commencement of this Contract to the date of expiry of this Contract set out in the Contract Offer Letter or such earlier date as this Contract is terminated in accordance with its terms;



**“Contract Year”** means a period of 12 consecutive months starting on the date of this Contract and each anniversary thereafter;

**“Contractor”** means the person who agrees to supply the Services and includes any person to whom all or part of the Contractor’s obligations are assigned pursuant to Condition 6;

**“Contract Manager”** means the person nominated by the Authority to manage the Contract;

**“Contractor Personnel”** means all directors, officers, employees, other workers, agents, consultants, persons and contractors engaged by or on behalf (whether directly or indirectly) of the Contractor and of any subcontractor (of any tier) engaged in the performance of the Contractor’s obligations under this Contract;

**“Contracts Finder”** means the Government’s publishing portal for public sector procurement opportunities;

**“Controller”** shall have the same meaning as given in the UK 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 and government agencies;

**“Data Loss Event”** means any event that results, or may result, in unauthorised access to Personal Data held by the Contractor under this Contract and/or actual or potential loss and/or alteration 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:

- a. the UK GDPR and any applicable national implementing Laws as amended from time to time;
- b. the Data Protection Act 2018 to the extent that it relates to processing of personal data and privacy;
- c. all applicable Law about the processing of personal data and privacy;

**“Data Protection Officer”** shall have the same meaning as given in the UK GDPR;

**“Data Subject”** shall have the same meaning as given in the UK GDPR;

**“Data Subject Request”** means a request made by, or on behalf of, a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation to access their Personal Data;

**“Default”** means any breach of the obligations of the Contractor (including abandonment of a Contract in breach of its terms) or any other default (including material default), act, omission, negligence or statement of the Contractor, of any person acting on its behalf (including subcontractors) howsoever arising in

connection with or in relation to the subject-matter of a Contract and in respect of which the Contractor is liable to the Authority;

**“Deliverables”** means any objectives or deliverables that are required to be provided by the Contractor as part of the Services under the Contract, or any goods ordered under the Contract including, without limitation, any documentation required to be provided;

**“Existing IPR”** means any and all IPR 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 of this Contract or otherwise);

**“Force Majeure”** means any of the below circumstances provided that they are not within a party's reasonable control including, only:

- a. acts of God, flood, drought, earthquake or other natural disaster;
- b. epidemic or pandemic;
- c. terrorist attack, civil war, civil commotion or riots, war, threat of or preparation for war, armed conflict, imposition of sanctions, embargo, or breaking off of diplomatic relations;
- d. nuclear, chemical or biological contamination or sonic boom;
- e. collapse of buildings, fire, explosion or accident; and
- f. interruption or failure of utility service.

**“Government Property”** means anything issued or otherwise furnished in connection with the Contract by or on behalf of the Authority, including but not limited to equipment, parts, materials, documents, papers or data issued in electronic form and any other materials;

**“Health and Safety Policy”** means the health and safety policy of the Authority as provided to the Contractor from time to time;

**“Intellectual Property Rights”** or **“IPR”** means patents, utility models, rights to inventions, copyright and neighbouring and related rights, moral rights, trade marks and service marks, business names and domain names, rights in get-up and trade dress, goodwill and the right to sue for passing off or unfair competition, rights in designs, rights in computer software, database rights, rights to use, and protect the confidentiality of, confidential information (including know-how and trade secrets) and all other intellectual property rights, in each case whether registered or unregistered and including all applications and rights to apply for and be granted, renewals or extensions of, and rights to claim priority from, such rights and all similar or equivalent rights or forms of protection which subsist or will subsist now or in the future in any part of the world;

**“IPR Claim”** means any claim of infringement or alleged infringement (including the defence of such infringement or alleged infringement) of any IPR, used to provide the Deliverables or otherwise provided and/or licensed by the Contractor (or to which the Contractor has provided access) to the Authority in the fulfilment of its obligations under the Contract;

**“Law”** means any legal provision the Contractor must comply with including any law, statute, subordinate legislation within the meaning of section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of section 2 of the European Communities Act 1972 (as implemented into UK law, by virtue of the European Union (Withdrawal Agreement) Act 2018 (as amended by the European Union (Withdrawal Agreement) Act 2020)), regulation, order, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements of any regulatory body;

**“Material Breach”** means a material breach of the Contract, which, for the avoidance of doubt, shall include:

- a. the failure on the part of the Contractor to provide a Rectification Plan to the Authority within 10 Working Days of being so requested;
- b. the Contractor’s proposed Rectification Plan is rejected by the Authority in line with Conditions (4) and b; or
- c. failure to deliver on an agreed Rectification Plan;

**“MI Reporting Template”** means the document (included as an annex to the Contract Offer Letter) as amended in accordance with Condition 23;

**“New IPR”** means a) IPR in Deliverables or other 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) IPR 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;

**“Open Book Data”** means complete and accurate financial and non-financial information which is sufficient to enable the Authority to verify the Charges already paid or payable and Charges forecast to be paid during the remainder of the Contract, including details and all assumptions relating to:

- a. the Contractor’s costs broken down against each Service and/or Deliverable, including actual capital expenditure (including capital replacement costs) and the unit cost and total actual costs of all Deliverables;
- b. operating expenditure relating to the provision of the Deliverables including an analysis showing:
  - i. the unit costs and quantity of goods and any other consumables and bought-in Deliverables;
  - ii. work force resources broken down into the number and grade/role of all Contractor Personnel (free of any contingency) together with a list of agreed rates against each work force grade;
  - iii. a list of costs underpinning those rates for each work force grade, being the agreed rate less the Contractor profit margin;
  - iv. and reimbursable expenses, if allowed under the Purchase Order form;

- c. overheads; and all interest, expenses and any other third-party financing costs incurred in relation to the provision of the Deliverables;
- d. the Contractor's profit achieved over the Contract period and on an annual basis;
- e. confirmation that all methods of cost apportionment and overhead allocation are consistent with and not more onerous than such methods applied generally by the Contractor;
- f. an explanation of the type and value of risk and contingencies associated with the provision of the Deliverables, including the amount of money attributed to each risk and/or contingency; and
- g. the actual costs profile for each service period;

**"Party"** means a Party to this Contract, and **"Parties"** shall mean both of them;

**"Personal Data"** shall have the same meaning as given in the UK GDPR;

**"Personal Data Breach"** shall have the same meaning as given in the UK GDPR;

**"Processor"** shall have the same meaning as given in the UK GDPR;

**"Protective Measures"** means any 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;

**"Purchase Order"** means the document so described by the Authority to purchase the Services which makes reference to the Conditions;

**"Rectification Plan"** means a plan (or revised plan) by the Contractor to rectify a Default, which shall include:

- a. full details of the Default that has occurred, including a root cause analysis;
- b. the actual or anticipated effect of the Default;
- c. the steps which the Contractor proposes to take to rectify the Default and to prevent such Default from recurring, including the Contractor's proposed timescales for such rectification;
- d. an analysis of the Contractor's ability to provide the Services and Deliverables under the Contract; and
- e. any reasonably foreseeable events that may impact on the Contractor's ability to comply with the measures contained within the Rectification Plan.

**"Required Insurances"** means those insurances required pursuant to Conditions 27(1) and 27(2);

**"Services"** means the services including the Deliverables to be supplied under the Contract;

**“SME”** means an enterprise falling within the category of micro, small and medium-sized enterprises defined by the Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises;

**“Standard Terms and Conditions”** means the terms and conditions contained in this document;

**“Sub-Processor”** means any third Party appointed to process Personal Data on behalf of the Contractor related to this Contract;

**“UK GDPR”** the General Data Protection Regulation (EU) 2016/679 as retained into UK law by virtue of the Data Protection, Privacy and Electronic Communications (Amendments etc) (EU Exit) Regulations 2019;

**“VCSE”** means a non-governmental organisation that is value-driven and which principally reinvests its surpluses to further social, environmental or cultural objectives.

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

- (2) The interpretation and construction of the Contract shall (save where context requires otherwise) be subject to the following provisions:
- a. a reference to any statute, enactment, order, regulation or similar instrument shall be construed as a reference to the statute, enactment, order, regulation or instrument as subsequently amended or re-enacted;
  - b. a reference to any agreement, consent, permission or other document at a particular time shall be construed as a reference to it as it may then have been amended, restated, varied, supplemented, modified, suspended, assigned or novated;
  - c. a reference to this Contract includes any schedules or annexures to this Contract;
  - d. references in the singular shall include references in the plural and vice versa;
  - e. a reference to a “day” means a calendar day, a reference to a “month” means a calendar month and a reference to a “year” means a calendar year;
  - f. the *ejusdem generis* rule shall not apply and references to “includes”, “including”, “in particular”, “other”, “otherwise” or any such similar terms shall be construed without limitation;
  - g. the headings in this Contract are for ease of reference only and shall not affect the interpretation or construction of the Contract;
  - h. any reference to European Union law that is directly applicable or directly effective in the UK at any time is a reference to it as it applies in England from time to time including as retained, amended, extended, re-enacted or otherwise given effect on or after 11pm on 31 December 2020; and

- i. references to “person”, any person, firm, company, corporation, government (including any government department), state or agency of a state, or any association, trust or partnership.

## **2 Conflict**

In the case of any conflict or inconsistency between these Standard Terms and Conditions and any specific terms of the Contract:

- (1) the specific term of the Contract dealing with conflicts shall determine which provision shall prevail; or
- (2) (if applicable) where there is no such specific conflicts provision in the Contract then, the specific terms of the Contract shall prevail (save that these Standard Terms and Conditions shall prevail over and above any terms, conditions or provisions set out in any Contractor’s proposals or terms and conditions provided by the Contractor).

## **3 Entire Agreement**

The Contract constitutes the entire agreement and understanding between the Parties and supersedes all prior written and oral representations, assurances, warranties, representations, agreements or understandings between them relating to the subject matter of the Contract provided that neither Party excludes liability for fraudulent misrepresentations upon which the other Party has relied.

Subject to any liability for fraudulent misrepresentation, each Party agrees that it shall have no remedies in respect of any statement, representation, assurance or warranty (whether made innocently or negligently) that is not set out in this Contract.

## **4 Acts by the Authority**

Any decision, act or thing which the Authority is required or authorised to take or do under the Contract may be taken or done by any person authorised, either expressly or impliedly, by the Authority to take or do that decision, act or thing.

## **5 Contractor Status**

Nothing in the Contract shall create or be construed as creating a partnership, joint venture, a contract of employment or relationship of employer and employee, or a relationship of principal and agent between the Authority and the Contractor. Nor shall anything in this Contract entitle the Contractor to make or enter in to any agreements or commitments for or on behalf of the other Party.

## **6 Assignment and Subcontracting**

- (1) The Contractor shall not give, bargain, assign, transfer, mortgage, charge, delegate, declare a trust over, sell, assign, subcontract or otherwise dispose of the Contract or any part thereof without the previous agreement in writing of the Authority.

- (2) The Contractor shall not use the services of self-employed individuals in connection with the Contract without the previous agreement in writing of the Authority.
- (3) If the Contractor uses a subcontractor for the purpose of performing the Services or any part of it, the Contractor shall include in the relevant contract a provision which requires the Contractor to pay for those goods or services within 30 days of the Contractor receiving a correct invoice from the subcontractor.
- (4) Notwithstanding any subcontracting by the Contractor in accordance with this Condition 6, the Contractor shall remain responsible for all acts and omissions of its subcontractors and the acts and omissions of those employed or engaged by its subcontractors as if they were its own.
- (5) The Authority shall be entitled to assign any or all of its rights under the Contract to any "contracting authority" as defined in Regulation 2(1) of the Public Contracts Regulations 2015.
- (6) Where the Authority notifies the Contractor that it estimates the Charges payable under this Contract are due to exceed £5 million in one or more Contract Years the Contractor shall:
  - a. subject to Condition (9), advertise on Contracts Finder all subcontract opportunities arising from or in connection with the provision of the Goods and/or Services and/or Works above a minimum threshold of £25,000 that arise during the Contract Period;
  - b. within 90 days of awarding a subcontract to a subcontractor, update the notice on Contracts Finder with details of the successful subcontractor;
  - c. monitor the number, type and value of the subcontract opportunities placed on Contracts Finder advertised and awarded in its supply chain during the Contract Period;
  - d. provide reports on the information in Condition (6)c to the Authority in the format and frequency as reasonably specified by the Authority; and
  - e. promote Contracts Finder to its Contractors and encourage those organisations to register on Contracts Finder.
- (7) Each advert referred to in Condition (6)a above shall provide a full and detailed description of the subcontract opportunity with each of the mandatory fields being completed on Contracts Finder by the Contractor.
- (8) The obligation in Condition (6)a shall only apply in respect of subcontract opportunities arising after the date of the commencement of the Contract.
- (9) Notwithstanding Condition (6), the Authority may, by giving its prior written approval, agree that a subcontract opportunity is not required to be advertised on Contracts Finder.

## **7 Amendments and Variations**

No amendment or variation to the terms of the Contract shall be valid unless agreed in writing between the Authority and the Contractor.

## **8 Information Confidential to the Contractor**

(1) Unless agreed expressly by both Parties:

- a. in writing; and
- b. in a confidentiality agreement identifying the relevant information,

information obtained by the Authority from the Contractor shall not constitute confidential information relating to the Contractor.

(2) Where any information held by the Authority does constitute confidential information relating to the Contractor, the Authority shall nonetheless have the right to disclose that information:

- a. on a confidential basis to any other government department or agency for any proper purpose of the Authority or of that department or agency;
- b. to Parliament and Parliamentary Committees or if required by any Parliamentary reporting requirement;
- c. to the extent that the Authority (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions;
- d. to report a suspected criminal offence to the police or any law enforcement agency or co-operating with the police or any law enforcement agency regarding a criminal investigation or prosecution;
- e. to comply with an order from a court or tribunal to disclose or give evidence;
- f. to make a disclosure required by law or required by HMRC, a regulator, ombudsman or other supervisory authority;
- g. on a confidential basis to a professional adviser, consultant, Contractor or other person engaged by any of the entities described in Condition (2)a (including any benchmarking organisation) for any purpose relating to or connected with the Contract or the Services;
- h. on a confidential basis for the purpose of the exercise of its rights under the Contract; or
- i. 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.

(3) For the purpose of clause (2) of this Condition, references to disclosure on a confidential basis mean disclosure subject to a confidentiality agreement.

## **9 Transparency**

(1) In order to comply with the Government's policy on transparency in the areas of procurement and contracts, the Authority will, subject to Conditions 0 and (3), publish the Contract and the tender documents issued by the Authority which led to its creation on a designated web site.



- (2) The entire Contract and all the tender documents issued by the Authority will be published on that web site save where the Authority, in its absolute discretion, considers that the relevant documents, or their contents, would be exempt from disclosure in accordance with the provisions of the Freedom of Information Act 2000 (“**FOIA**”).
- (3) Where the Authority considers that any such exemption applies, the Authority will redact the relevant documents to the extent that the Authority considers the redaction is necessary to remove or obscure the relevant material, and those documents will be published on the designated web site subject to those redactions.
- (4) Where the Parties later agree changes to the contract, the Authority will publish those changes, and will consider any redaction, on the same basis.
- (5) In Condition 9, the expression “tender documents” means the advertisement issued by the Authority seeking expressions of interest, the pre-qualification questionnaire and the invitation to tender and the contract includes the Contractor’s proposal.

## **10 Confidentiality**

- (1) The Contractor agrees not to disclose any Confidential Information to any third party without the prior written consent of the Authority. To the extent that it is necessary for the Contractor to disclose Confidential Information to its staff, agents and subcontractors, the Contractor shall ensure that such staff, agents and subcontractors are subject to the same obligations as the Contractor in respect of all Confidential Information.
- (2) Condition (1) shall not apply to information which:
  - a. is or becomes public knowledge (otherwise than by breach of these Conditions or a breach of an obligation of confidentiality);
  - b. is in the possession of the Contractor, without restriction as to its disclosure, before receiving it from the Authority or any other department or office of Her Majesty's Government;
  - c. is required by law to be disclosed;
  - d. was independently developed by the Contractor without access to the Confidential Information.
- (3) The obligations contained in this Condition shall continue to apply after the expiry or termination of the Contract.
- (4) The Contractor shall comply with any security requirements and instructions issued by the Authority in relation to any document classified as “Official – Sensitive”, “Confidential”, “Secret” or “Top Secret”.

- (5) The Contractor shall not communicate with representatives of the general or technical press, radio, television or other communications media, with regard to the Contract, unless previously agreed in writing with the Authority.
- (6) Except with the prior consent in writing of the Authority, the Contractor shall not make use of the Contract or any Confidential Information otherwise than for the purposes of carrying out the Services.

## 11 Freedom of Information

- (1) The Contractor acknowledges that the Authority is subject to the requirements of FOIA and the Environmental Information Regulations SI 2004 No. 3391 (“**EIR**”) and shall provide all necessary assistance and cooperation as reasonably requested by the Authority to enable the Authority to comply with its obligations under the FOIA and the EIRs.
- (2) In this Condition:
 

“**Information**” has the meaning ascribed to it in section 84 of the FOIA (and also includes “environmental information” as defined in the EIR;

“**Request for Information**” has the meaning ascribed to it in section 8 of the FOIA, or means any request for environmental information to which the EIR applies or any apparent request for information or environmental information under the FOIA or EIR.
- (3) The Contractor shall (and shall procure that its subcontractors shall):
  - a. transfer any Request for Information to the Authority as soon as practicable after receipt and in any event within two Working Days;
  - b. provide the Authority with a copy of all Information in its possession or power in the form that the Authority requires within five Working Days (or such other period as the Authority may specify) of the Authority requesting that Information; and
  - c. provide all necessary assistance as reasonably requested by the Authority to enable it to respond to a Request for Information within the time for compliance set out in section 10 of the FOIA or regulation 5 of the EIR.
- (4) The Authority shall be responsible for determining, at its absolute discretion, whether any Information:
  - a. is exempt from disclosure in accordance with the provisions of the FOA or the EIR;
  - b. is to be disclosed in response to a Request for Information.
- (5) In no event shall the Contractor respond directly to a Request of Information unless expressly authorised to do so in writing by the Authority
- (6) The Contractor acknowledges that the Authority may, acting in accordance with the Freedom of Information Code of Practice (issued under section 45 of the

FOIA in July 2018), be obliged under the FOIA or the EIR to disclose Information unless an exemption applies. The Authority may at its discretion consult the Contractor with regard to whether the FOIA applies to the Information and whether an exemption applies.

- (7) The Contractor shall ensure that all Information produced in the course of the Contract or relating to the Contract is retained for disclosure in accordance with law and shall permit the Authority to inspect such records as requested from time to time.
- (8) The Contractor acknowledges that any lists or schedules provided by it outlining information it deems confidential or commercially sensitive are of indicative value only and that the Authority may nevertheless be obliged to disclose information which the Contractor considers confidential in accordance with Conditions (4) and (6).

## **12 Data Protection**

- (1) The Parties acknowledge that for the purposes of the Data Protection Legislation, they are Independent Controllers of Personal Data. The only processing of Personal Data that the Parties are authorised to do is listed in Schedule 8, Annex 1 of this Contract.
- (2) The Contractor shall notify the Authority immediately if it considers that any of the Authority's instructions infringe the Data Protection Legislation.
- (3) The Contractor shall provide all reasonable assistance to the Authority in the preparation of any Data Protection Impact Assessment prior to commencing any processing. Such assistance may, at the discretion of the Authority, include:
  - a. a systematic description of the envisaged processing operations and the purpose of the processing;
  - b. an assessment of the necessity and proportionality of the processing operations in relation to the Services;
  - c. an assessment of the risks to the rights and freedoms of Data Subjects; and
  - d. the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.
- (4) The Contractor shall, in relation to any Personal Data processed in connection with its obligations under this Contract:
  - a. process that Personal Data only in accordance with Annex 1, unless the Contractor is required to do otherwise by Law. If it is so required the Contractor shall promptly notify the Authority before processing the Personal Data unless prohibited by Law;
  - b. ensure that it has in place Protective Measures, as appropriate to protect against a Data Loss Event, which the Authority may reasonably

reject (but failure to reject shall not amount to approval by the Authority of the adequacy of the Protective Measures), having taken account of the:

- i. nature of the data to be protected;
- ii. harm that might result from a Data Loss Event;
- iii. state of technological development; and
- iv. cost of implementing any measures;

The review and approval of the Protective Measures by the Authority shall not relieve the Contractor of its obligations under the Data Protection Legislation, and the Contractor acknowledges that it is solely responsible for determining whether such Protective Measures are sufficient for it to have met its obligations under the Data Protection Legislation.

c. ensure that:

- i. the Contractor Personnel do not process Personal Data except in accordance with this Contract and in particular Annex 1;
- ii. it takes all reasonable steps to ensure the reliability and integrity of any Contractor Personnel who have access to the Personal Data and ensure that they:
  - 1. are aware of and comply with the Contractor's duties under this Condition;
  - 2. are subject to appropriate confidentiality undertakings with the Contractor or any Sub-Processor;
  - 3. are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third Party unless directed in writing to do so by the Authority or as otherwise permitted by this Contract; and
  - 4. have undergone adequate training in the use, care, protection and handling of Personal Data;

d. not transfer Personal Data outside of the UK, and EEA, unless the prior written consent of the Authority has been obtained and provided the following conditions are fulfilled:

- i. the Authority or the Contractor has provided appropriate safeguards in relation to the transfer in accordance with guidance issued by the UK Government or body appointed by the Government and approved by the Authority;
- ii. the Data Subject has enforceable rights and effective legal remedies;
- iii. the Contractor 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 Authority in meeting its obligations); and

- iv. the Contractor complies with any reasonable instructions notified to it in advance by the Authority with respect to the processing of the Personal Data.
- (5) Subject to clause (6) below, the Contractor shall notify the Authority immediately if it:
  - a. receives a Data Subject Request without undue delay, and in any event within 48 hours (or purported Data Subject Request);
  - b. receives a request to rectify, block or erase any Personal Data;
  - c. receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
  - d. receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data processed under this Contract;
  - e. 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
  - f. becomes aware of a Data Loss Event.
- (6) The Contractor's obligation to notify under clause (5) of this Condition shall include the provision of further information to the Authority in phases, as details become available.
- (7) Taking into account the nature of the processing, the Contractor shall provide the Authority with full assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under Condition (5) (and insofar as possible within the timescales reasonably required by the Authority) including by promptly providing:
  - a. the Authority with full details and copies of the complaint, communication or request;
  - b. such assistance as is reasonably requested by the Authority to enable the Authority to comply with a Data Subject Request within the relevant timescales set out in the Data Protection Legislation;
  - c. the Authority, at its request, with any Personal Data it holds in relation to a Data Subject;
  - d. assistance as requested by the Authority following any Data Loss Event; and
  - e. assistance as requested by the Authority with respect to any request from the Information Commissioner's Office, or any consultation by the Authority with the Information Commissioner's Office.
- (8) The Contractor shall maintain complete and accurate records and information to demonstrate its compliance with this Condition. This requirement does not apply where the Contractor employs fewer than 250 staff, unless:
  - a. the Authority determines that the processing is not occasional;

- b. the Authority determines the processing includes special categories of data as referred to in Article 9(1) of the UK GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the UK GDPR; and
  - c. the Authority determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects.
- (9) The Contractor shall allow for audits of its Data Processing activity by the Authority or the Authority's designated auditor.
- (10) The Contractor shall designate a Data Protection Officer if required by the Data Protection Legislation.
- (11) Before allowing any Sub-Processor to process any Personal Data related to this Contract, the Contractor must:
  - a. notify the Authority in writing of the intended Sub-Processor and processing;
  - b. obtain the written consent of the Authority;
  - c. enter into a written agreement with the Sub-Processor which give effect to the terms set out in this Condition 12 such that they apply to the Sub-Processor; and
  - d. provide the Authority with such information regarding the Sub-Processor as the Authority may reasonably require.
- (12) The Contractor shall remain fully liable for all acts or omissions of any of its Sub-Processors.
- (13) The Authority may, at any time on not less than 30 Working Days' notice, revise this Condition 12 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).
- (14) 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.
- (15) If the Contractor fails to comply with any provision of this Condition 12, the Authority may terminate the Contract immediately in which event the provisions of Condition 33 shall apply.
- (16) The Contractor shall indemnify and keep indemnified the Authority against all claims and proceedings, and all costs and expenses incurred by it in connection therewith, made or brought against the Authority by any person in respect of the Data Protection Legislation or equivalent applicable legislation in any other country which claims would not have arisen but for some act,

omission, misrepresentation or negligence on the part of the Contractor, its subcontractors and/or its Sub-Processors and hold it harmless against all costs, fines, losses and liability whatsoever incurred by it arising out of any action or inaction on its part in relation to any of its obligations as set out in this Contract which results in the Authority being in breach of its obligations under the Data Protection Legislation or equivalent applicable legislation in any other country.

- (17) Upon expiry or earlier termination of this Contract for whatever reason, the Contractor shall, unless otherwise specified in Annex 1 or required by Law, immediately cease any processing of the Personal Data on the Authority's behalf and at the written direction of the Authority:
  - a. provide the Authority with a complete and uncorrupted version of the Personal Data in electronic form (or such other format as reasonably required by the Authority); and
  - b. delete the Personal Data (and any copies of it) including from any computers, storage devices and storage media that are to be retained by the Contractor after the expiry of the Contract. The Contractor will certify to the Authority that it has completed such deletion.
- (18) Where the Contractor is required to collect any Personal Data on behalf of the Authority, it shall ensure that it provides the relevant Data Subjects from whom the Personal Data are collected with a privacy notice in a form to be agreed with the Authority.

### **13 Bribery and Corruption**

- (1) The Contractor shall not, and shall ensure that its Contractor Personnel do not:
  - a. offer or promise, to any person employed or engaged by or on behalf of the Authority, any financial or other advantage as an inducement or reward for the improper performance of a function or activity, or for showing or not showing favour or disfavour to any person in relation to this Contract or any other contract with the Authority;
  - b. agree to receive or accept any financial or other advantage as an inducement or reward for any improper performance of a function or activity in relation to this Contract or any other contract with the Authority; or
  - c. enter into the Contract or any other contract with the Authority or any other department or office of Her Majesty's Government in connection with which commission has been paid, or agreed to be paid by the Contractor or on the Contractor's behalf, or to the Contractor's knowledge, unless, before the Contract is made, particulars of any such commission and the terms and conditions of any agreement for the payment thereof, have been disclosed in writing to any person duly authorised by the Authority to act as its representative for the purpose of this Condition.

- (2) Nothing contained in this Condition shall prevent the Contractor paying such commission or bonuses to the Contractor's own staff in accordance with their agreed contracts of employment.
- (3) Any breach of this Condition by the Contractor, or by any person employed or engaged by the Contractor or acting on the Contractor's behalf (whether with or without the Contractor's knowledge), or any act or omission by the Contractor, or by such other person, in contravention of the Bribery Act 2010 or any other anti-corruption law, in relation to this Contract or any other contract with the Authority, shall entitle the Authority to terminate the Contract with immediate effect by notice in writing and to recover from the Contractor the amount of any loss resulting from such termination, and the amount of the value of any such gift, consideration or commission as the Authority shall think fit.
- (4) In any dispute, difference or question arising in respect of:
  - a. the interpretation of this Condition (except so far as the same may relate to the amount recoverable from the Contractor under clause (2) of this Condition in respect of any loss resulting from such determination of the Contract); or
  - b. the right of the Authority to determine the Contract; or
  - c. the amount or value of any gift, consideration or commission,

the decision of the Authority shall be final and conclusive.

## **14 Official Secrets**

The Contractor's attention is drawn to the provisions of the Official Secrets Acts 1911 to 1989. The Contractor shall take all reasonable steps by display of notices or by other appropriate means to ensure that all persons employed in connection with the Contract have notice that these statutory provisions apply to them and will continue so to apply after the expiry or early termination of the Contract.

## **15 Contractor's Personnel**

- (1) The Authority reserves the right to refuse to admit to the Authority's Premises any person employed or engaged by the Contractor or its subcontractors, whose admission would be undesirable in the opinion (and at the discretion) of the Authority.
- (2) If and when requested by the Authority, the Contractor shall provide a list of the names and addresses of all persons who may at any time require admission (in connection with the performance of the Services) to the Authority's Premises, specifying the role in which each such person is concerned with the Contractor and giving such other particulars as the Authority may require.
- (3) If and when requested by the Authority, the Contractor shall procure from each person identified by the request, a signed statement that they



understand that the Official Secrets Acts 1911 to 1989 applies to them both during the carrying out and after expiry or termination of the Contract and that they will comply with the provisions of the Official Secrets Acts 1911 to 1989 in so far as they apply to the work/Services they are performing under the Contract.

- (4) If and when requested by the Authority the Contractor agrees that it will submit any person employed or engaged by the Contractor or its subcontractors to the Authority's security vetting procedure. The Contractor further agrees that any individual who refuses to submit to such vetting procedure or does not attain the clearance required by the Authority, will not carry out any work/Services on the Contract which the Authority certifies as suitable only for people who have passed its security vetting procedure.
- (5) If the Contractor fails to comply with clauses (1), (2) or (3) of this Condition and the Authority decides that such failure is prejudicial to its interests, the Authority may immediately terminate the Contract by notice in writing to the Contractor, provided that such termination shall be without prejudice to any accrued rights of, or to any rights that shall accrue thereafter to, the Authority.
- (6) No action of the Authority under this Condition shall entitle the Contractor to any additional costs or charges (this includes any requirement of the Authority to replace any personnel). Further no action of the Authority under this Condition shall entitle the Contractor to any relief in respect of its obligations under this Contract.
- (7) The Contractor's attention is drawn to the provisions of the Official Secrets Acts 1911 to 1989. The Contractor shall take all reasonable steps by display of notices or by other appropriate means to ensure that all persons employed in connection with the Contract have notice that these statutory provisions apply to them and will continue so to apply after the expiry or early termination of the Contract.

## **16 Government Property**

- (1) All Government Property shall remain the property of the Authority and shall be used in the execution of the Contract and for no other purpose whatsoever except with the prior agreement in writing of the Authority. Save where this Contract states to the contrary, the Contractor shall not be entitled to the provision of any Government Property to carry out the Services. Further, the Authority shall not be obliged to replace any item of the Government Property provided.
- (2) All Government Property shall be deemed to be in good condition when received by or on behalf of the Contractor unless the Authority is notified to the contrary within 14 days or such other time as is specified in the Contract. The Contractor shall be responsible for the maintenance of any of the Government Property provided to it at its own expense. To the greatest extent

permissible by law, the Authority does not guarantee, warrant or give any assurances as to the age, state of repair or suitability for use in the Services of any item of the Government Property provided and the Contractor hereby acknowledges that it has carried out its own due diligence including inspections of such Government Property and has satisfied itself as to the condition and suitability of each item for use in the provision of the Services and accordingly the Contractor shall not be relieved from any liability in relation to any failure to provide the Services or any part of them where such failure is caused by a failure in or the unsuitability of any of the Government Property provided.

- (3) The Contractor undertakes to return any and all Government Property on completion of the Contract or on any earlier request by the Authority.
- (4) The Contractor shall, except as otherwise provided for in the Contract repair or replace or, at the option of the Authority, pay compensation for all loss, destruction or damage occurring to any Government Property caused or sustained by the Contractor, or by the Contractor's servants, agents or subcontractors, whether or not arising from the Contractor's or their performance of the Contract and wherever occurring, provided that if the loss, destruction or damage occurs at the Authority's Premises or any other Government premises, this Condition shall not apply to the extent that the Contractor is able to show that any such loss, destruction or damage was not caused or contributed to by the Contractor's negligence or default or the neglect or default of the Contractor's servants, agents, or subcontractors.
- (5) Where the Government Property comprises data issued in electronic form to the Contractor (including Personal Data) the Contractor shall not store, copy, disclose or use such electronic data except as necessary for the performance by the Contractor of its obligations under the Contract (including its obligation to back up electronic data as provided in clause (5) below) or as otherwise expressly authorised in writing by the Authority.
- (6) The Contractor shall perform secure back-ups of all such electronic data in its possession and shall ensure that an up to date back up copy is securely stored at a site other than that where any original copies of such electronic data are being stored.
- (7) The Contractor shall, and shall procure that its subcontractors, agents and personnel, shall observe best practice when handling or in possession of any such electronic data. By way of example if the Contractor removes any such data or information from a Government establishment, or is sent such data or information by the Authority it shall ensure that the data and any equipment on which it is stored or is otherwise being processed is kept secure at all times. The Contractor shall impress on any of its subcontractors, agents and personnel who are required to handle or have possession of such electronic

data that they must safeguard it all times, and shall not place it in jeopardy for example by leaving it unattended in a vehicle or on public transport or by transmitting or posting it by insecure means.

- (8) If at any time the Contractor suspects or has reason to believe that such electronic data has or may become corrupted, lost, destroyed, altered (other than to the extent that the Contractor alters it by lawful processing in accordance with its obligations under this contract) or so degraded as a result of the Contractor's default so as to be unusable then the Contractor shall notify the Authority immediately and inform the Authority of the remedial action the Contractor proposes to take.
- (9) The Contractor shall indemnify the Authority against all claims and proceedings, and all costs and expenses incurred in connection therewith arising from the corruption, loss, destruction, alteration (other than by lawful processing permitted by this Contract) or degradation of electronic data which claims would not have arisen but for some act, omission, misrepresentation or negligence on the part of the Contractor or subcontractors, agents and personnel and hold it harmless against all costs, losses and liability whatsoever incurred by it arising out of any action or inaction on its part in relation to any of its obligations as set out in this Contract which results in such corruption, loss or degradation.

## **17 Invoices and Payment**

- (1) The Contractor shall submit invoices at times or intervals required by the Authority in the Contract or otherwise. The Contractor shall ensure that any invoice it submits sets out the Authority's Purchase Order or contract number, the Charges and, where not all of the Services have been completed, the relevant part of the Charges with an appropriate breakdown of time worked, the part of the Services (if all the Services have not been completed) and period to which the invoice relates, and its confirmation that the Services (or relevant part of the Services referred to on the invoice) have been fully performed in accordance with this Contract.
- (2) In consideration of the provision of the Services by the Contractor, the Authority shall pay the Charges after receiving a correctly submitted invoice as set out in clause (1) above. Such payment shall normally be made within 30 days of receipt of the correctly submitted invoice.
- (3) The Contractor shall not be entitled to charge for the provision of any services that are not part of the Services agreed within the Contract, unless the Contract has been properly varied in advance in accordance with Condition 7.
- (4) Except as a result of default or negligence on the part of the Authority, if the Contractor either fails to provide, or, in the reasonable opinion of the Authority, has inadequately provided, any Services or Deliverables due under the Contract, the Authority may:

- a. reduce payment in respect of those Services or Deliverables; and/or
- b. recoup payment(s) already made in respect of those Services or Deliverables

without prejudice to any other rights or remedies of the Authority. Such reduction or recoup of payments shall be a reduction or recoupment in direct proportion to either: (A) the amount of the Services that have actually been provided in accordance with the Contract, or (B) (if lower) the value in the Services that have been fully provided in accordance with the Contract.

- (5) If the Contractor believes that payment for a correctly submitted invoice is overdue, the Contractor should, in the first instance, speak to the named contact on the face of the Contract. In the event that the problem is not resolved to the Contractor's satisfaction, they should write to the Head of Procurement at the Department for Business, Energy and Industrial Strategy setting out their case. The Head of Procurement shall ensure that the complaint is dealt with by an official who is independent of the main contact and that the Contractor is not treated adversely in future for having made a complaint.
- (6) For the purpose of calculating any statutory interest under the Late Payment of Commercial Debts (Interest) Act 1998, the relevant date for the payment of the debt shall be deemed to be the last day of a period of 30 days commencing on the day when the Authority received the invoice, or, if the Contractor had not completed the Services (or the part of the Services to which the invoice relates) before submitting the invoice, the last day of a period of 30 days commencing on the day when the Contractor completed the Services, (or the part of the Services to which the invoice relates).
- (7) Where the Contractor submits an invoice (including an electronic invoice) to the Authority in accordance with this Condition 17 the Authority will consider and verify that invoice in a timely fashion and shall make payment in accordance with this Condition 17.
- (8) Where the Contractor enters into a Subcontract, the Contractor shall include in that Subcontract:
  - a. provisions having the same effect as Condition (6) of this Contract; and
  - b. a provision requiring the counterparty to that Subcontract to include in any Subcontract which it awards provisions having the same effect as Condition (6).

In this clause (7), "**Subcontract**" means a contract between two or more suppliers, at any stage of remoteness from the Authority in a subcontracting chain, made wholly or substantially for the purpose of performing (or contributing to the performance of) the whole or any part of this Contract.

**18 Accounts**

- (1) The Contractor shall keep full and proper accounts, records and vouchers relating to all expenditure reimbursed by the Authority and all payments made by the Authority in respect of the Services.
- (2) The Contractor shall permit the Authority acting by its officers, servants and agents or independent auditor on request and at all reasonable times to examine all accounts, records and vouchers at the offices of the Contractor or at such other places as the Authority shall direct, and to take copies of such accounts, records and vouchers and the Contractor shall provide the Authority or its independent auditor with such explanations relating to that expenditure as the Authority may request.
- (3) The Contractor shall ensure that the said accounts, records and vouchers are available for a period of six years after termination or expiry of the Contract.

**19 Recovery of Sums Due**

- (1) The Authority may 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 other agreement between the Contractor and the Authority.
- (2) If the Authority wishes to 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 pursuant to Condition 17 it shall give notice to the Contractor within 15 days of receipt of the relevant invoice, setting out the Authority's reasons for withholding or retaining the relevant amounts.
- (3) The Contractor shall make any payments due to the Authority without any deduction whether by way of set-off, counterclaim, discount, abatement or otherwise, unless the Contractor has a valid court order requiring an amount equal to such deduction to be paid by the Authority to the Contractor.

**20 Value Added Tax**

- (1) If this Contract gives rise to a taxable supply for Value Added Tax purposes by the Contractor to the Authority under law from time to time in force, on the production of a valid Value Added Tax invoice, the Authority will pay to the Contractor a sum equal to that Value Added Tax in respect of relevant amounts of the Charges that become payable in accordance with this Contract.
- (2) The Contractor shall provide to the Authority any information reasonably requested in relation to the amount of VAT chargeable in accordance with this Contract. Any invoice or other request for payment of monies due to the Contractor under the Contract shall, if they are a taxable person, be in the same form and contain the same information as if the same were a tax invoice for the purposes of Regulations made under the Value Added Tax Act 1994.

- (3) The Contractor shall, if so requested by the Authority, furnish such information as may reasonably be required by the Authority relating to the amount of Value Added Tax chargeable on the Services.
- (4) Notwithstanding any other clause of this Condition 20 a VAT invoice will not be valid for the purposes of charging VAT if more than twelve (12) months have elapsed since the time of supply.

## **21 Provision of Services**

- (1) The Contractor shall provide the Services (and the Deliverables):
  - a. in accordance with the requirements of this Contract (including the Specification);
  - b. in a manner which does not damage the Authority's reputation;
  - c. in accordance with Law;
  - d. in accordance with any applicable Consents;
  - e. exercising the reasonable skill, care, prudence, efficiency, foresight and timeliness which would be expected from a reasonably and suitably skilled, trained and experienced person performing the relevant obligations;
  - f. in accordance with all appropriate and applicable standard specifications and standard codes of practice issued by the British Standards Institution or European Economic Community;

(in each case) to the reasonable satisfaction of the Authority (whose decision shall be final and conclusive as to the quality of Services provided). The Authority shall have the power to inspect and examine the performance of the Services at any location at which they are performed.

In the event of any conflict between the requirements set out in this Condition (1), the Contractor shall notify the Authority and the Authority shall instruct the Contractor as to which requirement should apply. The Contractor shall comply with any such instruction from the Authority (and such instruction shall not give rise to any variation to this Contract or right to any additional remuneration or relief whatsoever for the Contractor).

- (2) If the Authority reasonably considers that the Contractor has, except as a result of default or negligence on the part of the Authority:
  - a. provided inadequate Services or Deliverables; or
  - b. provided Services or Deliverables that are differing from those required under Contract in any material respect,

the Authority may request that the Contractor perform (or re-perform) the work correctly at the Contractor's expense, without prejudice to any other rights or remedies of the Authority.

- (3) If the Authority exercises its right under Condition 0 above, the work shall be performed to the Authority's reasonable satisfaction and within such reasonable time as may be specified by the Authority.
- (4) Without prejudice to any other rights or remedies of the Authority, if there is a Default, the Authority may request that the Contractor provide a Rectification Plan.
- (5) Where the Authority receives a proposed Rectification Plan, in line with Condition (3) above, it can either:
  - a. reject the proposed Rectification Plan; or
  - b. accept the Rectification Plan (without limitation) and the Contractor must immediately begin work on the proposed corrective measures and actions under the Rectification Plan at its own cost.
- (6) Where the Rectification Plan is rejected, the Authority:
  - a. must provide reasonable grounds for its decision; and
  - b. may request that the Contractor provides a revised Rectification Plan.
- (7) Where the Authority requests that the Contractor provides a revised Rectification Plan the Contractor must provide such a revised plan within five (5) Working Days of the date of such request except where otherwise agreed. The revised Rectification Plan must address the grounds given by the Authority for its initial rejection of the proposed Rectification Plan.
- (8) If the performance of the Contract by the Contractor is delayed by reason of any act on the part of the Authority or by industrial dispute (other than by an industrial dispute occurring within the Contractor's or its subcontractor's organisation) or any other cause which the Contractor could not have prevented then the Contractor shall be allowed a reasonable extension of time for completion. For the purposes of this Condition, the Contractor shall be deemed to have been able to prevent causes of delay that are within the reasonable control of the Contractor or Contractor Personnel.
- (9) Timely provision of the Services shall be of the essence of the Contract, including in relation to commencing the provision of the Services within the time agreed or on a specified date.
- (10) The Contractor warrants that it shall provide the Services with all due skill, care and diligence, and in accordance with good industry practice and legal requirements.
- (11) Without prejudice to the provision of Condition (1), the Contractor shall reimburse the Authority for all reasonable costs incurred by the Authority which have arisen as a direct consequence of the Contractor's delay in the

performance of the Contract which the Contractor had failed to remedy after being given reasonable notice by the Authority.

## **22 Conflicts of Interest**

- (1) For the purposes of this Condition 22, a reference to a “conflict of interest” includes any scenario where the Contractor or any person engaged by it or on its behalf (including any subcontractors) is in a position where there is or may be an actual, potential or perceived conflict between the pecuniary and/or personal interests of that person and the duties owed to the Authority under the provisions of this Contract.
- (2) The Contractor shall ensure that there is no conflict of interest likely to prejudice the Contractor’s independence and objectivity in performing the Contract and undertakes that upon becoming aware of any conflict of interest during the performance of the Contract (whether the conflict existed before the award of the Contract or arises during its performance) the Contractor shall immediately notify the Authority in writing of the same, giving particulars of its nature and the circumstances in which it exists or arises and shall furnish such further information as the Authority may reasonably require.
- (3) Where the Authority is of the opinion that a conflict of interest notified to it under Condition (1) is capable of being avoided or removed, the Authority may require the Contractor to take such steps as will, in its opinion, avoid, or as the case may be, remove the conflict and:
  - a. if the Contractor fails to comply with the Authority’s requirements in this respect; or
  - b. if, in the opinion of the Authority, it is not possible to remove the conflict,

the Authority may terminate the Contract immediately and recover from the Contractor the amount of any loss resulting from such termination.

- (4) Notwithstanding Condition (2), where the Authority is of the opinion that the conflict of interest which existed at the time of the award of the Contract could have been discovered with the application by the Contractor of due diligence and ought to have been disclosed as required by the tender documents pertaining to it, the Authority may terminate the Contract immediately for breach of a fundamental condition and, without prejudice to any other rights, recover from the Contractor the amount of any loss resulting from such termination.

## **23 Reporting, Monitoring and Management Information**

- (1) Where requested by the Authority, the Contractor shall supply to the Authority such information - including in the form of progress reports or management information (“MI”) reports - relating to the Services and to the Contractor’s management and performance of the Contract as they may require.



- (2) Where reports are required by the Contract, the Contractor shall render such reports in such a form and timeframe as specified by the Authority, or as otherwise agreed between the Contractor and the Authority.
- (3) The MI reports referenced in Condition (1) above shall include, without limitation, the information required by the MI Reporting Template and any guidance issued by the Authority from time to time.
- (4) The Contractor will maintain Open Book Data in relation to the Services to be performed under the terms of this Contract. The Authority may request any information comprising the Open Book Data and the Contractor will provide the information requested within five Working Days.
- (5) The Contractor's performance of the Services shall be monitored by the Contract Manager. Without prejudice to any other rights and remedies under the Contract, the Contract Manager shall be entitled to review the Contractor's performance and make reasonable recommendations to the Contractor for improving the standard of the Contractor's performance in undertaking the Services. The Contractor must use reasonable endeavours to implement such recommendations. The Contractor's Representative shall attend any meetings arranged by the Contract Manager for the purpose of discussing the Services being provided, and reviewing the Contractor's performance.
- (6) If the Contractor (or any Contractor Personnel) is unable, or considers that it is likely to be unable to provide any of the Deliverables, the Contractor must immediately:
  - a. tell the Contract Manager and provide reasons;
  - b. propose corrective action(s); and
  - c. propose a deadline for completing the corrective action(s).

## **24 Intellectual Property Rights**

- (1) Each Party keeps ownership of its own Existing IPRs. The Contractor hereby grants the Authority a non-exclusive, perpetual, royalty-free, irrevocable, transferable worldwide licence to use, change and sub-license the Contractor's Existing IPR to enable it to both:
  - receive and use the Deliverables
  - make use of (including to modify) the Deliverables
- (2) The Parties hereby agree that (and the Contractor hereby assigns to the Authority) any New IPR created under the Contract is wholly owned (with full-title guarantee) by the Authority (this clause shall act as a grant and assignment of such New IPR as applicable including acting as an assignment of future New IPR). The Authority gives the Contractor a licence to use any Existing IPRs and New IPRs for the purpose of fulfilling its obligations under the Contract.
- (3) The Parties will (as required by the Authority) execute (and procure that any Contractor Personnel or relevant third parties including consultants and

subcontractors execute) any documentation at their own cost and in a timely manner to the extent required to give effect to the intent of clause (2).

- (4) Where a Party acquires ownership of IPRs 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.
- (5) Neither Party has the right to use the other Party's IPRs, including any use of the other Party's names, logos or trademarks, except as provided in Clause 24 or otherwise agreed in writing.
- (6) The Contractor indemnifies the Authority against all losses, damages, costs or expenses (including professional fees and fines) incurred as a result of any IPR Claim.
- (7) If an IPR Claim is made or anticipated the Contractor must at its own expense and the Authority's sole option, either:
  - obtain for the Authority the rights in Clause 24.1 and 24.2 without infringing any third party IPR
  - replace or modify the relevant item with substitutes that don't infringe IPR without adversely affecting the functionality or performance of the Deliverables
- (8) The Contractor shall indemnify, and keep indemnified, the Authority in full against all costs, expenses, damages and losses, including any interest, penalties, and reasonable legal and other professional fees awarded against or incurred or paid by the Authority as a result of or in connection with any claim made against the Authority for actual or alleged infringement of a third party's intellectual property arising out of, or in connection with, the supply or use of the Services, to the extent that the claim is attributable to the acts or omission of the Contractor or Contractor Personnel.

## **25 Rights of Third Parties**

It is not intended that the Contract, either expressly or by implication, shall confer any benefit on any person who is not a party to the Contract and accordingly the Contracts (Rights of Third Parties) Act 1999 shall not apply.

## **26 Indemnities and Liabilities**

- (1) Subject to Condition 35 the Contractor shall hold harmless and indemnify the Authority on demand from and against all:
  - a. claims;
  - b. demands;
  - c. proceedings;
  - d. actions;
  - e. damages;
  - f. costs (including legal costs);

- g. expenses; and
- h. any other liabilities,

arising from claims made by the Authority's staff or agents, or by third parties, in respect of:

- i. any death or personal injury; or
- j. loss or destruction of or damage to property;
- k. any other direct loss, destruction or damage, including but not limited to direct financial losses which are caused,

by the breach of contract or breach of duty (whether in negligence, tort, statute or otherwise) of the Contractor, its employees, agents or subcontractors.

- (2) The Contractor shall be liable to the Authority for any loss, damage, destruction, injury or expense (and including but not limited to loss or destruction of or damage to the Authority's property, which includes data) arising from the Contractor's breach of contract or duty (whether arising in negligence, tort, statute or otherwise).
- (3) Nothing in these Conditions nor in any part of the Contract shall impose any liability on any member of the staff of the Authority or its representatives in their personal capacity.
- (4) The Contractor shall indemnify the Authority against all proceedings, actions, claims, demands, costs (including legal costs), charges, expenses and any other liabilities arising from or incurred by reason of any infringement or alleged infringement of any third party's Intellectual Property Rights used by or on behalf of the Contractor for the purpose of the Contract, provided that any such infringement or alleged infringement is not knowingly caused by, or contributed to, by any act of the Authority.
- (5) Subject to clause (4), each Party's total aggregate liability in each Contract Year under this Contract (whether in tort, contract or otherwise) is no more than the greater of £5 million or 150% of the estimated annual Charges due under this Contract.
- (6) Nothing in this Contract shall limit or exclude any of the following (nor shall any liabilities in respect of the following in any way cause or contribute to the erosion of any liability cap):
  - a. liability for death or personal injury caused by its negligence, or that of its employees, agents or subcontractors;
  - b. its liability for bribery or fraud or fraudulent misrepresentation by it or its employees or subcontractors;
  - c. any liability that cannot be excluded or limited by Law;
  - d. any claim pursuant to Condition 24(4); or

- (7) Where a matter is covered by any of the insured liabilities in clause 27, then the limit of the Contractor's liability shall be the greater of the amount described in clause 26(5) or the limit of the insurance policy required under this Contract.

## **27 Insurance**

- (1) The Contractor shall obtain and maintain for a period of 12 years after the expiration of termination of this Contract (and on business as usual terms) with a reputable insurance company the following policy/policies:
- a. Public liability insurance with a limit of indemnity of not less than £10,000,000 (Ten Million Pounds) in relation to any one claim, the number of claims being unlimited;
  - b. Professional indemnity insurance with a limit of indemnity of not less than £1,000,000 (One Million Pounds) in relation to any one claim, the number of claims being unlimited;
- (2) The Required Insurances, detailed above, to be effected by the Contractor shall be in respect of all risks which may be incurred by the Contractor, arising out of the Contractor's performance of the Contract including death or personal injury, loss of or damage to property or any other loss. The required insurance shall include cover in respect of any financial loss arising from any advice given or omitted to be given by the Contractor.
- (3) The Contractor shall give the Authority, on request, copies of all the insurance policies required under this Condition or a broker's verification of insurance to demonstrate that the Required Insurances are in place, together with receipts or other evidence of payment of the latest premiums due under those policies.
- (4) If, for any reason, the Contractor fails to give effect to and maintain the Required Insurances, the Authority may make alternative arrangements to protect its interests and may recover the costs of such arrangements from the Contractor.
- (5) The terms of any insurance or the amount of cover shall not relieve the Contractor of any liabilities under this Contract or otherwise.

## **28 Dispute Resolution**

- (1) The Parties shall attempt in to negotiate a settlement to any dispute between them arising out of or in connection with the Contract.
- (2) If the Parties cannot resolve the dispute pursuant to clause (1) of this Condition, the dispute may, by agreement between the Parties, be referred to mediation pursuant to clause (3) of this Condition.
- (3) The performance of the Services shall not cease or be delayed by the reference of a dispute to mediation pursuant to clause (1) of this Condition.

- (4) If the Parties agree to refer the dispute to mediation:
- a. in order to determine the person who shall mediate the dispute (the “**Mediator**”) the Parties shall by agreement choose a neutral adviser or mediator from one of the dispute resolution providers listed by the Government Procurement Service on its website or in its printed guidance on dispute resolution within 30 days after agreeing to refer the dispute to mediation;
  - b. the Parties shall within 14 days of the appointment of the Mediator meet with them in order to agree a programme for the exchange of all relevant information and the structure to be adopted for negotiations to be held. If considered appropriate, the Parties may at any stage seek assistance from the Government Procurement Service to provide guidance on a suitable procedure;
  - c. unless otherwise agreed, all negotiations connected with the dispute and any settlement agreement relating to it shall be conducted in confidence and without prejudice to the rights of the Parties in any future proceedings;
  - d. if the Parties reach agreement on the resolution of the dispute within 60 days of the Mediator being appointed, or such longer period as may be agreed between the Parties, the agreement shall be reduced to writing and shall be binding on the Parties once it is signed by both the Authority and the Contractor;
  - e. failing agreement within 60 days of the Mediator being appointed, or such longer period as may be agreed between the Parties, either of the Parties may invite the Mediator to provide a non-binding but informative opinion in writing. Such an opinion shall be provided on a without prejudice basis and shall not be used in evidence in any proceedings relating to the Contract without the prior written consent of both Parties.
- (5) If the Parties:
- a. do not agree to refer the dispute to mediation;
  - b. fail to reach agreement as to who shall mediate the dispute pursuant to Condition (4); or
  - c. fail to reach agreement in the structured negotiations within 60 days of the Mediator being appointed (or such longer period as may be agreed by the Parties),

then any dispute or difference between them may be referred to the courts.

## 29 Termination for Insolvency or Change of Control

- (1) The Contractor shall notify the Authority in writing immediately upon the occurrence of any of the following events:
- a. the Contractor party fails to pay any amount due to the Authority (whether under this Contract or otherwise) on the due date for payment and remains in default not less than 30 days after being notified to make such payment;

- b. the Contractor party suspends, or threatens to suspend, payment of its debts or is unable to pay its debts as they fall due or admits inability to pay its debts or is deemed unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986 as if the words "it is proved to the satisfaction of the court" did not appear in sections 123(1)(e) or 123(2) of the Insolvency Act 1986;
  - c. the Contractor commences negotiations with all or any class of its creditors with a view to rescheduling any of its debts, or makes a proposal for or enters into any compromise or arrangement with any of its creditors other than (being a company) for the sole purpose of a scheme for a solvent amalgamation of the Contractor with one or more other companies or the solvent reconstruction of that Contractor;
  - d. applies to court for, or obtains, a moratorium under Part A1 of the Insolvency Act 1986;
  - e. petition is filed, a notice is given, a resolution is passed, or an order is made, for or in connection with the winding up of the Contractor;
  - f. an application is made to court, or an order is made, for the appointment of an administrator, or a notice of intention to appoint an administrator is given or if an administrator is appointed, over the Contractor;
  - g. the holder of a qualifying floating charge over the assets of the Contractor has become entitled to appoint or has appointed an administrative receiver;
  - h. a person becomes entitled to appoint a receiver over all or any of the assets of the Contractor or a receiver is appointed over all or any of the assets of the Contractor;
  - i. a creditor or encumbrancer of the Contractor attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole or any part of the Contractor's assets and such attachment or process is not discharged within 14 days;
  - j. the Contractor suspends, ceases or threatens to suspend or cease trading or carrying on a substantial part of its business;
  - k. the Contractor's financial position deteriorates materially in the reasonable view of the Authority;
  - l. any event occurs, or proceeding is taken, with respect to the Contractor in any jurisdiction to which it is subject that has an effect equivalent or similar to any of the events mentioned above; or
  - m. the Contractor undergoes a change of control, where "control" is interpreted in accordance with Section 1124 of the Corporation Tax Act 2010.
- (2) After receipt of the notice under clause (1) above or earlier discovery by the Authority of the occurrence of any of the events described in that clause, the Authority may, by notice in writing to the Contractor, terminate the Contract with immediate effect without compensation to the Contractor and without

prejudice to any right or action or remedy which may accrue to the Authority thereafter. The Authority's right to terminate the Contract under Condition (1) will exist until the end of a period of three months starting from receipt of the notice provided by the Contractor pursuant to Condition (1), or such other period as is agreed by the Parties.

### **30 Termination for Breach of Contract**

- (1) If the Contractor commits a Material Breach that is not capable of remedy the Authority shall be entitled to terminate the Contract with immediate effect by notice in writing to the Contractor.
- (2) The Authority's right to terminate the Contract under Condition (1) above is without prejudice to any other right or remedies in respect of the breach concerned or any other breach of the Contract.

### **31 Cancellation**

- (1) The Authority shall be entitled to terminate the Contract, or to terminate the provision of any part of the Services, if:
  - a. the Authority gives the Contractor not less than 90 days' notice in writing to that effect;
  - b. any of the mandatory or discretionary exclusion events listed under Regulations 57(1) or 57(2) of the Public Contracts Regulations 2015 (the "PCR") occur; or
  - c. a declaration on ineffectiveness is made pursuant to the PCR in respect of this Contract or any variation thereof.
- (2) If the Authority has given notice under Condition (1) above, 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.

### **32 Suspension of the Services**

- (1) The Authority may at any time demand that the Contractor suspend the provision of the Services. If the Authority exercises such right to suspend the provision of the Services or any part of them (for a reason other than the default of the Contractor), the Authority shall be responsible for loss incurred by the Contractor as a result of such suspension. In such circumstances, subject to the Contractor taking reasonable steps to mitigate its loss, the Contractor will be able to recover from the Authority under this Condition 32 those losses which:
  - a. were reasonably foreseeable as arising as a direct result of the suspension; and
  - b. relate to the cost of any commitments entered into by the Contractor which cannot be met as a result of the suspension and in respect of which the Contractor cannot obtain a refund (where the Contractor has already paid in relation to the commitment) or is obliged to pay (where the Contractor has not already paid in relation to the commitment).

- (2) The provisions of this Condition shall not apply where the reason for the suspension of the Services arises from any of the circumstances listed in Condition 39.

### **33 Consequences of Termination/Expiry**

- (1) If the Authority terminates the Contract in accordance with Condition 12, 13, 15, 22, 29, (2), 31, 42, 43 or this Contract is otherwise terminated for any other reason (or indeed expires):
- a. the Contractor shall forthwith cease to provide the Services (but may be required to comply with the Exit Plan – see below);
  - b. the Contractor shall submit to the Authority within five (5) Working Days of termination or expiry (at the Contractor's own cost) a comprehensive status report which shall be current as at the date of submission relating to the Services (this report shall summarise all the Services delivered up to the date of termination/expiry);
  - c. the Contractor shall cease to use the Government Property in good condition (with any keys or access cards) (and any data related to the Services or Confidential Information) and (if so requested) shall hand over to the Authority a complete and uncorrupted version of all relevant data related to the Services and all records, information, documents howsoever held and including any media used to store such data including, without limitation, correspondence with staff engaged for or on behalf of the Authority, the Authority's service departments, any users of the Services and any other relevant third party and anything else relating to the performance of the Services in its possession custody or control either in its then current format or in a format nominated by the Authority whether such Government Property (or other data related to the Services or Confidential Information) is on hard copy or on a disk or on any computer systems;
  - d. the Contractor shall return all Personal Data or (if instructed by the Authority) destroy or dispose of it in a secure manner, in accordance with the specific instructions issued by the Authority (for the avoidance of doubt, Personal Data shall include but not be limited to that data which is Personal Data and for which the Authority retains its Controller responsibilities);
  - e. the Contractor shall vacate any Authority's Premises;
  - f. in the event that termination takes place in accordance with Condition 12, 13, 15, 22, 29, (2), 42, 43 or otherwise based on Contractor default:
    - i. the Authority shall immediately cease to be under any obligation to make further payment to the Contractor until the costs, loss and/or damage to the Authority resulting from or arising out of the termination shall have been calculated; and
    - ii. such termination shall be at no loss or cost to the Authority and the Contractor hereby indemnifies the Authority against any losses, costs and expenses (including legal costs) which the



Authority may suffer as a result of any such termination, including:

1. any demonstrable and reasonably incurred wasted expenditure;
2. any demonstrable and reasonably incurred additional costs (including the costs associated with time spent by Authority staff) of procuring and implementing replacements for, or alternatives to, the Services, including consultancy costs, additional costs of management time and other personnel costs and costs of equipment and materials;
3. reasonable costs incurred associated with time spent by Authority officers in terminating the Contract;
4. any demonstrable and reasonably incurred losses incurred by the Authority arising out of or in connection with any claim, demand, fine, penalty, action, investigation or proceeding by any third party (including any subcontractors, staff, regulator or customer of the Authority) caused by the act or omission of the Contractor; and
5. any demonstrable loss of anticipated savings (including the cost of providing the Services for the remainder of the period of the Contract to the extent that such cost exceeds the payment that otherwise would have been payable to the Contractor).

- (2) The rights of the Authority under this Condition are in addition to, and without prejudice to, any other rights that the Authority may have at law or under the Contract.
- (3) The amounts to be recovered by the Authority in accordance with Condition (1)e may be recovered by the Authority as a debt and may be deducted from any sum or sums which would but for this Condition 33 have been due to the Contractor.
- (4) If the Contractor fails to comply with Conditions (1)b-(1)d , the Authority may recover possession thereof and the Contractor grants a licence to the Authority or its appointed agents to enter (for the purposes of such recovery) any premises of the Contractor or its permitted suppliers or subcontractors where any such items may be held.
- (5) Without prejudice to the Authority's other remedies, failure to comply with this Condition may result in the Authority withholding any payment due until reasonable compliance by the Contractor.

## **34 Exit Management**

- (1) The Contractor shall:

- a. within 30 days from the commencement of this Contract provide to the Authority a copy of its depreciation policy (if so required) for the purpose of calculating net book value of relevant assets related to this Contract (which shall at all times be in accordance with good industry practice);
- b. create and maintain a detailed register of all assets used to provide the Services (including description, condition, location and details of ownership and status as either exclusive assets (used only for the Authority) or non-exclusive assets and their net book value) and subcontracts and other relevant agreements required in connection with the Deliverables; and
- c. create and maintain a configuration database detailing the technical infrastructure and operating procedures through which the Contractor provides the Deliverables.

(Limbs (b) and (c) together being the "**Registers**").

- (2) The Contractor shall:
  - a. ensure that all assets to be used exclusively for the Authority listed in the Registers are clearly physically labelled and identified as such;
  - b. procure that all licences for software provided by third parties and used in the Services and all sub-contracts shall be assignable and/or capable of novation (at no cost or restriction to the Authority) at the request of the Authority to the Authority and/or any replacement contractor upon the Contractor ceasing to provide the Services and if the Contractor is unable to do so then the Contractor shall promptly notify the Authority and the Authority may require the Contractor to procure an alternative sub-contractor or provider of Deliverables; or
  - c. where required, appoint an exit manager, who will liaise with the relevant representative of the Authority regarding the expiration or termination of this Contract.
- (3) The Contractor shall, on reasonable notice, provide to the Authority and/or its potential replacement contractors (subject to the potential replacement contractors entering into reasonable written confidentiality undertakings), such information (including any access) 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 contractors undertaking due diligence (the "**Exit Information**").
- (4) Notwithstanding any other provision or restriction in this Contract, the Contractor acknowledges that the Authority may disclose the Contractor's Confidential Information (excluding the Contractor's or its subcontractors' prices or costs) to an actual or prospective replacement contractor to the extent that such disclosure is necessary in connection with such engagement.

- (5) The Contractor shall provide complete updates of the Exit Information on an as-requested basis as soon as reasonably practicable and notify the Authority within five (5) Working Days of any material change to the Exit Information which may adversely impact upon the provision of any Services and/or Deliverables (and shall consult the Authority in relation to any such changes).
- (6) The Exit Information shall be accurate and complete in all material respects and shall be sufficient to enable a third party to prepare an informed offer for those Deliverables; and not be disadvantaged in any procurement process compared to the Contractor.
- (7) The Contractor shall, within three (3) months after the date on which this Contract commences, deliver to the Authority an exit plan ("**Exit Plan**") which complies with the requirements set out below and is satisfactory to the Authority.
- (8) The Parties shall use reasonable endeavours to agree the contents of the Exit Plan. If the Parties are unable to agree the contents of the Exit Plan within twenty (20) Working Days of the latest date for its submission (see above), then such Dispute shall be resolved in accordance with Condition 28.
- (9) The Exit Plan shall set out, as a minimum:
  - a. a detailed description of both the transfer and cessation processes, including a timetable;
  - b. how the Deliverables will transfer to the replacement contractor and/or the Authority;
  - c. details of any contracts which will be available for transfer to the Authority and/or the replacement contractor upon the date of expiration or termination of this Contract together with any reasonable costs required to effect such transfer;
  - d. proposals for the training of key members of the replacement contractor's staff in connection with the continuation of the provision of the Deliverables following the date of expiration or termination of this Contract;
  - e. proposals for providing the Authority or a replacement contractor copies of all documentation relating to the use and operation of the Deliverables and required for their continued use;
  - f. proposals for the assignment or novation of all services utilised by the Contractor in connection with the supply of the Deliverables;
  - g. proposals for the identification and return of all Government Property in the possession of and/or control of the Contractor or any third party;
  - h. proposals for the disposal of any redundant Deliverables and materials;
  - i. how the Contractor will ensure that there is no disruption to or degradation of the

- j. Deliverables during the six (6) month period after the termination/expiration of the Contract ("**Termination Assistance Period**"); and
  - k. any other information or assistance reasonably required by the Authority or a replacement contractor
- (10) The Contractor shall:
- a. maintain and update the Exit Plan (and risk management plan) no less frequently than:
    - i. every six (6) months throughout the Contract Period; and
    - ii. no later than twenty (20) Working Days after a request from the Authority for an up-to-date copy of the Exit Plan;
    - iii. as soon as reasonably possible following the Termination Assistance Notice, and in any event no later than ten (10) Working Days] after the date of the Termination Assistance Notice;
    - iv. as soon as reasonably possible following, and in any event no later than twenty (20) Working Days following, any material change to the Deliverables (including all changes under the Variation Procedure); and
    - v. jointly review and verify the Exit Plan if required by the Authority and promptly correct any identified failures.
- (11) The Authority shall be entitled to require the provision of all assistance as reasonably required on expiry of termination of this Contract ("**Termination Assistance**") at any time during the Contract Period by giving written notice to the Contractor (a "**Termination Assistance Notice**") at least one (1) months prior to the expiration or termination date. The Termination Assistance Notice shall specify:
- a. the nature of the Termination Assistance required; and
  - b. the start date and the Termination Assistance Period during which it is anticipated that Termination Assistance will be required.
- (12) In the event that Termination Assistance is required by the Authority but at the relevant time the Parties are still agreeing an update to the Exit Plan pursuant to this Condition, the Contractor will provide the Termination Assistance in good faith and in accordance with the principles in this Schedule and the last Authority approved version of the Exit Plan (insofar as it still applies).
- (13) Throughout the Termination Assistance Period the Contractor shall:
- a. if required by the Authority, provide the Termination Assistance;
  - b. provide to the Authority and/or its replacement contractor any reasonable assistance and/or access requested by the Authority and/or its replacement Contractor including assistance and/or access to facilitate the orderly transfer of responsibility for and conduct of the Deliverables to the Authority and/or its Replacement Contractor;

- c. use all reasonable endeavours to reallocate resources to provide such assistance without additional costs to the Authority;
- d. at the Authority's request and on reasonable notice, deliver up-to-date Registers to the Authority;
- e. seek the Authority's prior written consent to access any Authority Premises from which the de-installation or removal of Contractor Assets is required.

### **35 Consequential Losses**

- (1) Save where expressly stated to the contrary in this Contract, neither Party shall be liable to the other Party for any:
  - a. indirect loss;
  - b. special loss;
  - c. consequential loss;
  - d. loss of profits;
  - e. loss of turnover;
  - f. loss of business opportunities; or
  - g. damage to goodwill.
- (2) Notwithstanding Condition (1), the Contractor agrees 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 the Contractor's default:
  - a. any additional operational and/or administrative costs and expenses incurred by the Authority, including costs relating to time spent by or on behalf of the Authority in dealing with the consequences of the Contractor's default;
  - b. any wasted expenditure or charges;
  - c. the additional cost of procuring alternative arrangements for the provision of the Services, which shall include any incremental costs associated with procuring such alternative arrangements above those which would have been payable under the Contract;
  - d. any compensation or interest payable to a third party by the Authority;
  - e. any fine or penalty incurred by the Authority pursuant to law and any costs incurred by the Authority in defending any proceedings which result in such fine or penalty; and
  - f. where applicable, the compensation described in Condition (1)e.

### **36 Survival of Terms**

Any provision of this Contract that expressly or by implication is intended to come into or continue in force on or after termination or expiry of this Contract shall remain in full force and effect (including for the avoidance of doubt Conditions 10, 11, 12, 14, (6)c, 34 and 37).

### **37 Transfer of Services**

- (1) Where the Authority intends to continue with services equivalent to any or all of the Services after termination or expiry of the Contract, either by performing

them itself or by the appointment of a replacement contractor, the Contractor shall (both during the term of the Contract and, where relevant, after its expiry or termination):

- a. provide all information reasonably requested to allow the Authority to conduct the procurement for any replacement services; and
  - b. use all reasonable endeavours to ensure that the transition is undertaken with the minimum of disruption to the Authority including where requested, handing over directly to a replacement contractor.
- (2) Without prejudice to the generality of clause (1) of this Condition, the Contractor shall, at times and at intervals reasonably specified by the Authority, provide the Authority (for the benefit of the Authority, any replacement Contractor and any economic operator bidding to provide the replacement services) such information as the Authority may reasonably require relating to the application or potential application of the Transfer of Undertakings (Protection of Employment) Regulations 2006 including the provision of employee liability information.
- (3) Without prejudice to the generality of clause (1) of this Condition, the Contractor shall co-operate fully during the transition period and provide full access to all data, documents, manuals, working instructions, reports and any information, whether held in electronic or written form, which the Authority considers necessary.

### **38 Service of Notices and Communications**

- (1) A notice or communication given to a Party under or in connection with the Contract shall be in writing and sent to the Party at the address or email address given in this Contract or as otherwise notified in writing to the other Party.
- (2) This Condition (1) sets out the delivery methods for sending a notice to a Party under the Contract and, for each delivery method, the date and time when the notice is deemed to have been received (provided that all other requirements of this clause have been satisfied and subject to the provision in Condition (2)d below):
  - a. if delivered by hand, on signature of a delivery receipt or at the time the notice is left at the address;
  - b. if sent by pre-paid first class post or other next working day delivery service, providing proof of delivery, at the time recorded by the delivery service;
  - c. if sent by pre-paid airmail providing proof of postage, at 9.00am on the fifth Working Day after posting; or
  - d. if sent by email, at the time of transmission.
- (3) If deemed receipt under Condition (1) above would occur outside business hours in the place of receipt, it shall be deferred until business hours resume.

In this clause (2)d, business hours means 9.00am to 5.00pm on a Working Day.

- (4) This clause does not apply to the service of any proceedings or other documents in any legal action or, where applicable, any arbitration or other method of dispute resolution.

### **39 Force Majeure**

- (1) Provided it has complied with Condition (2), if a Party ("**Affected Party**") is prevented, hindered or delayed in or from performing any of its obligations under this Contract by a Force Majeure Event, the Affected Party shall not be in breach of this Contract for any such failure or delay in the performance of such obligations. The time for performance of such obligations shall be extended accordingly.
- (2) The corresponding obligations of the other Party will be suspended, and its time for performance of such obligations extended, to the same extent as those of the Affected Party.
- (3) The Affected Party shall:
  - a. as soon as reasonably practicable after the start of the Force Majeure Event but no later than 7 days from its start, notify the other Party in writing of the Force Majeure Event, the date on which it started, its likely or potential duration, and the effect of the Force Majeure Event on its ability to perform any of its obligations under the Contract; and
  - b. use all reasonable endeavours to mitigate the effect of the Force Majeure Event on the performance of its obligations.
- (4) If the Force Majeure Event prevents, hinders or delays the Affected Party's performance of its obligations for a continuous period of more than 4 weeks, the Party not affected by the Force Majeure Event may terminate this Contract by giving 4 weeks' written notice to the Affected Party.

### **40 Waiver**

- (1) No failure or delay by a Party to exercise any right or remedy provided under this Contract or by law shall constitute a waiver of that or any other right or remedy nor shall it prevent or restrict the further exercise of that or any other right or remedy.
- (2) No single or partial exercise of such right or remedy shall prevent or restrict the further exercise of that or any other right or remedy.
- (3) No waiver shall be effective unless it is communicated to the other party in writing.

### **41 Severability**

If any Condition, clause or provision of the Contract not being of a fundamental nature is held to be unlawful, invalid or unenforceable by a court or tribunal in any

proceedings relating to the Contract, the validity or enforceability of the remainder of the Contract shall not be affected. If the court finds invalid a provision 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 in a manner that achieves the intended commercial result of the original position.

## **42 Payment of Taxes: Income tax and NICs**

- (1) Where the Contractor is liable to be taxed in the UK in respect of consideration received under the Contract, the Contractor shall at all times comply with the Income Tax (Earnings and Pensions) Act 2003 and all other statutes and regulations relating to income tax in respect of that consideration.
- (2) Where the Contractor is liable to National Insurance Contributions (NICs) in respect of consideration received under the Contract, the Contractor shall at all times comply with the Social Security Contributions and Benefits Act 1992 and all other statutes and regulations relating to NICs in respect of that consideration.
- (3) The Authority may, at any time during the term of the Contract, require the Contractor to provide information to demonstrate that:
  - a. the Contractor has complied with clauses (1) and (1) above; or
  - b. the Contractor or its staff are not liable to the relevant taxes.
- (4) A request under clause (2) above may specify the information which the Contractor must provide and a reasonable deadline for response.
- (5) The Authority may supply any information which it receives under clause (2) to the Commissioners of Her Majesty's Revenue and Customs for the purpose of the collection and management of revenue for which they are responsible.
- (6) The Contractor shall ensure that any subcontractors (including consultants) and agents engaged by the Contractor for the purpose of the Services are engaged on, and comply with, conditions equivalent to those in clauses (1) to (4) above and this clause (5), and the Contractor shall, on request, provide the Authority with evidence to satisfy the Authority that the Contractor has done so. Those conditions shall provide both the Contractor and the Authority with the right to require the subcontractor or agent to provide information to them equivalent to clause (2), and the Contractor shall obtain that information where requested by the Authority.
- (7) The Authority may terminate the Contract with immediate effect by notice in writing where:
  - a. the Contractor does not comply with any requirement of this Condition 42; or
  - b. the Contractor's subcontractors or agents do not comply with the conditions imposed on them under clause (5) above.



- (8) In particular (but without limitation), the Authority may terminate the Contract under clause (6) above:
- a. in the case of a request under clause (2):
    - i. the Contractor fails to provide information in response to the request within the deadline specified; or
    - ii. the Contractor provides information which is inadequate to demonstrate how the Contractor or (where relevant) its subcontractors and agents have complied with the conditions set out or referred to in clauses (1) to (5); or
    - iii. the Authority receives information which demonstrates, to its reasonable satisfaction that the Contractor, its subcontractors or agents, are not complying with those conditions.

### **43 Payment of Taxes: Occasions of Tax Non-Compliance**

- (1) This Condition 43 applies where the consideration payable by the Contractor under the Contract equals or exceeds £5,000,000 (five million pounds).
- (2) The Contractor represents and warrants that 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.
- (3) If, at any point during the term of the Contract, an Occasion of Tax Non-Compliance occurs, the Contractor shall:
  - a. notify the Authority in writing of such fact within 5 Working Days of its occurrence; and
  - b. promptly provide to the Authority:
    - i. 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
    - ii. such other information in relation to the Occasion of Tax Non-Compliance as the Authority may reasonably require.
- (4) In the event that:
  - a. the warranty given by the Contractor pursuant to clause (1) of this Condition is materially untrue;
  - 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 (2) of this Condition; or
  - c. the Contractor fails to provide details of proposed mitigating factors which, in the reasonable opinion of the Authority, are acceptable,

the Authority may terminate the Contract with immediate effect by notice in writing.

- (5) In this Condition 43, "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 of the Contract or to a penalty for civil fraud or evasion.
- (6) For the purpose of clause 0 above:
- a. "**DOTAS**" means the Disclosure of Tax Avoidance Schemes rules (including VAT disclosure regime (VADR), Disclosure of Tax Avoidance Schemes: VAT and other indirect taxes (DASVOIT) and Direct taxes (including Apprenticeship Levy) and National Insurance contributions (DOTAS)) 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;
  - b. "**General Anti-Abuse Rule**" means:
    - i. the legislation in Part 5 of the Finance Act 2013 (inclusive of Schedules 43, 43A, 43B and 43C of the same legislation and section 10 and 11 of the National Insurance Act 2014) (in each case as understood in accordance with HMRC's General Anti-Abuse Rule Guidance as approved from time to time); and
    - ii. any future legislation introduced into Parliament to counteract tax advantages arising from abusive arrangements to avoid national insurance contributions;

- c. “**Halifax Abuse Principle**” means the principle explained in the CJEU Case C-255/02 Halifax and others and any equivalent case law; and
- d. “**Relevant Tax Authority**” means HM Revenue & Customs, or, if applicable, a tax authority in the jurisdiction in which the Contractor is established.

#### 44 **Equality and Non-Discrimination**

- (1) The Contractor shall not unlawfully discriminate within the meaning and scope of the Equality Act 2010 and any other anti-discrimination legislation in relation to the provision of the Services or otherwise and shall take all reasonable steps to ensure that its Contractor Personnel do not do so.
- (2) The Contractor shall comply with the Authority’s equality scheme as published on the Authority’s website and shall take all reasonable steps to ensure that its Contractor Personnel do so.
- (3) The Contractor will comply with any request by the Authority to assist the Authority in meeting its obligations under the Equality Act 2010 and to allow the Authority to assess the Contractor’s compliance with its obligations under the Equality Act 2010.
- (4) Where any investigation is concluded or proceedings are brought under the Equality Act 2010 which arise directly or indirectly out of any act or omission of the Contractor, its agents or subcontractors, or Contractor Personnel, and where there is a finding against the Contractor in such investigation or proceedings the Contractor will indemnify the Authority with respect to all costs, charges and expenses (including legal and administrative expenses) arising out of or in connection with any such investigation or proceedings and such other financial redress to cover any payment the Authority may have been ordered or required to pay to a third party.
- (5) The Contractor shall (and shall procure that all Contractor Personnel shall):
  - a. perform its obligations under this Contract (including those in relation to the Services) in accordance with:
    - i. all applicable equality Law (whether in relation to race, sex, gender reassignment, age, disability, sexual orientation, religion or belief, pregnancy, maternity or otherwise);
    - ii. the Authority’s equality and diversity policy as provided to the Contractor from time to time; and
    - iii. any other requirements and instructions which the Authority reasonably imposes in connection with any equality obligations imposed on the Authority at any time under applicable equality Law; and
  - b. take all necessary steps, and inform the Authority of the steps taken, to prevent unlawful discrimination designated as such by any court or

tribunal, or the Equality and Human Rights Commission or (any successor organisation); and

- c. at all times comply with the provisions of the Human Rights Act 1998 in the performance of this Contract. The Contractor shall also undertake, or refrain from undertaking, such acts as the Authority requests so as to enable the Authority to comply with its obligations under the Human Rights Act 1998.

- (6) The Authority may (without prejudice to its other rights under the Contract) terminate the Contract with immediate effect by notice in writing where the Contractor fails (or the Contractor Personnel) to comply with clauses (1) to (4) of this Condition.

#### **45 Welsh Language Act**

The Contractor shall for the term of the Contract comply with the principles of the Authority's Welsh Language Scheme.

#### **46 Sustainable Procurement**

- (1) The Contractor shall comply in all material respects with all applicable environmental laws and regulations in force from time to time in relation to the Services. Without prejudice to the generality of the foregoing, the Contractor shall promptly provide all such information regarding the environmental impact of the Services as may reasonably be requested by the Authority.
- (2) The Contractor shall meet all reasonable requests by the Authority for information evidencing compliance with the provisions of this Condition by the Contractor.
- (3) All written outputs, including reports, produced in connection with the Contract shall (unless otherwise specified) be produced on recycled paper containing at least 80% post consumer waste and used on both sides where appropriate.
- (4) The supplier shall meet the Government Buying Standards applicable to Deliverables which can be found online at:  
<https://www.gov.uk/government/collections/sustainable-procurement-the-government-buying-standards-gbs>

#### **47 Cyber Essentials**

- (1) Cyber essentials certification ("**Compliance Certification**") shall be required where:
  - a. Personal Data is handled;
  - b. data marked 'OFFICIAL' is being stored by the Contractor, or by any Contractor Personnel; or
  - c. the Contract involves the provision of certain ICT products or services as specified by the Authority from time to time.

- (2) The Authority shall determine whether the Contract requires a cyber essentials or cyber essentials plus Compliance Certification, or if no Compliance Certification is necessary.
- (3) Upon request, the Contractor shall provide the Authority with a copy of each such Compliance Certification before the Contractor or the relevant Contractor Personnel (as applicable) shall be permitted to use the Core Information Management System to receive, store or Process any Authority Data. Any exceptions to the flow down of the certification requirements to third-party suppliers and Contractor Personnel must be agreed with the Authority.

## 48 **Safeguarding**

- (1) For the purposes of this Condition 48, “**Reasonable Measures**” shall mean: “all reasonable endeavours expected to be taken by a professional and prudent contractor in the Contractor’s industry to eliminate or minimise risk of actual, attempted or threatened exploitation, abuse and harassment (including sexual abuse, sexual exploitation and sexual harassment) and whether or not such conduct would amount to a criminal offence in the United Kingdom or an offence under the laws of the territory in which it takes place (together “**Serious Misconduct**”) as is reasonable and proportionate under the circumstances. Such endeavours may include (but shall not be limited to):
  - a. clear and detailed policies and guidance for Contractor Personnel, Contractor Providers and where appropriate, beneficiaries;
  - b. developing, implementing and maintaining a safeguarding plan throughout the term (including monitoring);
  - c. provision of regular training to Contractor Personnel, Contractor Providers and where appropriate, beneficiaries;
  - d. clear reporting lines and whistleblowing policies in place for Contractor Personnel, Contractor Providers and beneficiaries;
  - e. maintaining detailed records of any allegations of Serious Misconduct and regular reporting to the Authority and the Appropriate Authorities (where relevant) of any such incidents; and
  - f. any other Good Industry Practice measures (including any innovative solutions).”
- (2) The Contractor shall take all Reasonable Measures to prevent Serious Misconduct by the Contractor Personnel or any other persons engaged and controlled by it (“**Contractor Providers**”) and shall have in place at all times robust procedures which enable the reporting by Contractor Personnel, Contractor Providers and beneficiaries of any such Serious Misconduct, illegal acts and/or failures by the Contractor or Contractor Personnel to investigate such reports.
- (3) The Contractor shall promptly report in writing any complaints, concerns and incidents regarding Serious Misconduct or any attempted or threatened Serious Misconduct by the Contractor Personnel and Contractor Providers to DESNZ Contract Manager and where necessary, the Appropriate Authorities.

- (4) The Contractor shall comply with all applicable laws, legislation, codes of practice and government guidance in the UK and additionally, in the territories where the Services are being performed, relevant to safeguarding and protection of children and vulnerable adults, which the Contractor acknowledges may include vetting of the Contractor Personnel by the UK Disclosure and Barring Service in respect of any regulated activity performed by the Contractor Personnel (as defined by the Safeguarding Vulnerable Groups Act 2006 (as amended)) and/or vetting by a local equivalent service. Where DESNZ reasonably believes that there is an increased risk to safeguarding in the performance of the Services, Contractor shall comply with any reasonable request by DESNZ for additional vetting to be undertaken.
- (5) Failure by the Contractor to:
  - a. put in place preventative measures to eliminate and/or reduce the risk of Serious Misconduct; or
  - b. fully investigate allegations of Serious Misconduct; or
  - c. report any complaints to DESNZ and where appropriate, the relevant authorities (including law enforcement)

shall be a material Default of this Contract and shall entitle DESNZ to terminate this Contract with immediate effect.

## 49 Modern Slavery

- (1) The Contractor shall, and procure that each of its Contractor Personnel shall, comply with:
  - a. the Modern Slavery Act 2015 ("**Slavery Act**"); and
  - b. the Authority's anti-slavery policy as provided to the Contractor from time to time ("**Anti-Slavery Policy**").
- (2) The Contractor shall:
  - a. implement due diligence procedures for its Contractor Personnel and other participants in its supply chains, to ensure that there is no slavery or trafficking in its supply chains;
  - b. respond promptly to all slavery and trafficking due diligence questionnaires issued to it by the Authority from time to time and shall ensure that its responses to all such questionnaires are complete and accurate;
  - c. prepare and deliver to the Authority each year, an annual slavery and trafficking report setting out the steps it has taken to ensure that slavery and trafficking is not taking place in any of its supply chains or in any part of its business;
  - d. maintain a complete set of records to trace the supply chain of all Services provided to the Authority regarding the Contract; and
  - e. implement a system of training for its employees to ensure compliance with the Slavery Act.

- (3) The Contractor represents, warrants and undertakes throughout the Term that:
- a. it conducts its business in a manner consistent with all applicable laws, regulations and codes including the Slavery Act and all analogous legislation in place in any part of the world;
  - b. its responses to all slavery and trafficking due diligence questionnaires issued to it by the Authority from time to time are complete and accurate; and
  - c. neither the Contractor nor any of its Contractor Personnel, nor any other persons associated with it:
    - i. has been convicted of any offence involving slavery and trafficking; or
    - ii. has been or is the subject of any investigation, inquiry or enforcement proceedings by any governmental, administrative or regulatory body regarding any offence regarding slavery and trafficking.
- (4) The Contractor shall notify the Authority as soon as it becomes aware of:
- a. any breach, or potential breach, of the Anti-Slavery Policy; or
  - b. any actual or suspected slavery or trafficking in a supply chain which relates to the Contract.
- (5) If the Contractor notifies the Authority pursuant to Condition (3)c.ii above, it shall respond promptly to the Authority's enquiries, co-operate with any investigation, and allow the Authority to audit any books, records and/or any other relevant documentation in accordance with the Contract.
- (6) If the Contractor is in Default under Condition (1)b above or (2)e above Authority may by notice:
- a. require the Contractor to remove from performance of the Contract any Contractor Personnel or other persons associated with it whose acts or omissions have caused the Default; or
  - b. immediately terminate the Contract.

## **50 Other Legislation**

- (1) The Contractor shall, and shall procure that its subcontractors, agents and personnel, comply with all other applicable law in force from time to time for the duration of the Contract.
- (2) The Contractor must use reasonable endeavours to comply with the provisions of Schedule X (Corporate Social Responsibility).
- (3) The Contractor indemnifies the Authority against any costs resulting from any Default by the Contractor relating to any applicable Law to do with the Contract.

- (4) The Contractor must appoint a Compliance Officer who must be responsible for ensuring that the Contractor complies with the Law and Conditions 13, 22, 42, 43, 44 and 46.

## **51 Health and Safety**

- (1) The Contractor shall (and shall procure that the Contractor Personnel shall) perform its obligations under this Contract (including those in relation to the Services) in accordance with:
  - a. all applicable Law regarding health and safety; and
  - b. the Health and Safety Policy whilst at the Authority's Premises.
- (2) Each Party shall notify the other as soon as practicable of any health and safety incidents or material health and safety hazards at the Authority Premises of which it becomes aware and which relate to or arise in connection with the performance of this Contract. The Contractor shall instruct the Contractor Personnel to adopt any necessary associated safety measures in order to manage any such material health and safety hazards.

## **52 Law and Jurisdiction**

This Contract and any dispute or claim (including non-contractual disputes or claims) arising out of or in connection with it or its subject matter or formation shall be governed by and construed in accordance with the law of England and Wales.

Each party irrevocably agrees that the courts of England and Wales shall have exclusive jurisdiction to settle any dispute or claim (including non-contractual disputes or claims) arising out of or in connection with this Contract or its subject matter or formation.



## Schedule 2 – The Authority’s Specification of Requirements

### Section 2

### Specification of Requirements

Invitation to tender for: **Market Accelerator for Green Construction (MAGC) – Learning and Evaluation Partner (L&E)**

Tender reference number: **GB-GOV-13-ICF-0032-MAGC**

Deadline for tender responses: **26<sup>th</sup> January 2022, 13:00 GMT**

#### 1. Glossary

Throughout this document we will refer to several acronyms, including but not limited to:

DESNZ	Department for Business, Energy, and Industrial Strategy, otherwise referred to as “the Authority”
Defra	Department for Environment, Food and Rural Affairs
DFIs	Development Finance Institutions
DP	Delivery Partner
EDGE	Excellence in Design for Greater Efficiencies
EQUALS	Evaluation Quality Assurance and Learning Stakeholders
FCDO	Foreign, Commonwealth & Development Office
FI	Financial Intermediaries
GDPR	General Data Protection Regulation
GESI	Gender Equality and Social Inclusion
HMG	His Majesties Government
ICF	International Climate Finance
IFC	International Finance Corporation
ITT	Invitation to Tender
KPI	Key Performance Indicators
MAGC	Market Accelerator for Green Construction
MDBs	Multilateral Development Banks
L&E	Learning & Evaluation
MIC	Middle-income Countries
ODA	Official Development Assistance
REP	Research and Evidence Programme
SDGs	Sustainable Development Goals
UNFCCC	United Nations Framework Convention on Climate Change
VfM	Value for Money

#### 2. Programme Context and Background

##### 2.1. The International Context

International Climate Finance (ICF) is part of the UK's Official Development Assistance (ODA) and is delivered by DESNZ, FCDO, and Defra. DESNZ's component of the ICF focuses on large-scale climate mitigation programmes in countries where climate mitigation potential is greatest - typically middle-income countries (MICs) with high or rapidly growing emissions and/or forest countries that play a critical role as major carbon sinks. This draws on DESNZ's ownership of and expertise in domestic decarbonisation, clean growth, innovation and green finance and remit as the lead Department on climate change mitigation and the UNFCCC negotiations.

## **2.2. The Market Accelerator for Green Construction (MAGC) Programme**

The Market Accelerator for Green Construction (MAGC) is a £102.9 million DESNZ funded programme delivered by the International Finance Corporation (IFC), the private sector facing arm of the World Bank.

The purpose of MAGC is to boost the uptake of greener construction practices and technologies in developing countries, focusing on new build. Growing the market for green construction will help tackle climate change by locking in low emissions through efficient design, whilst also realising the co-benefits of economic wellbeing for owners and occupants through lower utility bills, promoting energy and water security through resource efficiency. Therefore, improving quality of life and enabling green growth.

The programme consists of both technical assistance and concessional finance through an adaptive multi-pronged approach. The focus is on countries where the case for green construction is strongest as indicated by high energy costs, high carbon intensity of energy and strong urban growth.

The programme started in 2018 and the DESNZ implementation and reporting period will run until end-2026. For the investment component, MAGC has a 7-year investment period completing by November 2025 and IFC has until 2045, if not earlier, to provide potential final repayments to DESNZ. For the technical advisory components, IFC will carry out activities until 2032 and may continue to utilise the MAGC funding provided between 2018 – 2026 if available. Both IFC and DESNZ reporting will end in 2026/27, except for additional agreed reports from the research component.

During programme conception the original size of the programme was planned as £105 million, with £80 million for the investment component and £25 million for the technical-advisory components. This was reduced following a decision to reduce the scope of the MAGC Research pillar from £7 million to £4.5 million (more detail included in MAGC Programme Activities section).

## **2.3. MAGC Countries**

MAGC currently operates in the following countries:

- Latin America & Caribbean: Argentina, Brazil, Colombia, Costa Rica, Mexico, Peru
- Sub-Saharan Africa: Cote d'Ivoire, Ghana, Kenya, Nigeria, Senegal, South Africa, Tanzania
- Middle East and North Africa: Egypt, Morocco
- South Asia: Bangladesh, India, Pakistan
- East Asia: China (Advisory Services only), Indonesia, Mongolia, Myanmar, Philippines, Vietnam

It previously operated in Panama, but this country has since graduated from ODA and ICF eligibility. Senegal and Tanzania were introduced into MAGC eligibility in 2021 and 2022 respectively.

Annex F provides a summary of delivery so far in MAGC countries.

To prioritise countries for the programme, IFC surveyed emerging and developing economies according to current green building market, urban growth, energy costs and carbon intensity of energy. Although MAGC is currently eligible for intervention in the above listed countries, intervention in a country is not guaranteed. In total, we expect MAGC the investment component to work in about 7 countries making 19 investments total; the capacity building and EDGE advisory work in about 14 countries or regions; and the research component in about 12 countries or regions.

IFC, as sole decision maker, selects intervention based on potential impact, viability, and readiness in each of these countries. There is potential for the programme's geography to be updated during the programme lifetime, if mutually agreed by DESNZ and IFC. At present the majority of MAGC activities has been happening in Colombia, Mexico, Peru, South Africa, Kenya, Ghana, Indonesia, Vietnam, India, and Philippines.

#### **2.4. Main Programme Activities**

The programme has four components, adjusted, and refined according to the need in a country:

- **Investment** - Blended finance and Advisory Services (Technical Assistance) to Financial Intermediaries (FIs). Implementation until November 2025.
- **Capacity Building**: Country-level capacity building to strengthen the enabling environment. Implementation until 2033, monitoring until November 2025.
- **Green Building Certification**: IFC's Excellence in Design for Greater Efficiencies (EDGE) certification platform maintenance, operation, and improvements. Implementation until 2033, monitoring until November 2025.
- **Research**: Green building performance research and dissemination. Implementation until 2033, monitoring until November 2025.

**The programme aims to utilise a range of financial instruments designed to maximise impact and minimise subsidy in support of proving the commercial case for the growth of the supply and demand for green buildings.** Eligible financial instruments for blended concessional finance investments include performance incentives (PBIs), interest rate buy-downs (IRBD), senior loans, subordinated/mezzanine loans/equity and quasi-equity, and risk sharing structures, including guarantees. The technical assistance needs of all recipients of finance are assessed to ensure programme requirements are met and funds are deployed efficiently.

**The programme aims to utilise a range of financial instruments designed to maximise the impact whilst minimising subsidy in support of proving the commercial case,** including Interest Rate Buy-down, Senior loans, Subordinated/mezzanine loans/quasi-Equity, Risk Sharing Structures. The technical assistance needs of all recipients of finance are assessed to ensure programme requirements are met and funds are deployed efficiently.

**Further technical assistance is provided to a range of actors** (for example policy makers, developers, architects, and certification professionals) **to develop the enabling environment in the market** through policy development, awareness raising and strengthening the pipeline of green building projects. **The intervention places an emphasis on the use of green**

**construction standards**, including - but not exclusively - the EDGE standard, as a way of improving building energy efficiency compared to conventional approaches.

In recognition of the challenges to achieving energy efficient operation of buildings, a significant **research component aims to develop a robust evidence base** that can be used to further enhance green building standards and motivate the uptake of green construction over conventional approaches.

## 2.5. MAGC Objectives

The ambition driving this intervention is to **reduce the greenhouse gas emissions from the building sector** by increasing the proportion of energy efficient buildings being constructed, **utilising green building practices and technologies**. The intervention aims to contribute to the significant year-on-year growth in green buildings required to get the sector on track to achieve its role in the Paris Agreement.

To reach this point, the **expected outputs** of the programme include:

- Green buildings demonstrating financial and environmental performance.
- Competitive green building finance available.
- Green building policy and voluntary standards capacity in place.
- Developers, FIs, MDBs, & DFIs<sup>1</sup> understand and value certified green buildings.

The Theory of Change for the programme MAGC can be found in **Annex G**.

## 2.6. DESNZ-MAGC Delivery Partner Governance

Governance for delivery of the MAGC programme is mandated through an Investment and an Advisory Administrative Arrangement between the Delivery Partner - IFC - and DESNZ.

IFC have sole responsibility in all decision making, regarding the design and implementation of the Advisory Program and the Blended Finance Program in line with the Arrangements, and report progress to DESNZ via a pre-agreed reporting schedule, including: a working group meeting every six weeks; quarterly programme meetings; two confidential semi-annual financial/operational reports; and an annual progress report (with log frame, results frameworks, and disaggregated data also provided) for public disclosure.

Four departments lead the separate components of MAGC in IFC: the Financial Institutions Group (FIG), the Blended Finance Department, the Central Business Department, and the Economic and Development Impact Department. There is an established working-level group for MAGC's delivery governance including the DESNZ programme lead and an officer from each of the four IFC departments, as well as an IFC implementing officer and IFC analyst across the MAGC programme<sup>2</sup>. In addition, IFC has appointed a MAGC Senior Manager who has leading responsibility for the programme across the four departments.

The day-to-day delivery of the MAGC programme is managed by the IFC, with oversight from a programme lead in DESNZ. DESNZ also remains sighted and engaged on *ad-hoc* decisions

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<sup>1</sup> FIs - Financial Intermediaries; MDBs - Multilateral Development Banks; DFIs - Development Finance Institutions

<sup>2</sup> Results collected for reporting in the Annual Reports, Log frame, and Results Framework are collected and managed by MAGC's program team (mainly officer and analyst) who engage with all implementing departments.

relating to the programme, offering advice where appropriate and seeking to deepen our understanding of associated impact, benefits, and risks.

The IFC Blended Finance Department have responsibility for representing the UK interests as contributors within IFC's decision making processes, independent of the MAGC programme delivery team, and for ensuring appropriate use of concessional finance. More information on the IFC Blended Finance Department is provided in **Annex H**.

During the approval of the Business Case and Administration Arrangements between DESNZ and IFC, the following was agreed in relation to the external evaluation:

- DESNZ shall determine the scope and conduct of such review or evaluation, which IFC shall be invited to input and comment upon. IFC shall provide all relevant information within the limits of IFC's applicable policies and procedures.
- IFC acknowledges that the evaluation and Component 4 on research, learning and dissemination component are essential to this program, and IFC will ensure to the best of its efforts that all relevant data and information necessary to deliver these will be made available. In addition, where more granular data sets may be necessary for specific research projects or evaluation to be obtained from participating FIs, IFC will seek to negotiate separate information sharing agreements with the participating FI governing the sharing of such data sets

## 2.7. Further information and useful links

Further information on MAGC can be found on the IFC website at [https://www.ifc.org/wps/wcm/connect/topics\\_ext\\_content/ifc\\_external\\_corporate\\_site/bf/focus-areas/bf-climate/magc](https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/bf/focus-areas/bf-climate/magc)

The Gov.uk Development Tracker website contains the MAGC business case, log frame and annual reviews and can be found at <https://devtracker.fcdo.gov.uk/projects/GB-GOV-13-ICF-0032-MAGC/summary>.

EDGE certification portal- <https://edgebuildings.com/>

Other useful information that may be relevant for developing bids includes:

- The Green Book: appraisal and evaluation in central government. <https://www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-government>
- UK Statistics Authority Code of Practice/ or an equivalent standard. <http://www.statisticsauthority.gov.uk/assessment/code-of-practice/>
- The Magenta Book, Government guidance on policy evaluation and analysis. <https://www.gov.uk/government/publications/the-magenta-book>

### 3. MAGC Learning and Evaluation Aims and Objectives

#### 3.1. Aims and Objectives

As a substantial investment in a relatively new sector for DESNZ, learning and evaluation are key to giving assurance that the MAGC programme is having the intended benefits, whilst maximising the learning and transformation potential and informing future strategic decisions.

The evaluation will run from April 2023 – 2027/8 and should consist of a **process, outcome/impact, value for money** evaluation, within an **interim** and **final** evaluation. An element of **learning and dissemination** will run through the entire evaluation.

A short *scoping phase* after the contract has been awarded will be required, as well as a short *closing phase* once the evaluation has been completed. A *re-scoping phase* is also likely to be needed before the start of the final evaluation. This structure is to enable on-the-go learning of the programme during implementation as well as a detailed assessment of the programme once closed. We are seeking to procure a partner to lead the evaluation and learning/dissemination activities for the full scope of the scoping and evaluation activity.

It is expected that the MAGC evaluation will run in line with the MAGC reporting lifecycle, ending in 2026 and not the implementation lifecycle ending in 2032. Please see Table 5 below for a timeline diagram for MAGC's lifecycle and the evaluation. Please also see Table 7 for a full indicative timeline for the evaluation proposal.

Table 5: Timeline diagram for MAGC's lifecycle and the evaluation

Key	Mandatory Activity	Year																
	Optional Activity	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	Up to 45	
MAGC Programme Delivery and Reporting	DESNZ and IFC Formal Reporting																	
	Component 1: Investment and Advisory Services																	
	Component 2: Country-Level Capacity Building																	
	Component 3: Green Building Certification																	
	Component 4: MAGC Research																	
MAGC Funding	Component 1: Investment and Advisory Services																	
	Potential reflows from MAGC investments																	
	Components 2 – 4: Technical Advisory Pillars																	
Evaluation Timeline	Phase 1: Interim Evaluation																	
	Phase 2: Final Evaluation																	

### 3.2. Phase 1 – Interim Evaluation

**Aims:** To understand if the governance and the design of the programme are working effectively, and to evaluate early outcomes of the programme implementation.

The interim evaluation will run in two phases and will be ongoing while MAGC is in the delivery stage of the programme life cycle. During this phase, considerations such as the effect of Covid-19, delay in DESNZ committing funds in some parts of the programme, and changes in the original scope of the programme will need to be considered to evaluate the programme delivery.

#### Phase 1a -Process Evaluation Objectives:

- Inform and improve MAGC strategy and governance
- Inform and improve programme design learning for future similar programmes
- Learn about how Gender Equality and Social Inclusion (GESI – definition provided in Annex I) can be designed in future similar programmes

#### Phase 1b – Early Outcome Evaluation and Value for Money Assessment Objectives:

- Improve the ongoing MAGC delivery of results effectively
- Learn for future similar programmes, e.g., green construction, mixed blended finance, and technical advisory
- Assessment of the value-for-money approach
- Learn about Gender Equality and Social Inclusion (GESI) in MAGC delivery for future similar programmes

There will be opportunity following the interim evaluation to make adjustments and implement lessons learned to the MAGC programme to enhance delivery and outcomes based on the interim findings. Implementation actions will be agreed with the Evaluator, DESNZ, and the Delivery Partner when the findings are known.

### 3.3. Phase 2 – Final Evaluation: Outcome and Impact Evaluation and Value for Money Analysis

**Aims:** The final evaluation will systematically assess the MAGC contribution to its outcomes and impacts as set out in the Theory of Change (**Annex G**), and evaluate to what extent, and through what activities, the programme has or is set to achieve transformational change in the countries it works in.

The final evaluation will run when MAGC is in the closing stage of the programme life cycle (2026/27), but it is yet incomplete. This is to facilitate the data transfer from the Delivery Partner

#### Phase 2 - Objectives:

- Assessment of MAGC delivery and results across the programme lifetime
- Learn for future similar programmes, e.g., green construction, mixed blended finance, and technical advisory
- Assessment of the value-for-money approach
- Learn about Gender Equality and Social Inclusion (GESI) in MAGC for future similar programmes

The evaluation will play a crucial role in shaping wider learning, including through ICF portfolio-level evaluations to inform strategic decisions about the future makeup of the portfolio, as well as learning on best practice in Learning and Evaluation in relation to climate finance

programmes. There may also be wider opportunities to improve the design and implementation of other ODA programmes.

Please see Table 7 for a full indicative delivery timeline for the evaluation and learning activity covered by this contract.

### 3.4. Learning and Dissemination

Aims: Learning and dissemination activities will ensure that lessons from different strands of the evaluation are learnt and disseminated across key stakeholders throughout the whole length of the Contract.

Learning activities will suggest how lessons learnt can be implemented in MAGC (and similar programmes). As buy-in from DESNZ and the Delivery Partner in evaluation findings is crucial to this purpose, learning activities plans should encourage and reflect this.

Learning and dissemination is also vital to get key stakeholders across government and the wider community to take on board lessons learnt for Climate Change mitigation activities.

### 3.5. Evaluation Framework

MAGC operates in up to 24 countries (see Section 2.3 for full country list). In answering the research questions (Q) below, we propose the following tiered approach across the MAGC countries to provide both depth and breadth to fully assess the programme against its Theory of Change.

- **Tier 0 (T0): Programme level** (Q1, Q2, Q3, Q8 and Q9 below). In the process and design evaluation, research questions will be addressed at the programme level. A programme-level approach will also be used for Value for Money and GESI questions.
- **Tier 1 (T1): Basic analysis of all countries** (Q6 and Q7 below ). To provide a comprehensive assessment of programme performance, for some of the questions the evaluation will assess progress in all countries.
- **Tier 2 (T2): Focused evaluation of countries with substantial delivery** (Q4 and Q5 below). To gain greater depth of understanding, some evaluation questions should focus on countries in which substantial delivery intervention has happened at the time of the evaluation. In the interim evaluation, we envisage the number of these countries is estimated to be 10 (the final choice of countries will be agreed with DESNZ in the Scoping Phase, but it is likely to be **Colombia, Mexico, Peru, South Africa, Kenya, Ghana, Indonesia, Vietnam, Philippines, India**). In the final evaluation, we envisage an in-depth evaluation in all MAGC countries, but this will be agreed with DESNZ in the Re-Scoping Phase.
- **Tier 3 (T3): Deep dives** (Q4, Q5, Q6, Q7 and Q9 below). In both the interim and final evaluations, the assessment of progress against the Theory of Change and GESI questions will also include a more in-depth evaluation in up to four countries – (the final choice of countries will be agreed with DESNZ in the Scoping Phase, but it is likely to include **India, Colombia, Vietnam, and South Africa**). The aim of the deep dives is two-fold. First, it will enable in-depth analysis of the connection between context, mechanisms and outcomes and the extent to which the MAGC's success hinges on context-specific factors. Second, it allows for better tracking of changes



over time.

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### 3.6. Evaluation Questions

There are nine proposed high-level questions with sub-questions across all evaluations. The aim of these questions is to comprehensively evaluate the MAGC programme. The table below shows how each question may be evaluated; however, bidder should suggest and confirm in their bids how they would propose addressing the questions posed.

Table 6: MAGC Evaluation Questions

Phase	Question		Evaluation Type (Phase)				(Likely) Type of Evaluation		Level of Evaluation	
			Process (mainly Interim)	Early Outcome (Interim)	Outcome/ Impact (Final)	VfM (Interim and final)	Qualitative	Quantitative	Programme Level (T0)	Country Level (T1-T3)
	1	To what extent, and in what ways, has the management approach agreed with the Delivery Partner been appropriate and effective for MAGC?	X				X		T0	
Phase 1a - Process Evaluation	2	To what extent are the results mechanisms illustrated in the Theory of Change (ToC) of MAGC (Annex G) accurate?	X	X	X		X		T0	
	3	How effective are the choice of countries/projects in fulfilling MAGC's objectives and supporting the UK's International Climate Finance strategy?	X	X	X		X		T0	
Phase 1b - Early	4	To what extent has MAGC achieved early outcomes as		X			X			T2/T3

Outcome Evaluation		anticipated?								
	5	To what extent is impact/transformational change likely to be achieved?		X			X			T2/T3
Phase 2 – Final Outcome and Impact Evaluation	6	To what extent has MAGC achieved outcomes as anticipated?			X		X			T1/T3
	7	To what extent has impact/transformational change been achieved/is likely to be achieved?			X		X			T1/T3
Value for Money assessment	8	To what extent is MAGC investment providing Value for Money for HMG				X		X	T0	
GESI	9	What opportunities did arise/were missed during MAGC delivery on Gender Equality and Social Inclusion (GESI)? How could we address GESI in future programme design? - <i>Not part of Theory of Change</i>	X	X	X	X	X		T0	T3

An *example* list of sub-questions/indicators which may be relevant across the different programme components is provided below each question. The full list of questions and sub-questions, as well as a final decision on which sub-questions/indicators will be addressed across different country tiers will be refined by the Supplier - in consultation with DESNZ - in the Scoping phase, although we ask Bidders to set out their proposed approach in their submissions. DESNZ reserves the right to add or remove indicators for each research questions with the Supplier in the Scoping Phase.

Bidders should detail in their proposal if they have initial comments on these research questions and sub questions including the feasibility of addressing these within the available time and budget.

### 3.7. Phase 1a - Process Evaluation

**Question 1** focuses on process evaluation of how the MAGC programme has been managed. It is investigated at the *programme* level (Tier 0).

- **Question 1: To what extent, and in what ways, has the management approach agreed with the Delivery Partner been appropriate and effective for MAGC?** (Aspects to focus on: Investment and Advisory administration agreements achieving its purpose, MAGC's performance management process, delegation of funds, reporting, decision-making, governance structure, delivery, and management of aspects of the programme that are unique to ICF (EDGE and Research and Evidence Programme), Covid-19 pandemic, etc.).

**Questions 2 and 3** focus on the design of MAGC and its effect on the programme objectives. Sub-questions can be addressed partly in the process and partly in the outcome/impact evaluation. These questions will be investigated at the *programme* level (Tier 0).

- **Question 2: To what extent are the results mechanisms illustrated in the Theory of Change (ToC) of MAGC (Annex A) accurate?** (Aspects to focus on: indicators and results alignment to ToC, effectiveness of MAGC four-pillar approach and pillars interactions, additionality to the green buildings country-markets leveraging private finance, catalysation of additional investments for green buildings through demonstration effects, etc.)
- **Question 3: How effective are the choice of countries/projects in fulfilling MAGC's objectives and supporting the UK's International Climate Finance strategy?** (Aspects to focus on: breadth vs depth of the programme, country selection and prioritisation, country green buildings markets likely to transform, whether UK investment in green buildings understood and valued by in-country stakeholders (e.g. recipients, government, UK embassies), whether it has helped wider HMG diplomacy, trade-offs on pursuing the most transformational climate & social development capacity building projects vs projects with the most attractive market conditions & best return-on-investment, etc.)

### 3.8. Phase 1b - Early Outcome Evaluation

The research design uses the programme Theory of Change as its starting point and the evaluation questions specifically assess the validity of the proposed causal pathways.

**Questions 4 and 5** focus on analysing progress against the MAGC Theory of Change. The interim evaluation will focus on early outcomes. These questions are envisaged to be

investigated in countries with substantial delivery (Tier 2), including deep dives (Tier 3), considering the effect of Covid-19 and delay in DESNZ committing funds in some parts of the programme on the achievements to date of the programme. Given delivery of the MAGC Research component began later than the other three components, it will not be included in the interim evaluation.

- **Question 4: To what extent has MAGC achieved early outcomes as anticipated?**

**4a, Blended Finance and Advisory Services to FIs.** To what extent, and in what ways, has MAGC as well as non-MAGC finance for green buildings been mobilised at the rate expected? (e.g., enablers and barriers, appropriateness of level of MAGC concessional finance to maximise the impact whilst minimising subsidy, usefulness of the Advisory Services package for FIs, etc.)

**4b, Capacity building.** To what extent, and in what ways, has capacity building at the country level to support green constructions been successfully strengthened? (e.g., increase in green building stock, in which circumstances (e.g., types of buildings, tenure, geographies, other factors), etc.)

**4c, Green building Certification.** How well understood are certified green buildings by in-country stakeholders? How valued are they? (e.g., EDGE certification platform contribution to improvements in construction standards, countries with more/less penetration and why, etc.)

- **Question 5: To what extent is impact/transformational change likely to be achieved?**

(e.g., early evidence of transformational change, in which areas more effective and why, etc.)

### 3.9. Phase 2 – Final Outcome and Impact Evaluation

**Questions 6 and 7** focus on analysing progress against the MAGC Theory of Change. The final evaluation focusing on outcomes and impacts. These questions are envisaged to be investigated in all 24 MAGC countries (Tier 1), including deep dives (Tier 3).

- **Question 6: To what extent has MAGC achieved outcomes as anticipated?**

**6a, Blended Finance and Advisory Services to FIs.** To what extent, and in what ways, has MAGC as well as non-MAGC finance for green buildings been mobilised at the rate expected? (e.g., enablers and barriers, appropriateness of level of MAGC concessional finance to maximise the impact whilst minimising subsidy, usefulness of the Advisory Services package for FIs, etc.)

**6b, Capacity building.** To what extent, and in what ways, has capacity building at the country level to support green constructions been successfully strengthened? (e.g., increase in green building stock, in which circumstances (e.g., types of buildings, tenure, geographies, other factors), etc.)

**6c, Green building Certification.** How well understood are certified green buildings by in-country stakeholders? How valued are they? (e.g., EDGE certification platform contribution to improvements in construction standards, countries with more/less penetration and why, etc.)

**6d, Research.** How useful have the research outputs so far been, both in terms of findings and awareness from relevant stakeholders? (e.g., improvements in better understanding of certified green construction)

**6e, Process.** To what extent has the programme adapted in response to the Process evaluation findings? What have the implications been to reach anticipated outcomes?

- **Question 7: To what extent has impact/transformational change been achieved/is likely to be achieved?** (e.g., intermediate, or longer-term evidence of transformational change, in which areas more effective and why, etc.)

### 3.10. All Evaluations - Value for Money assessment

**Question 8** covers value-for-money (VfM). This question will be investigated at the programme level (Tier 0).

Following the 4E value-for-money framework (Economy, Efficiency, Effectiveness, and Equity), it will assess each of the four main MAGC programme components (Blended finance, Advisory services, EDGE, and Research) against the 4Es. Specific sub indicators will need to be looked at within each of the 4E categories, thus considering different aspects of economy, efficiency, effectiveness, and equity of the programme in relation to programme results.

- **Question 8: To what extent is MAGC investment providing Value for Money for HMG?**

**8a, Economy.** To what extent does the programme manage resources economically, buying inputs of the appropriate quality at the right price? (e.g., encashment schedule, in-house vs contracted staff for each component, due diligence procedures in place in managing spend and cost drivers, financial reporting, and oversight, etc.)

**8b, Efficiency.** To what extent does the programme produce the intended quality and quantity of deliverables (outputs), within the available resources? (e.g., technical efficiency – time and budget, Allocative efficiency – programme resource allocation, Dynamic efficiency - learning and adaptive management), Programme and Risk Management, etc.)

**8c, Effectiveness and Cost Effectiveness.** To what extent does the programme achieve its intended outcomes and impact, and this is deemed sufficient relative to the inputs invested? (e.g. Cost-Effectiveness – advisory-service leveraging business development, outcomes and associated costs meeting expectations, KPI 15 – Transformational Change, scale of emissions reductions vs resources allocated, technical cost per tonnes in MAGC investments to date in line with other concessional investments in ICF programmes, co-finance ratios (total, public, private), evidence of wider mobilisation and market take up in the Green Building sector aligned with the programmes ambitions - indirect Finance mobilised, FIs engaged in Green Building investments, IFC or FI investments not supported through MAGC, etc.)

**8d, Equity – (learning question for future programmes – not part of the evaluation. See also Q9 below).** Considering that the Theory of Change of MAGC does not include Equity considerations, in which instances did the Delivery Partner achieve or not additional benefits for women, low income or disadvantaged groups through the MAGC Programme? (e.g., percentage of increased capacity of relevant groups through capacity

building and research programme, distribution of investments by country income level, contributions to Sustainable Development Goals (SDGs), etc.)

### 3.11. All Evaluations - GESI:

**Question 9** covers Gender Equality and Social Inclusion (GESI). This is a *learning* question, not an evaluation one, and will be investigated at the programme level (Tier 0) and in MAGC deep-dives countries (Tier 3).

ICF is committed to continue to scale up climate solutions that put equality of opportunity and human rights into action. Although GESI does not form part of the MAGC's theory of change or the original programme objectives, we want to use the evaluation to learn where opportunities arose to address GESI in MAGC delivery, and were the programme missed opportunities. The aim of this question is *not* to evaluate the Delivery Partner on this but to learn and inform the future design of other ICF programmes<sup>3</sup>. Although these questions are overlapping with the Equity section of the VfM questions above, they are listed also separately as they are relevant for all the evaluations requested (not only for the VfM evaluation).

- **Question 9: What opportunities did arise or were missed during MAGC delivery on Gender Equality and Social Inclusion (GESI)? How could we address GESI in future programmes design?**  
(e.g., GESI opportunities in MAGC, lessons learned in MAGC for implementation in similar programmes, how/if measures apply in different country contexts, etc.)

## 4. Scope of Evaluation

### 4.1. Methodology and Approach

We expect bidders to propose a fully developed evaluation approach, and methodology and approach for data collection and data analysis to answer the proposed questions. We anticipate the methodology may include the elements proposed below. We welcome bidders' alternative suggestions if the validity of these can be evidenced. However, each bidder must only submit one final methodology, and must not submit a number of options. All bids must fit within the indicated budget, timeline, and output criteria, regardless of methodology.

### 4.2. Suggested Approach

To ensure a full assessment of process, impact, and value-for-money, we expect the Bidder to propose and develop an evaluation approach which is suitable for assessing the impacts, among other things, of technical assistance and blended finance programmes, such as MAGC. DESNZ anticipates that a theory-based evaluation (instead of an experimental or quasi-experimental approach) may be most appropriate for assessing MAGC outcomes and impact, as understanding why and how the observed results were achieved is key to addressing DESNZ identified evidence gap. A theory-based evaluation allows for a mixture of quantitative and qualitative methods and aims to assess the *contribution* of the programme to its intended outcomes and impacts<sup>4</sup>. Bidders should set out their recommended evaluation approach weighing up the pros and cons of alternative approaches, including the range of potential theory-based approaches. This should draw on the Bidder's knowledge and

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<sup>3</sup> Although IFC has not been monitoring these data, they are willing to share GESI-related data, when available, to enrich the narrative and the assessment and inform future programme structuring.

<sup>4</sup> HM Treasury (2020) Magenta Book: Central Government Guidance on Evaluation. URL: [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/879438/HMT\\_Magenta\\_Book.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/879438/HMT_Magenta_Book.pdf). Accessed September 2022.

experience and should be sensitive to the particular challenges of evaluating technical assistance and blended finance for climate mitigation as well as green buildings finance.

#### **4.3. Stakeholders**

We envisage the following non-exhaustive list of stakeholders should be considered when conducting interviews:

- IFC - the delivery partner (private sector facing arm of the World Bank), including the operational teams (Blended Finance, FIG, Country Level/EDGE AS and research lead) and IFC country offices where relevant.
- Financial Intermediaries (FIs) in MAGC countries.
- Construction and Housing Developers, EDGE certification partners (and other sector-relevant organisations where relevant) in MAGC countries.
- UK Embassies and - where relevant - public policy makers, industry associations, universities, and other relevant stakeholders in MAGC countries.

We anticipate that some stakeholders, such as FIs, can be difficult to engage. Bidders should propose an effective approach to ensure key stakeholders participate in the evaluation and how they will mitigate against this delivery risk in terms of potential data gaps in the event of poor responses.

#### **4.4. Data collection methods**

We envisage the following non-exhaustive list of data collection methods may be required:

- Desk-based review of programme documents, reporting and existing literature.
- (Online) stakeholder interviews with delivery partners, stakeholders, beneficiaries.
- (Online) surveys with delivery partners, stakeholders, beneficiaries.
- Workshops with the programme team (DESNZ and the delivery partner IFC).
- Site visits of selected Green Buildings projects that have received MAGC investment.

Given that some of these methods may rely on site visits and on in-person interaction, it is expected that (travel restrictions permitting) some travel will be required to complete the activities presented in the scope of work. As the Department leading on Net Zero, DESNZ is also keen to ensure that all travel under this contract is essential and that, where possible and practical, the most economical and lowest emitting forms of travel are used. Hybrid models of working that can demonstrate an appropriate balance of travel and other methods to achieve the project's goals are welcomed. Please refer to the Travel and Expenses section of the ITT and relevant attachments for details of allowable travel expenses and the requirements for claiming these.

#### **4.5. Proposal Requirements**

Bidders should set out the evaluation strategy they will take to ensure a full assessment of process, outcome/impact, value-for-money and GESI of MAGC, highlighting what specific methodology they think will work best, why, and any pros and cons to different approaches.

There is an expectation that, in their bids, tenders will explain their approach to triangulating and synthesizing multiple strands of evidence, how they will make sense of contradictory evidence. This is particularly important for this evaluation with lots of strands, different data collection activities and timeframes, and different geographies.

Bidders should also set out in their tenders how they intend to collect, where possible, and analyse data on GESI. As mentioned above, GESI is not part of the MAGC Theory of Change/log frame/ results framework and any results may be unintended, and we therefore anticipate that it will be challenging to collect data/data may be incomplete. When available, IFC has committed to share related data to enrich the GESI narrative and inform future programme design. GESI will be investigated for learning purposes looking at it, where



possible, both at the programme and deep-dives level. We would like bidders to propose an effective approach to this and explain how it will add value, including how lessons for similar programmes could be taken forward, and how GESI measures might apply in different country context.

We anticipate a range of outputs will be required in the evaluation; the Evaluator should produce summary reports for each phase of the evaluation. We welcome bidders' additional suggestions if the validity of these can be evidenced.

#### 4.6. Activities

Please see **Table 7** for an indicative timeline.

#### 4.7. Scoping Phase

A scoping phase will be necessary to prepare detailed plans in collaboration with DESNZ and the Delivery Partner as well as refining proposals made during the bidding process, including mapping of stakeholders and existing data and evidence. We are open to suggestions around the best approach to this, although we envisage the following activities should be undertaken.

##### 1. Produce a Scoping Report<sup>5</sup>

- a. **Review of core documents** and ensure they are referred to as needed throughout the evaluation, including: MAGC business case; administrative arrangements; annual reviews; HMG's International Climate Finance Strategy.
- b. **Undertake a short rapid evidence review** to see what existing data there is, what data is already captured in the log frame, and what data will be available from the delivery partner.
- c. **Review M&E indicators:** review the MAGC theory of change, log frame, results framework and disaggregated data of the results framework that have been developed up to now and work with the programme delivery partner to understand the details or queries. These documents are our best understanding at present on how MAGC works. The Supplier will be able to provide recommendations for improvements or changes to these in the Interim evaluation. Working sessions with IFC and DESNZ might be a useful way to work through the potential revision of these documents in the Interim evaluation to ensure buy-in from all parties.
- d. **KPI Approach and Methodology review:** The programme has a monitoring framework (log frame – including baseline for indicators) managed by IFC and reports against portfolio KPIs 6, 11 and 12<sup>6</sup>. Separately, DESNZ has developed a draft KPI 15 methodology to assess likelihood of transformational change (using a scale from 0 to 4). The evaluation should work with, and feed into, IFC monitoring activities, assessing the success of the KPI indicators, and adding value to the results already collected by IFC. During the scoping phase, the supplier will review the draft ICF KPI 15 methodology and the specific indicators that have been developed for it. This may involve a workshop with DESNZ programme leads, analytical staff, the delivery partner, and other relevant stakeholders. The Supplier will be able to provide recommendations for improvements or changes to the KPI15 methodology in the Interim evaluation.
- e. **Prepare a detailed workplan** for delivering the evaluation work, which will

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<sup>5</sup> Given the duration of the Supplier contract, the scoping plan will likely need to be adapted as the programme progresses, particularly the workplan, risk register and the budget/financial forecast. The supplier should revisit the plan at the outset of each evaluation activity and refine this as required, according to programme developments.

<sup>6</sup> More info on Key Performance Indicators (KPIs) for ICF can be found here:

<https://www.gov.uk/government/publications/uk-climate-finance-results>. Accessed on October 2022

outline the final delivery approach and timelines for planned evaluation and learning activities up until 2026/27. This plan should include refined evaluation questions that have been tested for viability and country scope, research and learning activities, methods and outputs, timeline, a risk register, and propose the frequency of interaction with DESNZ at all stages of the contract.

- i. Update the **management plan** which will outline how the Supplier will ensure that programme activities are delivered to an acceptable quality and outline the ways of working with DESNZ and the Delivery Partner.
- ii. Update the **budget breakdown and financial forecast** for all planned MAGC evaluation activities over a four/five-year timeframe, broken down according to activity per quarter.
- iii. Update and refine the **gender, equality, and social inclusion (GESI) assessment approach**, outlining how gender and inclusion issues will be addressed in the evaluation, taking into consideration the limits of data which data IFC is able to provide to this purpose.

## 2. Coordinate work with the Delivery Partner and DESNZ

- a. **Coordination with the Delivery Partner:** Implement an agreed protocol to coordinate work with DESNZ and the Delivery Partner, with clear responsibilities and timelines. This will include setting out how the Delivery Partner will feed into evaluation work, including data sharing agreements and a reporting schedule. DESNZ will lead on establishing a 3-way MOU between all parties on the principles of working together and information sharing, with detailed implementation of the MOU led by the Supplier.
- b. **Ensure robust ethical standards:** Develop protocols (e.g., ethics forms) to ensure that all participants give informed consent to participate in research activities. Bidders should propose plans on how such standards will be maintained and checked throughout. These will be set up and refined in the scoping phase.

We suggest the Supplier should as a minimum organise a **workshop** with DESNZ and the Delivery Partner once a workplan has been drafted to ensure its feasibility and to agree and gain buy-in to the final planned approach.

## 4.8. Interim Evaluation

The **interim evaluation** will consist of three parts:

### 1. A Process Evaluation

This evaluation will aim to inform strategy and governance at the programme level as well as programme design (**Tier 0** of proposed country approach – see Specification of Requirements, Section 3). We are open to suggestions around the best approach to this, although we envisage this component evaluating:

- a. the appropriateness and effectiveness of the management approach agreed with the delivery partner.
- b. appropriateness and effectiveness of the team, reporting, governance structure within and across DESNZ and the Delivery Partner.
- c. how well unique aspects of the programmes (e.g., EDGE and Research) have been delivered and lessons learned.
- d. how the design of MAGC affects **the programmes objectives**
- e. how Gender Equality and Social Inclusion can be designed in future similar programmes.

Findings should be presented in an **evaluation report**, which includes a section summarizing recommended improvements based on evidence, and a **technical annex**. All raw data and materials should be provided to DESNZ. We suggest that a **learning workshop** should be organized with DESNZ and the Delivery partner to present the findings and decide how to best proceed for the rest of the programme delivery, but we are open to alternative suggestions.

## 2. An evaluation of MAGC early outcomes

This evaluation will aim at improving the ongoing delivery of results effectively and learn for future similar programmes, by evaluating progress. It will examine the extent to which programme early outcomes are being achieved and provide a light-touch assessment of the extent to which future achievement of outcomes, impacts and transformational change is likely and realistic. We want to understand to what extent, and through what activities, MAGC is contributing to the achievement of early outcomes. We are open to suggestions around the best approach to this, although we would like this to include at least the following two components:

- a. Assessment of progress in some selected participating countries, using relevant evidence to review achievement of programme outputs and interim outcomes. This may include interviews and surveys with FIs, Developers, and, where possible, public policy makers, industry associations and universities for each of the four MAGC components. The Delivery Partner will be able to provide some information/contact details for this. We envisage data to be collected at the **Tier 2** level of the proposed country approach (see Specification of Requirements, Section 3). Findings should be presented in a detailed **evaluation report**, which should recommend any improvement to programme delivery based on these findings, plus a **technical annex**. All raw data and materials should also be provided to DESNZ.
- b. In-depth analysis of progress in 'deep dive' countries (**Tier 3** of proposed country approach, see Specification of Requirements, Section 3). We are open to suggestions around the best approach to this, which may involve but not be limited to a greater quantity and range of qualitative interviews, or further political economy analysis or desk-based research. It may also involve site visits to a sample of the projects that have received investment. Findings should be reported as separate **interim country-specific reports**, including a **technical annex**. All raw data and materials should also be provided to DESNZ.

## 3. A value-for-money interim evaluation.

This evaluation will assess indicators of economy, efficiency, effectiveness, and equity of the programme in relation to programme results for each of the four main MAGC programme components (**Tier 0** of proposed country approach, see Specification of Requirements, Section 3).

Findings should be presented in a **VfM interim programme report**, plus a **technical annex**. All raw data should also be provided to DESNZ.

A shorter **synthesis report** will bring together key learnings from across the country deep dives as well as key findings from the programme level and lighter-level evaluation works across other MAGC countries.

#### 4.9. Interval period

There will necessarily be a quiet interval period between the interim and final evaluations (likely 18 – 24 months). During this period, we anticipate that the Supplier will need to keep in touch with DESNZ and the MAGC programme by:

- Attending Steering Group meetings once per year (half day per year)
- Engaging in a number of relevant events, minimum 3 over this period

We suggest **learning workshop(s)** should be organised with DESNZ and the Delivery partner to make sense of the findings, support understanding and embedding into the programme where feasible from the interim evaluation and decide how to best proceed for the rest of the programme delivery, but we are open to alternative suggestions.

Bidders should detail any other proposals for staying in touch during this period and the value of this to delivering the Evaluation. Bidders should also detail mitigation measures for knowledge retention and handover during the interval period phase.

#### 4.10. Re-Scoping phase.

Before undertaking the final evaluation, a short re-scoping phase will be required, working with DESNZ and the Evaluation Partner to update the Scoping Report, considering the results from the Interim evaluation as well as any adaptation required (e.g., change of priorities, delays in the programme delivery, etc.). We are open to suggestions around the best approach and timeline for this.

#### 4.11. Final Evaluation.

The **final** evaluation will build on the **interim** evaluation. We are open to suggestions around the best approach to this, although this should include at least the following two components:

##### 1. An evaluation of MAGC outcomes/impact

The final evaluation will systematically assess the MAGC contribution to its outcomes and impacts as set out in the Theory of Change, and evaluate to what extent, and through what activities, the programme has or is set to achieve transformational change in the countries it works in. It will also include a GESI assessment for learning purposes. The final evaluation report will be published and used to inform decisions about whether to extend the programme, or on the design of future ICF programmes. As per the interim evaluation, the final evaluation should include at least the following two components:

- a. Assessment of countries where MAGC activities have happened (Tier 1 of country approach, see X), using relevant evidence to review achievement of MAGC outcomes and its long-term desired impact.
- b. In-depth analysis of progress in the 'deep dive' countries (Tier 3 of country approach, see X) included in the interim evaluation. Although there will be room in the re-scoping phase to assess whether the choice of deep dive countries should be revisited.

Findings should be presented in a **detailed evaluation report**, including programme-specific recommendations that can be used to inform other ICF programmes and a **technical annex**, plus separate **country reports**. All raw data and materials should also be provided to DESNZ.

##### 2. Value for money assessment.

This evaluation will undertake a full value for money assessment at the MAGC programme level (**Tier 0**), using an established and robust framework, such as the 4E Value for Money framework, for each of the four main MAGC programme components. Findings should be presented in a **VfM programme report** and a **technical annex**. All raw data and materials should also be provided to DESNZ.

A shorter **synthesis report** will bring together key learnings from across the country deep dives as well as key findings from the programme level and lighter-level evaluation works across the other MAGC countries. We suggest a **presentation** should be organized with DESNZ and the Delivery partner to present the findings from the final evaluation, key-achievements and lessons-learned from all strands of the evaluation, but we are open to alternative suggestions.

#### **4.12. Learning and Dissemination**

Learning and dissemination is an important part of this contract. The Supplier will be responsible for disseminating learning and encourage implementation of suggested ways of improving (for MAGC and ICF programming more widely) based on its evaluation activity throughout the whole length of the contract. Dissemination of lessons learned across government and the wider community is also vital. This should be undertaken in coordination with the delivery partner, who is organising learning events to disseminate results of the research component of the programme. We are open to innovative suggestions around the best approach to this, although we would like this to include at least the following three components:

##### **1. Intra-programme team learning workshops**

As flagged in the interim evaluation phase, the Supplier will be expected to run learning workshops with DESNZ and the Delivery Partner on both process and early/final outcomes/vfm findings.

##### **2. Cross Government learning events**

Undertake at least three webinars or in-person events across the UK government (including FCDO, Defra and DESNZ) on specific learnings from the evaluation, spread across the duration of the contract.

##### **3. Disseminate findings externally**

Share findings from the MAGC interim and final evaluation, by proactively identifying (jointly with DESNZ) dissemination opportunities through universities, research organisations and think tanks and other relevant channels. This should include presenting the evaluation approach/findings in at least two relevant conferences or events.

Bidders should propose their Learning and Dissemination plans. These, alongside relevant stakeholders' identification, will be finalized with DESNZ during the Scoping phase.

#### **4.13. Closure Phase**

In the final months of the Contract, the Supplier will need to undertake all work required for the programme's closure and a smooth completion of all activities. This must comply with the Terms and Conditions of contract and will involve the following tasks:

1. Completing all deliverables and sharing all raw data with DESNZ
2. Finalising all reporting requirements.
3. Transferring any MAGC evaluation materials which DESNZ would need access to or ownership of if it were to re-tender the workstream, e.g., learning materials, reports, etc.

## 5. Timeline and Deliverables

A high-level summary of the Evaluation Partner's deliverables, and deadlines are set out in **Table 7 below**.

At a minimum, the Supplier will need to meet the deadlines as per the table below. Bidders should provide in their proposal an indicative delivery timeline, including tasks under each stage of delivery, to meet these timepoints. The final timeline will be agreed with the Supplier in the scoping phase, and via ongoing assessment of overall programme progress against the Supplier's workplan.

At a minimum, the Supplier will need to deliver the following outputs as per the table below. Whilst the provision of reports is a mandatory requirement to enable DESNZ to fulfil its obligations as the donor for MAGC, within these outputs, bidders are encouraged to include innovative approaches to bring the findings to life (e.g., voxpop interviews, site-visit videos, dashboards, or other digital tools) and provide outputs that will support engagement with the delivery partner and the uptake of lessons and findings. If other outputs are suggested and accepted as part of the methodology of the Supplier, these will be added to this list for the contract. Bidders should outline in their proposal how they would present these outputs and how their suggestions will add value to DESNZ and the MAGC programme. The final list of deliverables will be finalised in the contract and may be varied slightly in the scoping phase with the agreement of both DESNZ and the Supplier.

As DESNZ aims to share learning for future programmes, all final reports will be published after being edited for commercial or political sensitivities. Presentations or, for example, the minutes of workshops will not be published. It is expected that the Supplier should agree with DESNZ an outline of a deliverable's content prior to it being developed in full. The Supplier is encouraged to share draft versions of the deliverables identified well before agreed deadlines, to ensure that they are of an acceptable quality and can be finalised in a timely manner.

Table 7: Learning and Evaluation Partner's Deliverables Timetable

Timepoint		Evaluation Output
April 2023	<b>Contract awarded</b>	
	<b>Scoping Phase</b>	
		<ul style="list-style-type: none"> <li>• Scoping <b>Report</b></li> <li>• Presentation/Workshop with DESNZ and IFC suggested</li> </ul>
	<b>Phase 1a: Process Evaluation</b>	
October 2023		<ul style="list-style-type: none"> <li>• Process Evaluation <b>Report</b> (+ Technical Annex)</li> <li>• Transfer of raw MAGC data and material to DESNZ</li> <li>• Workshop with DESNZ and IFC after</li> </ul>

		Process Evaluation suggested
<b>Phase 1b: Early Outcome Evaluation and VfM Assessment</b>		
October 2023	Receive IFC annual MAGC data: annual report, results framework, and disaggregated data.	
July/August 2024		<ul style="list-style-type: none"> <li>Interim early outcome Evaluation <b>Report</b> (+ Technical Annex)</li> <li>(Up to Four) early country-specific <b>Reports</b> (+ Technical Annex)</li> <li>Interim VfM <b>Report</b> (+ Technical Annex)</li> <li>Transfer of MAGC raw data and material to DESNZ</li> <li>Synthesis <b>Report</b></li> <li>Workshop with DESNZ and IFC after Early Outcome Evaluation suggested</li> </ul>
<b>Re-scoping Phase</b>		
		Updated Scoping <b>Report</b> , workplan and working arrangements for the final evaluation
<b>Phase 2: Final evaluation</b>		
October 2026	Receive final IFC annual MAGC data: annual report, results framework, and disaggregated data.	
August 2027		<ul style="list-style-type: none"> <li>Final Outcome/Impact Evaluation <b>Report</b> (+ Technical Annex)</li> <li>(Up to Four) final country-specific <b>Reports</b> (+ Technical Annex)</li> <li>Final VfM <b>Report</b> (+ Technical Annex)</li> <li>Synthesis <b>Report</b></li> <li>Transfer of MAGC raw data and material to DESNZ</li> <li>Final evaluations and lessons-learned Presentation suggested.</li> </ul>
<b>Learning and Dissemination</b>		
		<ul style="list-style-type: none"> <li>Open to suggestions from bidder for deliverables in this activity throughout the whole length of the contract.</li> </ul>
<b>Closure Phase</b>		

		<ul style="list-style-type: none"> <li>• Open to suggestions from bidder for deliverables in this phase. Finalising all reporting requirements.</li> <li>• Transfer raw MAGC data and material to DESNZ</li> </ul>
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## 6. Governance

### 6.1. Governance Requirements

The Supplier will manage the evaluation workstream, while adhering to the requirements below. We welcome bidders' alternative suggestions, if the validity of these can be evidenced, and bidders should show in their proposals how they will ensure appropriate management and coordination of their work in their proposals.

The following governance requirements will apply to all phases:

- **Regular working-level delivery meetings** to update on progress and deliverables, including presentation of a reporting dashboard against KPIs. These will take place weekly during the scoping phase and the frequency will be reviewed for the evaluation phase.
- **Quarterly Evaluation Steering Group meetings** (please see below).

The Supplier will be expected to circulate minutes and actions from each of these meetings.

It is expected that the Supplier will adhere to the programme management plan (see Table 5) and the evaluation deadlines (see Table 7), both of which will be finalised with DESNZ in the scoping phase. Further, it is expected at the outset of each evaluation activity, the Supplier will review the delivery plan to ensure that it remains accurate and fit for purpose, and refine this as required, according to programme developments.

### 6.2. Governance Reporting Requirements

The following reporting requirements will be required in all phases:

- **Monthly working-level reporting dashboard.** The content will be agreed with DESNZ during the scoping phase but will include key risks, progress updates and forward look for each phase.
- **Quarterly financial and risk reporting** including breakdown of spend by workstream to accompany invoicing, projected spend for the next quarter and a copy of the evaluation risk register.

### 6.3. Working Arrangements

The successful Supplier will be expected to identify one named point of contact through whom all enquiries can be filtered. Both DESNZ and IFC will assign Project Managers for the evaluation, and these will be the central point of contacts in their respective organisations. Please also refer to the contract management section of this ITT.

### 6.4. Coordination with DESNZ

The **DESNZ programme team** for MAGC has overall responsibility for, and ownership of, the programme and will manage the contract and relationships with the Supplier. It will include programme experts and analysts with different technical expertise, depending on the task at hand and it will have sign-off responsibilities on:

- Decisions regarding final timeline for evaluation and reports/other delivery



- Learning and Evaluation strategy and plan
- Final reports
- Agree publication process for MAGC evaluation reports

We suggest the DESNZ team will also have sign-off responsibilities on:

- Draft reports for each phase of the evaluation
- Surveys, questionnaires, interview topic guides and sampling strategies
- Stakeholder lists and engagement plans

DESNZ programme team will commit to providing turnaround of comments within two weeks of receiving a document. Additional time may be required for EQUALS turnaround (please see below). Details on this will be agreed during the scoping phase. We also commit to holding no more than two rounds of comments on drafts received by the Supplier where those drafts are provided to a reasonably expected good standard. Documents that are substandard or substantially incomplete may require additional reviews and resulting revisions at the expense of the Supplier.

A Steering Group (see below) will be set up, and chaired by DESNZ, to inform key decisions. DESNZ will conduct internal peer review throughout the project and will engage external peer reviewers at key stages. All research tools and sampling methodologies will be agreed, as part of approval of the (re-) scoping report by the Steering Group, and, ultimately, by DESNZ.

A full proposal of roles involved in the evaluation can be found in Section 6.7.

DESNZ programme team will have the right to publication of its comments as an annex to the evaluation reports – including differences of opinion, with clear references to it in the introduction and summary.

#### **6.5. Coordination with the Delivery Partner (IFC)**

The successful Supplier will access the relevant MAGC documentation through coordination and an agreement with the Delivery Partner. The current agreement between DESNZ and the Delivery Partner ensures in broad terms that the Delivery Partner will engage with any future Evaluation Partner. The specifics of the ask from IFC will be linked to the final approach and methodology of the Supplier and should be agreed between the parties during the scoping phase.

IFC has provided two rounds of comments to a draft of this specification and are in agreement with the objectives and overview provided. We expect IFC will be on the Steering Group and given opportunity to provide comments, not clearance, on both the draft and final reports at each phase of the evaluation as well as other key documents as required.

During the Scoping phase, IFC will provide MAGC monitoring data to the Evaluation partner and will be able to provide contact details for up to 5/10 stakeholders for each MAGC programme component.

#### **6.6. Evaluation Steering Group**

An Evaluation Steering Group will be set up to provide an oversight and advisory role for the evaluation. Whereas the DESNZ Project Manager for MAGC will undertake the day-to-day management of the evaluation and hold the delivery contract with the Supplier, and the DESNZ programme team for MAGC will have sign-off responsibilities, the Steering Group will

provide input on all deliverables and regarding the application and appropriateness of evaluation methodology within the context of the programme. Members of the Steering Group will be DESNZ and IFC representatives responsible for supervising different aspects of the programme.

It is expected that the Supplier provide senior representation to meet with the MAGC Steering Group four times per year, when evaluation work is happening. Meetings with the Steering Group may be less frequent during the gap between the interim and final evaluation phases, at a minimum this will be once per year. This will be agreed with the Supplier during the scoping phase.

The Steering Group will advise on several things, including but not limited to:

- Defining the research sub-questions in the scoping phase and own the suggestions of countries for deep dives. DESNZ will have final say over IFC in the event of a disagreement.
- Commenting on, checking and challenging, the scoping, interim and final evaluation reports, including drafts. DESNZ will have final say in the event of a disagreement.
- Participate in workshops discussing programme improvements recommendations/ implications of findings.
- Participate in 'lessons learnt' presentations.

The Steering group will gather ad hoc feedback from other internal experts and, where appropriate, external experts. In reviewing draft and final evaluation reports, the Steering Group may choose to draw on:

- The expert advice of the UK's external Evaluation Quality Assurance and Learning Service (EQUALS)<sup>7</sup>, which includes external experts such as academics, to help ensure that products conform to Development Assistance Committee (DAC)-agreed international evaluation principles, quality standards and best practice (including independence).
- Expert advice from wider DESNZ colleagues, to ensure the relevance of the questions for the evaluation aims, the appropriateness of the detailed methodological approach defined in the scoping phase, the rigor of the analysis, validity of conclusions.

#### **6.7. Process for the Evaluation and Roles at Each Point**

This table is indicative of the suggested participants and roles at each phase of the evaluation. We welcome bidders' alternative suggestions if the validity of these can be evidenced.

Table 8: Evaluation Roles

<b>Activity</b>	<b>Participants and Role</b>
Scoping workshop	<b>Steering Group</b> and Supplier

<sup>7</sup> EQUALS (Evaluation Quality Assurance and Learning Service) is a programme managed by the Evaluation Unit, which provides independent quality assurance on evaluation products. More info: <https://www.gov.uk/government/publications/fcdo-evaluation-policy/fcdo-evaluation-policy#fn:11>  
Accessed September 2022

Scoping Report (to clarify approach, methods, objectives following scoping meeting)	<b>Steering Group</b> and DESNZ internal sign-off Send it to <b>EQUALS</b> for external QA DESNZ higher level internal sign-off
Interim Evaluation Reports (and drafts)	<b>Steering Group</b> and DESNZ internal sign-off Send it to <b>EQUALS</b> for external QA DESNZ higher level internal sign-off
Interim Evaluation workshops	<b>Steering Group</b> and Supplier
Re-scoping meeting	<b>Steering Group</b> and Supplier
Re-Scoping Report (to clarify approach, methods, objectives following re-scoping meeting)	<b>Steering Group</b> and DESNZ internal sign-off Send it to <b>EQUALS</b> for external QA DESNZ higher level internal sign-off
Final Evaluation Reports for publication (and drafts)	<b>Steering Group</b> and DESNZ internal sign-off Send it to <b>EQUALS</b> for external QA DESNZ higher level internal sign-off
Final evaluation presentation	<b>Steering Group</b> and Supplier

## 7. Team Structure, Skills, and Expertise Requirements

To deliver the Contract successfully, the Supplier will need to demonstrate that they have the right team structure, skills, and expertise to deliver the methodology proposed. Guidance on each of these categories is given below.

### 7.1. Team Structure

#### Essential

- A clear operating structure is provided which explains the roles, responsibilities, and reporting lines for each member of the evaluation partner team.
- Suitable contingency measures are in place should the project team change, giving DESNZ confidence that this risk would be managed without negatively affecting to programme delivery.
- An appropriate balance of junior and senior time on the project, ensuring enough strategic oversight but also that resources are used efficiently to successfully deliver all the objectives.

#### Desirable

- Named resources are provided to deliver tasks, and where individuals are not identified nor CVs provided a clear justification is provided, as well as a role description against which new joiners to the team will be assessed.
- The Supplier will use experts who are currently based in some of the countries in which MAGC operates – ideally those suggested for deep dive case studies - to ensure that the evaluation can fully understand the local context of the programme. If named experts are

not available at the time of bid the Supplier should state clearly how they will access local knowledge and context.

- If applicable, how a consortia team would work across organisational boundaries to ensure a seamless experience for DESNZ as the client and other key stakeholders in the evaluation.

## 7.2. Skills

The essential skills required by the project team are cut across four broad areas: ODA evaluation expertise; private/public sector finance expertise; green buildings expertise; and gender, equality & social inclusion (GESI) expertise. Within these areas there are specific skills that the project team will need to demonstrate at some level, with a desirable in-depth knowledge on some/all the areas below to support the methodology proposed.

- **Theory-based evaluation.** We suggest a theory-based evaluation is used. Although we are open to alternative suggestions if these can be evidenced, these suggestions need to come from a perspective of understanding and expertise of theory-based evaluation. Bidders will need to demonstrate key skills around this.
- **ODA Evaluation expertise.** Ideally this would be in evaluation of International Climate Finance programmes (IFC), with bidders able to demonstrate key skills around: effective scoping and framing of evaluation; delivery of bespoke/innovative methodologies; adding value through learning activity; relationship management with multilateral agencies and in-country stakeholders; clear and concise reporting on complex programmes.
- **Private/Public sector finance expertise.** MAGC is intrinsically a green finance programme, using concessional finance to deliver its objectives in the green buildings sector. Bidders will need to demonstrate a solid understanding of private and public sector finance to help evaluate: the effectiveness of different financial instruments (e.g., performance-based incentives, concessional loans); where – and how - public sector finance has successfully accelerated the market; the role of different stakeholders in investments, and their role in achieving MAGC's desired outcomes; the effectiveness of technical advisory services provided to financial institutions.
- **Green Buildings sector expertise.** To effectively assess the impact of MAGC, bidders will need to really understand the green buildings sector. In particular, bidders will need to demonstrate: understanding of the policy and market barriers to green buildings (and associated results in energy efficiency/renewable generation/water consumption); ability to review market maturity assessments and assess whether MAGC has successfully influenced target markets; awareness of definitions of green buildings and how standards can vary in each country; understanding of the role of certification in increasing green building stock globally, and how EDGE certification fits within this.
- **Gender, Equality and Social Inclusion expertise.** The team will need to be able to review the programme through a GESI lens, whilst recognising that this is not part of the agreed aims/theory of change/log frame for the programme, and there might not be significant data to analyse. The skills needed will include the ability to: review MAGC investments for evidence of co-benefits for GESI and climate mitigation; consider the design and implementation of the programme to learn lessons for how similar programmes could include GESI in their design.

## 7.3. Team Experience

The delivery team will need to demonstrate it has the right experience. It would be particularly helpful to have:

- Evidence of – and lessons learned from - previous experience from similar evaluations undertaken.
- Experience of working with UK government departments and the ability to work collaboratively and flexibly with them to deliver agreed outputs.
- Experience of working internationally with a wide range of public, private and third sector stakeholders.
- Experience of working with and access to local knowledge in the MAGC eligible countries to support the evaluation in general. Higher marks will be rewarded to those with evidence of working in the Tier 3 countries (specified in Section 3.5).

## **8. Programme Management Requirements**

### **8.1. Evaluation Contract Financial Management**

To financially manage the evaluation contract, the following actions are requested:

- Draft and report against annual budgets, at agreed levels of detail, and conduct ongoing financial forecasting and reporting.
- Set up and apply robust fraud and error risk management systems that alert DESNZ to any fiduciary risk or potential misuse of ODA or public funds more generally.
- Provide quarterly financial, management and risk reporting across all programme activities for quarters where evaluation activity is taking place according to the agreed workplan.

### **8.2. Quality Assurance**

The Supplier is required to produce and implement a quality assurance plan, and quality assurance measures should be factored into workplan timelines

It is expected that the Supplier should share an outline of a deliverable's content or engagement tool prior to it being developed in full.

Please refer to the Governance section for more information on DESNZ Quality Assurance approach.

### **8.3. Transparency**

DESNZ has transformed its approach to transparency, reshaping its own working practices and pressuring others across the world to do the same. DESNZ requires suppliers (including the future Supplier for this contract) receiving and managing funds to release open data on how this money is spent, in a common, standard, re-usable format and to require this level of information from immediate sub-contractors, sub-agencies and partners. The results of the programme's Annual Reviews will be published as part of this transparency effort, in full or in part.

It is a contractual requirement for the Supplier to comply with this, and to ensure they have the appropriate tools to enable routine financial reporting, record keeping, publishing of accurate data, and providing evidence of this to DESNZ.

### **8.4. Gender, inclusion, and equality**

One key consideration in the design and delivery of this programme, as with all UK ODA programming, is the extent to which it complies with the Gender Equality Act (GEA) 2014. The GEA applies to all ODA programmes and makes consideration of gender equality a legal requirement. This means MAGC, and in particular the MAGC evaluation, needs to meaningfully consider the impact of an intervention on gender equality and demonstrate that

it has done so before intervention goes ahead. The process of compliance needs to be integrated within bidding proposals, programme design and supported activities/projects.

DESNZ requires compliance with the GEA as a minimum. The Supplier must ensure that the principles of the [UK's Public Sector Equality Duty](#), including but not limited to marginalised groups, are applied to all decisions regarding personnel throughout the delivery of this programme. See annex D for more information on GESI.

### **8.5. Risk appetite, fraud, and corruption**

DESNZ has zero tolerance to fraud and corruption (including potential conflicts of interest). DESNZ also has very stringent requirements regarding safeguarding of anyone who might be affected by MAGC or the MAGC Evaluation. For more information, please refer to DESNZ ICF Code of Conduct provided in Annex J.

### **8.6. Whistleblowing**

If during the evaluation you find any risk of wrongdoing by the MAGC programme or an associate of the programme, or any safeguarding complaints or incidents, these need to be reported to the DESNZ ICF PMO immediately. In the first instance please report to the DESNZ programme lead will pass it on to the safeguarding lead.

If it is inappropriate to raise concerns of misconduct or you do not feel comfortable reporting to the MAGC programme lead, you should report it to the DESNZ ODA Reporting Concerns inbox at [odasafeguardingconcerns@beis.gov.uk](mailto:odasafeguardingconcerns@beis.gov.uk).

Whistleblowing is taken very seriously; DESNZ treat every issue with the utmost importance and every issue will be investigated as a matter of urgency and will be kept confidential. Please email [odasafeguardingconcerns@beis.gov.uk](mailto:odasafeguardingconcerns@beis.gov.uk) for any whistleblowing concerns.

DESNZ will follow up safeguarding reports and concerns according to policy and procedure, all while respecting any legal and statutory obligations, including ensuring the relevant authorities have been informed within 24 hours. We will take the appropriate action based on the outcome of the investigation. We will work with the programme and delivery partners to ensure that the appropriate disciplinary actions are applied to those found in breach of policy.

### **8.7. Ethics and Safeguarding**

DESNZ expects the Supplier to adhere to the following Government Social Research (GSR) principles when conducting any research or related activities:

- Sound application and conduct of social research methods and appropriate dissemination and utilisation of findings
- Participation based on valid consent
- Enabling participation (making sure that barriers to the participation of marginalised groups are addressed in the design of the research)
- Avoidance of personal harm
- Non-disclosure of identity and personal information

Compliance with these principles is a mandatory requirement and any omissions or non-compliance will be considered a performance issue and in serious cases may be considered a breach of contract.

## **8.8. Data processing**

The Supplier will be compliant with the Data Protection Legislation, as defined in the Contract, and in existing agreements between DESNZ, IFC and its clients. A guide to the General Data Protection Regulation (GDPR) published by the Information Commissioner's Office can be found [here](#).

The only data processing that the Supplier is authorised to do is listed in the Contract Terms and Conditions. DESNZ and IFC will work with the Supplier during the scoping phase to refine and agree the GDPR table, and this will then be monitored during the lifetime of the contract.

## **8.9. Transfer of Knowledge to DESNZ, Business Continuity and Disaster Recovery Process**

The Supplier is required to set out how they will facilitate the effective transfer of knowledge to DESNZ during programme closure. This includes the use and provision of all data used for the services (subject to commercial confidentiality considerations) and the transfer of any MAGC evaluation documents (such as presentations, reports, and templates) for continued use by DESNZ in any manner it chooses. Transcripts of all correspondences should also be returned to DESNZ. This should also include provision for business continuity and or disaster recovery in the event of a known or unforeseeable event, for example COVID-19.

Any data produced by the Supplier will be either securely destroyed or transferred back to DESNZ at the end of the contract and stored by DESNZ. This is to be agreed following the commencement of services.

## **Social value**

### **9.1. Social value introduction**

In addition to the aims, objectives and outcomes above, all UK Government projects are required to contribute to wider social value as an additional benefit of the contract. Social value is a broad term used to describe the wider social, environmental and economic effects of an organisation's actions, and how they contribute to the long-term wellbeing of individuals, communities and societies.

Social value is not just a policy requirement. Social value directly supports the mission of DESNZ, DESNZ International Net Zero and the MAGC programme. As such we expect our MAGC Evaluation Supplier(s) to mainstream social value in delivery of their work. Although the whole of the specification of the MAGC programme could be considered as contributing to social value, this element is specifically focussed on how the evaluation contract is delivered by the Supplier and is not about the evaluation methodology per se. Commitments on the inclusivity and benefits of the methodology should be included in the wider technical proposal.

The eventual contract for the delivery of MAGC Evaluation will include KPIs relating to the delivery of social value commitments.

Government policy requires that evaluations of proposals during the procurement process commit at least 10% of the marks to social value considerations. How this will be evaluated for this contract is detailed in Table 4.

For the avoidance of doubt, social value is not a specific costed activity but is an added co-benefit of delivery and an approach to delivery that is expected of all DESNZ suppliers.

DESNZ is now taking a consistent department-wide approach to social value mapped against DESNZ's departmental priorities. DESNZ is interested in the following social value themes

from the social value model.

REDACTED



Table 9: DESNZ Priority Social Value themes and criteria

Theme	Outcome	Model Award Criteria	Evaluation Weighting	Sub-Award Criteria
Fighting Climate Change	Effective stewardship of the environment	MAC 4.1 Deliver additional environmental benefits in the performance of the contract including working towards net zero greenhouse gas emissions.	5%	<p>Activities that demonstrate and describe the tenderer's existing or planned:</p> <ul style="list-style-type: none"> <li>• Understanding of additional environmental benefits in the performance of the contract [and the way the contract is delivered], including working towards net zero greenhouse gas emissions.</li> <li>• Collaborative ways of working with the supply chain to deliver additional environmental benefits in the performance of the contract, including working towards net zero greenhouse gas emissions.</li> <li>• Delivery of additional environmental benefits through the performance of the contract, including working towards net zero greenhouse gas emissions.</li> </ul>
Tackling Economic Inequality	Increase supply chain resilience and capacity	<p>MAC3.1 Create a diverse supply chain to deliver the contract including new businesses and entrepreneurs, start-ups, SMEs, VCSEs and mutuals.</p> <p>MAC 3.3: Support the development of scalable and future-proofed new methods to modernise delivery and increase productivity.</p> <p>MAC 3.4: Demonstrate collaboration throughout the supply chain, and a fair and responsible approach to working with supply chain partners in delivery of the</p>	5%	<ul style="list-style-type: none"> <li>• Activities that demonstrate a collaborative way to work with a diverse range of businesses as part of the supply chain. Illustrative examples: co-design and co-creation of services; collaborative performance management; appropriate commercial arrangements; inclusive working methods; and use of inclusive technology.</li> <li>• Understanding of scalable and future-proofed new methods to drive greater modernisation of delivery and increase productivity.</li> <li>• Approach to organisational learning and continuous improvement.</li> <li>• Creation of a delivery environment that is conducive to the development of scalable and future-proofed new methods to modernise delivery and increase productivity.</li> <li>• Approach to accessing, supporting and developing local knowledge in the delivery of the contract.</li> <li>• Measures to ensure supply chain relationships relating to the contract will be collaborative, fair and responsible</li> </ul>

Theme	Outcome	Model Award Criteria	Evaluation Weighting	Sub-Award Criteria
		contract.		

### **Schedule 3 – Supplier Proposal**

As submitted by the Contractor on 26th January, the below annexes are loaded on the Authorities Jaggaer portal:

- Annex 1 MAGC L&E Partner Response to Question 1 - Delivery Plan and Methodology
- Annex 2 MAGC L&E Partner Response to Question 2 - Team structure, Experience, and Technical Expertise
- Annex 3 MAGC L&E Partner Response to Question 3 - Programme and Financial Management Skills
- Annex 4 MAGC L&E Partner Response to Question 3 - Workplan
- Annex 5 MAGC L&E Partner Response to Question 4 – Social Value

REDACTED

## Schedule 4 – Contract Price

### Contract Price

- 1.1. The maximum value of this contract is £973,450, which is made up of £873,450 delivery fees and £100,000 contingency exclusive of VAT and taxes. This includes all funds to cover the fees and expenses of the Contractor.
- 1.2. The budget is made up of the following elements. A further breakdown is provided in the tables below.
  - 1.2.1. Fixed costs for the Interim Evaluation Fee of REDACTED
  - 1.2.2. Fixed costs for Expenses in the Interim Evaluation of REDACTED
  - 1.2.3. Time and materials for the Interval Period to a maximum of REDACTED
  - 1.2.4. Fixed costs for the Final Evaluation Fee of REDACTED
  - 1.2.5. Fixed costs for Expenses in the Final Evaluation of REDACTED
- 1.3. Separate to the maximum budget the Authority will reserve a £100,000 contingency within the contract to cover the following:
  - 1.3.1. Unforeseen circumstances or scope pressures particularly in the final evaluation noting that the results of the interim may alter the scope or focus of the final evaluation.
  - 1.3.2. Potential inflationary pressures or cost increases between the interim and final evaluations for fees and/or expenses.
- 1.4. The use of the contingency and modification to costs and budgets will be agreed with the Contractor in the rescoping phase prior to the final evaluation. Increases in costs must be justifiable and approved by DESNZ and may not lead to an increase in the overall profit margin of the Supplier as provided at the time of bidding.
- 1.5. All budgeting, forecasting, reporting and billing from the Contractor to DESNZ will be in GBP only.
- 1.6. The overall maximum profit margin for this contract is 10%. The Contractor will report the actual profit margin to the Authority on an annual basis. This will be self-audited by the supplier, but the Authority reserves the right to request evidence if required.

### Payment schedule

- 1.7. Once a payment milestone is reached, a draft invoice will be submitted to the DESNZ contract officer for rapid review. Following approval, a final invoice should

be submitted for payment.

- 1.8. Invoices will be submitted accompanied by such supporting documentation as may be agreed with the DESNZ contract officer. This will include expenses breakdowns and supporting receipts.

Delivery Budget Breakdown

REDACTED

Payment Milestones and Forecast

REDACTED

Costed Workplan

REDACTED

REDACTED

**Schedule 5 – Correspondence**

**Not Used**

REDACTED

## Schedule 6 – Expenses Policy and Eligible Costs

### 1. Background to guidance

[Managing Public Money](#) (2022), HM Treasury guidance on the use of public funds, demonstrates the Government's clear stated policy that taxpayers' money is used as intended. In order to **increase transparency, clarity and consistency** in the spending of funds this eligible expenditure guidance forms part of this contract. In the event of any conflict between the contract or agreement terms and conditions and this document the contract or agreement will take precedence.

This guidance document provides details of both eligible expenditure and items of expenditure that are expressly ineligible and should be referred to when submitting the budget template supporting your proposal. The guidance will help organisations calculate the full cost of a particular project or service, including an appropriate share of all relevant support services and other overheads/indirect costs as appropriate.

The Authority reserves the right to make changes to this document from time to time in line with developments in Government policy.

### 2. Principles of eligibility

The contract amount is to be used solely for costs included in the budget for the delivery of the outputs and outcomes in the log frame or agreed results model framework. These costs must:

- Be actually incurred by the recipient
- Be incurred within the period set out
- Be indicated within the cost budget
- Be incurred in connection with and necessary for implementation
- Be identifiable, verifiable and recorded in the recipient's accounts in accordance with applicable accounting standards and with the beneficiary's usual cost accounting practices
- Be compliant with applicable national law on taxes, labour and any all other relevant national law
- Be reasonable, justifiable and compliant with the principles of sound financial management

**Expenditure cost categories containing specific eligible and ineligible definitions are defined within this guidance and the budget should be completed in line with the guidance.**

### 3. Foreign exchange

All costs within the budget must be in GBP. Suppliers operating in another currency must convert to GBP at the spot FX rate and the source and value of any exchange rates used should be referenced in the budget.

### 4. Ineligible costs (applicable to all budget categories)

The following expenditure items are explicitly ineligible across all expenditure cost categories unless permitting them is a specific requirement of the contract (this list is not



exhaustive and does not override activities which are deemed eligible and explicitly agreed as part of the contract):

- Lobbying UK government, i.e. activities which aim to influence or attempt to influence Parliament, UK government or political activity, or UK legislative or regulatory action
- Activities which directly enable one part of government to challenge another on topics unrelated to the agreed purpose of the contract
- To petition UK Government for additional funding
- Activities which may lead to civil unrest
- Activities which discriminate against any group on the basis of age, gender reassignment, disability, race, colour, ethnicity, sex and sexual orientation, pregnancy and maternity, religion or belief
- Interest payments or service charge payments for finance leases
- Gifts
- Statutory fines, criminal fines or penalties
- Payments for works or activities that are fully funded by other sources whether in cash or in kind, for example if premises are provided free of charge, DESNZ will not contribute to a notional rent
- Activities in breach of UK Legislation on Subsidy Control
- Bad debts to related parties<sup>8</sup>
- Payments for unfair dismissal or other compensation
- Replacement or refund of any funds lost to fraud, corruption, bribery, theft, terrorist financing or other misuse of funds
- The cost of any fines or charges applied by local Governments or by any local public authority
- Costs or benefits provided to any public official or third party if there is a high likelihood that the payment or benefit was for improper purposes (e.g. facilitation payments)
- Fundraising (with the exception of any agreed allocated costs not attributable to the project (indirect costs))
- Foreign exchange as a standalone budget line
- Contingency or risk premium
- Depreciation (with the exception of any agreed allocated indirect costs)
- Debt repayment
- Auditing or accounting costs associated with the production of Reasonable Assurance Reports for grant claims
- Costs associated with preparing bid or commercial proposal prior to a formal agreement being executed or in the preparation of proposals for the take up of contract extension options
- Costs incurred prior to a formal agreement being executed
- **Unless directly attributable to the programme**, advocacy and campaigning, marketing and communications, policy, retainer fees, capital expenditure, land, bank charges and insurance (unless, by exception, explicitly agreed in writing in advance).<sup>9</sup>

Additional exclusions relating to specific expenditure cost categories are detailed in this guidance and are mandated in addition to the above general ineligible costs. In case of any doubt, the delivery partner or supplier should consult DESNZ in advance.

## 5. Expenditure cost categories

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<sup>8</sup> "Related Party" has the same meaning as in international accounting standards.

<sup>9</sup> There are limited circumstances where it is appropriate to include insurance costs, for example to meet legal obligations or where doing so provides value for money (this is an extract from [Managing Public Money](#))

In an organisation there are two types of costs that are incurred as a result of running a project or service: Direct Programme Costs and Indirect Costs.

**Direct Programme Costs** are subdivided further into two types of Direct Costs:

**(a) Direct project costs:** These are all the costs that are clearly and directly *incurred because of the project*. Typically, they include the salaries of project staff, their travel and subsistence, project materials, and all other costs easily identifiable as part of the project.

**(b) Directly attributable project costs:** These are all the costs that are clearly and directly *attributable to the project*. Typically, they include country office resources specifically allocated to the project.

**Indirect costs** comprise those overhead costs that are not attributable to a project. These costs are incurred by an organisation in order to support the projects that it runs.

## 6. Direct programme costs

Direct programme costs are activities and costs directly incurred in the delivery and implementation of the programme and are directly linked to specific project outcomes and results. This generally includes frontline delivery costs and programme management and support costs.

### 6.1. Staff costs (including payroll taxes and benefits)

All individuals working under an employment contract, a direct contract (consultant), a sub-contractor or an individual seconded and assigned to the programme are eligible costs. Each salaried and non-salaried staff member should be assigned a role and the daily fee rate should be individually listed:

The daily fee rate is deemed to cover the cost of salary remuneration and benefits including superannuation (pension) and payroll taxes. If the cost is that of a sub-contractor, the daily fee rate will be the total invoiced cost chargeable to the project. A line item stating total staff costs will not be accepted.

DESNZ will only reimburse productive days' work.

You should include details in your budget where time is being donated to programmes at no charge (in-kind contributions).

### 6.2. Management fees

The costs incurred by the Lead Organisation of managing both the recruitment and project work of external consultants and delivery partner programme staff where these are significant – i.e. they result in specific additional direct programme costs that are in excess of normal organisational establishment cost levels are eligible costs.

### 6.3. Frontline programme delivery costs

Frontline delivery expenditure includes commodities for beneficiaries or participants, transport of commodities (excluding vehicles which are capital expenditure and driver salaries which are included under travel costs, but including freight and logistics), storage of commodities, training and associated costs for beneficiaries or participants, disbursements to beneficiaries or participants, and any other frontline delivery costs associated with the delivery of programme outputs. This excludes staff costs, travel accommodation and subsistence, and capital expenditure which should be detailed separately under expenses.

## 6.4. Capital expenditure items

Capital expenditure includes specialist equipment, office furniture and equipment, standard and off-road motor vehicles and any other project related equipment. Any aspect of capital expenditure included must be fully justified as contributing to the sustainable outcome of the project. The cost should be recorded in the year in which the purchase is planned; do not spread the cost of a new purchase over the lifetime of the project. **Depreciation is not an allowable expense.**

Ownership of any capital items bought using DESNZ funds is retained by DESNZ throughout the lifetime of the project. The future use of an item will be discussed and agreed on project completion.

There is a requirement for a programme asset register to be maintained for all assets purchased at a value of £500 or more.

## 6.5. Travel, subsistence and accommodation

Travel undertaken for delivering the programme (including that related to monitoring, evaluation and learning activities) are eligible costs. This includes air, rail, car hire and other travel costs, hotel and accommodation costs, subsistence, travel management fees, travel documentation costs (e.g. passport/visa costs), travel vaccinations. The budget should include as much information as possible about travel plans.

**DESNZ is committed to working towards Net Zero both domestically and internationally. As such all DESNZ suppliers should look to minimise travel as much as possible. Where travel cannot be avoided the greenest option should be chosen.**

### 6.5.1. Ineligible expenses

The following are ineligible expenses and may not be claimed. Exceptions must be agreed in writing with your DESNZ contract or agreement manager prior to any costs being incurred. DESNZ contract managers may also need to seek senior civil service and/or specialist approval for any exemptions. Any costs incurred without prior written approval are incurred at the supplier's own risk and expense and will not be reimbursed by DESNZ.

- Alcohol
- Tobacco
- Personal entertainment/recreation or travel
- Per diems (N.B. at cost accommodation and subsistence can still be paid for supported by receipts)
- Business and first-class travel or fully flexible tickets for flights or ground transportation
- Clothing
- Laundry
- Excess baggage
- Extra legroom
- Other travel facilitation costs e.g. charges to select a seat in advance of travel

### 6.5.2. Travel

Travel and living expenses will be paid at a rate consistent with the [HMRC's schedule of rates](#)<sup>10</sup>.

<sup>10</sup> <https://www.gov.uk/government/publications/scale-rate-expenses-payments-employee-travelling-outside-the-uk> -

All journeys by rail or air will be budgeted by a class of travel that is no more than **“standard economy”** unless higher travel classes are representative of improved value for money or are required to adhere to specific legislation, for example the Equality Act 2010. Your DESNZ representative will confirm if this is appropriate, and no travel should be booked in a class higher than “standard economy” **without express written permission**. First class travel will not be permitted under any circumstances. If a supplier books anything other than standard economy travel without prior written approval, these costs are incurred at their own risk and expense.

The most economical form of transportation must always be used. The use of taxis or car rental where safe, frequent and reliable public transport exists must be justified.

For car journeys less than or equal to 10,000 miles in a personal car, these will be reimbursed at 45p per mile.

### **6.5.3. Subsistence**

Alcohol and tobacco are not allowable subsistence items under any circumstances.

Where food, refreshments, transportation, accommodation or other expenses are required for the participants of a workshop, conference, seminar etc. (including staff of the supplier or project partners) all costs must be reasonable and follow these guidelines.

In the event that a supplier is not able to stick to these rates they must contact their DESNZ contract manager to discuss and provide a rationale for any exemption. Exemptions must be provided in writing by DESNZ in advance of any above-rate expenses being incurred. In the event that a supplier incurs above-rate expense without prior written approval, these costs are incurred at their own risk and expense.

As per the guidance in this document, expenses are to be claimed and paid for based on actual expenses incurred supported by receipts. DESNZ will not pay fixed per diems.

## **6.6. Passport and visa costs**

Staff travelling overseas must have a valid passport. In the event that staff do not have and have never owned a full Passport, the costs associated with issuing a new passport may be claimed from the Department. Written approval is required before entering into, or committing to, this process from your DESNZ Contract Manager who will require explicit advance approval from their Finance Business Partner.

**Costs for renewing or replacing expired passports are not reclaimable from the Department.**

In the event that staff are travelling to a country that requires a visa with an associated cost, claims for reimbursement may be made.

## **6.7. Claiming expenses**

To be reimbursed, expenses must be incurred during the period of the project and be linked to the approved budget lines and activities of the project. All expenses must be clearly detailed and evidenced, showing the actual cost incurred supported by receipts, tickets, hotel bills etc.

- Every expense claim should include sufficient information to justify each expense and should include what the expense is, the date it was incurred and the reason why. All travel claims must state the journey start and end location.

- Bank or credit/debit card statements alone are not acceptable evidence, though must also be provided if the receipt does not evidence payment.
- The currency in which the expense was incurred should always be detailed. If this is not GBP, evidence should be provided showing the exchange rate to GBP (ideally a bank statement showing the GBP cost debited or details of the exchange rate from [www.xe.com](http://www.xe.com) or [www.oanda.com](http://www.oanda.com)). There are several accepted approaches. So long as used consistently, reporting can use the exchange rate on the date each expense was paid; the date the invoice was submitted; or the monthly average. For advance payments, the rate used can be the date the money was paid from the bank.
- Per diem rates will not be reimbursed. However, actual expenditure (evidenced by receipts, invoices etc.) on accommodation, subsistence and travel can be reimbursed.
- Air miles or equivalent reward schemes should not be used to pay for the cost of flights as they will not be reimbursed.

## **7. Indirect costs**

Indirect costs are overhead costs that relate to the overall operations, management and identity of the supplier rather than to programme services. These costs are necessary for programmes to function although cannot be clearly linked to specific project outcomes and results (i.e. business expenses not including or related to direct labour, direct materials or third-party expenses that are charged directly to projects).

Typically, they include overall management and employee costs, administration and support, equipment, space and premises costs, and activities that relate to the whole organisation and partly support your project, but also support your other projects. These may include:

### **7.1. Premises and office costs**

This category relates to all costs associated with the organisation's premises and office including rent and imputed rent, mortgage costs, depreciation, management of facilities, building insurance, rates, maintenance and cleaning, groundworks and gardening, utilities, catering, vending services and residential accommodation.

### **7.2. Central function costs**

This category relates to all costs associated with the organisation's Board of Directors including basic salary, maternity and sick pay, other paid leave (sabbatical, vacation, home leave, and paid holidays) overtime, allowances, payroll taxes, pensions, travel and subsistence and telephone.

It also relates to all salary and on-costs associated with the organisation's central functions including but not limited to human resources, finance, information technology, secretarial, internal audit, policy and research and evidence departments, marketing, office management and any other central support functions, travel and subsistence, bank charges and recruitment costs.

### **7.3. Governance and strategic development costs**

This category relates to external expert and professional services expertise brought in when in-house skills are not available, including payments for services contracted to

provide strategic or governance direction, financial, management, procurement, legal, audit, human resources or technical advice. This includes any other internal governance and strategic development cost that is not a central function cost or premises and office cost.

#### **7.4. Share of indirect costs**

Since different projects make different demands on the organisation it is important to note that indirect costs are not necessarily proportional to the direct costs of a project. Indirect costs should be shared between on a fair and reasonable basis. This means:

- Each programme's share of the indirect cost is appropriate given the nature and extent of its activities (i.e. a programme does not receive a share of overheads that it does not incur).
- There is a rational basis for the method used to share indirect costs that can be justified and supported.
- The allocation of indirect to the programme is only an estimate. The allocation method must be fair and reasonable based on the information you have.

A straight percentage allocation to the budget is not based on an understanding of your organisation's overheads and is therefore unlikely to meet the principles detailed above.

If you intend to raise income for your programme from other sources, we expect those sources to cover their fair share of the programme's indirect costs. DESNZ will only fund its share of the programme's overheads. We would not expect to fund a greater share of indirect costs than the share of the programme direct costs we are funding.

#### **7.5. Accounting and budgeting for indirect costs**

We anticipate that, in the vast majority of cases, indirect costs will be included in the daily fee rates of staff and a further breakdown is not required at the time of bidding. If indirect costs are not included in daily rates and you need to list them separately, please speak to DESNZ.

#### **8. Payment basis and cost verification**

DESNZ and HMG operate on a policy of operational need. Payments are made in arrears according to DESNZ policy rules unless in exceptional circumstances and where otherwise expressly agreed in writing. We expect our partners to follow the same principles downstream with their subcontractors and partners.

An assessment of the eligibility of the costs included within your proposal will be conducted prior to the award of any contract or funding agreement.

## **Schedule 7 – Performance Management**

The MAGC L&E programme performance will primarily be measured and managed using Key Performance Indicators (KPI). The requirements of the relevant contract schedule will apply throughout service delivery.

Key Performance Indicators (KPIs) will be used to align the Contractors performance with the requirements of the Authority.

DESNZ reserves the right to amend the existing KPI's detailed below or add any new KPI's. Any changes to the KPI's will be agreed with the Contractor and, during delivery, be confirmed by way of a formal contract amendment.

KPIs will be monitored on an at least quarterly basis by DESNZ and will be reported on each quarter. The Authority will reserve the right to request reporting of KPIs on a more frequent basis if performance levels would suggest increased monitoring is required.

DESNZ reserves the right to publish contract KPIs and performance against these in line with departmental and cross-Government requirements.

Performance of each KPI will be recorded against a red, amber, green "score", as described below, with a red score constituting a Service Level Failure. These levels of performance are detailed in the table below, along with the frequency of reporting. As a minimum, the Contractor will be required to report against KPIs (where possible) in each quarterly invoicing period.

Where KPI's have not been met because of issues outside of the Contractor's direct control, the Authority may choose to disregard the KPI penalties and corrective measures in that instance.

### **Scoring methodology for KPI criteria:**

- **Green Score:** If a green score has been awarded to a KPI then no further action is required from the Contractor, with the exception of continuing activities to maintain this score for the next reporting period.
- **Amber Score:** If an amber score is awarded, the Contractor should examine and implement measures to prevent this KPI being scored an amber in subsequent reporting periods. The Authority will not expect formal improvement measures at that stage. If a single KPI is awarded amber in two consecutive invoice periods, or twice in four consecutive invoicing periods then the Contractor should create and implement a Remediation Plan at their own cost. This should detail how they will change their practices to prevent another amber score being awarded for this KPI. The timeline for producing this Remediation Plan should be agreed between the Authority and the Contractor and should only be implemented following approval by the Authority. The Authority reserves the right to terminate the Contract if a satisfactory Remediation Plan cannot be agreed.

**Red Score:** If a red score is awarded, this is considered a Service Level Failure. The Contractor should create and implement a Remediation Plan at their own cost. This Remediation Plan should detail how they will change practices to prevent another red score

being awarded for this KPI. As above, the Authority must agree to the timelines and contents of the Remediation Plan prior to implementation and reserves the right to terminate the Contract if a satisfactory plan cannot be agreed. If, following implementation of a Remediation Plan, the Contractor scores a red in the same KPI in any subsequent period throughout the duration of the Contract, the Authority reserves the right to terminate the Contract. The Authority also reserves the right to terminate the Contract if a KPI red score has been awarded without requesting a Remediation Plan if it is of the opinion of the Authority that a Material Default has occurred. The Authority reserves the right to suspend, or partially terminate the Contract, while a Remediation Plan is being developed and agreed, where there is justification to do so.

REDACTED



Key performance indicators applicable to this contract

Service Level Performance Criterion (KPI Category)	Ref. No.	Key Performance Indicator	Service Level Performance Measure	Service Level Threshold				Frequency
				Target	Target: Green	Target: Amber	Target: Red	
Inclusive methodology	IM1	Diverse and collaborative evaluation participants	Number of different residents of EDGE-certified or MAGC-funded buildings from diverse backgrounds included in evaluation	Minimum of 10 different residents of EDGE-certified or MAGC-funded buildings included in evaluation, provided that there are sufficient residents in MAGC-funded buildings to allow the contractor to recruit sufficient participants.	≥10	5-9	<5	At interim (EDGE certified) and final (MAGC-funded) evaluation
Social Value	SV1	Social Value Plan Agreed with Subcontractors	Ipsos to create a social value plan which details agreed roles for them as the contractor and each subcontractor. Subcontractors to meet annually to check progress and progress reported to DESNZ.	Plan, with timelines, targets and progress against targets which is shared with DESNZ with a covering letter referring the meeting and discussion, with all subcontractors in copy.	Report shared on time and progress on track	5 working days after agreed deadline	>5 working days after agreed deadline	Plan agreed 6 weeks from contract signature, then each December thereafter (2023, 2024, 2025, 2026)
Social Value	SV2	Carbon calculation	Ipsos to generate, with inputs from subcontractors, a baseline calculation of how much carbon could potentially be emitted through the activities of the contract, and regularly (every 6 months) report to DESNZ against the calculations to understand how much carbon the project is emitting	Plan, with timelines and targets which is shared with DESNZ with a covering letter referring the meeting and discussion, with all subcontractors in copy. Emissions and waste (in MTCDE and metric tonnes	Report shared on time and progress on track	5 working days after agreed deadline	>5 working days after agreed deadline	Plan agreed 6 weeks from contract signature, then every six months thereafter to contract end.

<b>Social Value</b>	<b>SV3</b>	<b>Production of thought Pieces</b>	Ipsos to produce 4 or 5 thought pieces on findings from this research or relating to the subject matter of green construction to be shared within DESNZ or published (with DESNZ' permission) more widely through; and promote through different channels formally published reports from the evaluation	Realistically achievable road-mapped dissemination plan in place (with topics agreed with DESNZ and target outlets mapped).  Products / outputs produced, with the reach and the impact (e.g. feedback) on the outputs shared with DESNZ.	On time	5 working days after agreed deadline	>5 working days after agreed deadline	Full project dissemination plan 6 weeks post contract signature Thought pieces to be produced to coincide with key dates (Earth Day etc). annually, with reach and impact shared a month thereafter. Check-in on progress every 6 months.
<b>Social Value</b>	<b>SV4</b>	<b>Fundraising or Environmental Volunteering Events</b>	Ipsos to conduct fundraising events and/or environmental volunteering events (with at least one involving subcontractors if appropriate). Producing a short report with pictures post event detailing number of people-hours spent, tangible outcomes (e.g. no. trees, vol. litter collected etc.).	6 events by August 2027.  Short report sent to DESNZ within a month after each event.	On time	5 working days after agreed deadline	>5 working days after agreed deadline	Plan of events and timeline shared with DESNZ 6 weeks post contract signature, with review of plan each year.  Target: 120 hours (4 people, 5-hour days, 6 times by the end of the contract).

<b>Social Value</b>	<b>SV5</b>	<b>Developing Skills of Staff</b>	Ipsos to develop the skills of their graduate staff working on this contract, collecting feedback from the graduates and their line managers annually.	A short report detailing how at least two junior staff members skill sets have developed working on the project.	Report shared on time and progress has been clearly demonstrated	5 working days after agreed deadline	>5 working days after agreed deadline	By December 2023, then annually thereafter until contract end.
<b>Social Value</b>	<b>SV6</b>	<b>Knowledge Sharing</b>	Knowledge sharing sessions between Ipsos and the project partners, organised by Ipsos and sharing the material with DESNZ.	Minimum of 4 events by August 2027 and material shared with DESNZ within a month after each event.	On time	5 working days after agreed deadline	>5 working days after agreed deadline	Plan of events and timeline shared with DESNZ 6 weeks post contract signature.  4 events by August 2027
<b>Social Value</b>	<b>SV7</b>	<b>Careers Support</b>	Ipsos to provide careers support to school leavers and disadvantaged young people to encourage the next generation to work within International Net Zero. This will include identifying an Ipsos buddy who will maintain contact after the events	6 work experience opportunities provided by the team delivering the contract.  3 environmental careers guidance events by 2027	On time	1 month after agreed deadline	>1 month after agreed deadline	Plan of careers support and timeline shared with DESNZ 6 weeks post contract signature.  All work experience and careers events to be completed by August 2027.
<b>Social Value</b>	<b>SV8</b>	<b>College or University Event</b>	Ipsos to hold an event with a college or university on green construction	Hold two events throughout the life of the contract, engaging with students about green construction and	On time	5 working days after agreed deadline	>5 working days after agreed deadline	Plan of college or university events shared with DESNZ 6 weeks post contract signature.  2 events by August 2027

				sharing the material with DESNZ.				
Finance	F1	Forecasting accuracy	% variance between actual invoiced amounts and forecasted amounts.	Invoiced amount within 10% of forecast	<10%	>10% - <15%	>15%	Quarterly
Finance	F2	Accurate and timely invoicing	Accurate and compliant invoices and quarterly financial reports submitted on time	Financial reports/invoices submitted on time	Within 10 working days of the end of the reporting period	Within 15 working days of the end of the reporting period	Within >15 working days of the end of the reporting period	After outputs signed off
Finance	F3	Prompt supply chain payment	Payments to supply chain delivering this contract within 30 days from receipt of invoice	Report presenting when all the suppliers in the supply chain are due to payment vs when payment has been made.	On time	5 working days late	>5 working days late	Quarterly
Reporting	R1	Reporting - provided in a timely, accurate and concise manner	Quarterly narrative/risk/performance management reports submitted on time as agreed with DESNZ	Reports submitted on time with respect to agreed deadlines	On time	5 working days after agreed deadline	>5 working days after agreed deadline	Quarterly
Reporting	R2	Data to inform Annual MEL report	Comprehensive and high-quality programme data, as judged by DESNZ, is submitted on time, as agreed with DESNZ to inform the annual MEL report	Reports submitted on time with respect to agreed deadlines	On time	5 working days after agreed deadline	>5 working days after agreed deadline	In years of interim and final evaluation only (i.e., not every year)

<b>Learning and Dissemination</b>	<b>LD1</b>	<b>Learning and Dissemination Events</b>	<p>Ipsos to conduct learning and dissemination events at relevant points in evaluation timeline, as agreed with DESNZ.</p> <p>Producing a short report with pictures post event detailing number of people-hours spent, tangible outcomes.</p>	<p>6 events by August 2027 spread evenly across evaluation timeline</p> <p>Short report sent to DESNZ within a month after each event.</p>	On time	5 working days after agreed deadline	>5 working days after agreed deadline	Plan of events and timeline shared with DESNZ by August 2023
<b>Learning and Dissemination</b>	<b>LD2</b>	<b>Relevant programme outputs disseminated effectively</b>	% of delegates at dissemination events who feedback positively on the event. )	% of beneficiaries who respond positively	>80%	60-80%	<60% feedback positive	After interim and final evaluation outputs
<b>Delivery</b>	<b>D1</b>	<b>Mandatory outputs successfully on track</b>	Outputs are on track to be completed on time against the agreed delivery plan and on budget	outputs delivered on time/on budget unless agreed in advance otherwise	On time	5 working days after agreed deadline	>5 working days after agreed deadline	Quarterly
<b>Delivery</b>	<b>D2</b>	<b>Mandatory outputs delivered to an acceptable quality</b>	Outputs are on track to be completed on time and to the required quality	outputs are accepted with a maximum of two rounds of comments and does not require further revision	Up to two rounds of comments	2 to 4 rounds of comments	4+ rounds of comments	Quarterly
<b>Delivery</b>	<b>D3</b>	<b>Value-added outputs successfully on track</b>	Value-added outputs, suggested by Contractor, successfully on track, including:	outputs delivered on time/on budget unless agreed in	100%	70-99%	<70%	Quarterly

			<ul style="list-style-type: none"> <li>Cover T1, T2 and T3 levels in mid-term evaluation rather than only 2 levels</li> <li>Cover T1, T2 and T3 levels in final evaluation rather than only 2 levels</li> <li>Conduct 5 case studies instead of 4 at both interim and final evaluation</li> <li>Track financial transactions among FIs and developers using Pitchbook</li> </ul>	advance otherwise				
Delivery	D4	Inputs (proposed data collection methodologies) are delivered as agreed at the scoping stage	All methodology inputs are on track to be completed on time and on budget	inputs delivered on time/on budget unless agreed in advance otherwise	On time	5 working days after agreed deadline	>5 working days after agreed deadline	Quarterly
Delivery	D4	Value-added outputs delivered to an accepted quality	Value-added outputs, suggested by Contractor, successfully on track, including: <ul style="list-style-type: none"> <li>Cover T1, T2 and T3 levels in mid-term evaluation rather than only 2 levels</li> </ul>	outputs are accepted with a maximum of two rounds of comments and does not require further revisions.	Up to two rounds of comments	2 to 4 rounds of comments	4+ rounds of comments	Quarterly

			<ul style="list-style-type: none"> <li>Cover T1, T2 and T3 levels in final evaluation rather than only 2 levels</li> <li>Conduct 5 case studies instead of 4 at both interim and final evaluation</li> <li>Track financial transactions among FIs and developers using Pitchbook</li> </ul>					
<b>Delivery</b>	<b>D5</b>	<b>Raw data is delivered to an acceptable quality</b>	Raw data is on track to be completed on time and to the required quality	Raw data quality is accepted with a maximum of two rounds requests from DESNZ and no further revision required.	Up to two rounds of requests	2 to 4 rounds of requests	4+ rounds of requests	Quarterly
<b>Collaboration</b>	<b>CB1</b>	<b>Effective working with DESNZ and the Delivery Partner IFC</b>	Positive feedback from key DESNZ/IFC stakeholders on how the Contractor is performing in relation to the ways of working 3-way MOU	Contractor gets positive feedback against all principles in the MOU	>90% of principles get positive feedback	70-99% principles get positive feedback	<70% principles get positive feedback	Quarterly
<b>Collaboration</b>	<b>CB2</b>	<b>Effective working with DESNZ during interval period of evaluation timeline</b>	Positive feedback from key DESNZ stakeholders on Contractors sustained performance during interval period in	Contractor gets positive feedback against relevant principles in the MOU	>90% of principles get positive feedback	70-99% principles get positive feedback	<70% principles get positive feedback	Quarterly

			relation to the 3-way MOU.					
<b>Programme Management</b>	<b>PM1</b>	<b>Programme management meetings</b>	Attendance of key representatives at programme management meetings, as agreed with DESNZ at programme outset	100% attendance	81-100%	61-80%	<60%	Quarterly
<b>GESI</b>	<b>G1</b>	<b>GESI integration in to methodology</b>	Evidence in planning and reporting of how GESI lines of enquiry, hypothesis and indicators are integrated in the evaluation framework and research tools	Clear sections in planning and reporting documentation covering GESI commitments made in proposal.	GESI integration demonstrated to the full extent offered in proposal.	GESI integration partially demonstrated as compared to the offered approach in proposal.	GESI integration not demonstrated	Quarterly
<b>Due Diligence</b>	<b>D1</b>	<b>Due Diligence Targets</b>	Due diligence targets are progressed on time against the agreed delivery plan and to the required quality in the due diligence tracker	Targets are delivered on time and to an acceptable quality, unless otherwise agreed in advance	On time	5 working days after agreed deadline	>5 working days after agreed deadline	Quarterly



## **Schedule 8 – Processing, Personal Data and Data Subjects**

The Contractor will be compliant with the Data Protection Legislation as defined in the terms and conditions applying to this Invitation to Tender. A guide to the UK General Data Protection Regulation published by the Information Commissioner's Office, can be found [here](#).

The only processing that the Contractor is authorised to do is listed in Annex 1 by DESNZ, "the Authority" and may not be determined by the Contractor.

### **Annex 1: Processing, Personal Data and Data Subjects**

1. The contact details of the Authority's Data Protection Officer are:

DESNZ Data Protection Officer  
Department for Business, Energy and Industrial Strategy  
1 Victoria Street  
London  
SW1H 0ET  
Email: [dataprotection@beis.gov.uk](mailto:dataprotection@beis.gov.uk)

2. The contact details of the Contractor's Data Protection Officer (or if not applicable, details of the person responsible for data protection in the organisation) are:

Ipsos UK Data Protection Officer  
Ipsos  
3 Thomas More Square  
London  
E1W 1YW  
Email: [uk-compliance@ipsos.com](mailto:uk-compliance@ipsos.com)

3. The nature of the service will require the Contractor to collect personal data directly from data subjects. The Contractor will use the agreed DESNZ privacy notice as instructed by the Authority.
4. DESNZ will be relying on consent as the relevant legal basis of processing. The Contractor will ensure that all communications requesting the provision on personal data allow for the data subject to provide clear, affirmative, informed, freely given and unambiguous consent, which requires a positive 'opt-in.' The Contractor will have mechanisms in place to ensure that consent is recorded and shown through an audit trail.
5. The Contractor shall comply with any further written instructions with respect to processing by the Authority.
6. Any such further instructions shall be incorporated into this Annex 1.

Description	Details
Data Protection Legislation	All applicable Law about the Processing of personal data and privacy
UK General Data Protection Regulation (UK GDPR)	The retained EU law version of the General Data Protection Regulation (Regulation (EU) 2016/679) as transposed into UK Law by the Data Protection, Privacy and Electronic Communications (Amendments etc) (EU Exit) Regulations 2019.
Identity of Controller for each Category of Personal Data	<p><b>The Parties are Independent Controllers of Personal Data</b></p> <p>The Parties acknowledge that they are Independent Controllers for the purposes of the Data Protection Legislation in respect of:</p> <ul style="list-style-type: none"> <li>• Business contact details of Contractor Personnel for which the Contractor is the Controller,</li> <li>• Business contact details of any directors, officers, employees, agents, consultants, delivery partners and contractors of the Authority (excluding the Supplier Personnel) engaged in the performance of the Authority's duties under the Contract) for which the Authority is the Controller.</li> <li>• Business contact details of relevant stakeholders of the MAGC Programme which the Authority will share with the Contractor and for which the Authority is the Controller.</li> <li>• Business contact details of relevant stakeholders of the MAGC Programme which the Contractor may separately identify and for which the Contractor is the Controller.</li> </ul>
Subject matter of the processing	The processing of names and business contact details of staff of both the Authority and the Contractor as well as relevant MAGC stakeholders will be necessary to deliver the services during the course of the Contract, and to undertake contract and performance management.

Duration of the processing	Processing will take place for the duration of the Contract and any agreed extension period signed in a formal contract variation.
Nature and purposes of the processing	<p>The nature of processing will include the storage and use of names and business contact details of staff of both the Authority and the Contractor as well as other relevant MAGC stakeholders as necessary to deliver the services and to undertake contract and performance management.</p> <p>Processing takes place for the purposes of research in line with the specification detailed in this contract, contract management and communications in relation to delivery of the services.</p>
Type of Personal Data	Names, business telephone numbers and email addresses, office location and position of staff of both the Authority, the Contractor and other relevant MAGC stakeholders as necessary to deliver the services and to undertake contract and performance management.
Categories of Data Subject	<ul style="list-style-type: none"> <li>• Staff of the Authority , including where those employees are named within the Contract itself or involved within contract management.</li> <li>• Staff of the Contractor, including where those employees are named within the Contract itself or involved within contract management.</li> <li>• Staff of the MAGC delivery partner</li> <li>• MAGC Stakeholders relevant to the delivery of the Services.</li> </ul>
Plan for return and destruction of the data once the processing is complete UNLESS requirement under UK GDPR to preserve that type of data	<p>The Parties will provide each other with a complete and uncorrupted version of the Personal Data in electronic form (or such other format as reasonably agreed) and erase from any computers, storage devices and storage media that are to be retained by the Contractor after the expiry of the Contract. The Parties will certify to each other that they have completed such deletion.</p> <p>Where Personal Data is contained within the Contract documentation, this will be retained in line with the Department's privacy notice found within the Invitation to Tender.</p>

**Annex 2: Annex for Independent Controller**

1. The Parties acknowledge that for the purpose of Data Protection Legislation the Contractor is the Controller of any Personal Data processed by it pursuant to the Funded Activities. To the extent that the Contractor and the Authority share any Personal Data for the purposes specified in paragraph 4, the Parties acknowledge that they are each separate Independent Controllers in respect of such data.
2. The Contractor shall (and shall procure that any of its Representatives shall) adhere to all applicable provisions of the Data Protection Legislation and not put the Authority in breach of the Data Protection Legislation.
3. On request from the Authority, the Contractor will provide the Authority with all such relevant documents and information relating to the Contractor's data protection policies and procedures as the Authority may reasonably require.
4. Subject to paragraph 5(b) of this Annex 2, the Contractor agrees that the Authority and its Representatives may use Personal Data which the Contractor provides about its staff and partners involved in the delivery of the Services to exercise the Authority's rights under this Agreement and or to administer the Contract or associated activities. Furthermore, the Authority agrees that the Contractor and its Representatives may use Personal Data which the Authority provides about its staff involved in the delivery of the Services to manage its relationship with the Authority.
5. The Authority and the Contractor shall:
  - (a) ensure that the provision of Personal Data to the other Party is in compliance with the Data Protection Legislation (including by ensuring all required fair processing information has been given to affected Data Subjects); and
  - (b) ensure that it only shares Personal Data with the other Party to the extent required in connection with Funded Activities.
6. Where a Party (the "**Data Receiving Party**") receives a request by any Data Subject to exercise any of their rights under the Data Protection Legislation in relation to the Personal Data shared pursuant to this Agreement:
  - a) the other Party shall provide any information and/or assistance as reasonably requested by the Data Receiving Party to help it respond to the request or correspondence, at the Data Receiving Party's cost; or
  - b) where the request or correspondence is directed to the other party and/or relates to the other Party's Processing of the Personal Data, the Data Receiving Party will:
  - c) promptly, and in any event within five (5) Working Days of receipt of the request or correspondence, inform the other Party that it has received the same and shall forward such request or correspondence to the other Party; and
  - d) provide any information and/or assistance as reasonably requested by the other Party to help it respond to the request or correspondence in the timeframes specified by Data Protection Legislation.
7. Each Party shall promptly notify the other upon it becoming aware of any Personal Data Breach relating to Personal Data provided by the other Party pursuant to this Agreement and shall:
  - a) do all such things as reasonably necessary to assist the other Party in mitigating the effects of the Data Breach;
  - b) implement any measures necessary to restore the security of any compromised Personal Data;

- c) work with the other Party to make any required notifications to the Information Commissioner's Office and affected Data Subjects in accordance with the Data Protection Legislation (including the timeframes set out therein); and
  - d) not do anything which may damage the reputation of the other Party or that Party's relationship with the relevant Data Subjects, save as required by Law.
- 8. Without limiting any other provision of this Schedule 8, Annex 2, each of the Parties shall, on request, provide such information and assistance as is reasonably requested by the other Party to assist the other Party in complying with the Data Protection Legislation in respect of the Personal Data.
- 9. The Authority and the Contractor shall not retain or process Personal Data for longer than is necessary to perform the respective obligations under this Agreement.
- 10. The Contractor will notify the Authority of any change to its constitution, legal form, membership structure (if applicable) or ownership, and of any complaint or investigation by any regulatory body or the police into its activities or those of its staff or officers or volunteers.
- 11. If there is any conflict between this Schedule 8 and the Terms and Conditions of contract the Terms and Conditions will apply.

## Schedule 9 – Variation Template

### VARIATION TO CONTRACT FORM

CONTRACT TITLE:

FOR THE PROVISION OF:

CONTRACT REF:

VARIATION No:

DATE:

BETWEEN:

(1) The Secretary of State for Business, Energy & Industrial Strategy (herein after called “the Authority”); and

(2) [ ] (hereinafter called “the Contractor”)

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

i) [ ]

2. Words and expressions in this Variation shall have the meanings given to them in this Call Off Contract.

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

Signed for and on behalf of the **Department for Business, Energy & Industrial Strategy (DESNZ)**

Signature: \_\_\_\_\_

Full Name: \_\_\_\_\_

Date: \_\_\_\_\_

Signed for and on behalf of [ ]

Signature: \_\_\_\_\_

Full Name: \_\_\_\_\_

Date: \_\_\_\_\_

REDACTED