

**Dated** \_\_\_\_\_ **2018**

**LONDON UNDERGROUND LIMITED (1)**

**LUL NOMINEE SSL LIMITED**

**LUL NOMINEE BCV LIMITED**

**TUBE LINES LIMITED**

**and**

**TYLER BROTHERS (SUTTON IN ASHFIELD) LIMITED (2)**

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**FRAMEWORK AGREEMENT  
for the Supply of Escalator machined parts**

**CONTRACT REFERENCE NUMBER:  
TFL01122**

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**THIS AGREEMENT** is made on  
**BETWEEN:**

2018

**TRANSPORT FOR LONDON or TfL** (the “Company” which expression shall include its successors, transferees and assignees), a statutory corporation established under the Greater London Authority Act 1999 of 55 Broadway LONDON SW1H 0BD and

**TYLER BROS (SUTTON IN ASHFIELD) LIMITED**, Hunt Close, Lowmoor Business Park, Kirkby in Ashfield, NG17 7ER

## **BACKGROUND**

- (A) The Supplier carries on the business of *[manufacturing and]* selling the Goods and providing the Services.
- (B) The Company wishes to buy and the Supplier wishes to supply the Goods and Services on the terms and conditions set out in the Agreement.
- (C) This Agreement may be utilised by the Company or any other member of the TfL Group. The Greater London Authority, any of the London boroughs, the Metropolitan Police Service, or any functional body (as defined in the GLA Act) may, if the Supplier so agrees, contract with the Supplier on the terms set out in this Agreement.

**THIS DEED WITNESSES** as follows:

## **2 Definitions and Interpretation**

2.1 In this Agreement and each Contract the following definitions shall have the following meanings:

*["**Additional Goods**" means any goods which the Company requests the Supplier to provide in accordance with the terms of the Agreement and each Contract in addition to those set out in the Specification.]*

*["**Additional Services**" means any services which the Company requests the Supplier to provide in accordance with the terms of the Agreement and each Contract in addition to those set out in the Specification.]*

**"Aggregated Annual Spend"** means the total of all sums paid by the Company to the Supplier (exclusive of VAT) pursuant to the terms of the Contract annually calculated in accordance with Clause 9.

**“Agreement”** means these terms and conditions, including the Schedules, as amended, varied or supplemented from time to time.

**“Applicable Laws”** means, depending on the context, all or any laws, statutes, proclamations, recommendations, codes of practice, by-laws, directives, Regulations, statutory instruments, rules, orders, rules of court, delegated or subordinate legislation, rules of common law or any European Union legislation (including any declarations of conformity), at any time or from time to time in force in the United Kingdom and which are or may become applicable to the Agreement and each Contract, any agreement or document referred to in the Agreement and each Contract, or the Goods and Services.

**“BAFO”** means ‘best and final offer’.

**“Cessation Plan”** means a plan agreed between the parties or determined by the Company in accordance with Clause 54.1 to give effect to a Declaration of Ineffectiveness.

**“Commencement Date”** means the date specified as such in Schedule 1.

**“Company Documents”** means any plans, drawings, documents, handbooks, codes of practice or other information provided by the Company to the Supplier in accordance with the Agreement and each Contract.

**“Company’s Representative”** means the person appointed by the Company and named as such in the relevant Order.

**“CompeteFor”** has the meaning given to that term in Clause 55.

**“Competent Authority”** means any legislative, judicial, regulatory or administrative body or agency (or any subdivision of any of them) of the United Kingdom or of the European Union or any supranational body which has rulemaking power or whose directives, decisions, instructions, rulings, laws or regulations are directly enforceable against either of the parties in connection with the performance of the Agreement.

**“Confidential Information”** means any information given orally or in writing which is a trade or business secret or method; technical know how; personal data which relates to a living individual who can be identified from that information; information relating to any crime, breach of statutory duty or criminal investigations; information relating to the protection of prominent persons, national security, counter-terrorism or other information relating to the provision of police services for any national or international purpose; information relating to the Company’s obligations in accordance with sections 118 to 121 of the Railways Act 1993; confidential financial information including but not limited to taxation information and returns to shareholders;

and any other information that a party would reasonably expect to be able to protect by virtue of business confidentiality provisions.

**"Consequential Loss"** means in relation to a breach of this Agreement or any Contract or other circumstances in which a party is entitled to recover any costs, expenses or liabilities suffered or incurred, loss of profit, loss of revenue, loss of contract, loss of goodwill and/or other financial loss resulting from such breach and whether or not the party committing the breach knew, or ought to have known, that such loss would be likely to be suffered as a result of such breach;

**"Contract"** means a contract as defined in Clause 3.1.

**"Contractual Documentation"** means all documentation and information agreed to be delivered by the Supplier in accordance with each Contract including without limitation records, reports, documents, papers, unpatented designs, drawings, data specifications, manufacturing or work processes, testing procedures, relevant computer data and all other technical business and similar information originated by or on behalf of the Supplier in accordance with each Contract.

**"Contract Information"** means (i) each Contract and Agreement in its entirety (including from time to time agreed changes to any Contract and/or Agreement) and (ii) data extracted from the invoices submitted pursuant to Clauses 9.1 and 9.2 which shall consist of the Supplier's name, the expenditure account code, the expenditure account code description, the document number, the clearing date and the invoice amount.

**"Contract Reference Number"** means the number shown on the front page of this Agreement.

**"Contract Variation Procedure"** means the procedure set out in Schedule 5.

**"Declaration of Ineffectiveness"** means a declaration of ineffectiveness in relation to any Contract made by a court of competent jurisdiction in accordance with Regulation 99 of the Public Contracts Regulations 2015 (as amended) or Regulation 45(k) of the Utilities Contracts Regulations 2006 (as amended).

**"Defect"** means that the Goods or any part of them do not comply with the requirements of any Contract, or are not fit for their intended purpose, or are of unsatisfactory quality whether in consequence of faulty design, faulty materials, negligence, bad workmanship or in consequence of any other reason attributable to the Supplier or its suppliers or the employees of any of them. For the avoidance of doubt, this shall include damage which occurs during transit from the Supplier to the Company.

**“Delivery Address”** means the address at which the Supplier shall deliver the Goods to the Company and which is set out in the Order or such other destination as may be notified by the Company to the Supplier.

**“Delivery Note”** has the meaning given to that term in Clause 10.6.

**“Dispute”** has the meaning given to that term in Clause 43.1.

**“Documentation”** means all documents, items of information, data, reports, drawings, specifications, plans, software, designs, inventions and/or other material produced or supplied by or on behalf of the Supplier in the performance of each Contract and whether in paper form or stored electronically.

*[“**Environmental Claim**” means receipt by the Company in connection with any pollution or contamination of the environment of:*

- (a) any written claim, demand, suit or notice from a third party, including a Regulatory Authority (“**Regulatory Authority**” means any government entity or other public or quasi public authority or privatised utility having responsibility for any matters concerning the environment, or Environmental Law) or any order of the court of competent jurisdiction in connection with an alleged breach of Environmental Law; or*
- (b) any charge or condition imposed by any Regulatory Authority or any notice served by any Regulatory Authority requiring Remediation (including any written indication from any Regulatory Authority that a requirement to carry out Remediation will be imposed on the Company unless the Company agrees to carry out Remediation voluntarily).*

*“**Environmental Law**” means all and any laws, including common law, legislation, codes of practice, notices, judgments, decrees, regulations, applicable clean-up standards, circulars, guidance notes (statutory or otherwise), as may be enacted, adopted, amended or supplemented, concerning the protection of human health, or the environment or the conditions of the work place.]*

**“Excepted Liabilities”** means the liability of the Supplier for:

- (a) any Liquidated Damages payable;
- (b) any abatements for performance levied in accordance with this Agreement or any Contract;

- (c) Losses against which the Supplier is entitled to an indemnity under any policy of insurance (or would have been entitled but for any breach or failure to maintain such insurance);
- (d) Losses caused by fraudulent acts or acts of a criminal nature; and
- (e) Losses caused by the Supplier committing a Prohibited Act or Safety Breach.

**“Excess Costs”** has the meaning given to that term in Clause 21.5.

**“Existing Contracts”** means any and all contracts, whether current, expired or terminated, pursuant to which goods and/or the services have been supplied and/or provided by the Supplier (in the capacity of contractor or subcontractor) to the Company and/or any other member of the TfL Group.

**“Expected Order Delivery Date”** means the date set out in each Order upon which the Goods or any part of them are to be delivered by the Supplier to the Company.

**“Force Majeure Event”** means any of the following (or any circumstances arising as a consequence of any of the following) if and only to the extent that such event or circumstances is or are not caused by, and their effects are beyond the reasonable control of, a party affected by such an event or circumstances and which have an adverse effect on the party affected by such an event or circumstances and such party's ability to perform its obligations under the Agreement or any Contract and is not an event or circumstances (i) whose effect the party affected by such an event is otherwise required to avoid or provide against (other than by way of insurance) under the Agreement or any Contract or (ii) which the party affected by such an event could reasonably have avoided or provided against:

- (a) war, invasions, acts of foreign enemies, hostilities (whether war be declared or undeclared), civil war, rebellion, revolutions, insurrection, military or usurped power, confiscation, or requisition by or under the order of any government or public or local authority;
- (b) civil unrest;
- (c) any act of terrorism or a specific threat of terrorism which results in the partial or total, temporary or long term closure of the Underground Network;
- (d) lightning, earthquake or subject to (f) below, extraordinary storm;
- (e) fire;

- (f) flooding, other than flooding caused by rising water table or by weather conditions (including extraordinary storm);
- (g) tunnel collapse;
- (h) compliance with the provision of sections 118 to 121 of the Railways Act 1993;
- (i) nuclear, chemical or biological contamination including ionizing radiation or contamination by radioactivity from any nuclear fuel or nuclear waste from the combustion of nuclear fuel or radioactive toxic explosive or other hazardous properties of any explosive nuclear assembly or nuclear component thereof;
- (j) the discovery of fossils, antiquities or other material which in each case is required to be exhumed or unexploded bombs; and
- (k) strikes, lock outs or other industrial action being in each case industry-wide.

**“Free Issue Materials”** means materials, apparatus and components supplied by the Company to the Supplier without charge and intended for use by the Supplier exclusively in the provision of Services under each Contract.

**“Goods”** means the goods stated in the Specification to be supplied by the Supplier and any Additional Goods which the Company has agreed to buy under Clause 7.

**“Greater London”** has the meaning ascribed to it in the GLA Act.

**“Greater London Authority Act”** or **“GLA Act”** means the Greater London Authority Act 1999 relating to the formation of the Greater London Authority.

**“Infrastructure Manager”** has the meaning ascribed to it in the Railways and Other Guided Transport Systems (Safety) Regulations 2006.

**“Initial Period”** means the number of years from the Commencement Date stated in Schedule 1.

**“Intellectual Property Rights”** means any intellectual property rights in any part of the world and includes but is not limited to all rights to, and interests in, any patents (including supplementary protection certificates), designs, trade-marks, service marks, trade and business names and get up, moral rights, domain names, copyright and neighbouring rights, databases, semi-conductors, know how, knowledge, trade secrets and any other proprietary rights or forms of intellectual property (protectable by registration or not) whether registered or not in respect of any technology, technique, concept, idea, style, scheme, formula, system, logo, mark or other

matter or thing, existing or conceived, used, developed or produced by any person, together with all applications and rights to apply for registration or protection of such rights, Confidential Information relating to those rights, material embodying those rights and in each case rights of a similar or corresponding character.

*["Interest Rate" means the percentage above the base rate from time to time of the Bank of England as specified in Schedule 1.]*

**"Invoice"** means a request for payment bearing all information required by the Company including the Agreement and each Contract reference number, Supplier's name, address and a brief description of the materials supplied or services provided;

*["Key Personnel" means Supplier Personnel identified as such in Schedule 1 and any changes to the same that are made in accordance with Clause 30.]*

**"Liquidated Damages"** means the sums identified and calculated in accordance with each Order;

**"London Living Wage"** means the basic hourly wage (before tax, other deduction and any increase for overtime) as may be revised from time to time by the Mayor or any other relevant Competent Authority.

**"Losses"** means any expense, liability, loss, claims, fines, damages, costs (including reasonable legal and other professional fees and disbursements), penalties, settlements and judgments incurred by the Company, its employees or agents (which, for the avoidance of doubt, shall include a Replacement Employer).

**"Mayor"** means the person from time to time holding the office of Mayor of London as established by the GLA Act.

*["Mini-Competition" means a competitive process which the Company may from time to time utilise to select a Supplier to provide the Goods and Services.]*

**"Nominated Representatives"** has the meaning given to that term in Clause 43.2.

**"Notice to Proceed"** has the meaning given to that term in Clause 21.6(b).

**"Notified Sum"** has the meaning given to that term in Clause 9.8.

**"Operator"** means a person with statutory duties to provide or secure the provision for Greater London of public passenger services by railway or a person who secures the provision of such services through appropriate contractual arrangements.

**“Order”** means an order which, unless the parties agree otherwise, shall be substantially in the form set out in Schedule 4, entered into by the Company and the Supplier.

**“Order Completion Date”** means the date by which the Services are to be performed as specified as such in each Order or such other date as may be agreed between the parties in accordance with the terms of each Contract.

**“Order Delivery Date”** means the date upon which the Goods or any part of them are actually delivered to the Delivery Address by the Supplier to the Company.

**“Order Price”** means the amount stated under the heading “Order Price” in the relevant Order.

**“Order Programme”** means the programme of work set out in each Order for the provision of the Services which has been submitted by the Supplier and approved by the Company. The programme may be varied from time to time subject to the terms and conditions of the relevant Contract or otherwise by agreement in writing between the Supplier and the Company.

**“Payment Application”** has the meaning given to that term in Clause 9.1.

**“Policies”** means the policies set out in Clause 33.3.

**“Prescribed Period”** has the meaning given to that term in Clause 9.9.

**“Prohibited Act”** means:

- (a) offering or agreeing to give to any servant, employee, officer or agent of the Company any gift or consideration of any kind as an inducement or reward:
  - (i) for doing or not doing (or having done or not having done) any act in relation to the obtaining or performance of the Agreement or any Contract or any other contract with the Company; or
  - (ii) for showing or not showing favour or disfavour to any person in relation to the Agreement or any Contract or any other contract with the Company; or
- (b) entering into the Agreement or any Contract or any other contract with the Company with which commission has been paid or has been agreed to be paid by the Supplier or on its behalf or to its knowledge unless, before such Contracts were entered into, particulars of any such commission and of the terms and conditions of any such contract for the payment thereof have been disclosed in writing to the Company; or
- (c) committing an offence:

- (i) under the Bribery Act 2010;
  - (ii) under legislation creating offences in respect of fraudulent acts; or
  - (iii) at common law in respect of fraudulent acts,
- in relation to the Agreement or any Contract or any other contract with the Company; or
- (d) defrauding or attempting to defraud the Company.

*["**Proposal**" means the Supplier's offer to provide the Goods and/or the Services in response to a Request Form.]*

*["**Quality and Safety Plan**" means the Supplier's quality and safety plan set out in Schedule 6 as amended from time to time.]*

"**QUENSH**" has the meaning given to it in Schedule 6.

"**Regulation**" includes any regulation, rule, official directive, request or guideline (whether or not having the force of law) of any governmental, intergovernmental or supranational body, agency, department or regulatory, self-regulatory or other authority or organisation.

"**Rejected Goods**" has the meaning given to that term in Clause 18.2.

"**Rejection Notice**" has the meaning given to that term in Clause 18.2.

*["**Remediation**" means any or all investigation, sampling, analysing, removing, remedying, cleaning up, abating, containing, controlling or ameliorating the presence in or effects on the Environment of any contamination or pollution including, but without limitation, the removal, treatment and disposal of material and the treatment and monitoring of ground waters and gases and emissions and the obtaining of expert technical, legal and other professional advice (including all project management functions).]*

*["**Request Form**" means the request form produced by the Company detailing the Company's requirements for a Proposal from the relevant Supplier.]*

"**Responsible Procurement Policy**" means the policy document entitled the "GLA Group Responsible Procurement Policy" dated March 2006, updated in January 2008 and as may be amended.

"**Safety Breach**" means a material breach of any obligation under any Contract caused by the gross incompetence of or wilful default by the Supplier (or anyone employed by or acting on

behalf of the Supplier) or any of its agents which has materially affected the safe operation of the Underground Network or the safety of the Company's customers, staff or any other person.

**"Services"** means the services stated in the Specification to be performed by the Supplier and any Additional Services.

**"Specification"** means the description of the Goods and Services set out in 0 and to be provided by the Supplier in accordance with the Agreement.

**"Standards"** means the Category 1 and 2 Standards and Draft Category 1 and 2 Standards and such European, British and International Standards and associated Codes of Practice required by the Company for the Supplier to supply the Goods in accordance with good industry practice. A full set of current Standards is available for the Supplier's use on-line at the LU Standards e-library or as notified to the Supplier.

**"Supplier Personnel"** means all employees, agents or consultants of the Supplier and the Supplier's subcontractors from time to time.

**"Supplier Personnel Information"** means information about Supplier Personnel including the numbers of Supplier Personnel involved in supplying the Goods and Services and their approximate full time equivalents; their location; the skill sets in each location; role definitions; employment status; details of any previous transfer(s) pursuant to Clause 30; information regarding overall annual remuneration (including benefits); length of service; notice period; details of terms and conditions of employment (including pension schemes, annual leave, bonus entitlement, share options, car allowance, health insurance, life assurance and trade union recognition); details of any current grievances or disciplinary issues and any other information relating to Supplier Personnel reasonably requested by the Company.

**"Supplier's Representative"** means the person appointed by the Supplier and named as such in the relevant Order.

**"Term"** means the period specified as such in Schedule 1 to this Agreement;

**"TfL"** or **"Transport for London"** means Transport for London, a statutory body set up by the Greater London Authority Act.

**"TfL Group"** means Transport for London and all of its subsidiaries and their subsidiaries (as defined in Section 1159 of the Companies Act 2006) from time to time, together with Crossrail Limited (company number 04212657) and reference to any **"member of the TfL Group"** refers to TfL or any such subsidiary.

**“Transparency Commitment”** means the transparency commitment stipulated by the UK government in May 2010 (including any subsequent legislation) in accordance with which TfL is committed to publishing its contracts, tender documents and data from invoices received.

**“Underground Network”** means the stations and depots (wherever situate), assets, systems, track and other buildings which are used in the maintenance and provision of the underground service known as “London Underground”.

**“VAT”** means value added tax as provided for in the Value Added Tax Act 1994 and legislation (whether delegated or otherwise) supplemental thereto, or in any primary or secondary legislation promulgated by the European Union or any official body or agency of the European Union, and any similar sales, consumption or turnover tax replacing or introduced in addition to the foregoing.

**“Variation Order”** means the written authorisation from the Company to a Variation Proposal in accordance with the Contract Variation Procedure.

**“Variation Proposal”** means the written proposal put by the Company or the Supplier to vary any Contract and/or this Agreement in accordance with the Contract Variation Procedure in substantially the form set out in Appendix 1 to Schedule 5.

**“Volume Discount”** is the figure calculated annually in accordance with Clause **Schedule 4**.

**“Volume Discount Percentage”** is the volume discount percentage set out in Schedule 1 to the Contract.

**“Warranty Period”** the period specified as such in Schedule 1.

**“Working Day”** means any day of the week (other than Saturday or Sunday) which is not an English bank holiday, or public holiday.

- 2.2 The headings in the Agreement and each Contract are only for convenience and shall not affect its interpretation.
- 2.3 Where appropriate, the singular includes the plural and vice versa.
- 2.4 A reference to a Clause or a Schedule shall be to a Clause of or, as the case may be, a Schedule to, the Agreement and each Contract and references to the Agreement and each Contract include its recitals and Schedules.
- 2.5 References to (or to any specified provision of) the Agreement and each Contract or any other document shall be construed as references to the Agreement and each Contract, that provision

or that document as in force for the time being and as from time to time amended in accordance with the terms of the Agreement and each Contract.

- 2.6 Reference to any Applicable Laws and Standards also includes a reference to the Applicable Laws and Standards as from time to time amended, extended or re-enacted.
- 2.7 References to the “**Company**” shall include its successors, transferees and assignees.
- 2.8 References to a person, firm or company includes any individual company, unincorporated association or body (including a partnership or joint venture) or other entity whether or not having a separate legal personality.
- 2.9 In the event that a conflict, ambiguity or inconsistency exists between the documents comprising the Agreement and each Contract, the order of priority for the purpose of construction in descending order is:
- (a) the Clauses of the Agreement and each Contract;
  - (b) the Schedules to the Agreement and each Contract (equal priority but subject to Clause 1.10); and
  - (c) any other document referred to in, or incorporated by reference into, the Agreement and each Contract.
- 2.10 The documents that make up the Schedules shall be taken as being mutually explanatory of one another. In the event of any conflict between any provision of the clauses of the Agreement and each Contract and a provision of any other Schedule then the clauses of the Agreement and each Contract will take precedence except where the conflicting part of the other Schedule is explicitly expressed to take precedence over any specific part of the Clauses of the Agreement and each Contract.

### **3 Duration *[and Option to Extend]***

- 3.1 The Agreement shall commence on the Commencement Date and continues in force for the Term unless terminated earlier in accordance with this Agreement *[and subject to Clause 2.3]*.
- 3.2 Expiry or termination of the Agreement shall not, in and of itself give rise to an expiry or termination of the Contract and each Contract shall continue for the term set out in the relevant Contract.
- 3.3 *[The Company shall at its own discretion be entitled at any time prior to the expiry of the Term to inform the Supplier of its intention to extend the Term of the Agreement by a period of up to*

*[insert extension period]. The provisions of the Agreement shall continue to apply mutatis mutandis to any such extension of the Term (other than this Clause 2.3 containing the option to extend). On receipt of such notice from the Company by the Supplier, the Agreement shall be deemed extended accordingly.*

## **4 Supplier's Primary Obligations**

4.1 The Supplier shall supply the Goods and Services to the Company in accordance with:

- (a) the terms set out in the Agreement (including the Schedules); and
- (b) the terms of the Orders which may from time to time be entered into by the Company and the Supplier,

each Order together with the terms of the Agreement comprising a separate and distinct contract and herein referred to as a "**Contract**".

4.2 When Goods and Services are required by the Company, the Company shall give the Supplier an Order for the Goods to be delivered and Services to be supplied and each Order so given shall be final, unless varied in accordance with the Contract Variation Procedure.

4.3 The Supplier shall ensure and warrants to the Company that the Goods will:

- (a) conform in all respects with the Specification and the provisions of each Contract including, without limitation, specifications as to quantity, quality and description;
- (b) be of satisfactory quality and fit for the purpose for which they are intended;
- (c) comply with all Applicable Laws (including but not limited to any law and regulations applicable to the Company or the Underground Network );
- (d) comply with all Standards and any additional standards listed in Schedule 1 or in the Specification;
- (e) comply with the requirements of the Company set out in each Contract and all lawful and reasonable directions of the Company;
- (f) have a rate of deterioration no more than is reasonably to be expected of high quality, reliable, well designed and engineered, materials, goods and equipment.

- 4.4 *[The Supplier shall be fully responsible for the management of obsolescence in the Goods and Additional Goods throughout the Term in accordance with the requirements set out in the Specification.]*
- 4.5 The Supplier shall ensure and warrants to the Company that the Services will:
- (a) be performed by appropriately qualified and trained personnel exercising the highest standard of diligence, care and skill;
  - (b) be performed in accordance with the Order Programme;
  - (c) conform to all Applicable Laws (including but not limited to any law and regulations applicable to the Company or the Underground Network);
  - (d) comply with all Standards and any additional standards listed in Schedule 1 or in the Specification; and
  - (e) comply with the requirements of the Company set out in the Agreement and each Contract and all lawful and reasonable directions of the Company.
- 4.6 The Supplier warrants and undertakes that the Supplier has entered into and executed this Agreement and any Contract by the Supplier's duly authorised representative in accordance with all procedures required by its governing laws and contractual documents.
- 4.7 The Supplier shall perform its obligations under each Contract in accordance with the requirements of the ISO 9000 and ISO 14000 series as appropriate to the supply of Goods *[and the Quality and Safety Plan]* any equivalent international quality assurance standards as may be accepted as an alternative in the absolute discretion of the Company.
- 4.8 It shall be the responsibility of the Supplier to obtain, at its cost, all necessary approvals, licences, permits and consents in relation to the performance of the Services and the Goods and their delivery, including, but not limited to, those required by any Applicable Laws and Standards.
- 4.9 Unless otherwise stated in any Contract, the Supplier shall provide all equipment, support services and other facilities necessary for the performance of its obligations under each Contract.
- 4.10 For the avoidance of doubt, neither a communication from the Company nor the review or acceptance of the Goods or the Services waives limits or amends in any way any warranties, liabilities or responsibilities of the Supplier under this Agreement or any Contract.
- 4.11 The Supplier shall be responsible for the accuracy of all Contractual Documentation occasioned by any discrepancies, errors or omissions therein. The Supplier shall carry out any alterations or

remedial work necessitated by such errors, omissions or discrepancies and modify the relevant documents or information accordingly.

- 4.12 The Supplier warrants to the Company that it has the right to grant to the Company and any member of the TfL Group all licences (including without limitation all rights to sub-licence)

[Where due to the specification supplied materials require additional training, The Supplier will provide training to the company employee at agreed rates with the contract manager.

4.13

4.14 *[Design*

- (a) *The Supplier shall carry out his design in accordance with the Specification and the terms of the Agreement.*
- (b) *The Supplier shall submit the particulars of his design which the Specification requires to the Company's Representative for acceptance. The Supplier shall not proceed with the supply of Goods and/or Services until the Company's Representative has accepted his design. Reasons for not accepting the Supplier's design shall include (without limitation):*
  - (i) *it does not comply with the Specification or any other part of the Agreement;*
  - (ii) *it does not comply with Applicable Laws and Standards;*
  - (iii) *it is not integrated and coordinated with the designs of others where the Supplier is required by the Specification or instructions of the Company's Representative to do so or such integration is necessary for the Supplier to supply the Goods and/or Services;*
  - (iv) *it is not in a format which is accepted for use by the Company's Representative.*
- (c) *The Supplier may submit his design for acceptance in parts if the design of each part can be assessed fully.*
- (d) *The Supplier in designing and specifying the Goods and/or Services which he is required to design and specify, warrants, undertakes and represents to the Company that the design:*
  - (i) *is in accordance with the Specification and any other performance or output specification or requirements contained or referred to in the Agreement and each Contract;*

- (ii) *complies with all Applicable Laws and Standards;*
  - (iii) *is fit for the purpose defined in the Specification.*
- (e) *The Supplier accepts entire responsibility for the design and specification of the Goods and/or Services which he is required to design and specify and for any mistake, inaccuracy, ambiguity, inconsistency or omission in or between his design and specification of the Goods and/or Services and the documents which are part of the Agreement.*

## **5 Mini-Competition**

- 5.1 *At any time during the Term, the Company may identify the Goods and/or Services which at its sole discretion it wishes to let under the terms of the Agreement. Any decision by the Company to place a Contract under the terms of the Agreement will be preceded by a Mini-Competition save where the Company, having considered the Applicable Laws and Standards (including the Utilities Contracts Regulations 2006), considers it appropriate to issue an Order to one or more Suppliers without holding a Mini-Competition.*
- 5.2 *If pursuant to Clause 4.1 the Company conducts a Mini-Competition, it will issue to the Suppliers a Request Form, specifying the Goods and/or Services it requires.*
- 5.3 *On receipt of the Request Form, the Supplier shall:*
  - (a) *within [two (2)] Working Days of the date of issue of the relevant Request Form, confirm receipt of such Request Form; and*
  - (b) *by the date specified in the relevant Request Form (or if no date is specified within [seven (7)] Working Days of the date of issue of such relevant Request Form) or by such other date agreed in writing between the Company and the relevant Supplier:*
    - (i) *complete and issue to the Company a Proposal which shall include in full the information requested by the Company in the relevant Request Form [and full details of the basis on which the prices have been calculated]; or*
    - (ii) *notify the Company that it does not intend to submit a Proposal.*
- 5.4 *The Supplier acknowledges and agrees that a Proposal remains valid for at least [six (6)] months (or such longer period as may be specified in the relevant Request Form) from the date such Proposal is submitted to the Company.*

- 5.5 *If the Company accepts a Proposal issued pursuant to Clause 4.3(i), it shall notify the relevant Supplier of its intention to place an Order for the Goods and/or Services to be delivered and each Order so given shall be final.*
- 5.6 *A Request Form and anything prepared or discussed by the Company constitutes an invitation to treat and does not constitute an offer capable of acceptance by the relevant Supplier. The Company is not obliged to consider or accept any Proposal submitted by the Supplier.*
- 5.7 *The Agreement does not oblige the Company to place an Order or enter into any Contract with the Supplier.*
- 5.8 *Unless otherwise expressly agreed in writing with the Company, the Supplier shall not charge under the Agreement for any work involved in receipt and/or confirmation of any Request Form, and/or any response to any Request Form as contemplated in this Clause 4.*
- 5.9 *The Supplier is responsible for all and any costs, charges and expenses arising from or associated with the procurement process in this Clause 4 (the “**Procurement Process**”), and the Company shall not be liable for any costs, charges or expenses borne by or on behalf of the Supplier whether or not the Supplier is awarded a Contract (which for the avoidance of doubt includes any costs, charges and expenses arising from or associated with an abortive or cancelled Procurement Process).]*

## **6 Records and Audit**

- 6.1 The Supplier shall, and shall procure that its subcontractors shall, maintain a true and correct set of records including personnel records relating to all aspects of their performance of the Agreement and each Contract and all transactions related to the Agreement and each Contract. For the avoidance of doubt, such records shall include but are not limited to:
- (a) all necessary information for the evaluation of claims or variations;
  - (b) management accounts, information from management information systems and any other management records;
  - (c) accounting records (in hard copy as well as computer readable data);
  - (d) subcontract files (including proposals of successful and unsuccessful bidders, bids, rebids etc);
  - (e) original estimates;
  - (f) estimating worksheets;

- (g) correspondence;
- (h) variation and claims files (including documentation covering negotiated settlements);
- (i) general ledger entries detailing cash and trade discounts and rebates;
- (j) commitments (agreements and leases) greater than £5,000;
- (k) detailed inspection records; and
- (l) such materials prepared in relation to the invitation to tender and subsequent tendering process relating to cost breakdowns, reconciliations against BAFO pricing and project plans, in each case which have not already been provided to the Company.

6.2 The Supplier agrees, and shall procure that its subcontractors agree, to retain all such records in such a manner as the Company may reasonably instruct for a period of not less than twelve (12) years after completion of performance under each Contract. In the absence of specific instructions as to the method of storage, the Supplier shall retain his records in an orderly and logical fashion.

6.3 The Company and its authorised representatives and any party legally authorised to inspect any part of the Underground Network shall have the right to inspect and audit any of the records referred to in Clause 5.1 at any time during the period referred to in Clause 5.2.

6.4 The Supplier shall promptly provide all reasonable co-operation in relation to any audit or check including, to the extent reasonably possible in each particular circumstance:

- (a) granting or procuring the grant of access to any premises used in performance of each Contract, whether the Supplier's own premises or otherwise;
- (b) granting or procuring the grant of access to any equipment (including all computer hardware, software and databases) used (whether exclusively or non-exclusively) in the performance of the Supplier's obligations under each Contract, wherever situated and whether the Supplier's own equipment or otherwise;
- (c) making any contracts and other documents and records required to be maintained under each Contract available for inspection;
- (d) providing a reasonable number of copies of any contracts and other documents or records reasonably required by the Company's auditor and/or granting copying facilities to the Company's auditor for the purposes of making such copies; and

(e) complying with the Company's reasonable requests for access to senior personnel engaged in the Supplier's performance of each Contract.

- 6.5 The Supplier shall maintain an effective and economical programme for monitoring and maintaining product quality, planned and developed in conjunction with any other functions of the Supplier necessary to satisfy each Contract's requirements.
- 6.6 The Supplier shall permit the Company's authorised representatives, access and facilities (as required and when notified) for the purpose of systems and product quality audits including but not limited to access to documentation showing results of testing and inspection, certificates of conformance and safety-related documents. The Supplier shall provide the Company with a copy of any or all of the records listed in Clause 5.1, free of charge within thirty (30) days of the Company's request for the same.
- 6.7 The Supplier shall and shall ensure that any sub-contractor or sub-supplier shall ensure that appropriate security systems are in place to prevent unauthorised access to, extraction of and/or alteration to data during the audit undertaken pursuant to the Agreement and any Contract.

## **7 Company's Obligations**

- 7.1 The Company shall pay the Supplier the Order Price for the Goods and Services in accordance with the terms of the relevant Contract.
- 7.2 Payment of the Order Price shall not affect any claims or rights which the Company may have against the Supplier and shall not be an admission by the Company that the Supplier has performed its obligations under the relevant Contract properly.
- 7.3 The Agreement is not an exclusive arrangement and nothing in the Agreement or any Contract operates to prevent the Company from engaging any other organisation or person to supply goods and services similar to or the same as the Goods and Services.

## **8 Additional Goods and Services**

- 8.1 *The Company may, at any time during the term of any Contract, request the Supplier to provide a quotation for the supply of Additional Goods and/or Additional Services in accordance with the Contract Variation Procedure. If a Variation Order is made in respect of such Additional Goods and/or Additional Services, the relevant Contract shall be amended to include such Additional Goods and/or Additional Services, the Expected Order Delivery Date and/or the Order Completion Date and the Order Price.]*

## 9 Variation

- 9.1 Unless the parties agree otherwise in writing, any variation to the Agreement or any Contract shall be made under the Contract Variation Procedure.
- 9.2 The Supplier shall not proceed to implement any variation unless a Variation Order has been entered into in respect of such variation.

## 10 Price and Payment.

- 10.1 The Supplier shall submit an application for payment to the Company's Representative according to the rates and prices set out in **Schedule 2** for the relevant portion of the Order Price in respect of the Goods after the Order Delivery Date of such Goods (a "**Payment Application**"). If (as the case may be) the Goods are to be delivered in instalments, the Supplier shall submit a Payment Application for the relevant portion of the Order Price to the Company's Representative after the Order Delivery Date of each instalment.
- 10.2 The Supplier shall submit a Payment Application for the relevant portion of the Order Price in respect of the Services using the rates and prices set out in Error! Reference source not found.2, to the Company's Representative *[on the application for payment dates set out in **Schedule 2** following the completion of the Services to the satisfaction of the Company]*.
- 10.3 Each Payment Application shall specify the sum that the Supplier considers will become due on the payment due date and the basis upon which that sum is calculated. The Supplier shall submit any supporting documents that are reasonably necessary to enable the Company's Representative to check the Payment Application.
- 10.4 *[The payment shall become due for the purposes of the Housing Grants, Construction and Regeneration Act 1996 as amended by the Local Democracy, Economic Development and Construction Act 2009 ("**HGCRA**") on the date on which the Company's Representative receives the Payment Application.]*
- 10.5 The Company's Representative shall assess the Payment Application and shall notify the Supplier in writing not later than *[fourteen (14) days] [five (5) days]* after the date of receiving the Payment Application of:
- (a) the amount (if any) the Company's Representative considers to be due at the payment due date (which amount shall be net of any discount to which the Company is entitled); and
  - (b) the basis on which the amount was calculated,

a “**Payment Certification**”. It is immaterial for the purposes of this Clause 9.5 that the amounts referred to in Clauses 9.5(a) or 9.5(b) may be zero. *[A notification given under this Clause 9.5 shall constitute a payment notice for the purposes of section 110A of the HGCRA.]*

10.6 Within seven (7) days of receipt of a Payment Certification the Supplier shall issue a VAT invoice for the amount stated in that Payment Certification to the Company. The final date for payment of such VAT invoice shall be ten (10) days after the date on which the Company’s Representative received such VAT invoice.

10.7 *[The final date for payment for the purposes of the HGCRA shall be thirty (30) days after the date on which the Company’s Representative received the Payment Application.]*

10.8 *Subject to Clause 9.9 and Clause 9.10, the Company shall pay the Supplier the sum referred to in the Company’s Representative’s Payment Certification pursuant to Clause 9.5 (or, if the Company’s Representative has not served a Payment Certification, the sum referred to in the Supplier’s Payment Application under Clause 9.1 and/or Clause 9.2) (the “**Notified Sum**”) on or before the final date for payment.*

10.9 *If the Company intends to pay less than the Notified Sum the Company or the Company’s Representative (as the case may be) should notify the Supplier in writing not later than one (1) day (the “**Prescribed Period**”) prior to the final date for payment of:*

(a) *the amount (if any) that it considers to be due on the date the notice is served and the basis upon which that sum is calculated; or*

(b) *if there is more than one basis, each basis and the amount attributable to it.*

*It is immaterial for the purposes of this Clause 9.9 that the amounts referred to in Clause 9.9(a) or Clause 9.9(b) may be zero. Where a notice is given under this Clause 9.9, the Company’s obligation to pay the Notified Sum under Clause 9.8 applies only in respect of the sum specified pursuant to this Clause 9.9.*

10.10 *Notwithstanding Clauses 9.8 and 9.9, if the Supplier is subject to an event set out in Clause 21.1(d) or other like event after the Prescribed Period, the Company shall not be required to pay the Supplier the Notified Sum on or before the final date for payment.]*

10.11 The Order Price shall be fixed and inclusive of all expenses and disbursements including, but not limited to, the costs incurred in supplying the Goods to the Delivery Address. The Order Price for the Goods and/or Services shall only be changed in accordance with the Contract Variation Procedure.

- 10.12 The Order Price shall not include VAT and, to the extent that such VAT is properly chargeable, it shall be charged at the rate in force on the date of the Payment Application and will be shown as a separate item on all such Payment Applications.
- 10.13 In addition to any other rights of the Company whether at law or equity under this Agreement or any Contract, whenever under or arising out of this Agreement or any Contract between the Company and the Supplier:
- (a) any sum of money is recoverable from or payable by the Supplier; or
  - (b) any Losses are reasonably and properly owed to, or incurred by, the Company, or any member of the TfL Group
- then the same may be set-off against and/or deducted and/or withheld from any sum then due due or which at any time thereafter may become due to the Supplier under this Agreement or any Contract.
- 10.14 Payment Applications shall be submitted separately for each Contract and all such Payment Applications shall clearly show the Contract Reference Number, the Order number (as indicated on the relevant Order), the date of the Order, the Order Price and any associated Variation Order. Supporting documentary information shall be submitted to the Company's Representative for all Payment Applications submitted by the Supplier. The Company's Representative shall from time to time agree with the Supplier the detailed information required in relation to all such Payment Applications and the Supplier shall provide such information as is reasonably required.
- 10.15 All sums payable to the Company by the Supplier under each Contract shall be paid in full, free of any present or future taxes, levies, duties, charges, fees or withholdings and without any deduction, restriction, conditions, withholding, set-off or counterclaim whatsoever; and if the Supplier is compelled by law to make any deduction or withholding, the Supplier shall gross up the payment so that the net sum received by the Company will be equal to the full amount which the Company would have received had no such deduction or withholding been made.
- 10.16 No payment made by the Company will indicate or be taken to indicate the Company's acceptance or approval of any part of the Goods delivered or any Services performed or of any act or omission of the Supplier or will absolve the Supplier from any obligation or liability imposed upon the Supplier by any provision of the Agreement and any Contract or otherwise.

## **11 Delivery of Goods**

- 11.1 The Goods shall be delivered by the Supplier to the Company on the Expected Order Delivery Date and on the times stated in the Order and at the Delivery Address. The Supplier shall be

responsible for, and shall comply with all reasonable instructions of the Company with regard to, the unloading of the Goods at the Delivery Address. The Company shall be under no obligation to accept partial delivery of an Order.

- 11.2 The time of delivery of the Goods shall be of the essence in respect of each Contract.
- 11.3 If the Goods are not supplied on the Expected Order Delivery Date stated in the relevant Order then, without limiting any other remedy, the Company shall be entitled to deduct from the price payable for such Goods or to claim from the Supplier by way of Liquidated Damages for delay the amount stated in Schedule 1 for the period of delay stated in Schedule 1 *[up to a maximum of the percentage stated in Schedule 1 of the price payable for such Goods]*. The Company shall not be entitled to deduct such amount from the price payable for such Goods or to claim such amount from the Supplier by way of Liquidated Damages for delay to the extent that the delay is due to (i) a default or other act of prevention of the Company, its agents, employees or contractors (other than the Supplier) or (ii) a Force Majeure Event, or a (iii) Permitted Delay Event.
- 11.4 The Supplier accepts that the amount of Liquidated Damages under any Contract constitutes a genuine pre-estimate of the loss that would be suffered by the Company as a result of the Supplier's failure to achieve the Expected Order Delivery Date.
- 11.5 The Goods shall be properly packed and secured in such a manner as to reach the Delivery Address in good condition and otherwise in a condition which fully complies with the requirements of each Contract.
- 11.6 The Supplier shall provide a detailed delivery note stating the relevant Contract Reference Number, Order number (given on the relevant Order) and giving full particulars of the Goods to be supplied (the "**Delivery Note**"). A copy of the Delivery Note shall be delivered with the Goods and be sent by facsimile to the Company on the Order Delivery Date in accordance with Clause 42.
- 11.7 If for any reason the Company is unable to accept delivery of the Goods on or after the Expected Order Delivery Date, the Supplier shall store the Goods, safeguard them and take all reasonable steps to prevent their deterioration until the Order Delivery Date, and the Company shall be liable to the Supplier for the reasonable cost (including insurance) of its so doing.
- 11.8 In the event that all or any of the obligations of the Supplier under any Contract to pay Liquidated Damages are held to be unenforceable, the Supplier agrees to pay the Company damages in respect of all actual Losses suffered by the Company due to the circumstances in respect of which Liquidated Damages would have been payable if the relevant obligation had been enforceable including, without limitation, loss of profit, loss of use, loss of revenues, loss of

production and loss of savings. The damages payable by the Supplier in accordance with this Clause 10 shall not exceed the amounts which would have been payable if the relevant obligation(s) to pay Liquidated Damages had been enforceable save where such obligation(s) are held to be unenforceable as a result of any argument or proceedings raised or brought by the Supplier that such obligation(s) are unenforceable, in which case the amount of such damages shall be unlimited.

- 11.9 The Supplier will not, and will ensure that neither its subcontractors, suppliers nor any other person will have, a lien, charge or encumbrance on or over any of the Goods which are vested in the Company under Clause 17.2 for any sum due to the Supplier or its subcontractors, suppliers or other persons and the Supplier shall take all reasonable steps as may be necessary to ensure that the title of the Company and the exclusion of any such lien charge or encumbrance are brought to the notice of subcontractors and other persons dealing with any such Goods.
- 11.10 The Company shall be under no obligation to accept or pay for any Goods delivered in excess of the quantity ordered. If the Company elects not to accept such over-delivered Goods it shall be entitled to give notice in writing to the Supplier to remove them. Within 7 days of receipt by the Supplier of such notice the Supplier shall remove the excess and refund to the Company any expenses incurred by the Company as a result of such over-delivery (including but not limited to the costs of moving and storing them) failing which the Company shall be entitled to dispose of such Goods and to charge the Supplier for the costs of such disposal. The risk in any over-delivered Goods shall remain with the Supplier until they are collected by or on behalf of the Supplier or disposed of or purchased by the Company, as appropriate
- 11.11 Notwithstanding Clause 10.6 the Company may revise the Delivery Note by providing the Supplier with not less than one (1) days notice of the revised Delivery Date (the "Revised Delivery Note").

## **12 Supplier Performance**

- 12.1 *On the date that the Company's Representative receives the first Payment Application and every 4 weeks after that date, the Company assesses the Supplier's performance under the Agreement and each Contract in accordance with Schedule 11 Supplier Performance*
- 12.2 *The Company shall have the right to:*
- (a) *abate the Supplier for failure to meet the key performance indicators stated in Schedule 11 Supplier Performance; and*

- (b) *use the escalation process stated in Schedule 11 Supplier Performance to rectify any unsatisfactory performance by the Supplier in its performance of the Agreement and any Contract or any failure by the Supplier to meet the performance standards set out in Schedule 11 Supplier Performance*

### **13 Failure to Perform the Services**

- 13.1 If the Supplier has not performed the Services in accordance with the terms of any Contract, without prejudice to any other rights the Company shall have under such Contract, the Company shall be entitled to require the Supplier to carry out such work as is necessary to rectify its non-performance which where necessary shall include re-performing the Services within the time period that the Company shall specify.
- 13.2 Without limiting any other remedy, if the Supplier fails to comply with the requirements of Clause 12.1, the Company shall be entitled to perform or procure the performance of the Services or part thereof itself or from a third party.
- 13.3 For the purposes of Clause 12.3 the Supplier hereby grants to the Company and any third party the right to use any Intellectual Property Rights, (limited to purchased materials) Documentation, goods, materials and spares belonging to the Supplier or used by the Supplier in connection with the Agreement and any Contract as may be required by the Company to exercise its rights under Clause 12.3 and the Supplier shall provide all such co-operation and assistance as may be required by the Company to enable the Company to exercise its rights under Clause 12.3.

### **14 Access and Time for Performance of the Services**

- 14.1 The Company shall give the Supplier access to the parts of the Underground Network required for the performance of the Services in accordance with the provisions of this Clause 13.
- 14.2 Subject to the provisions of Clause 12, the Company shall use reasonable endeavours to give access to such parts of the Underground Network to the Supplier on the dates and times on which it has stated that it requires such access.
- 14.3 The Supplier acknowledges that the Company does not guarantee uninterrupted or exclusive possession to any parts of the Underground Network and that its access to some parts of the Underground Network may be limited in accordance with the Agreement and each Contract.
- 14.4 Where the Supplier requires access to the Underground Network to carry out the Services it shall:
- (a) apply for access at the earliest available opportunity; and

(b) provide the Company's Representative without delay with such additional information as the Company's Representative may reasonably require in respect of the Supplier's access requests.

- 14.5 The Company shall confirm access bookings in accordance with this Clause 13. The Company does not warrant or guarantee to the Supplier that such access will be granted. If any request for access is rejected, the Company shall advise the Supplier and agree with the Supplier alternative dates for resubmission. The rejection of an access request shall not entitle the Supplier to an extension of time.
- 14.6 If the Supplier fails to apply for access in accordance with this Clause 13, the Company shall not be liable for any delays or costs arising and the Supplier shall be responsible for any failure to comply with the terms of the Agreement and any Contract.
- 14.7 The Supplier shall as soon as practicable, take all steps to avoid, overcome or minimise the cancellation or alteration of approved access. If the Supplier fails to use any booked access, for whatever reason, it shall within twenty-four (24) hours report each instance to the Company's Representative setting out all details including the part of the Underground Network affected, the duration of any delay and the reasons for the delay or cancellation so far as the Supplier is aware.
- 14.8 The Supplier shall ensure that all booked access is used efficiently with minimal disruption and disturbance to others or damage to the Underground Network. The Supplier shall make good any such damage at its own cost at the earliest opportunity and to the reasonable satisfaction of the Company's Representative.
- 14.9 The Supplier shall indemnify and keep indemnified the Company in respect of any claims by third parties relating to the disruption, delay or cancellation of their access due to the actions or omissions of the Supplier.
- 14.10 Prior to returning any part of the Underground Network to the Company at the end of any period of booked access, the Supplier shall clear away and remove all of its facilities, plant, equipment, rubbish and surplus goods and materials and shall leave that part of the Underground Network in a clean and workmanlike condition to the satisfaction of the Company's Representative.
- 14.11 If the Supplier fails to comply with the requirements of Clause 13.10 within such reasonable time as may be allowed by the Company's Representative, then the Company may dispose of those items as the Company sees fit and at the Supplier's cost, which cost if met by the Company shall become a debt due from the Supplier to the Company and is deductible or recoverable by the

Company from any monies due or which may become due to the Supplier under this Agreement and any Contract.

- 14.12 Where the Supplier is denied booked access to any part of the Underground Network through no fault of the Supplier, the Supplier shall be entitled to an extension of time in accordance with Clause 26.2.
- 14.13 The Supplier shall ensure that the Services are satisfactorily completed by the Order Completion Date. The time of the performance of the Services shall be of the essence in respect of each Contract.
- 14.14 *[The Supplier shall ensure that the Services are satisfactorily completed by the Order Completion Date. If the Services are not performed by the Order Completion Date stated in the relevant Order then, without limiting any other remedy, the Company shall be entitled to deduct from the price payable for such Services or to claim from the Supplier by way of Liquidated Damages for delay the amount stated in Schedule 1 for the period of delay stated in Schedule 1 [up to a maximum of the percentage stated in Schedule 1 of the price payable for such Services]. The Company shall not be entitled to deduct such amount from the price payable for such Services or to claim such amount from the Supplier by way of Liquidated Damages for delay to the extent that the delay is due to (i) a default or other act of prevention of the Company, its agents, employees or contractors (other than the Supplier) or (ii) a Force Majeure Event or a (iii) Permitted Delay Event.*
- 14.15 *The Supplier accepts that the amount of Liquidated Damages under this Agreement and any Contract constitutes a genuine pre-estimate of the loss that would be suffered by the Company as a result of the Supplier's failure to perform the Services by the Order Completion Date.*
- 14.16 *In the event that all or any of the obligations of the Supplier under this Agreement and any Contract to pay Liquidated Damages are held to be unenforceable, the Supplier agrees to pay the Company damages in respect of all actual Losses suffered by the Company due to the circumstances in respect of which Liquidated Damages would have been payable if the relevant obligation had been enforceable including, without limitation, loss of profit, loss of use, loss of revenues, loss of production and loss of savings. The damages payable by the Supplier in accordance with this Clause 13 shall not exceed the amounts which would have been payable if the relevant obligation(s) to pay Liquidated Damages had been enforceable save where such obligation(s) are held to be unenforceable as a result of any argument or proceedings raised or brought by the Supplier that such obligation(s) are unenforceable, in which case the amount of such damages shall be unlimited.]*

## **15 Work on Company's Sites**

15.1 During the term of each Contract, the Supplier shall:

- (a) ensure the personnel used in the provision of the Services are competent, properly trained and supervised and hold appropriate qualifications or certifications in accordance with any Applicable Laws and Standards;
- (b) ensure that all employees and agents of the Supplier including any of the Supplier's subcontractors working on the Company's or third parties' sites comply with the sites' local safety arrangements and undergo any relevant induction or training necessary and comply with all reasonable instructions of the Company or third party;
- (c) notwithstanding the terms of Clause 14.1(d), accept full responsibility for its subcontractors and ensure that such subcontractors adhere to the terms and conditions of each Contract;
- (d) supply the Company with a list of all personnel working on the Company's or third parties' site and notify the Company in writing of any changes to the identity of such personnel within one (1) Working Day of such change taking place;
- (e) ensure that no employees or agents of the Supplier including any of the Supplier's subcontractors use the Company's or a third parties' site equipment without the prior written consent of the Company or the relevant third party;
- (f) carry out the Services in such a manner as not to endanger or interfere in any way with the railway, the Company or any railway operator. The Supplier shall strictly observe all rules and regulations set out or referred to in the Agreement and any further instructions, rules and regulations which it may from time to time receive from the Company's Representative for the working, protection and return of the railway or for the protection of persons on or adjacent to the railway; and
- (g) attend the Company or any third party in order to advise on the effects of the Supplier's actions or proposed actions in respect to the Services on the integrity and/or functionality of any other aspect of the railway.

15.2 Without prejudice to Clauses 14.1(a) to (g) the parties shall co-operate with one another and act reasonably and in good faith in and about the performance of their respective obligations and the exercise of their respective rights under each Contract.

## **16 Free Issue Materials**

- 16.1 In the event of the Company supplying Free Issue Materials to the Supplier under any Contract the cost of which has been included in calculating the Order Price, the Order Price shall be reduced by the amount included in the Order Price for the materials which have been replaced by such Free Issue Materials.
- 16.2 Any Free Issue Materials supplied by the Company to the Supplier shall remain the property of the Company and the Supplier shall ensure that all Free Issue Materials are properly labelled as the property of the Company and are kept separate from and not mixed with any materials owned or in the possession of the Supplier or with any materials supplied to it by third parties.
- 16.3 The Supplier shall properly store all Free Issue Materials and other property of the Company whilst the same are in the Supplier's possession and protect the same from damage by exposure to the weather and shall take every reasonable precaution against accident or damage to the same from any cause. The Supplier shall be liable for all loss thereof or damage to such Free Issue Materials and other property of the Company whilst the same are in the Supplier's possession or in the possession of any subcontractor of the Supplier except where such loss or damage is solely due to any negligent act or omission of the Company or its employees.

## **17 Failure to Supply the Goods**

- 17.1 Without prejudice to any other right or remedy of the Company under this Agreement and each Contract, and its rights under Clause 21, if the Supplier fails to supply the Goods or any part to the Company's satisfaction the Company may give the Supplier at least seven (7) days' notice in writing (except in an emergency when no notice need be given) requiring the Supplier to remedy such failure. If the Supplier fails to comply with the requirements of the Company specified in such notice the Company shall be entitled to perform or procure the supply of the Goods or part thereof itself or from a third party. Without prejudice to any other right or remedy of the Company hereunder or under the general law, all expenditure properly incurred by the Company exercising its rights under this Clause 12 is recoverable by the Company from the Supplier and the Company shall be entitled to deduct such amounts from any amount due or to become due to the Supplier under the Contract.
- 17.2 For the purposes of Clause 16.1 the Supplier hereby grants to the Company and any third party the right to use any Intellectual Property Rights, Documentation, goods, materials and spares belonging to the Supplier or used by the Supplier in connection with the Contract as may be required by the Company to exercise its rights under Clause 16.1 and the Supplier shall provide

all such co-operation and assistance as may be required by the Company to enable the Company to exercise its rights under Clause 16.1.

## **18 Risk and Ownership**

- 18.1 Risk of damage to, or loss of, the Goods shall pass to the Company upon counter-signature by the Company of the Delivery Note. If the Company serves a Rejection Notice under Clause 18.2, risk of damage to and loss of the Goods shall pass to the Supplier on the earlier of the date that the Supplier removes the Goods from the Delivery Address (or such other address as the Company shall specify under Clause 18.3) or the date falling three (3) days after the receipt by the Supplier of the Rejection Notice.
- 18.2 The Supplier shall, without further act, pass title to the Goods, with full title guarantee to the Company, upon the Order Delivery Date.

## **19 Inspection of the Goods**

- 19.1 Following delivery by the Supplier to the Company of the Goods the Company shall inspect the Goods.
- 19.2 If, following the inspection referred to in Clause 18.1, the Goods do not comply with the terms of the relevant Contract, including but not limited to, conforming to the Specification and being fit for the purpose for which they are intended, without prejudice to any rights or remedies the Company may have against the Supplier, whether under the relevant Contract or otherwise, the Company may by notice in writing (the "**Rejection Notice**") to the Supplier reject all or any part of the Goods (the "**Rejected Goods**").
- 19.3 The Rejection Notice shall specify the reason for the rejection of the Rejected Goods. Within seven (7) days of receipt of the Rejection Notice, the Supplier shall remove such Rejected Goods at its risk and expense from the Delivery Address or such other address as the Company shall specify in the Rejection Notice and shall at the Company's option:
- (a) replace such Rejected Goods with Goods which conform in all respects with the relevant Contract within five (5) Working Days; or
  - (b) if an application for payment has been submitted or payment made for the Rejected Goods, issue a credit note in respect of that application or refund the payment (as applicable); and
- 19.4 The Company's rights and remedies under this Clause 18 are in addition to the rights and remedies available to it in respect of the statutory conditions relating to description, quality,

fitness for purpose and correspondence with sample implied into the relevant Contract by the Sale of Goods Act 1979.

- 19.5 If the Supplier fails to promptly replace Rejected Goods in accordance with Clause 18.3(a), the Company may, without affecting its rights under Clause obtain substitute goods from a third party supplier, or have the Rejected Goods repaired by a third party, and the Supplier shall promptly reimburse the Company for the costs it incurs in doing so.
- 19.6 The Goods shall conform in all respects with any sample approved by the Company and in the absence of a sample; all the Goods provided shall be within the normal limits of industrial quality.

## **20 Warranty**

- 20.1 Without prejudice to any rights or remedies the Company may have against the Supplier whether under each Contract or otherwise, the Supplier shall without delay, upon a request by the Company to do so, replace or (at the Company's option) repair all Goods in which a Defect has occurred or is likely to occur in the reasonable opinion of the Company, provided that such request is made during the Warranty Period. Any replacement Goods shall comply in all respects with the terms of the relevant Contract and shall conform to the Specification and shall be fit for the purpose for which they are intended.
- 20.2 For the avoidance of doubt, where Goods are replaced or repaired in accordance with this Clause 19, such repaired Goods or replacement Goods shall be re-delivered to the Company in accordance with the terms of the relevant Contract and the provisions of Clauses 10, 17 and 18 shall apply to such re-delivered Goods. The Warranty Period for these purposes shall commence on the date that the Supplier delivers the Goods in accordance with Clause 10 or, where applicable, re-delivers the Goods in accordance with this Clause 19.
- 20.3 The Supplier shall use all reasonable endeavours to procure for the Company the benefit of such warranties and other rights as are conferred on the Supplier in relation to Defects in such part or parts of the Goods which are not manufactured by the Supplier.

## **21 Intellectual Property Rights**

### *21.1 Existing Contracts*

The Agreement is entirely without prejudice to, and nothing in it is intended to, nor shall, in any way prejudice the rights of any member of the TfL Group in relation to intellectual property under or pursuant to Existing Contracts.

### *21.2 Vesting of Intellectual Property Rights created under this Agreement or any Contract*

All Intellectual Property Rights created wholly or mainly in connection with the performance of, or in order to perform, the Agreement and each Contract shall vest in the Company. The Supplier shall procure that each of its subcontractors (of any tier) or other third party shall assign such Intellectual Property Rights to the Company.

21.3 *Ownership of the Supplier's Intellectual Property Rights*

Without prejudice to Clause 20.2, all Intellectual Property Rights owned by the Supplier or its subcontractors (of any tier) or other third party and which are not assigned to, or vested in, the Company pursuant to Clause 20.2 shall remain or be vested in the Supplier, its subcontractors (of any tier) or other third party (as the case may be).

21.4 *Company's Licence to use the Supplier's Intellectual Property Rights*

The Company shall have and the Supplier hereby grants and procures that its subcontractors (of any tier) or other third party grant, to the Company a worldwide, royalty-free, perpetual, irrevocable, non-exclusive licence (with the right to sub-licence such rights to any third party) to use and copy the Intellectual Property Rights referred to in Clause 20.3 for the purposes of:

- (a) understanding the Goods and Services;
- (b) operating, maintaining, repairing, modifying, altering, enhancing, re-figuring, correcting, replacing, re-procuring and re-tendering the Goods and Services;
- (c) extending, interfacing with, integrating with, connecting into and adjusting the Goods and Services;
- (d) enabling the Company to carry out the operation, maintenance, repair, renewal and enhancement of the Underground Network;
- (e) executing and completing the provision of the Goods and Services; and
- (f) enabling the Company to perform its function and duties as Infrastructure Manager and Operator of the Underground Network.

21.5 *Provision of Supporting Documentation and Other Materials*

The Supplier shall:

- (a) promptly, and in any event by no later than such date as the Company may notify to the Supplier, provide at no charge to the Company, copies of any materials and items (including, without limitation, Documentation) in the Supplier's or subcontractor's (of any

tier) or other third party's possession or control (or which ought reasonably to be in the Supplier's or subcontractor's (of any tier) or other third party's possession or control) which are referred to or relied upon in using and copying, or required in any way for the use and copying of, the Intellectual Property Rights referred to in Clauses 20.2, 20.3 and 20.4 above; and

- (b) keep copies of such materials, items and Documentation in a secure place where they will not deteriorate and undertake regular (and in any event not less than every three months) integrity testing of the same and provide written evidence of such testing to the Company at regular intervals and in any event upon the Company's request.

#### 21.6 *Company's Rights of Retention*

If the Supplier has not complied with its obligations under Clause 20.5(a), the Company shall be entitled to retain one quarter of the sums that would otherwise be due to the Supplier under each Contract until the Supplier has complied with its obligations under Clause 20.5(a).

#### 21.7 *Company's Rights to the Software*

If the Supplier or any of its subcontractors providing software for incorporation into or operation of the Goods and/or as part of the Services stops trading, is subject to an insolvency event equivalent to any of those events set out in Clause 21.1 (including their equivalent in any jurisdiction to which the Supplier or any of its subcontractors is subject), makes known its intention to withdraw support of that software or fails to support that software in accordance with the terms of the Agreement and each Contract then the Supplier, at no charge to the Company, shall use its best endeavours to transfer or procure the transfer to the Company of all Intellectual Property Rights in that software.

#### 21.8 *Company's Rights in relation to Other Procurement Activities*

For the avoidance of doubt, the Company shall be entitled to use and copy the materials, items and Documentation referred to in Clause 20.5 above and anything in which the Intellectual Property Rights referred to in Clauses 20.2, 20.3 and 20.4 subsist for the purposes of inviting tenders or of procuring goods and/or services the same as or similar to the Goods and/or Services for the carrying out of any activities in connection with the licence under Clause 20.4 subject always to the Company's requirements for tenderers to treat the same in the strictest confidence.

#### 21.9 *Supplier's Indemnity against Third Party Intellectual Property Rights Infringement*

- (a) The Supplier shall indemnify and hold harmless the Company and any member of the TFL Group against any actions, claims, losses, demands, costs, charges or expenses that arise from or are incurred by reason of any infringement or alleged infringement of any Intellectual Property Rights belonging to any subcontractor (of any tier) or other third party and against all costs and damages of any kind which the Company may incur in connection with any actual or threatened proceedings before any court or arbitrator or any other dispute resolution forum. If required by the Company the Supplier shall conduct negotiations with any subcontractor (of any tier) or other third party and/or a defence in relation to any action, claim or demand referred to herein on behalf of the Company.
- (b) In the event of a claim of infringement of any Intellectual Property Rights the Supplier shall use all reasonable endeavours to make such alterations or adjustment to the Goods as may be necessary to ensure that the use and provision of the Goods continues in spite of such claim.

21.10 *Ownership of the Company's Intellectual Property Rights*

Intellectual Property Rights in all Documentation and in all other material and items supplied by the Company to the Supplier in connection with the Agreement and each Contract shall remain vested in the Company or the person owning such rights at the time the Documentation, material or items were supplied. The Supplier shall, if so requested, at any time, execute such documents and perform such acts as may be required fully and effectively to assure to the Company the rights referred to in this Clause.

*[Company's Intellectual Property Rights*

21.11 *The Supplier is not entitled to use in any manner whatsoever any Intellectual Property Rights belonging to the Company.]*

## **22 Termination and Suspension**

- 22.1 The Company may terminate the Agreement and/or any individual Contract (in which case any remaining outstanding Contracts shall survive) immediately by notice in writing to the Supplier if:
- (a) the Supplier commits a breach of the Agreement and/or any Contract which in the case of a breach capable of remedy has not been remedied within five (5) Working Days, or such other period as may be agreed between the Supplier and the Company, of the Company serving notice on the Supplier requiring such remedy;

- (b) the Supplier or anyone employed by or acting on behalf of the Supplier (whether or not acting independently of the Supplier when committing any breach) commits a Safety Breach or Prohibited Act;
- (c) any limit on the Supplier's liability to pay Liquidated Damages is reached or exceeded;
- (d) the Supplier enters into compulsory or voluntary liquidation (other than for the purpose of effecting a solvent reconstruction or amalgamation provided that if the company resulting from such reconstruction or amalgamation is a different legal entity it shall agree to be bound by and assume the obligations of the Supplier under the Agreement and each Contract) or is deemed unable to pay its debts as they fall due *[in accordance with] [within the meaning of]* Section 123(1) of the Insolvency Act 1986, or a meeting of its shareholders or directors is convened to consider any resolution for (or petition or file documents with the courts for) its administration or an administrative receiver, manager, administrator, liquidator, trustee or other similar officer is appointed or notice is given to appoint the same *[or any similar or analogous procedure or step is taken in any jurisdiction]*;
- (e) a breach of the Supplier's obligations under Clause 49 *[or*
- (f) *the Company becomes entitled to terminate in accordance with the escalation procedure set out in Schedule 9 Supplier Performance*

22.2 Without prejudice to Clause 21.1, the Company shall have the right:

- (a) to terminate the Agreement and/or any individual Contract (in which case any remaining outstanding Contracts shall survive) at any time by giving notice of not less than thirty (30) days to the Supplier in writing; or
- (b) at any time to require the Supplier to suspend the provision of the Goods and/or Services by giving notice in writing (a "**Suspension Notice**") to the Supplier.

22.3 In the event that the Company terminates the Agreement and/or any Contract for any reason under this Clause 21, the Supplier shall, without prejudice to any other rights or remedies which the Company may have under the Agreement and such Contract or under general law at the Company's option law, at the Company's option:

- (a) permit the Company to enter the Supplier's premises and take possession of any equipment, goods or Documentation which are the property of the Company; and

- (b) permit the Company to place an order for the remaining Goods (or equivalent goods) and Services with any other person or persons or complete the provision of such Services by its own workmen; and
- (c) promptly return to the Company any equipment, goods or Documentation which are the property of the Company and of which the Supplier or any of its subcontractors have possession.

In either such case, the Company shall be entitled to retain those Goods and the benefit of any part of the Services already provided by the Supplier in accordance with the Agreement and the relevant Contract, at the material time.

- 22.4 In the event that the Agreement and/or any Contract is terminated, the liability of the Company shall be limited to payment to the Supplier for those Goods and Services provided in accordance with the Agreement and such Contract up until the date of such termination.
- 22.5 Following a termination in accordance with Clause 21.1 (but not a termination in accordance with Clause 21.2(a)) the Supplier shall be liable to the Company for
- (a) any Losses of whatever nature arising out of or in connection with the relevant breach; and
  - (b) where the Company exercises its rights under Clause 21.3(b) and in so doing incurs costs which are in excess of those which would have been incurred in relation to the due provision of the Goods and Services under the Agreement and the relevant Contract by the Supplier ("**Excess Costs**"), such Excess Costs.
- 22.6 In the event that the Agreement and/or any Contract is suspended in accordance with Clause 21.2(b), the Supplier shall:
- (a) issue to the Company an application for payment in respect of those Goods and Services provided to the Company in accordance with the Agreement and the relevant Contract up until the date of such suspension; and
  - (b) not carry out any further work in connection with the provision of the Goods and Services until such time as the Company issues a notice lifting the suspension (a "**Notice to Proceed**").
- 22.7 In the event that the Agreement and/or any Contract is suspended in accordance with Clause 21.2(b), and such suspension continues for a period of twenty-eight (28) days, the Supplier shall be entitled to request that the Company serve a Notice to Proceed. In the event that no Notice to

Proceed is issued by the Company within a further fourteen (14) days from such request of the Supplier, the Supplier shall be entitled to approach the Company with a request for a variation, in accordance with the Contract Variation Procedure.

- 22.8 In the event that the parties are unable to agree upon the variation requested under Clause 21.7, then a Dispute shall be deemed to have arisen and the matter shall be referred for resolution in accordance with Clause 43.
- 22.9 Termination of the Agreement and/or any Contract for whatever reason shall not affect the accrued rights of the parties arising in any way out of the Agreement and the relevant Contract as at the date of termination and in particular but without limitation the right to recover damages against the other party.
- 22.10 If anyone employed by the Supplier, acting independently of the Supplier, commits a Safety Breach or Prohibited Act, then the Company may require the Supplier to exclude that individual from the provision of the Goods and Services with immediate effect and that individual may only resume the provision of the Goods and Services at the Company's absolute discretion.

## **23 Cooperation in Handover**

- 23.1 The Supplier shall provide at no cost such reasonable assistance to the Company and to any third party nominated by the Company as the Company may require during the last six (6) months of the Agreement and in the three (3) months after the expiry of the Term (or, in the case of earlier termination for any reason, the period of three (3) months from the effective Agreement termination date) to facilitate the engagement of a successor supplier and/or the resumption by the Company of the supply of the Goods and Services and in such a manner so as not to unduly disrupt or hinder the Company's business.
- 23.2 Without prejudice to the generality of Clause 22.1 above, the Supplier shall on or prior to the expiry of the Term transfer to the Company such Documentation relating to the Goods or full copies thereof as the Company may request.

## **24 Indemnity and Insurance**

- 24.1 The Supplier shall be liable for, and shall indemnify the Company, including any of its employees, servants, agents, subcontractors, directors and officers and members of the TfL Group on an after-tax basis against all Losses suffered or incurred by the Company or relevant member of the TfL Group, arising from or in connection with the performance or non-performance of the Supplier under the Agreement and each Contract:
- (a) in respect of death or personal injury to any person;

- (b) in respect of loss of or damage to any property (including the Underground Network and any other property belonging to the Company or for which it is responsible);
- (c) arising out of or in the course of or by reason of any act, omission, negligence or breach of contract or breach of statutory duty, wilful misconduct of the Supplier, its employees, agents or subcontractors; and
- (d) arising under the Company's contracts with third parties,

and shall, at its own cost on the Company's request, defend the Company in any proceedings involving the same.

- 24.2 The Supplier shall not be liable to indemnify the Company or any member of the TfL Group under the indemnity in Clause 23.1 to the extent Losses are solely due to the negligence, breach of duty or breach of contract of the Company.
- 24.3 The Supplier's indemnity under Clause 23.1 and all other indemnities under the Agreement and each Contract shall remain in force for the duration of the Agreement and each Contract and for the period of [twelve (12)] years after the Order Delivery Date and/or Order Completion Date or earlier termination of the Agreement and each Contract.
- 24.4 The Company may withhold from any sum due or which may become due to the Supplier any sum due to the Company as a result of the operation of Clause 23.1.
- 24.5 Other than in respect of the Losses (i) described in Clauses 23.1(a) and 23.1(d) above and (ii) Excepted Liabilities, neither party shall have any liability to the other for any Consequential Loss arising out of the performance of its obligations under or in connection with the Agreement and each Contract. Each party respectively undertakes not to sue the other party, TfL or any member of the TfL Group in respect of Consequential Loss.
- 24.6 Without prejudice to the obligation to indemnify the Company set out in Clause 23.1, the Supplier undertakes to:
- (a) maintain at its own cost insurance which complies with the Employers' Liability (Compulsory Insurance) Act 1969 and any statutory orders made under such Act or any amendment or re-enactment thereof;
  - (b) maintain at its own cost an adequate level of public liability insurance in respect of the Supplier's liability for death or injury to any person and loss of or damage to property and being not less than £5,000,000 (five million pounds) per occurrence;

- (c) maintain at its own cost an adequate level of professional indemnity insurance commensurate with the risk and, where appropriate, being not less than £2,000,000 (two million pounds) per occurrence;
- (d) maintain at its own cost an adequate level of "goods in transit" insurance commensurate with the risk and, where appropriate, being not less than [ ] per occurrence, in respect of the Supplier's liability for theft, loss or damage to property and Goods while in transit from one place to another or being stored during a journey;
- (e) maintain at its own cost product liability insurance in respect of the Supplier's liability for death or injury to any person, or loss or damage to any property arising out of its performance of any Contract in an amount not less than [ ], for any one occurrence;
- (f) ensure that the foregoing insurance policy or policies shall be or are effected with a reputable insurer. Such insurance shall be on terms approved by the Company (such approval not to be unreasonably withheld or delayed) and shall be maintained in force for a period not less than [twelve (12)] years after the delivery of the Goods and completion of the Services (whichever is the later);
- (g) ensure that any subcontractors also maintain adequate insurance having regard to the obligations under the contract which they are contracted to fulfil; and
- (h) produce within seven (7) days of any reasonable request by the Company and in any event before the commencement of the Services or the provision of any of the Goods by the Supplier under any Contract satisfactory evidence in the form of a broker's letter or similar, confirming the existence of insurance in accordance with the terms of this Clause 23.6.

24.7 The Supplier's liabilities under each Contract shall not be deemed to be released or limited by the Supplier taking out the insurance policies referred to in Clause 23.6.

24.8 If the Supplier fails to maintain the insurance policies as provided in this Clause 23, the Company may effect and keep in force any such insurance and pay such premium or premiums at commercially competitive rates as may be necessary for that purpose and from time to time deduct the amount so paid from any monies due or which become due to the Supplier or recover the same as a debt due from the Supplier.

24.9 Not used.

## **25 Environmental Claims**

- 25.1 *The Supplier shall indemnify the Company against Losses and Remediation costs in respect of any Environmental Claims which may arise out of or by reason of the Supplier's performance, non-performance or part performance of each Contract to the extent that such Losses and Remediation costs are due to any act, negligence, breach of contract, breach of statutory duty, error, omission or default by the Supplier, its employees, subcontractors or agents.*
- 25.2 *The Supplier shall notify the Company's Representative and the Company as soon as it becomes aware that any Remediation is or will become necessary on any part of the Company's site.*
- 25.3 *Where the Supplier discovers or suspects that the site has been contaminated or polluted by another party, the Supplier shall notify the Company's Representative and the Company of the identity of the other party, where known. The Supplier shall not without the prior written consent of the Company undertake any environmental investigations on site or commission or undertake any Remediation. The Supplier shall provide the Company with a separate record of the costs of any Remediation as soon as possible after such costs are incurred.*
- 25.4 *In the event that the Supplier commissions an environmental assessment, the Supplier shall use reasonable endeavours to procure that the environmental assessment includes an acknowledgement by its authors that the Company can rely on any reports, recommendations or summaries prepared in relation to the environmental assessment.*
- 25.5 *The Supplier shall provide to the Company's Representative:*
- (a) copies of all environment-related permissions, permits, consents, licenses, registrations and authorisations required for him to carry out the Goods and Services (for the purposes of this Clause 24.5, the "authorisations");*
  - (b) copies of any amendments to the authorisations;*
  - (c) notification of any revocations, suspensions, cancellations, withdrawals, adverse amendments or refusals to provide any of the authorisations; and*
  - (d) notification of any event or circumstance that is likely to cause the revocation, suspension, cancellation, withdrawal, adverse amendment or refusal to provide any of the authorisations.]*

## **26 Co-operation in Handover**

- 26.1 The Supplier shall provide at no cost such reasonable assistance to the Company and to any third party nominated by the Company as the Company may require during the last six (6) months of the Agreement and any Contract, and in the three (3) months after the expiration of the Term (or, in the case of earlier termination for any reason, the period of three (3) months from the effective Agreement termination date) to facilitate the engagement of a successor supplier and/or the resumption by the Company of the provision of the Goods and Services and in such a manner so as not to unduly disrupt or hinder the Company's business
- 26.2 Without prejudice to the generality of Clause 25.1 above, the Supplier shall on or prior to the end of the effective Agreement termination date transfer to the Company such Documentation relating to the Goods and Services or full copies thereof as the Company may request.

## **27 Force Majeure and Permitted Delay events**

### *Force Majeure*

- 27.1 Neither party shall be in breach of its obligations under any Contract if there is any total or partial failure of performance by it of its duties and obligations under any Contract occasioned by any Force Majeure Event. If either party is unable to perform its duties and obligations under the Agreement or any Contract as a direct result of a Force Majeure Event, that party shall within one (1) Working Day of such event taking place give written notice to the other party specifying the event and the steps taken by it to minimise or overcome the effects of such event. The operation of the relevant Contract shall be suspended during the period (and only during the period) in which the Force Majeure Event continues. Without delay upon the Force Majeure Event ceasing to exist the party relying upon it shall give written notice to the other of this fact. If the Force Majeure Event continues for a period of more than twenty-eight (28) days and substantially affects the abilities of the Supplier to perform its obligations under the relevant Contract, the Company shall have the right to terminate the relevant Contract immediately upon giving written notice of such termination to the Supplier.

### *Permitted Delay Events*

- 27.2 If delay is caused or either Party can reasonably foresee delay occurring by reason of a Permitted Delay Event then the Supplier shall give notice to the Company's Representative of the same and any claim for an extension of time to the Delivery Date, within seven (7) days after the cause of any delay has arisen.

27.3 For the purposes of this Agreement or any Contract, the occurrence of one or more of the following shall constitute a "Permitted Delay Event":

- (a) any act of prevention, omission, default or neglect or breach by the Company of an express obligation under this Agreement or any Contract; or
- (b) any variation of the Agreement or any Contract under Clause 8; or
- (c) the suspension of this Agreement or any Contract in accordance with Clause 21 (other than where the suspension is necessary by reason of default by the Supplier).

27.4 Where any delay in achieving the Expected Order Delivery Date and/or Order Completion Date arises, the Supplier shall be entitled to an extension to such Expected Order Delivery Date and/or Order Completion Date (either prospectively or retrospectively) but only to the extent that such delay is directly caused by a Permitted Delay Event that has a direct and material adverse effect on the Supplier's ability to provide the Goods by the Expected Order Delivery Date and/or Order Completion Date and provided that the Supplier:

- (a) notifies the Company of the Permitted Delay Event in accordance with Clause 26.2 and subsequently provides such further information as the Company may reasonably require regarding the nature and likely duration of such event;
- (b) provides the Company with reasonable access to the Supplier's premises or of its subcontractors for investigating the validity of the potential Permitted Delay Event;
- (c) uses its reasonable endeavours to mitigate the delay to the relevant Delivery Date; and
- (d) shall not be entitled to an extension of time to the extent that the Permitted Delay Event was caused by or resulted from any act, omission, neglect, default or breach of this Contract by the Supplier, its subcontractors and/or employees.

## **28 Safety**

28.1 The Supplier shall not endanger in any manner the health and safety of, or unreasonably interfere with the proper performance of the duties of, the Company's employees or third parties or otherwise expose the Company to liability under any Applicable Laws and Standards, including (without limitation) the Health and Safety at Work etc. Act 1974, the Transport and Works Act 1992, or any statutory modifications or re-enactments thereof.

28.2 The Supplier shall act in accordance with the health and safety regulations and requirements stated in the Specification, including (but not limited to):

- (a) the provisions of the Company's Contract QUENSH Conditions that are indicated as being applicable to any Contract in the QUENSH menu set out in the Specification ("**QUENSH**") as amended from time to time; and
- (b) the Company's drug and alcohol principles as amended from time to time.

28.3 Section 20.1.1 (Alcohol and drugs) of QUENSH shall apply to the Agreement and each Contract as if the term "LU Premises" means any of the Company's property and/or where the Services are carried out and as if references to "LU" are references to the Company.

28.4 The Company may at its discretion carry out on the Supplier's behalf any testing of the Supplier's employees, subcontractors or agents for drugs or alcohol which each Contract requires the Supplier to carry out. The reasonable cost to the Company of carrying out the testing shall be paid by the Supplier.

## **29 Construction (Design and Management) Regulations 2015**

29.1 To the extent that the Construction (Design and Management) Regulations 2015 (the "CDM Regulations") apply to the Agreement and each Contract, the Company reserves the right to appoint the Supplier to act as principal contractor and principal designer pursuant to Regulation 5(1) of the CDM Regulations.

29.2 The Supplier accepts such appointments, and agrees to carry out all associated obligations imposed by the CDM Regulations.

## **30 Independent Supplier**

30.1 The Supplier is an independent supplier and is not and shall not hold itself out as, and shall procure that none of the Supplier's employees or subcontractors or their employees hold themselves out as, an agent of the Company. All personnel used by the Supplier in the performance of its obligations under each Contract shall be employees of the Supplier, or any subcontractor or agent of the Supplier.

## **31 Supplier Personnel**

31.1 For the purposes of this Clause 30:

**"Current Service Provider"** means any person, company or other legal entity which on or before the Commencement Date was the employer of any of the Transferring Employees, and which (for the avoidance of doubt) may include the Company;

**“Replacement Employer”** means any person to whom a Subsequent Relevant Employee may or does transfer under the Transfer Regulations on termination of the contract (or part of it);

**“Relevant Claims and Liabilities”** means all liabilities, obligations, proceedings, court or tribunal orders, losses, fines and penalties, damages, expenses, costs (including reasonable legal costs and disbursements) actions, claims and demands;

**“Subsequent Transfer Date”** means the time and date on which a Subsequent Relevant Employee transfers to a Replacement Employer by virtue of the Transfer Regulations;

**“Subsequent Relevant Employee”** means a person employed or engaged by the Supplier or relevant subcontractor from time to time in respect of any part of the supply of Goods and/or Services who would transfer to a Replacement Employer by virtue of the Transfer Regulations on termination of the contract (or part of it);

**“Transfer Regulations”** means all or any of the following: the Transfer of Undertakings (Protection of Employment) Regulations 2006; the Transfer of Employment (Pension Protection) Regulations 2005; any other or further regulations, order or statutory instrument which apply or are capable of applying to a person to whom section 257 of the Pensions Act 2004 applies, as amended, replaced or extended from time to time and including any regulations or other legislation which (either with or without modification) re-enacts, adopts, consolidates or enacts in rewritten form any such regulations; and

**“Transferring Employees”** means those employees of or those engaged by the Current Service Provider who transfer or have the right to transfer to the Supplier under the Transfer Regulations.

31.2 The Supplier complies and procures that his sub-contractors comply with any obligations which may arise out of a transfer to the Company or another person under the Transfer Regulations upon the expiry of the Term or earlier termination of the Agreement.

31.3 At any time during the last twelve (12) months of the Agreement and/or during any period of notice terminating the Agreement, the Company may require the Supplier to provide, within a specified period of being requested, to the Company (or to any other person or persons nominated by the Company) such information as is reasonably required by the Company or such other persons relevant to the potential liabilities of the Company or any other person arising under the Transfer Regulations including but not limited to information on the following:

- (a) the names of employees (of the Supplier or its subcontractors) engaged in supplying the Goods and/or Services, their salaries and other conditions of employment, ages and length of service;
- (b) the method of organisation of the employees (of the Supplier or its subcontractors) engaged in supplying the Goods and/or Services and documentary evidence relating to such organisation;
- (c) the proposals for informing and consulting with affected employees;
- (d) details of collective agreements and union recognition agreements; and
- (e) any other employee liability information within the meaning of the Transfer Regulations,
- (f) and will in addition provide copies to the Company upon request of any communication with any potential or intended new consultant or the Supplier's employees or their representatives relating to the effect on such employees of the expiry or termination of the Agreement.

31.4 The Supplier will provide the Company upon request with the name and address of a person within its organisation to whom all queries and requests for information under this Clause 30 may be addressed. The Supplier will if required by the Company warrant that any information provided under Clause 30 is accurate, complete and not misleading, including any information supplied in relation to its subcontractors.

31.5 The Supplier will not and will procure that its subcontractors will not in the [ ] prior to the expiry of the Term or termination of the Agreement (or, where notice of termination is given of less than six (6) months, during any such period of notice) without the Company's written consent:

- (a) re-organise or substantially alter the number or method of organisation or identity of the employees engaged in the provision of the Goods and/or Services, except to the extent that any such change is the result of a bona fide business reorganisation of the Supplier or the relevant subcontractor which is not related or confined to the employees engaged in supplying the Goods and/or Services or relates to the expected expiry of the Term or termination of the Agreement, or
- (b) make any increase to the salaries or any significant change to the terms and conditions of employment of the employees engaged in the provision of the Goods, except where such increases or changes would have arisen in the ordinary course of the Supplier's or the relevant sub-contractor's business and are not related to the expiry of the Term or termination of the Agreement (either because they are applied to all of the Supplier's or

the relevant sub-contractor's employees, whether or not engaged in providing the Goods or otherwise) or are the result of a bona fide business reorganisation of the Supplier or the relevant sub-contractor which is not related or confined to the employees engaged in supplying the Goods or relates to the expiry of the Term or termination of the Agreement.

31.6 The Supplier shall indemnify the Company against all Relevant Claims and Liabilities arising from or incurred by reason of any act or omission of the Supplier, its servants or agents in connection with or arising from or incurred by reason of the employment of the Transferring Employees, including but not limited to any claim against the Company or any other person for damages for breach of contract, or for compensation for unfair or wrongful dismissal or redundancy, or failure to provide comparable pension rates, or failure to provide information, or failure to inform or consult Transferring Employees, or in respect of death or personal injury, breach of statutory duty or any other claim in tort by a Transferring Employee, or by a person who would be a Transferring Employee but for any act or omission (including dismissal or constructive dismissal) of the Supplier, arising from the operation (or alleged operation) of the Transfer Regulations in relation to the Goods and/or Services.

31.7 The Supplier shall indemnify the Company and all Replacement Employers against all Relevant Claims and Liabilities arising from or related to:

- (a) any claim by a Subsequent Relevant Employee in respect of any default, failure or omission (or alleged default, failure or omission) by any person whatsoever concerning or arising from employment before a Subsequent Transfer Date in respect of which the Company or the Replacement Employer incurs liability cost or expense by reason of the operation (or alleged operation) of the Transfer Regulations; and
- (b) any claim by any former or existing employee of the Supplier or relevant Subcontractor (other than a Subsequent Relevant Employee) in respect of which the Company or a Replacement Employer incurs liability cost or expense by reason of the operation (or alleged operation) of the Transfer Regulations.
- (c) In this Clause 30.7 "Relevant Claims and Liabilities" include those incurred by the Company by reason of any contract term between the Company and a Replacement Employer provided always that in relation to Relevant Claims and Liabilities which the Company may incur to a Replacement Employer, the Supplier shall not be required to indemnify the Company or the Replacement Employer for more than or with a greater scope than it would if such Relevant Claims and Liabilities were made against or incurred by the Company in providing an indemnity under this paragraph.

- 31.8 The provisions of this Clause 30 are without prejudice to the Transfer Regulations. For the avoidance of doubt, any remedies available to the Company for any breach by the Supplier of any provision of this Clause 30 shall be in addition to and not in substitution for any remedies available to the Company under any provision of the Transfer Regulations.

Key Personnel

- 31.9 *[The Supplier shall ensure that each of the Key Personnel devotes substantially their whole time and effort to the provision of the Goods and Services. The Supplier shall take all reasonable steps to ensure it retains the services of the Key Personnel and shall not without the Company's prior written consent terminate their employment, remove or change Key Personnel or do any such thing which would cause any of the Key Personnel to resign.]*
- 31.10 *The Supplier agrees to inform the Company of any changes to the Key Personnel where any relevant member of Key Personnel dies, suffers long term sickness or disability, is incapacitated by reason of ill health or accident from performing his or her duties for a period of or periods aggregating thirty (30) days in the preceding three (3) months, is guilty of gross or serious misconduct, goes on any period of statutory leave (other than holiday) or leaves the Supplier's employment.*
- 31.11 *The Supplier shall be responsible for the costs of replacing any member of Key Personnel with an appropriately qualified and competent replacement (including but not limited to, the cost of training any replacement to ensure that they can take over the vacated position efficiently and without disrupting the provision of the Goods and Services). The Supplier shall use all reasonable endeavours to ensure that any replacement for any member of Key Personnel is engaged and available to perform his or her role as soon as reasonably practicable and at least within seven (7) days of the expiry of the notice period of the relevant member of Key Personnel. Where termination of the relevant member of Key Personnel is due to gross or serious misconduct, a replacement shall be engaged and available to perform his/her role as soon as reasonably practicable and in any event within twenty-eight (28) days. Further, save where the relevant member of Key Personnel being replaced has vacated the position immediately due to death, illness, gross misconduct or some other similar reason, the Supplier shall, at its own cost, ensure that the member of Key Personnel being replaced works in parallel with his or her replacement to hand over to them for a period of seven (7) days or any shorter period agreed between the parties.*
- 31.12 *A reasonable period before an offer of engagement is made to a replacement member of Key Personnel, the Supplier shall provide such information about and access to the relevant individual as the Company may reasonably require. The Company shall notify the Supplier if it objects to the appointment of an individual as a member of Key Personnel, together with its*

*reasons for such objection. The Supplier shall comply with any request by the Company that a particular person should not become a member of Key Personnel.*

31.13 *The Company may change the list of Key Personnel on reasonable notice and subject to the consent of the Supplier, such consent not to be unreasonably withheld or delayed.]*

31.14 Staff Travel Facilities

## **32 Confidentiality**

32.1 The Supplier undertakes to keep confidential and not to disclose to any third party (without the prior written consent of the Company) any Confidential Information supplied by the Company to the Supplier and shall use such information only for the purpose of the performance of his obligations under each Contract.

32.2 On the Company's request, the Supplier shall, so far as is reasonably possible:

- (a) transfer onto hard copies or other media in industry standard format and programming languages and deliver to the Company any Confidential Information in its possession or control supplied by the Company to the Supplier;
- (b) return to the Company all copies (whether hard copy or other media) of such Confidential Information; and
- (c) destroy, erase or otherwise expunge from its records, systems, databases or other forms of archive all such Confidential Information save to the extent that information needs to be retained for statutory purposes or tax purposes.

32.3 The Supplier shall ensure that all his subcontractors, suppliers, employees and agents perform his obligations in Clauses 31.1 and 31.2 as if they were the Supplier, and the Supplier shall be responsible to the Company for any act or omission by his subcontractors, suppliers, employees and agents in breach of such obligations.

32.4 The Supplier shall notify the Company promptly if the Supplier becomes aware of any breach of confidence by a subcontractor, supplier, employee or agent and shall give the Company all assistance the Company reasonably requires in connection with any proceedings the Company brings, or other steps the Company takes, against that subcontractor, supplier, employee or agent for such breach of confidence.

- 32.5 The Supplier shall not, either alone or jointly with others, publish any material relating to the Company, the Company's Representative, any Contract or the Goods and Services without the prior written consent of the Company.
- 32.6 The Supplier shall not, either alone or jointly with others, make any press, television, radio or other media announcement in connection with any Contract or the Goods and Services, or any Dispute arising under or in connection with any Contract.
- 32.7 The provisions of Clauses 31.1 to 31.6 shall not apply:
- (a) to any information which is already in the public domain at the time of its disclosure other than by breach of any Contract; or
  - (b) to any information which is required to be disclosed to the extent required by any applicable law, the regulations of any recognised stock exchange, any taxation authorities or by order of a court or other tribunal of competent jurisdiction or any relevant regulatory body.
- 32.8 The Supplier acknowledges that damages would not be an adequate remedy for any breach of this Clause 31 by the Supplier and that (without prejudice to all other remedies to which the Company may be entitled as a matter of law) the Company shall be entitled to any form of equitable relief to enforce the provisions of this Clause 31.

### **33 London Living Wage**

- 33.1 The Supplier shall, to the extent each Contract is for the provision of Goods and Services to be undertaken within Greater London or on the Underground Network:
- (a) ensure that none of its employees engaged in the provision of Goods and Services under the relevant Contract is paid an hourly wage (or equivalent of an hourly wage) less than the London Living Wage;
  - (b) provide to the Company such information concerning the application of the London Living Wage as the Company or its nominees may reasonably require;
  - (c) disseminate on behalf of the Company to its employees who are paid no more than the London Living Wage such perception questionnaires in relation to the London Living Wage as the Company or its nominees may reasonably require and promptly collate and return to the Company responses to such questionnaires;
  - (d) co-operate and provide all reasonable assistance to the Company and its nominees in

monitoring the effect of the London Living Wage; and

- (e) procure that any subcontractor (of any tier) is required to comply with the provisions of this Clause 32 and the provisions of this Clause 32 are included in any subcontract (of any tier).

33.2 The Supplier shall not, and shall procure that any subcontractor shall not, without the prior written consent of the Company, vary or purport to vary the provisions contained in any contract or subcontract in accordance with the operation of this Clause 32.

## **34 Responsible Procurement**

34.1 The Supplier and the Company acknowledge and agree that the Mayor, in accordance with section 155 of the GLA Act has directed TfL and its subsidiaries (including the Company) to do all things reasonably necessary to comply with (inter alia) the Responsible Procurement Policy in its procurement activities.

34.2 The Supplier shall and shall procure that its subcontractors (of any tier) shall comply with, and shall provide such co-operation and assistance as may be reasonably requested by the Company to enable the Company to comply with the Responsible Procurement Policy.

34.3 The Supplier acknowledges and agrees that the Company is required to develop a policy relating to the promotion of the procurement of goods and services in an ethical manner (the “**Ethical Sourcing Policy**”) which shall reflect and be consistent with the relevant principles of the Responsible Procurement Policy, and the Supplier shall and shall procure that all of its subcontractors shall comply with such the Ethical Sourcing Policy to the extent it does not conflict with the Responsible Procurement Policy.

34.4 The Supplier acknowledges and agrees that it (and its subcontractors) shall be required to comply with any changes to the Responsible Procurement Policy (and any adjustment or amendment to the Ethical Sourcing Policy as a result of such amendment or adjustment to the Responsible Procurement Policy).

34.5 The Supplier shall not be entitled to any addition to the Order Price in the event of any change to the Responsible Procurement Policy (and any change to the Ethical Sourcing Policy as a result of such change to the Responsible Procurement Policy).

34.6 The Supplier shall procure that any subcontractor (of any tier) is required to comply with the provisions of this Clause 33 and the provisions of this Clause 33 are included in any subcontract (of any tier).

- 34.7 The Supplier shall not, and shall procure that any subcontractor shall not, without the prior written consent of the Company, vary or purport to vary the provisions contained in any contract or subcontract in accordance with the operation of this Clause 33.

## **35 Assignment and Subcontracting**

- 35.1 The Supplier shall not assign, novate or subcontract any of its rights or obligations under the Agreement or any Contract or any part thereof without the prior written consent of the Company.
- 35.2 The subcontracting of all or any part of the Goods and/or Services to a subcontractor shall not relieve the Supplier of its obligations to supply the Goods and/or Services under the Agreement and each Contract. The Supplier shall be responsible for the acts and omissions of its subcontractors.
- 35.3 The Company may novate, assign, transfer or subcontract the Agreement and/or any Contract or any part thereof to any person at any time without the consent of the Supplier, provided the Company has given prior written notice to the Supplier.
- 35.4 Within seven (7) days of any written request by the Company to the Supplier, the Supplier shall execute a deed of novation in the form set out in Schedule 8 in favour of any person to whom the Agreement and/or any Contract is being novated.

## **36 Company's and Supplier's Representative**

Each party shall in respect of each Contract appoint one or more representatives to act on its behalf under the relevant Contract. Each party shall advise the other party, in writing, of the names and contact details of its representatives and these shall be recorded in the Order. The Supplier shall not appoint such a representative without the prior written consent of the Company (which consent shall not be unreasonably withheld). Any party may, on giving reasonable notice to the other party, appoint an additional representative or replace an existing representative but the Supplier may only do so with the prior written consent of the Company. Each party shall be responsible for the acts, omissions, neglects and defaults of its representatives as if such acts, omissions, neglects and defaults were its own. Each party will be bound by any decision made or action taken by its representatives.

## **37 Costs**

Except as otherwise agreed, each party shall bear its own costs incurred in connection with the negotiation, preparation and execution of the Agreement and each Contract.

### **38 Severance**

If a provision of the Agreement or any Contract is, or becomes, invalid, unenforceable or illegal, that will not affect the legality, validity or enforceability of any other provision of the Agreement or any Contract, provided that the operation of this Clause 37 would not negate the commercial interest and purpose of the parties under the Agreement or any Contract.

### **39 Publicity**

The text of any press release or other communication to be published by or in the media concerning the subject matter of the Agreement and any Contract shall require the prior written approval of the Company. No interviews concerning the same shall be given by the Supplier with the media without prior written approval from the Company of the content of such an interview.

### **40 Corrupt Gifts and Payments of Commission**

- 40.1 The Supplier undertakes that it shall not and procures that its subcontractors and suppliers shall not enter into or offer to enter into any business arrangement with any servant, employee, officer or agent of the Company other than as a representative of the Company without the Company's prior written approval.
- 40.2 The Supplier undertakes that it shall not, and uses reasonable endeavours to procure that its subcontractors and suppliers shall not commit any Prohibited Acts or cause the Company to commit any equivalent act.
- 40.3 The Company shall have the right to audit any and all records necessary to confirm compliance with this Clause 39 at any time during performance of the Agreement and each Contract and during the twelve (12) year period following completion of performance.

### **41 No Waiver**

- 41.1 No failure or delay on the part of either party to exercise any right or remedy under the Agreement or any Contract shall be construed or operate as a waiver thereof nor shall any single or partial exercise of any right or remedy as the case may be. The rights and remedies provided in the Agreement or any Contract are cumulative and are not exclusive of any rights or remedies provided by law.
- 41.2 No payment made by the Company shall indicate or be taken to indicate the Company's acceptance or approval of any part of the Goods and/or Services or any act or omission of the

Supplier from any obligation or liability imposed upon the Supplier by any provision of the Agreement or otherwise.

## **42 Entire Contract**

The Contract embodies and sets forth the entire contract and understanding of the parties and shall supersede all prior oral or written contracts understandings or arrangements relating to the subject matter of the Agreement or any Contract. Except in the case of fraud neither party shall be entitled to rely on any contract, understanding or arrangement which is not expressly set forth in the Agreement or any Contract.

## **43 Notices and Service of Process**

Any notice or other document given under, or in connection with, the Agreement or any Contract must be in English and in writing and sent by letter or fax or delivered by hand to the other party's representatives in each case to the address below. The notice or other document will be effective as follows:

- (a) if the notice or other document is sent by letter, it will be effective when it is delivered;
- (b) if the notice or other document is sent by fax, it will be effective when it has been transmitted and the transmission report from the fax machine states that the entire fax has been sent successfully; and
- (c) if the notice or other document is delivered by hand to the other party's representative, it will be effective immediately it is delivered.

If a party's details change, it must notify the other party promptly in writing of any such changes. The parties agree that proceedings arising out of or in connection with the Agreement or any Contract may be served in accordance with this Clause 42.

## **44 Dispute Resolution**

- 44.1 Any question, dispute, difference or claim (a "**Dispute**") shall be resolved in accordance with this Clause 43.
- 44.2 The parties shall use their reasonable endeavours to resolve any Dispute by a meeting between the Company's Representative and a suitably qualified and duly authorised representative of the Supplier (together the "**Nominated Representatives**") which shall be convened to discuss such Dispute within fourteen (14) days of notification in writing by one party to the other of a matter in dispute.

- 44.3 If the Dispute has not been resolved within twenty-eight (28) days after the date of a meeting between the Nominated Representatives in accordance with Clause 43.2 (or if no such meeting was convened within twenty-eight (28) days after the date on which notification was served by one party on the other), the Dispute shall be referred as soon as practicable to *[the Company's Contracts and Procurement Manager and the Supplier's Managing Director]* or in the absence or unavailability of these personnel, persons of similar status deputised to resolve disputes on behalf of their respective companies.
- 44.4 If the Dispute has not been resolved within twenty-one (21) days of it being referred to *[the Company's Contracts and Procurement Manager and the Supplier's Managing Director]* or their deputies in accordance with Clause 43.3 either party may refer the matter for resolution in accordance with the provisions of Clause 44.
- 44.5 Clauses 43.1 to 43.4 are subject to the Supplier's rights (if any) under the HGCR to refer a Dispute to adjudication at any time. Any such adjudication shall be in accordance with the Company's Adjudication Rules. For the purposes of this Clause 43.5, "**Adjudication Rules**" means the most recent edition of the Company's adjudication rules on the date of the notice referring adjudication.

## **45 Counterparts**

Agreement may be executed in several counterparts each of which shall be deemed an original and all of which shall constitute one and the same document.

## **46 Partnerships and Joint Ventures**

- 46.1 If the Supplier is a partnership, the rights, obligations and liabilities of the partners in the partnership under the Agreement are joint and several. The Agreement and the liabilities of the partners under the Agreement shall not automatically terminate upon the death, retirement or resignation of any one or more members of such partnership or upon the admission of additional partner or partners. The partner or partners in the partnership shall use their reasonable endeavours to procure that any additional partner or partners enter into an agreement with the Company confirming his/her acceptance of the rights, obligations and liabilities of the Supplier under the Agreement.
- 46.2 If the Supplier comprises two (2) or more parties in joint venture, the rights, obligations and liabilities of each such party under the Agreement are joint and several.

46.3 Nothing in the Agreement shall constitute, or shall be deemed to constitute, a partnership between the parties. Except as expressly provided in the Agreement, neither party is deemed to be the agent of the other and neither party holds itself out as the agent of the other.

## **47 Governing Law and Jurisdiction**

47.1 This Agreement and each Contract and any dispute or claim arising out of or in connection with it or its subject matter shall be governed by and construed in accordance with the law of England and Wales.

47.2 The Company and the Supplier submit, subject to the provisions of this Agreement and any Contract, to the exclusive jurisdiction of the courts of England and Wales provided that the Company has the right in its absolute discretion to enforce a judgement and/or to take proceedings in any other jurisdiction in which the Supplier is incorporated or in which any asset of the Supplier may be situated.

## **48 Contracts (Rights of Third Parties) Act 1999**

48.1 Subject to the Replacement Employer's rights in accordance with Clause 30, no person except any member of the TfL Group may enforce the Agreement and any Contract by virtue of the Contracts (Rights of Third Parties) Act 1999, but this does not affect any other right or remedy of a third party arising at law.

48.2 Notwithstanding those rights referred to in Clause 47.1, the Company and the Supplier may agree to vary or rescind the Agreement or any Contract without the consent of any third party.

## **49 Bonds, Warranties and Guarantees**

49.1 Where stated in Schedule 1, the Supplier shall at its own expense provide within seven (7) days of the Company's request the following:

- (a) an executed bond issued by a financial institution whose long term debt obligations are rated not less than A- by Standard & Poor's and/or A3 by Moody's in the form set out in Schedule 9 in favour of the Company;
- (b) an executed parent company guarantee from the ultimate holding company or other parent company of the Supplier (provided that such company's long-term debt obligations are rated not less than A- by Standard & Poor's and/or A3 by Moody's) in the form set out in Schedule 9 in favour of the Company.

49.2 The Supplier shall ensure that any bond required under Clause 48.1:

- (a) provides, in aggregate, credit protection for the Company in an amount of not less than the amount specified in Schedule 1; and
  - (b) is renewed every twelve (12) months until the earlier of (i) expiry of the Warranty Period applicable to the final Delivery Date or (ii) twelve (12) months after termination.
- 49.3 If at any time the existing bond and/or parent company guarantee cease(s) to meet the requirements of Clauses 48.1 and 48.2 then the Supplier shall replace such bond and/or parent company guarantee with a bond and/or parent company guarantee (as the case may be) that meets the requirements within seven (7) days.
- 49.4 If requested by the Company, the Supplier shall provide an accompanying legal opinion to the bond and/or parent company guarantee supplied under Clause 48.1 completed and signed by a qualified lawyer from the country in which the guarantor and/or parent company is resident in the form specified by the Company.
- 49.5 If any performance bond and/or parent company guarantee required by any Contract is not procured by the Supplier and delivered to the Company in accordance with Clause 48.1, one quarter of the aggregate of the Order Price for the relevant Contract shall be retained in assessments of the amount due and shall not be payable to the Supplier until such documents have been delivered.
- 49.6 If required by the Company, the Supplier shall procure that the terms of any subcontract require the subcontractor, within seven (7) days of a written request by the Company to the subcontractor, to enter into:
  - (a) a collateral warranty in the form set out in Schedule 10 in favour of the Company and if requested by the Company, the Supplier shall require the subcontractor to provide an accompanying legal opinion completed and signed by a qualified lawyer from the country in which the subcontractor is resident in the form specified by the Company; and
  - (b) a parent company guarantee in the form provided by the Company from the ultimate holding company of the subcontractor in respect of any of the subcontractor's obligations under any collateral warranty required under this Clause 48.6.
- 49.7 If any warranty (including any accompanying parent company guarantee) required under Clause 48.6 is not delivered to the Company in accordance with Clause 48.6 one quarter of the aggregate of the Order Price relative to the Goods provided by the relevant subcontractor shall be retained in assessments of the amount due and is not payable until such warranty has been delivered.

## 50 Change of Control

The Supplier shall not without the prior written consent of the Company implement any change of ownership of the Supplier where such change relates to fifty per cent (50%) or more of the issued share capital of the Supplier.

## 51 Interest

51.1 If either party fails to pay to the other any amount payable in connection with the Agreement or any Contract on or before the due date for payment, interest shall accrue on the overdue amount from the due date for payment until the date of actual payment (whether before or after judgment) at the interest rate specified in the Late Payment of Commercial Debts (Interest) Act 1998. Any interest accruing under this Clause 50.1 shall be immediately payable by the paying party on demand.

51.1 *[If either party fails to pay to the other any amount payable in connection with the Agreement or any Contract on or before the due date for payment, interest shall accrue on the overdue amount from the due date for payment until the date of actual payment (whether before or after judgment) at the Interest Rate. Any interest accruing under this Clause 50.1 shall be immediately payable by the paying party on demand.]*

51.2 Interest (if unpaid) arising on an overdue amount will be compounded monthly with the overdue amount but will remain immediately due and payable.

## 52 Freedom of Information

52.1 For the purposes of this Clause 51:

**“FOI Legislation”** means the Freedom of Information Act 2000, all regulations made under it and the Environmental Information Regulations 2004 and any amendment or re-enactment of any of them; and any guidance issued by the Information Commissioner, the Department for Constitutional Affairs, or the Department for Environment Food and Rural Affairs (including in each case its successors or assigns) in relation to such legislation;

**“Information”** means information recorded in any form held by the Company or by the Supplier on behalf of the Company; and

**“Information Request”** means a request for any Information under the FOI Legislation.

52.2 The Supplier acknowledges that the Company:

- (a) is subject to the FOI Legislation and agrees to assist and co-operate with the Company to enable the Company to comply with its obligations under the FOI Legislation; and
- (b) may be obliged under the FOI Legislation to disclose Information without consulting or obtaining consent from the Supplier.

52.3 Without prejudice to the generality of Clause 51.2 the Supplier shall and shall procure that its subcontractors (if any) shall:

- (a) transfer to the Company's Representative (or such other person as may be notified by the Company to the Supplier) each Information Request relevant to the Agreement or any Contract, the supply of Goods and Services or any member of the TfL Group that it or they (as the case may be) receive as soon as practicable and in any event within two (2) Working Days of receiving such Information Request; and
- (b) in relation to Information held by the Supplier on behalf of the Company, provide the Company with details about and/or copies of all such Information that the Company requests and such details and/or copies shall be provided within five (5) Working Days of a request from the Company (or such other period as the Company may reasonably specify), and in such forms as the Company may reasonably specify.

52.4 The Company shall be responsible for determining whether Information is exempt information under the FOI Legislation and for determining what Information will be disclosed in response to an Information Request in accordance with the FOI Legislation. The Supplier shall not itself respond to any person making an Information Request, save to acknowledge receipt, unless expressly authorised to do so by the Company.

## **53 Data Transparency**

53.1 The Supplier acknowledges that the Company is subject to the Transparency Commitment. Accordingly, notwithstanding Clause 31 and Clause 51, the Supplier hereby gives its consent for the Company to publish the Contract Information to the general public.

53.2 The Company may in its absolute discretion redact all or part of the Contract Information prior to its publication. In so doing and in its absolute discretion the Company may take account of the exemptions/exceptions that would be available in relation to information requested under the FOI Legislation. The Company may in its absolute discretion consult with the Supplier regarding any redactions to the Contract Information to be published pursuant to Clause 52.1. The Company shall make the final decision regarding publication and/or redaction of the Contract Information.

## **54 Survival**

54.1 The provisions of Clauses 5 (Records and Audit), 9.13 (Set-Off), 19 (Warranty), 20 (Intellectual Property Rights), 21 (Termination), 23 (Indemnity and Insurance), [24 (*Environmental Claims*)] 30 (Supplier Personnel), 31 (Confidentiality), 33 (Responsible Procurement), 37 (Severance), 38 (Publicity), 39 (Corrupt Gifts and Payments of Commission, 40 (No Waiver), 41 (Entire Contract), 42 (Notices and Service of Process), 43 (Dispute Resolution), 46 (Governing Law and Jurisdiction), 47 (Contracts (Rights of Third Parties) Act 1999), 51 (Freedom of Information), 52 (Data Transparency), 53 (Survival), 54.1 and 54.5 (Transport for London Group) will survive the termination or expiry of this Agreement and any Contract and continue in full force and effect, along with any other Clauses or Schedules of this Agreement and any Contract necessary to give effect to them. In addition, any other provision of this Agreement and any Contract which by its nature or implication (including in respect of any accrued rights and liabilities) is required to survive the termination will survive such termination as aforesaid.

## **55 Transport for London Group**

### **55.1 Declaration of Ineffectiveness**

- (a) Without prejudice to the Company's right to terminate the Agreement and any Contract under Clause 21.1, Clause 21.2(a) or at common law, the Company may terminate the Agreement and any Contract at any time following a Declaration of Ineffectiveness in accordance with the provisions of this Clause 54.1.
- (b) In the event that any court makes a Declaration of Ineffectiveness, the Company shall notify the Supplier. The parties agree that the provisions of this Clause 54.1 shall apply as from the date of receipt by the Supplier of the notification of a Declaration of Ineffectiveness. Where there is any conflict or discrepancy between the provisions of Clause 21.1 and this Clause 54.1 or the Cessation Plan, the provisions of this Clause 54.1 and the Cessation Plan prevail.
- (c) The Declaration of Ineffectiveness shall not prejudice or affect any right, liability or remedy which has accrued or which shall accrue to either party prior to or after such Declaration of Ineffectiveness.
- (d) As from the date of receipt by the Supplier of the notification of the Declaration of Ineffectiveness, the parties (acting reasonably and in good faith) shall agree or, in the absence of such agreement, the Company shall reasonably determine an appropriate Cessation Plan with the object of achieving:

- (i) an orderly and efficient cessation of the supply of Goods and Services or (at the Company's request) a transition of the supply of Goods and Services to the Company or such other entity as the Company may specify; and
  - (ii) minimal disruption or inconvenience to the Company or to public passenger transport services or facilities, in accordance with the provisions of this Clause 54.1 and to give effect to the terms of the Declaration of Ineffectiveness.
- (e) Upon agreement, or determination by the Company of the Cessation Plan the parties shall comply with their respective obligations under the Cessation Plan.
- (f) The Company shall pay the Supplier's reasonable costs in assisting the Company in preparing, agreeing and complying with the Cessation Plan. Such costs shall be based on any comparable costs or charges agreed as part of the Agreement and any Contract or as otherwise reasonably determined by the Company. Provided that the Company shall not be liable to the Supplier for any loss of profit, revenue goodwill or loss of opportunity as a result of the early termination of the Agreement and any Contract in accordance with this Clause 54.1.

## 55.2 **Crime and Disorder Act 1998**

The Supplier acknowledges that Transport for London is under a duty under Section 17 of the Crime and Disorder Act 1998 (as amended by the Police and Justice Act 2006 and the Policing and Crime Act 2009) to:

- (a) have due regard to the impact of crime, disorder and community safety in the exercise of TfL's duties;
- (b) where appropriate, identify actions to reduce levels of crime and disorder; and
- (c) without prejudice to any other obligation imposed on the Company, exercise its functions with due regard to the likely effect of the exercise of those functions on, and the need to do all that it reasonably can to prevent in its area;
  - (i) crime and disorder (including anti-social and other behaviour adversely affecting the local environment);
  - (ii) the misuse of drugs, alcohol and other substances; and
  - (iii) re-offending

and in the performance of the Agreement and each Contract, the Supplier shall assist and co-operate with the Company and relevant members of the TfL Group and shall use reasonable endeavours to procure that its subcontractors assist and co-operate, with the Company and relevant members of the TfL Group to enable TfL to satisfy its duty.

### 55.3 **The Company's business**

The Supplier acknowledges that it:

- (a) has sufficient information about the Company and the supply of Goods and Services;
- (b) is aware of the Company's processes and business;
- (c) has made all appropriate and necessary enquiries to enable it to carry out the supply of Goods and Services in accordance with the Agreement and each Contract;
- (d) is aware of the purposes for which the supply of Goods and Services are required; and
- (e) shall neither be entitled to any additional payment nor excused from any obligation or liability under the Agreement and each Contract due to any misinterpretation or misunderstanding by it of any fact relating to the supply of Goods and Services.

### 55.4 **Best value**

The Supplier acknowledges that TfL is a best value authority for the purposes of the Local Government Act 1999 and as such the Company is required to make arrangements to secure continuous improvement in the way it exercises its functions, having regard to a combination of economy, efficiency and effectiveness. The Supplier shall assist the Company to discharge TfL's duty where possible, and in doing so, shall carry out any review of the supply of Goods and Services reasonably requested by the Company from time to time. The Supplier shall negotiate in good faith (acting reasonably) with the Company any changes to the Agreement and any Contract in order for the Company to achieve best value.

### 55.5 **Data Protection**

- (a) The Supplier shall comply with all of its obligations under the Data Protection Act 1998 and if processing personal data (as such terms are defined in section 1(1) of that Act) on behalf of the Company ("**Company Personal Data**"), the Supplier shall only carry out such processing in order to carry out the supply of Goods and Services and at all times in accordance with any instructions from the Company.

- (b) When the Supplier receives a written request from the Company for information about, or a copy of, Company Personal Data, the Supplier shall supply such information or data to the Company within such time and in such a form as is specified in the request (such time to be reasonable) or if no period of time is specified in the request, then the Company shall supply the information or data within fourteen (14) days from the date of the request.
- (c) The Company shall remain solely responsible for determining the purposes and manner in which Company Personal Data is to be processed. The Supplier shall not share any Company Personal Data with any subcontractor or third party unless there is a written agreement in place which requires the subcontractor or third party to:
  - (i) only process Company Personal Data in accordance with the Company's instructions to the Supplier; and
  - (ii) comply with the same data protection requirements that the Supplier is required to comply with under the Agreement and any Contract.

#### 55.6 **Conflict of Interest**

- (a) The Supplier acknowledges and agrees that it does not have any interest in any matter where there is or is reasonably likely to be a conflict of interest with the carrying out of the supply of Goods and Services or with any member of the TfL Group, save to the extent fully disclosed to and approved in writing by the Company.
- (b) The Supplier shall undertake ongoing and regular checks for any conflict of interest throughout the duration of the Agreement and any Contract and in any event not less than once in every six (6) months and shall notify the Company in writing immediately on becoming aware of any actual or potential conflict of interest with the carrying out of the supply of Goods and Services under the Agreement and any Contract or with any member of the TfL Group and shall work with the Company to do whatever is necessary (including the separation of staff working on, and data relating to, the supply of Goods and Services from the matter in question) to manage such conflict to the Company's satisfaction, provided that, where the Company is not so satisfied (in its absolute discretion) it shall be entitled to terminate the Agreement and any Contract.

#### 55.7 **Equality and Diversity**

55.7.1 Without limiting the generality of any other provision of the Agreement and any Contract, the Supplier:

- (a) shall not unlawfully discriminate;

- (b) shall procure that its employees and agents do not unlawfully discriminate; and
- (c) shall use reasonable endeavours to procure that its subcontractors do not unlawfully discriminate when providing the Supply,

within the meaning and scope of the Equality Act 2006, the Equality Act 2010 and any other relevant enactments in force from time to time in relation to discrimination in employment.

55.7.2 The Supplier acknowledges that the Company is under a duty under section 149 of the Equality Act 2010 to have due regard to the need to:

- (a) eliminate unlawful discrimination on the grounds of age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation (all "**Protected Characteristics**") and marriage and civil partnership;
- (b) advance equality of opportunity between persons who share a Protected Characteristic and persons who do not share it; and
- (c) foster good relations between persons who share a Protected Characteristic and persons who do not.

In performing the Agreement and each Contract the Supplier shall assist and cooperate with the Company where possible in satisfying this duty.

55.7.3 The Supplier shall ensure that its staff, and those of its subcontractors who are engaged in the performance of the Agreement and each Contract comply with the Company's policies in relation to equal opportunities and diversity, workplace harassment and drugs and alcohol as may be updated from time to time. Copies of these policies are available from the Company at any time on request.

55.7.4 To the extent that the Company is required to assist or co-operate with TfL in compliance with its duties under the Equality Act 2010 (Specific Duties) Regulations 2011, the Supplier shall assist and co-operate with the Company where possible.

## 55.8 **Work Related Road Risk**

55.8.1 For the purposes of Clauses 54.8.2 to 54.8.9 (inclusive) of this Agreement, the following expressions shall have the following meanings:

<b>“Bronze Accreditation”</b>	the minimum level of accreditation within the FORS Standard, the requirements of which are more particularly described at:  <a href="http://www.fors-online.org.uk">www.fors-online.org.uk</a>
<b>“Car-derived Vans”</b>	a vehicle based on a car, but with an interior that has been altered for the purpose of carrying larger amounts of goods and/or equipment;
<b>“Collision Report”</b>	a report detailing all collisions during the previous 12 months involving injuries to persons or fatalities;
<b>“Delivery and Servicing Vehicle”</b>	a Lorry, a Van or a Car-derived Van;
<b>“Driver”</b>	any employee of the Supplier (including an agency driver), who operates Delivery and Servicing Vehicles on behalf of the Supplier while delivering the Goods and Services;
<b>“DVLA”</b>	Driver and Vehicle Licensing Agency;
<b>“FORS”</b>	the Fleet Operator Recognition Scheme, which is an accreditation scheme for businesses operating van and lorry fleets. It offers impartial, independent advice and guidance to motivate companies to improve their compliance with relevant laws and their environmental, social and economic performance;
<b>“FORS Standard”</b>	the standard setting out the accreditation requirements for the Fleet Operator Recognition Scheme, a copy of which can be found at:  <a href="http://www.fors-online.org.uk">www.fors-online.org.uk</a>
<b>“Gold Accreditation”</b>	the highest level of accreditation within the FORS Standard, the requirements of which are more particularly described at:

[www.fors-online.org.uk](http://www.fors-online.org.uk)

<b>“Lorry”</b>	a vehicle with an MAM exceeding 3,500 kilograms;
<b>“MAM”</b>	the maximum authorised mass of a vehicle or trailer including the maximum load that can be carried safely while used on the road;
<b>“Side Guards”</b>	guards that are fitted between the front and rear axles of a Lorry and that comply with EC Directive 89/297/EEC and the Road Vehicles (Construction and Use) Regulations 1986;
<b>“Silver Accreditation”</b>	the intermediate level of accreditation within the FORS Standard, the requirements of which are more particularly described at:  <a href="http://www.fors-online.org.uk">www.fors-online.org.uk</a>
<b>“Van”</b>	a vehicle with a MAM not exceeding 3,500 kilograms.

### **Fleet Operator Recognition Scheme Accreditation**

55.8.2 Where the Supplier operates Delivery and Servicing Vehicles to provide the Goods and Services, it shall within 90 days of the Commencement Date:

- (a) (unless already registered) register for FORS or a scheme, which in the reasonable opinion of the Company, is an acceptable substitute to FORS (the “Alternative Scheme”); and
- (b) (unless already accredited) have attained the standard of Bronze Accreditation (or higher) or the equivalent within the Alternative Scheme and shall maintain the standard of Bronze Accreditation (or equivalent standard within the Alternative Scheme) by way of an annual independent assessment in accordance with the FORS Standard or take such steps as may be required to maintain the equivalent standard within the Alternative Scheme. Alternatively, where the Supplier has attained Silver or Gold Accreditation, the

maintenance requirements shall be undertaken in accordance with the periods set out in the FORS Standard.

### **Safety Equipment on Vehicles**

55.8.3 The Supplier shall ensure that every Lorry, which it uses to provide the Goods and Services, shall:

- (a) have Side Guards, unless the Supplier can demonstrate to the reasonable satisfaction of the Company that the Lorry will not perform the function for which it was built if Side Guards are fitted;
- (b) have front, side and rear blind spots completely eliminated or minimised as far as practical and possible, through the use of fully operational direct and indirect vision aids and driver audible alerts;
- (c) have equipment fitted with an audible means of warning other road users of the Lorry's left manoeuvre; and
- (d) have prominent signage on the Lorry to warn cyclists and other road users of the dangers of passing the Lorry on the inside and of getting too close to the Lorry.

### **Driver Licence Checks**

55.8.4 Where the Supplier operates Delivery and Servicing Vehicles to provide the Goods and Services the Supplier shall ensure that:

- (a) it has a system in place to ensure all its Drivers hold a valid driving licence for the category of vehicle that they are tasked to drive, along with recording any endorsements, or restrictions on the Drivers licence; and
- (b) each of its Drivers engaged in the provision of the Goods and Services has a driving licence check with the DVLA or such equivalent before that Driver commences delivery of the Goods and Services and that the driving licence check with the DVLA or equivalent authority is repeated in accordance with either the following risk scale (in the case of the DVLA issued licences only), or the Supplier's risk scale, provided that the Supplier's risk scale has been Approved in writing by the Company within the last 12 months:
  - (i) 0 – 3 points on the driving licence – annual checks;
  - (ii) 4 – 8 points on the driving licence – six monthly checks;

- (iii) 9 – 11 points on the driving licence – quarterly checks; or
- (iv) 12 or more points on the driving licence – monthly checks.

### **Driver Training**

55.8.5 Where the Supplier operates Delivery and Servicing Vehicles to provide the Goods and Services the Supplier shall ensure that each of its Drivers undergo approved progressive training (to include a mix of theoretical, e-learning, practical and on the job training) and continued professional development to include training covering the safety of vulnerable road users and on-cycle hazard awareness, throughout the term of the Agreement and each Contract.

### **Collision Reporting**

55.8.6 Where the Supplier operates Delivery and Servicing Vehicles to provide the Goods and Services, the Supplier shall:

- (a) ensure that it has a system in place to capture, investigate and analyse road traffic collisions that results in fatalities, injury or damage to vehicles, persons or property and for generating Collision Reports; and
- (b) within 15 days of the Commencement Date, provide to the Company a Collision Report. The Supplier shall provide to the Company an updated Collision Report within five working days of a written request from the Company.

### **Self Certification of Compliance**

55.8.7 Where the Supplier operates Delivery and Servicing Vehicles to provide the Goods and Services, within 90 days of the Commencement Date, the Supplier shall make a written report to the Company detailing its compliance with Clauses 54.8.3, 54.8.4 and 54.8.5 of this Agreement (the "WRRR Self-certification Report"). The Supplier shall provide updates of the WRRR Self-certification Report to the Company on each three month anniversary of its submission of the initial WRRR Self-certification Report.

### **Obligations of the Supplier Regarding Subcontractors**

55.8.8 The Supplier shall ensure that those of its subcontractors who operate Delivery and Servicing Vehicles to provide the Goods and Services shall:

- (a) comply with Clause 54.8.2; and

(b) where its subcontractors operates the following vehicles to provide the Goods and Services shall comply with the corresponding provisions of this Agreement:

(i) For Lorries – Clauses 54.8.3, 54.8.4, 54.8.5 and 54.8.6; and

(ii) For Vans – Clauses 54.8.4, 54.8.5, and 54.8.6,

as if those subcontractors were a party to this Agreement.

#### **Failure to Comply with Work Related Road Risk Obligations**

55.8.9 Without limiting the effect of any other clause of this Agreement or any Contract relating to termination, if the Supplier fails to comply with any of Clauses 54.8.2, 54.8.3, 54.8.4, 54.8.5, 54.8.6, 54.8.7 and/or 54.8.8:

(a) the Supplier has committed a material breach of this Agreement and any Contract; and

(b) the Company may refuse the Supplier, its employees, agents and Delivery and Servicing Vehicles entry onto any property that is owned, occupied or managed by the Company for any purpose (including but not limited to deliveries).

## **56 CompeteFor**

56.1 Without prejudice to Clause 34 the Supplier will, on a non-exclusive basis, use the CompeteFor electronic brokerage service (or such alternative web-based tool as the Company may direct from time to time) ("**CompeteFor**") to make available to other suppliers all appropriate opportunities, arising in connection with the Agreement and each Contract, to supply goods, works and services to the Supplier.

56.2 The Supplier will use all reasonable endeavours to ensure that its sub-contractors (for the purposes of this clause, the "**Supplier's Sub-contractors**") use CompeteFor, on a non-exclusive basis, to make available to other sub-contractors all appropriate opportunities, arising in connection with the Agreement and each Contract, to supply goods, works and services to the Supplier's Sub-contractors.

56.3 The Supplier will monitor (and maintain a record of) the number, type and value of opportunities, arising in connection with the Agreement and each Contract, made available to other suppliers via CompeteFor, whether by the Supplier or the Supplier's Sub-contractors, as required by this Clause 55, and will report this information on a quarterly basis by way of email to the Company Representative.

## 57 Criminal Record Declarations

57.1 For the purposes of this Clause 56:

**“Relevant Individual”** means any servant, employee, officer, consultant or agent of either the Supplier or any subcontractor or supplier involved in the provision of , or intended to provision of, any aspect of the Goods and Services; and

**“Relevant Conviction”** means any unspent criminal conviction relating to actual or potential acts of terrorism or acts which threaten national security.

57.2 The Supplier shall procure from each Relevant Individual (as the case may be) a declaration that he has no Relevant Convictions (**“Declaration”**) or disclosure of any Relevant Convictions. A Declaration shall be procured prior to a Relevant Individual providing any of the Goods and Services. The Supplier shall confirm to the Company in writing on request or in any event not less than once in every year that each Relevant Individual has provided a Declaration. The Supplier shall procure that a Relevant Individual notifies the Supplier immediately if he commits a Relevant Conviction and the Supplier shall notify the Company in writing immediately on becoming aware that a Relevant Individual has committed a Relevant Conviction.

57.3 The Supplier shall not engage or allow to act on behalf of the Supplier or any subcontractor in the performance of any aspect of the Goods and Services any Relevant Individual who has disclosed a Relevant Conviction.

57.4 The Company shall have the right in accordance with the audit rights set out in Clause 5 to audit and inspect the records of the Supplier and its subcontractors and its and their respective employees and agents in order to confirm and monitor compliance with this Clause 56 at any time during performance of this Agreement and each Contract.

57.5 If the Supplier fails to comply with the requirements under Clauses 56.2 and/or 56.3 the Company may, without prejudice to its rights under Clause 21.1, serve notice on the Supplier requiring the Supplier to remove or procure the removal of (as the case may be) any Relevant Individual who has not provided a Declaration from the Agreement and each Contract and/or Company’s site with immediate effect and take such steps as are necessary to ensure that such Relevant Individual has no further involvement with the provision of the Goods and Services unless (in the case of non-compliance with Clause 56.2) within seven (7) days of receipt of the notice the Supplier confirms to the Company that he has procured all of the relevant Declarations required under Clause 56.2.

- 57.6 A persistent breach of Clause 56.2 and/or Clause 56.3 by the Supplier shall entitle the Company to terminate the Agreement and each Contract in whole or in part with immediate effect in accordance with Clause 21.1(a).
- 57.7 In the event the Company becomes aware that a Relevant Individual has committed a Relevant Conviction, the Supplier shall remove or procure the removal (as the case may be) of such Relevant Individual from the Agreement and each Contract and/or the Company's site with immediate effect and take such steps as are necessary to ensure that such Relevant Individual has no further involvement with the provision of the Goods and Services.
- 57.8 Nothing in this Clause 56 shall in any way waive, limit or amend any obligation of the Supplier to the Company arising under the Agreement and each Contract and the Supplier's responsibilities in respect of the provision of the Goods and Services remain in full force and effect and the Supplier cannot claim any extra costs or time as a result of any actions under this Clause 56.

**Schedule 1**  
**Detailed Terms**

Commencement Date	
Term	5 Year with option to extend.
Warranty Period	Tyler Bros (Sutton-in-Ashfield) Ltd offer a material and workmanship warranty period of 2 years for all new components from the date of delivery. This warranty covers all new components to be free from defects and warrants that the finished article complies with drawing specifications supplied by us to the customer.
Framework Specification	As per relevant drawings.
Additional standards pursuant to Clause 3.3(d) and 3.5(d):	None.
The Liquidated Damages for delay for the purpose of Clause 10.3 payable for such Goods are: The period of delay over which the Liquidated Damages shall be calculated for the purpose of Clause 10.3 is every:	Not used.
The maximum amount of Liquidated Damages payable under Clause 10.3 expressed as a percentage of the price payable for such Goods is:	Not used.
The Liquidated Damages for delay for the purpose of Clause 13.14 payable for such Services are: The period of delay over which the Liquidated Damages shall be calculated for the purpose of Clause 13.14 is every:] The maximum amount of Liquidated Damages payable under Clause 13.14 expressed as a percentage of the price payable for such Services is	Not used.

Security required pursuant to Clause 48.1:	Not used.
Bond	Not used.
Parent Company Guarantee	Not used.
Application for payment dates	Not used.
Interest Rate pursuant to Clause 50.1	Not used.
The Suppliers total liability for the purpose of Clause 23.9 is	Not used.
The following Supplier Personnel are Key Personnel	<p>██████████</p> <p>████████████████████</p> <p>██</p>

SAP Short Description	Description	Product Number		Specification Number	Delivery Time		
		LUL	Supplier				Number
126/918 CLAMP JOINT BALUSTRDE PANEL	BALUSTRADE PANEL JOINT CLAMP FOR VARIOUS; ESCALATORS TO LUL DRG 126-918	00127/7676	LUL010	126/918	AS DWG	3-4 weeks	■
140/908 COLLAR CHAIN WHEEL PIN LHDM	CHAIN WHEEL PIN COLLAR FOR LHD-M ESCALATORS; TO LU DRG 140-908; NOTE TO BE PROTECTED WITH LIGHT COAT OF OIL TO PROTECT FROM RUST	00128/2218	LUL059	140/908	AS DWG	3-4 weeks	■
234/923 GAUGE COMB ALL ESCALATORS	COMB GAUGE; FOR ALL TYPES OF LU ESCALATORS	00131/0484	LUL004	234/923	AS DWG	4-5 weeks	■
234/924 GAUGE SKIRT ALL ESCALATORS	SKIRT GAUGE FOR ALL TYPES OF; ESCALATORS	00131/0492	LUL007	234/924	AS DWG	4-5 weeks	■
24/936 AXLE CHAIN WHEEL MHA/B	CHAIN WHEEL AXLE; FOR USE WITH FINE-U LOCKNUT M25 (FUJI)(386/7915); FOR MH-A/B ESCALATOR WITH GREASED CHAIN (112/999 <(>&<) > 1000)	00131/2542	LUL016	24/943	AS DWG	4-5 weeks	■
24/943 AXLE CHAIN PH TYPE ESCALATOR	CHAIN AXLE PH TYPE ESCALATOR; TO LU DRG 24-943	00131/2576	LUL011	26166/952	AS DWG	4-5 weeks	■
34/905 BARRIER ESC ENGINEERS YELLOW	ESCALATOR ENGINEERS BARRIER; POWDER COATED YELLOW; MATERIAL ALUMINIUM; TO LU DRG 34-905 REV 'E'; (DCN LU681 - 1/12/14); ;	00134/9868	LUL725	34/905	AS DWG	8-10 weeks	■
36/913 BASE STAND ON RIGHT LG	NOTICE BASE LG TYPE 'STAND ON RIGHT - NO; SMOKING' LINISHED FINISH & STUD HOLES; DRILLED & TAPPED M12 PATTERN CAST; ALUMINIUM TO LUL DRG NO 36-913 PATT NO; 702/9257 NOTICE NO 384/963 2 OFF EACH; BASE SUPPLIED WITH 2-OFF EACH FOLLOWING; PARTS STUDS ITEM 3 M12 FLAT WASHERS ITEM; 4 M12 AERO NUTS ITEMS ALL TO BE BAGGED &; TAPED TO EACH BASE UNIT AFTER FINAL; OPERATION NOTE NOTICE TO BE STUCK ON THE; BASE BY LUL (L & E) ENGINEER	00135/4534	LUL150	36/913	AS DWG	8 weeks	■
36/923 PEDESTAL HALF BASE. DIA. STOP SWT	PEDESTAL BASE FOR HALF DIAMOND STOP SWITCH; TO LU DRG 36-923 REV 'A'; SUPERCEDES O<(>&<) > K DRG 2492467; (TO DCN LU 664 - 4/7/2014); ; ;	00135/4550	LUL070	36/923	AS DWG	8 weeks	■
415/1925 PIN STEP GUIDE ROLLER MYA/LHDM	STEP GUIDE ROLLER PIN FOR MYA & LHDM; ESCALATOR TO LUL DRG 415-1925	00135/7500	LUL055	415/1925	AS DWG	3-4 weeks	■
415/1933 PIN GUIDE ROLLER L/CARR.MYA/MHA	PIN LOWER CARRIDGE GUIDE ROLLER; FOR MY-A <(>&<) > MH-A; SIZE 3" LG X 1" DIA.; MATERIAL TO BS970 1983 070M20.; TO LU DRG 415-1933	00135/7526	LUL826	415/1933	AS DWG	3-4 weeks	■
415/940 PIN TAPER NO 6 MY ESC STEP	SPLIT TAPER PIN NO 6 FOR CHAIN WHEEL	00135/8376	LUL028	415/940	AS DWG	3-4 weeks	■
415/967 PIN CHAIN WHEEL LHD-M ESC	CHAIN WHEEL PIN; TO LUL DRG 415-967; TO BE SUPPLIED AS COMPLETE ASSY C/W NIPPLE PART NO 382/7903; SUPPLY CERTIFICATE OF CONFORMITY FOR HEAT TREATMENT.	00135/8442	LUL017	415/967	AS DWG	5-6 weeks	■
477/949 ROLLER ASSY STEP GUIDE 5-7/8"DIA	ROLLER ASSY (STEP GUIDE) 5-7/8" DIA; MYA LHDM HD-B/C ESCALATOR.2 00137/25684003477/949 ROLLER ASSY STEP GUIDE 5-7/8DIA; POLYURETHANE TYRE; TO LUL DRG 477-949 REV 'D'; (TO DCN LU 671 - 4/7/2014)	00137/2568	LUL695	477/949	AS DWG	4-5 weeks	■

SAP Short Description	Description	Product Number		Number	Specification Number	Delivery Time	
		LUL	Supplier				
477/955 ROLLER CRG LWR MYA MHA LHDM	CARRIAGE GUIDE ROLLER C/W BUSH LOWER; CARRIAGE SUPPORT; FOR MY-A MH-A <(>&<)> LHDM ESCALATORS; TO LU DRG 477-955 REV 'C'; THIS ITEM FORMS PART OF CARRIAGE ROLLER; ASSEMBLY PART No.477/12004	00137/2642	LUL061	477/955	AS DWG	4-5 weeks	■
497/1933 SCREW FLOOR PLATE FIXG MH	FIXING SCREW 1/2" BSW 3/4"HD DIA; CHEESE HEAD O/LENGTH 2-1/4". FULL THREAD; 1.7/8". STAINLESS STEEL.3/32"WIDE X 1/8"; DEEP SLOT IN HEAD; TO LU DRG 497-1933	00137/3400	LUL012	497/1933	AS DWG	4-5 weeks	■
497/1940 SCREW TREAD PLATE S.S.M8 X 17MM	TREAD PLATE FIXING SCREW SLOTTED; M8 x 17MM; STAINLESS STEEL; TO LU DRG 497-1940 REV 'B'	00137/3418	LUL124	497/1940	AS DWG	4-5 weeks	■
497/1952 SCREW M8 X 50MM BLSTRD PNL	BALUSTRADE PANEL LOCKING SCREW CSK; SOCKET HEAD ZINC PLATED HD-B/C; ESCALATORSTO LUL DRG 497-1952 SIZE; THREAD M8 LENGTH 50MM	00137/3468	LUL694	497/1952	AS DWG	3-4 weeks	■
497/1954 SCREW LHDM/MYA/MHA FLOOR PLATE	FLOOR PLATE FIXING SCREWS; FOR LHDM, MY-A, MH-A ESCALATOR; TO LU DRG 497-1954 REV 'B'	00137/3476	LUL357	497/1954	AS DWG	3-4 weeks	■
510/961 SHAFT NEWEL UPPER MY-A ESC	SHAFT FOR HANDRAIL NEWEL WHEEL UPPER LANDING; FOR MY-A ESCALATOR; TO LU DRG 510-961 REV 'E'	00137/6934	LUL009	510962	AS DWG	5-6 weeks	■
510/962 SHAFT NEWEL WHEEL L/L MY-A	SHAFT NEWEL WHEEL FOR MYA ESCALATOR; LOWER LANDING.; TO LU DRG 510-962 REV 'D'	00137/6942	LUL020	510/963	AS DWG	5-6 weeks	■
510/963 SHAFT NEWEL U&L H/RAIL LHDM	SHAFT FOR HANDRAIL NEWEL WHEEL AT UPPER; & LOWER LANDING LHDM ESCALATOR TO LUL; DRG 510-963.	00137/6950	LUL008	510/963	AS DWG	5-6 weeks	■
510/991 COUNTERSHAFT MY-A ESCALATOR	HANDRAIL DRIVE COUNTER SHAFT FULLY; MACHINED <(>&<)> FINISHED; TO LU DRG 510-991	00137/7100	LUL006	510/991	AS DWG	7-8 weeks	■
510/994 SHAFT LWR.H'RAIL DRIVE MHA	INTERMEDIATE LOWER HANDRAIL DRIVE SHAFT.MH-A; TO LRT DRG NO STD XI-733.	00137/7126	LUL401	510/994	AS DWG	4-5 weeks	■
510/12009 SHAFT H'RAIL DRIVE IDLER MY-A	SHAFT FOR HANDRAIL CHAIN IDLER SPROCKET; USED ON MYA ESCALATORS; TO LU DRAWING 510-12009 REV 'B'	00137/7150	LUL401	510/12009	AS DWG	4-5 weeks	■
539/12036 SHIM D/STEP MHA/MYA 1MM R	SHIM 1.00MM THICK FOR DROPPED STEP RAMP; TRAILER WHEEL UPPER LANDING MHA/ MYA; DWG 539-12036 ISSUE B	00138/1300	LUL222	539/12036	AS DWG	4-5 weeks	■
539/12037 SHIM D/STEP MHA/MYA 2MM R	SHIM 2.00MM THICK FOR DROPPED STEP RAMP; TRAILER WHEEL UPPER LANDING MHA/MYA; DRG 539-12037 ISSUE B	00138/1318	LUL223	53912037	AS DWG	4-5 weeks	■
539/1965 SHIM BEARING END COVER MYA 2.0	BEARING END COVER SHIM; THICKNESS = 2.0MM; TO LUL DRG 539-1965	00138/1392	LUL722	539/1965	AS DWG	3-4 weeks	■
539/926 SHIM 0.35MM FOR INCL.MY-A/A	SHIM FOR INCLINE 0.35MM.; NOTE; POST 1970-MACHINES (TAB TYPE)	00138/2084	LUL255	539/926	AS DWG	4-5 weeks	■

SAP Short Description	Description	Product Number		Number	Specification Number	Delivery Time	
		LUL	Supplier				
584/920 SWITCH CYLINDER ESC START UP RKL	ESCALATOR START UP KEY SWITCH CYLINDER; REF S123 CHROME PLATED COMPRISING DRG; ITEMS 1-5 INCLUSIVE CYL TO PASS YALE KEY; NO RKL 271 ASSY AS PER DRG TO REV D	00139/4176	LUL046	584/920	AS DWG	2-3 weeks	■
584/943 SWITCH EMERGENCY STOP DIAMOND	EMERGENCY STOP DIAMOND SWITCH; TO LU DRG 584-943 REV 'K'; WITH KEY RESET MECHANICAL; LATCHING RESET NOTE QUALITY RECORD PACK; COMPRISING QUALITY CONTROL PLAN; CERTIFICATE OF CONFORMITY TEST PLAN; ELECTRICAL <(>&<)> MECHANICAL <(>&<)> MATERIAL; CERTIFICATE TO BE SUPPLIED FOR EACH TYPE; ORDERED; (DCN LU691 - DATED 2/2/15-TM)	00139/4242	LUL030	584/943	AS DWG	2-3 weeks	■
584/949 DIAMOND HALF EMERGENCY MECH	EMERGENCY HALF DIAMOND MECHANICAL LATCHING; TO LU DRG 584-949 REV 'E'; QTY RECORD PACK COMPRISING QUALITY CONTROL; PLAN CERTIFICATE OF CONFORMITY TEST PLAN; ELECTRICAL <(>&<)> MECHANICAL <(>&<)> MATERIAL; CERTIFICATE TO BE SUPPLIED FOR EACH TYPE; ORDERED; (DCN LU691 - DATED 2/2/15-TM)	00139/4250	LUL065	584/949	AS DWG	2-3 weeks	■
610/909 TOOL COMB PLATE SCRW REMOVER	COMB PLATE FIXING SCREW REMOVAL TOOL FOR; MYA MHA <(>&<)> LHDM ESCALATORS.	00139/6234	LUL036	610/909	AS DWG	3-4 weeks	■
610/932 TOOL STEP REMOVAL HD/B/C MHB	STEP REMOVAL TOOL FOR HD/B/C <(>&<)> MHB; ESCALATORS TO LU DRG 610-932	00139/6276	LUL272	610/932	AS DWG	4-5 weeks	■
622/923 TREAD PLATE 53MM X 3.6M MHA	TREADPLATE 53MM WIDE FOR MH-A & MY-A; ESCALATORS MATERIAL ALUMINIUM BS1474; HE 30 TF SUPPLIED IN 3.6M LENGTH DIE; REF 91021	00141/0826		622/923	AS DWG	5-6 weeks	■
648/1915 WASHER CHAIN WHEEL AXLE MH-A/B	CHAIN WHEEL AXLE WASHER MH-A/B ESCALATOR	00141/5918	LUL013	648/1915	AS DWG	3-4 weeks	■
648/1916 WASHER CHAIN WHEEL AXLE MYA	WASHER CHAIN WHEEL AXLE FOR MYA ESCALATOR; TO LU DRG 648/1916	00141/5926	LUL090	648/1916	AS DWG	3-4 weeks	■
648/980 SPACER WASHER CHAIN WH LHD-M	SPACER WASHER FOR CHAIN WHEEL PIN LHDM; ESCALATOR TO LUL DRG 648-980 IN PKT /; BAGS OF 100 RAILKO DRG NO 100506	00141/7618	LUL363	648/980	AS DWG	4-5 weeks	■
648/989 WASHER NEWEL SHAFT BRG LHD-M	WASHER LHDM ESCALATOR NEWEL SHAFT; BEARING UPPER <(>&<)> LOWER LANDING; TO LU DRG 648-989	00141/7684	LUL177	648/989	AS DWG	2-3 weeks	■
655/10013 SPROCKET H/R DRIVE 19T PS	HANDRAIL DRIVE CHAIN TENSIONER SPROCKET; FOR USE ON PS ESCALATORS; TO LU DRAWING 655-10013 REV 'A'	00141/7918	LUL678	655/10013	AS DWG	7-8 weeks	■

SAP Short Description	Description	Product Number		Number	Specification Number	Delivery Time	
		LUL	Supplier				
655/10014 SPROCKET H/R DR 19T X 1.5"P PH	HANDRAIL DRIVE CHAIN TENSIONER SPROCKET 19 TEETH 1-1/2" PITCH; FOR USE ON PH ESCALATORS; TO LU DRAWING 655-10014 REV 'C'; (TO DCN LU730 - TM 9/11/15); (TO DCN LU453 REV 'B'- TM 30/11/2011)	00141/7926	LUL368	655/10014	AS DWG	7-8 weeks	██████
655/12009 NEWEL WHEEL MH U/L	NEWEL WHEEL FABRICATED UPPER WITH TYRE; MH ESCALATOR TO DRG 655-12009 ISSUE B	00141/8000	LUL263	655/12009	AS DWG	10-12 weeks	██████
655/1993 SPROCKET H/R TENSION MH-A	TENSIONER SPROCKET FOR HANDRAIL DRIVE CHAIN; FOR USE ON MH-A ESCALATORS; TO LU DRAWING 655-1993 REV A	00141/8550	LUL660	655/1993	AS DWG	6-8 weeks	██████
655/1997 SPROCKET H/R DRIVE 22T L/L MH-A	SPROCKET FINISH MACHINED LOWER HANDRAIL; DRIVE FOR MH-A ESCALATOR; TO LU DRAWING 655-1997 REV A	00141/8584	LUL661	655/1997	AS DWG	6-8 weeks	██████
655/1998 SPROCKET H/R DRIVE MHA 52T 1.5P	SPROCKET FOR HANDRAIL DRIVE FOR MHA; ESCALATOR 52 TEETH 1.5 PITCH 0.875" DIA; ROLLER	00141/8592	LUL670	655/1998	AS DWG	8-10 weeks	██████
655/9043 SPROCKET C/SHAFT HD-B 17T 1.5"P	SPROCKET 17 TEETH 1-1/2" PITCH ANSI HD-B COUNTER SHAFT; TO LU DRG NO 655-9043; MATERIAL NO TO BS970 GRADE 070M20	00141/9492	LUL693	655/9043	AS DWG	6-8 weeks	██████
655/9064 SPROCKET IDLER ASSY MYA/LHDM	SPROCKET ASSEMBLY IDLER FIXED <(>&<); TIGHTNER FOR USE ON MYA <(>&<) LHDM ESCALATOR; HANDRAIL DRIVE THIS ASSEMBLY CONSISTS OF; 655/9002 SPROCKET 1 OFF (22 TEETH); 26144/960 BEARING 2 OFF; TO LU DRAWING 655-9064 REV C	00141/9634	LUL696	655/9064	AS DWG	6-8 weeks	██████
655/9127 NEWEL WHEEL LHDM/MYA L/L FABRI	FABRICATED NEWEL SHEAVE WHEEL LOWER; LANDING LHDM/MYA TO LUL DRG 655-9127; ISSUE "D" THIS PT NO, SUPERCEDE PT NO.; 655-1989	00142/0018		655/9127	AS DWG	10-12 weeks	██████
655/9128 NEWEL WHEEL MHA/MYA U/L FAB	FABRICATED NEWEL WHEEL UPPER LANDING MHA; <(>&<) MYA TO LUL DRG 655-9128 ISSUE "E"; NOTE PT NO 655/1979 CAN ALSO BE USED; IF AVAILABLE	00142/0026	LUL270	655/9128	AS DWG	10-12 weeks	██████
655/9129 NEWEL WHEEL MH-A L/L FABRICATED	FABRICATED NEWEL WHEEL LOWER LANDING MH-A; ESCALATOR TO LUL DRG 655-9129 ISSUE "D"; THIS PT NO, REPLACES PT NO,655/1980	00142/0034	LUL261	655/9129	AS DWG	8-10 weeks	██████

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		LUL	Supplier				
706/912 MOULDING SKIRT MYA/MHA/LHDM	SKIRTING PANEL MOULDING STRAIGHT LENGTH; ALUMINIUM FOR MY-A MH-A <(>&<)> LHD-M ESCALATORS; TO LU DRG 706-912 REV 'A'; MATERIAL ALUMINIUM TO BSS1476/HE 30 W; SUPPLIED IN 12 FT LENGTHS	00142/4934	LUL726	706/912	AS DWG	4-5 weeks	■
71/1968 BRACKET S/DETCR MHA/MYA/LHDM	DROPPED STEP DETECTOR MAIN BRACKET; LHDM ESCALATOR; TO LU DRG 71-1968 ISSUE 'D'	00142/5442	LUL616	71/1968	AS DWG	3-4 weeks	■
721/903 CAM STEP DETECT MHA/MYA/LHDM	DROPPED STEP DETECTOR CAM; LHDM ESCALATOR; TO LU DRG 721-903 ISSUE 'D'	00142/7276	LUL615	721/903	AS DWG	3-4 weeks	■
844/938 SPACER CHAIN AXLE PH ESC	CHAIN AXLE SPACER PH ESCALATOR; TO LUL DRG 844-938 REV 'B'	00143/2818	LUL056	844/938	AS DWG	4-5 weeks	■
86/1975 BUSH OUTR LNK STEP CHAIN MH	OUTER LINK BUSH FOR TABBED STEP CHAIN ASSY; TO LUL DRG 86-1975 REV 'D'	00143/3318	LUL416 / LUL665	86/1975	AS DWG	3-4 weeks	■
86/1976 BUSH INNER LINK MH / MHA	INNER LINK BUSH FOR STEP CHAIN INNER; LINK ASSY MH/MHA ESCALATOR; TO LUL DRG 86-1976 REV'D'	00143/3326	LUL417	86/1976	AS DWG	4-5 weeks	■
86/1987 SPACER (CLAMPING) C/W AXLE PH	CHAIN WHEEL CLAMPING BUSH (SPACER/WASHER) FOR PH; ESCALATOR; SIZE 25.1 > 25.2MM ID X 3.0MM OD X 3.0 > 3.5MM THK; TO LUL DRG 86-1987;	00143/3350	LUL123	86/1987	AS DWG	3-4 weeks	■
477/12001 ROLLER CATENARY ASSEMBLY	HAND RAIL TENSION CATENARY ROLLER; ASSEMBLY MHA/MYA/LHDM; TO DWG 477-12001 ISSUE 'A'; ## REPLACES 477-950 ##	00147/2746	LUL349	477/12001	AS DWG	4-5 weeks	■
584/12003 H/RAIL ENTRY SWITCH ASSY PH PS	HANDRAIL ENTRY SWITCH ASSEMBLY; (LUL MK 2 BALUSTRADE) FOR USE ON PH & PS; ESCALATORS. TO DRAWING 584-12003 REV 'E'	00147/9576	LUL377	584/12003	AS DWG	7-8 weeks	■
539/12024 SHIM OD=355 ID=292MM T=0.5MM	SHIM FOR MAIN DRIVING SHAFT; O.D.=355.00MM. I.D.= 292MM/ T= 0.5MM.; TO LU DRG 539-12024 ISSUE "B"	00148/1077	LUL653	539/12024	AS DWG	3-4 weeks	■
539/12025 SHIM OD=355MM ID=292MM T=1.0MM	SHIM FOR MAIN DRIVE SHAFT BEARING.; SHIM O.D.= 355.00MM I.D.= 292.00MM. T= 1.00MM.; TO DRG; 539-12025 ISSUE "B"	00148/1085	LUL654	539/12025	AS DWG	3-4 weeks	■
539/12026 SHIM OD= 355MM ID= 292MM T=2.0	SHIM FOR MAIN DRIVING SHAFT BEARING; O.D = 355.00MM. I. D = 292.00MM T = 2.00MM; TO LU DRG. 539-12026 ISSUE "B".	00148/1093	LUL655	539/12026	AS DWG	3-4 weeks	■

SAP Short Description	Description	Product Number		Specification Number	Delivery Time		
		LUL	Supplier				Number
SHIM DR-SHAFT BEARING MH-A ESC T=0.5MM	SHIM MAIN DRIVE SHAFT BEARING MH-A ESC; SIZE ID 321.0MM OD 387.0MM THICKNESS 0.5; MM TO DRG REF: 539-12027 REV 'B'; THIS ITEM TO BE SUPPLIED IN PAIRS; THIS ITEM IS ASSOCIATED WITH; NO.510/12002	00148/2547	LUL656	539/12027	AS DWG	3-4 weeks	■
SHIM DR-SHAFT BEARG MH-A ESC T=1.0MM	SHIM MAIN DRIVE SHAFT BEARING MH-A ESC; SIZE ID 321.0MM OD 387.0MM THICKNESS 1.0; MM TO DRG 539-12028 REV 'B'; THIS ITEM TO BE SUPPLIED IN PAIRS; THIS ITEM IS ASSOCIATED WITH PART; NO.510/12002	00148/2554	LUL657	539/12028	AS DWG	3-4 weeks	■
SHIM DR SHAFT BEARG MH-A ESC T=2.0MM	SHIM MAIN DRIVE SHAFT BEARING MH-A ESC; SIZE ID 321.0MM OD 387.0MM THICKNESS; 2.0MM TO DRG 539-12029 REV 'B'; THIS ITEM TO BE SUPPLIED IN PAIRS; THIS ITEM IS ASSOCIATED WITH PART NO.; 510/12002	00148/2562	LUL658	539/12029	AS DWG	3-4 weeks	■
263/12001 H/R GUIDE SHOE MY-A / MH-A	HANDRAIL GUIDE SHOE ASSY MY-A/MH-A ESC; THIS ITEM CONSISTS OF PT.NO. 263/12002; G.SHOE, PT.NO.58/12050 SHIM X 2, PT. NO.; 539/12050 SHIM X 2, PT.NO.539/12051 SHIM; X 2. TO DRG 263-12001 REV 'B'	00148/2620	LUL542	263/12001	AS DWG	7-8 weeks	■
584/12004 H/RAIL ENTRY SWITCH ASSY	HANDRAIL ENTRY SWITCH ASSEMBLY; (OTIS BALUSTRAD); FOR MH-A, MY-A, LHD-M, RAC; TYPE ESCALATORS; TO LU DRG 584-12004 REV 'D'	00148/6498	LUL376	584/12004	AS DWG	7-8 weeks	■
421/12035 COMB OUTER BANK CONVEYOR	COMB SECTION FOR USE ON THE BANK; CONVEYOR, UPPER LH LOWER RH; TO LU DRG 421-12035/12036 REV 'B'; CAN BE MADE FROM ITEM 421/12034	00148/7777	LUL486	421/12035	AS DWG	5-6 weeks	■
421/12036 COMB OUTER BANK CONVEYOR	COMB SECTION FOR USE ON THE BANK; CONVEYOR, UPPER RH LOWER LH; TO LU DRG 421-12035/12036 REV 'B'; CAN BE MADE FROM ITEM 421/12034	00148/7785	LUL769	421/12036	AS DWG	5-6 weeks	■
421/12034 COMB INNER BANK CONVEYOR	INNER COMB SECTION FOR USE ON THE BANK; CONVEYOR.; TO LU DRG 421-12034 REV 'B'	00148/7868	LUL354	421/12034	AS DWG	5-6 weeks	■
262/12002 HANDRAIL ENTRY BRUSHGUARD	HANDRAIL ENTRY BRUSH GUARD; FOR MHA, MYA, LHDM <(>&<)> RAC ESCALATORS.; TO LU DRG 262-12002 REV 'B'	00148/8262	LUL608	262/12002	AS DWG	7-8 weeks	■
655/12021 SPROCKET H/R 24T X 1"P RTP 1&2	SPROCKET TENSIONER FOR HANDRAIL DRIVE CHAIN; 24 TEETH X 1" PITCH TYPE 'B'; FOR USE ON RTP 1 <(>&<)> 2.; TO LU DRAWING 655-12021 REV 'B'; (REF. DCN LU768 DATED 2/2/17 - TM)	00149/3833	LUL794	655/12021	AS DWG	7-8 weeks	■

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		LUL	Supplier				
510/12010 SHAFT NEWEL WHEEL PH PS U/L	NEWEL WHEEL SHAFT UPPER LANDING FOR; PH AND PS ESCALATORS, TO METRONET; DRAWING 510/12010 REV 'A'; SUPERSEDES APV DRAWING 03-06-416	00149/6471	LUL355	51/12010	AS DWG	5-6 weeks	████
43/12002 BEARING STEP CHAIN AXLE MY-A	STEP CHAIN AXLE BEARING; FOR USE WITH CLEATED RISER STEP; USED ON MY-A ESCALATORS; TO LU DRG 43-12002 REV 'C'; TO LU DCN722 - TM 9/11/15	00149/7875	LUL359	43/12002	AS DWG	6-7 weeks	████
43/12001 BEARING RAILKO STEP AXLE MH-B	STEP CHAIN AXLE BEARING RAILKO INSERT; FOR USE WITH CLEATED RISER STEP (564/12002); USED ON MH-A <-&<-> MH-B ESCALATORS; TO LU DRG 43-12001 REV 'C'; TO LU DCN722 - TM 9/11/15	00149/7883	LUL392	43/12001	AS DWG	6-7 weeks	████
844/12010 SPACER AXLE MY-A CLEATED STEP	AXLE SPACER FOR USE WITH CLEATED RISER; STEP. USED ON MY-A ESCALATORS;; TO LU DRAWING 844/12010 REV 'C'	00149/7891	LUL358	844/12010	AS DWG	7-8 weeks	████
844/12009 SPACER STEP CHAIN AXLE MH-B	AXLE SPACER FOR USE WITH CLEATED RISER STEP.; USED ON MH-A AND MH-B ESCALATORS.; TO LU DRG 844-12009 REV 'C'; ; NOTE - PLEASE BOX IN QTY 25	00149/7909	LUL391	844/12009	AS DWG	7-8 weeks	████
24/12003 AXLE MY-A (POLY BUSH)	CHAIN WHEEL AXLE FOR USE WITH POLYMER; BUSHED CHAIN. USED ON MY-A ESCALATORS.; TO LU DRAWING 24/12003 REV'B'	00149/8147	LUL550	24/12003	AS DWG	7-8 weeks	████
655/9121 SPROCKET HD-B H/R 22T 1-1/4"P	SPROCKET HANDRAIL DRIVE CHAIN TENSIONER; 22 TEETH x 1-1/4" PITCH (31.75MM) 19.05M; ROLLER DIAMETER FOR HD-B ESCALATOR; TO LU DRG 655-9121 REV A; SUPERSEDES OTIS DRG GO195GY	00150/2609	LUL360	655/9121	AS DWG	5-6 weeks	████
655/12045 SPROCKET NEWEL 35TX1.5"P PH	SIMPLEX SPROCKET 35 TEETH 1.5" PITCH;; ANSI STANDARD. TO FIT RENOLD CHAIN NO.; 119123. BORE 50MM H7 G6, PARALLEL KEYWAY; TO B S STANDARD. 2 HOLES DRILLED AND; TAPPED 10MM TO HOLD SPROCKET TO SHAFT.; ONE THROUGH KEYWAY AND ONE AT 90 DEG.; THROUGH HUB. USED AS PH ESCALATOR NEWEL; SPROCKET.; TO LU DRAWING 655-12045 REV 'A'	00150/3979	LUL664	655/12045	AS DWG	5-6 weeks	████
610/12001 PIN SPANNER	PIN SPANNER FOR STEP AXLE BEARING, USED; ON MH-A, MH-B AND MY-A ESCALATORS; TO METRONET DRAWING 610/12001 REV 'A'	00150/4167	LUL374	610/12001	AS DWG	2-3 weeks	████
140/12002 COLLAR 40MM PH/PS DIV. SHAFT	40MM DIAMETER COLLAR FOR PH/PS DIVERter SHAFTS;; TO LU DRAWING 140-12002 REV 'B'	00150/7004	LUL549	140/12002	AS DWG	2-3 weeks	████
95/12003 END CAP NEWEL SHAFT PH/PS	END CAP FOR NEWEL SHAFT; FOR USE ON PH/PS ESCALATORS; TO LU DRAWING 95-12003 REV 'A'	00150/7020	LUL831	95/12003	AS DWG	2-3 weeks	████

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510/1931 SHAFT NEWEL U/L HD-B/C	NEWEL SHAFT FOR USE ON HD-B <(>&<)> HD-C UPPER LANDING <(>&<)> HD-B; LOWER LANDING; ESCALATORS; TO LU DRAWING 510-1931 REV 'C'; REFERENCE DRAWING 15-13-003, 15-13-010 <(>&<)> 15-13-013; (DCN LU 740 - TM - 11/4/16)	00151/1535	LUL418	510/1931	AS DWG	5-6 weeks	████
539/1912 SHIM 50 x 50 x 1.5 THK	SHIM; SIZE 50MM X 50MM X 1.5MM THICK WITH 13MM HOLE.; TO LU DRG 539/1912 REV 'A'; SUPERSEDES OTIS DRAWING LCO 255 BS36; ;	00151/1576	LUL711	539/1912	AS DWG	4-5 weeks	████
477/12010 ROLLER H/R CAT INTERNAL HD-B/C	HANDRAIL TENSION CATENARY ROLLER ASSEMBLY (INTERNAL); FOR USE ON HD-B/C ESCALATORS; TO LU DRAWING 477-12010 REV 'A'	00151/1584	LUL461	477/12010	AS DWG	6-7 weeks	████
COMB ADJUSTER ASSY, MY-A & MH-A 4/12001	COMB ADJUSTER STUD ASSEMBLY FOR USE ON MY-A <(>&<)>; MH-A ESCALATORS TO LU DRAWING 4-12001 REV 'B'; ;	00204/2374	LUL298	4/12001	AS DWG	4-5 weeks	████
BRACKET 71/12077 DROPPED STEP SUPPORT	BRACKET (CHAIN WHEEL) DROPPED STEP SUPPORT RAMP.; RIGHT HAND FOR USE ON MY-A CENTRE ESCALATORS.; TO LU DRAWING 71-12076/12077 REV 'A'; REFERENCE DRAWING 28-11-016 REV 'B'	00204/2413	LUL683	71/12076/12077	AS DWG	3-4 weeks	████
BRACKET 71/12076 (DROPPED STEP SUPPORT)	BRACKET (CHAIN WHEEL) DROPPED STEP SUPPORT RAMP.; LEFT HAND FOR USE ON MY-A CENTRE ESCALATORS.; TO LU DRAWING 71-12076/12077 REV 'A'; REFERENCE DRAWING 28-11-016 REV 'B'	00204/2414	LUL682	71/12076/12077	AS DWG	3-4 weeks	████
655/12038 SPROCKET H/R DR PS 35T 1-1/2"P	SPROCKET HAND RAIL DRIVE; 35 TEETH 38.1mm PITCH TYPE 'B'; FOR USE ON PS ESCALATORS; TO LU DRAWING 655-12038 REV 'A'; ;	00204/3206	LUL827	655/12038	AS DWG	6-7 weeks	████
SHAFT COUNTER ASSY PS 510/12018	COUNTER SHAFT ASSEMBLY COMPLETE.; FOR USE ON PS ESCALATORS; TO LU DRAWING 510-12018 REV 'A'; ASSEMBLY COMPRISES; DRIVE SHAFT TO DRG 510-12019; HANDRAIL DRIVE SPROCKETS (2) TO DRG 655-12038; COUNTERSHAFT DRIVEN SPROCKET TO DRG 655-12037; KEY TO DRG 314-12012	00204/3207	LUL643	510/12018	AS DWG	10-12 weeks	████
STEP GUIDE ROLLER HD-B/C 477/971	STEP GUIDE ROLLER COMPLETE WITH OILITE BUSH; FOR USE ON HD-B/C ESCALATORS; SIZE 3-7/8" DIAMETER; TO LU DRAWINGS 477-971 REV 'B'	00204/3223	LUL504	477/971	AS DWG	4-5 weeks	████
STEP GUIDE ROLLER PIN HD-B/C 415/1957	STEP GUIDE ROLLER PIN FOR USE ON HD-B/C ESCALATORS; TO LU DRAWING 415-1957 REV 'A'	00204/3224	LUL503	415/1957	AS DWG	5-6 weeks	████
477/12012 CATENARY ROLLER EXT RTP ALLOY	HANDRAIL CATENARY ROLLER (EXTERNAL); FOR USE ON RTP ESCALATORS; TO LU DRAWING 477-12012 REV 'A'; MATERIAL ALUMINIUM	00204/5049	LUL721	477/12012	AS DWG	3-4 weeks	████

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SPACER WASHER PS-X98 648/12006 4MM CFR	CHAIN AXLE SPACER WASHER; FOR USE ON PS-X98 ESCALATORS; TO LU DRAWING 648-12006 REV 'B'; BASED ON KONE DRAWING 2431442	00204/5082	LUL467	648/12006	AS DWG	3-4 weeks	■
HANDRAIL ENTRY GUARD ASSY 262/12001	HANDRAIL ENTRY GUARD ASSY (OTIS TYPE); FOR ESCALATORS WITH HANDRAIL ENTRY SWITCH; TO LU DRAWING 262-12001 REV 'D' (DCN LU782 DATED 28/7/17); SUPERCEDES OTIS DRG LBA9702LC; COMPRISES :-; 262/965 BRUSH GUARD X1; 844/12008 SPACER X2; 421/12018 PLATE (BACKING) X1; SCREW M5 X 10 SLT CHEESE HD STEEL ZP X3;	00204/5090	LUL700	262/12001	AS DWG	7-8 weeks	■
510/12014 SHAFT NEWEL UPPER MY-A	NEWEL SHAFT UPPER (MODIFIED) FOR MY-A ESCALATORS; FITTED WITH NEW NEWEL STANDS.; SHAFT TO LU DRAWING 510-12014 REV 'A'	00204/5826	LUL508	510/12014	AS DWG	3-4 weeks	■
AXLE BLOCK ASSY R/H PS-X 58/12006	AXLE BLOCK ASSEMBLY RIGHT HAND PS-X ESCALATORS; TO LU DRAWING 58-12006 REV 'B';	00204/6203	LUL556	58/12006	AS DWG	4-5 weeks	■
AXLE BLOCK ASSY L/H PS-X 58/12007	AXLE BLOCK ASSEMBLY LEFT HAND PS-X ESCALATORS; TO LU DRAWING 58-12007 REV 'B';	00204/6206	LUL557	58/12007	AS DWG	4-5 weeks	■
AXLE HD-B/C CHAIN TENSION DEVICE	AXLE FOR HD-B/C CHAIN TENSION DEVICE; TO LU DRAWING 415-12019 REV 'A'; (OTIS DRAWING GO 502 BM);	00204/6252	LUL685	415/12019	AS DWG	3-4 weeks	■
415/12014 PIN CATENARY ROLLER RTP	CATENARY ROLLER PIN FOR RTP ESCALATORS; TO LU DRAWING 415-12014 REV A	00204/7981	LUL555	415/12014	AS DWG	3-4 weeks	■
477/12017 ROLLER CATENARY ASSY EXT RTP	CATENARY ROLLER ASSEMBLY (EXTERNAL); FOR RTP ESCALATORS; TO LU DRAWING 477-12017 REV A	00204/7992	LUL559	477/12017	AS DWG	4-5 weeks	■
ROLLER INT. (CATENARY) RTP 477/12016	CATENARY ROLLER ASSEMBLY (INTERNAL); FOR RTP ESCALATORS; TO LU DRAWING 477-12016 REV A	00204/7993	LUL558	477/12016	AS DWG	4-5 weeks	■
SPROCKET NEWEL HD-C U/L	NEWEL SPROCKET UPPER LANDING FOR USE ON HD-C ESCALATOR; TO LU DRG 655-12057 REV 'A'; REFERENCE DRAWINGS 15-13-12 <(>&<> 15-13-13; SUPERSEDES OTIS DRAWING LAA 195 GB1; (DCN 676 - TM 1/12/14)	00204/8241	LUL562 (LAA195GB1 )	655/12057	AS DWG	6-7 weeks	■
DROPPED STEP RAMP U/L MY-A ESC	DROPPED STEP RAMP FOR MY-A ESCALATOR; UPPER LANDING; REF. LU ARRANGEMENT DRG 28-11-010 REV 'B'	00204/9179	LUL590	28-11-010	AS DWG	5-6 weeks	■
AXLE MH TRAILER 24/933	TRAILER WHEEL STEP AXLE FOR MH STEP (564/951) TO LU DRAWING 24-933 REV; A'	00204/9184	LUL592	24/933	AS DWG	5-6 weeks	■

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DROPPED STEP RAMP MY-A LOWER LANDING	DROPPED STEP RAMP FOR MY-A ESCALATOR; LOWER LANDING; REF. LU ARRANGEMENT DRG 28-11-011 REV 'C'	00204/9250	LUL589	28-11-011	AS DWG	5-6 weeks	██████
DROPPED STEP RAMP MY-A UPPER LANDING	DROPPED STEP RAMP FOR MY-A ESCALATOR; UPPER LANDING (CENTRE); TO LU ARRANGEMENT DRG 28-11-016 REV 'C';	00204/9251	LUL659	28-11-016	AS DWG	5-6 weeks	██████
SPACER HD-B/C CHAIN TENSION 844-12028	SPACER, FOR USE ON HD-B/C CHAIN TENSION DEVICE; TO LU DRAWING 844-12028 REV 'A'	00204/9844	LUL611	844/12028	AS DWG	2-3 weeks	████
SPACER HD-B/C CHAIN TENSION 844-12029	SPACER, FOR USE ON HD-B/C CHAIN TENSION DEVICE; TO LU DRAWING 844-12029 REV 'A'	00204/9845	LUL612	844/12029	AS DWG	2-3 weeks	████
655-12046 SPROCKET 17T C/SHAFT HD-B/C	COUNTERSHAFT DRIVE CHAIN TIGHTENER SPROCKET ASSEMBLY; TO LU DRAWING 655- 12046 REV 'A'; COMPRISES SPROCKET 655-9043; BEARING <(>&<)> CIRCLIPS	00204/9847	LUL610 / LUL686	655/12046	AS DWG	6-7 weeks	██████
SPRING 554-12006 DROPPED STEP RETAINER	DROPPED STEP RETAINER SPRING; FOR USE ON MY-A <(>&<)> MH-A ESCALATORS; TO LU DRAWING 554-12006 REV A;	00205/0325	LUL607	554/12006	AS DWG	3-4 weeks	██████
SPACER H/R ENTRY GUARD 844-12008	SPACER FOR USE ON OTIS TYPE HANDRAIL ENTRY GUARDS; TO LU DRAWING 844-12008 REV A; SUPERSEDES OTIS DRWING LAA 462 LE2	00205/0380	LUL606	844/12008	AS DWG	4-5 weeks	████
SHAFT (NEWEL) MH-A 510/960	NEWEL SHAFT; UPPER <(>&<)> LOWER LANDING MH-A; TO LU DRAWING 510-960 REV E;	00205/7635	LUL053	510/960	AS DWG	3-4 weeks	██████
WHEEL NEWEL (DUMMY) MHA / MYA 655/12052	DUMMY NEWEL WHEEL FOR SITE SET UP; FOR USE ON MH-A <(>&<)> MY-A ESCALATORS; TO LU DRAWING 655-12052 REV A.;	00205/7641	LUL629	655/12052	AS DWG	6-7 weeks	██████
CAM PLATE ASSY KINKED LNK DET. 721/12002	CAM PLATE ASSEMBLY MH-A <(>&<)> MY-A KINKED LINK DETECTORS; COMPRISES PLATE 421-12087 <(>&<)> STUD 415-12026; TO LU DRG. 721-12002 REV 'B'; (DCN 636-TM-3/12/14);	00205/7643	LUL624	721/12002	AS DWG	5-6 weeks	██████
BAR KINKED LINK DETECTOR 35/12009	CLAMPING BAR, MH-A <(>&<)> MY-A KINKED LINK DETECTORS; TO LU DRG. 35-12009 REV 'C'; (TO DCN 636-TM-3/12/14); (TO DCN LU751-TM-4/8/16);	00205/7645	LUL622	35/12009	AS DWG	2-3 weeks	██████
BRACKET KINKED LINK DETECTOR 71/12117	BRACKET MH-A <(>&<)> MY-A KINKED LINK DETECTORS; TO LU DRG. 71-12117 REV 'B'; (DCN 636-TM-3/12/14);	00205/7646	LUL623	71/12117	AS DWG	3-4 weeks	██████
SPACER KINKED LINK DETECTOR 844/12030	SPACER MH-A <(>&<)> MY-A KINKED LINK DETECTORS; TO LU DRG. 844-12030 REV 'B'; (DCN 636-TM-3/12/14);	00205/7647	LUL626	844/12030	AS DWG	3-4 weeks	██████

SAP Short Description	Description	Product Number		Number	Specification Number	Delivery Time	
		LUL	Supplier				
SPRING KINKED LINK DETECTOR 554/12005	COMPRESSION SPRING KINKED LINK DETECTORS MH-A <(>&<)> MY-A; TO LU DRG. 554-12005 REV 'C'; (TO DCN 636-TM-3/12/14); (TO DCN LU751-TM-4/8/16);	00205/7648	LUL625	554/12005	AS DWG	3-4 weeks	■
WASHER (HD NEWEL SHAFT) 648/1921	WASHER FOR HD NEWEL SHAFT; TO LU DRG 648/1921 REV 'A'	00205/7961	LUL703	648/1921	AS DWG	3-4 weeks	■
539/12100 SHIM (MY-A SLIDE BRACKET)	SHIM FOR MY-A SLIDE BRACKET; TO LU DRAWING 539-12100 REV A	00205/7962	LUL637	539/12100	AS DWG	5-6 weeks	■
539/12101 SHIM (MY-A SLIDE BRACKET)	SHIM FOR MY-A SLIDE BRACKET; TO LU DRAWING 539-12101 REV A	00205/7963	LUL638	539/12101	AS DWG	5-6 weeks	■
539/12102 SHIM (MY-A SLIDE BRACKET)	SHIM FOR MY-A SLIDE BRACKET; TO LU DRAWING 539-12102 REV A	00205/7964	LUL639	539/12102	AS DWG	5-6 weeks	■
SHIM, (MY-A SLIDE BRACKET) 539/12103	SHIM FOR MY-A SLIDE BRACKET; TO LU DRAWING 539-12103 REV A	00205/7965	LUL640	5369/12103	AS DWG	5-6 weeks	■
539/12104 PACKER (MY-A SLIDE BRACKET)	PACKER FOR MY-A SLIDE BRACKET; TO LU DRAWING 539-12104 REV A	00205/7966	LUL641	539/12104	AS DWG	5-6 weeks	■
PACKER, (MY-A SLIDE BRACKET) 539/12105	PACKER FOR MY-A SLIDE BRACKET; TO LU DRAWING 539-12105 REV A	00205/7967	LUL642	539/12105	AS DWG	5-6 weeks	■
ROLLER CATENARY OUTER HD-B/C 477/12008	CATENARY ROLLER ASSEMBLY OUTER; FOR USE ON HD-B/C ESCALATORS; TO LU DRAWING 477-12008 REV A;	00205/7989	LUL635	477/12008	AS DWG	5-6 weeks	■
SHIM MH-A IDLER SHAFT 0.2mm THK 539/1984	SHIM FOR MH-A IDLER SHAFT BEARING; TO LU DRAWING 539-1984 REV B	00205/9252	LUL662	539/1984	AS DWG	5-6 weeks	■
SHIM MH-A IDLER SHAFT 0.1mm THK 539/1985	SHIM FOR MH-A IDLER SHAFT BEARING; TO LU DRAWING 539-1985 REV B	00205/9253	LUL663	539/1985	AS DWG	5-6 weeks	■
WHEEL (NEWEL) UPPER LANDING PS-X	UPPER LANDING NEWEL WHEEL COMPLETE WITH TYRE,; TO APV BAKER DRAWING 03-06-1444 REV A; FOR USE ON PS-X ESCALATORS	00205/9780	LUL285	03-06-1444	AS DWG	10-12 weeks	■
BUFFER (STEP CHAIN SPROCKET) 82-12001	POLYMER BUFFER FOR HD-B <(>&<)> HD-C STEPCHAIN SPROCKETS; TO LU DRG 82-12001 REV 'B'; (TO DCN LU729) 30/10/15; (REF. 655-12053 <(>&<)> 655- 12054)	00205/9800	LUL770	82/12001	AS DWG	4-5 weeks	■

SAP Short Description	Description	Product Number		Number	Specification Number	Delivery Time	
		LUL	Supplier				
WHEEL (NEWEL) LOWER LANDING PS-X	LOWER LANDING NEWEL WHEEL; TO APV BAKER DRAWING 03-06-1465 REV 'A'; FOR USE ON PS-X ESCALATORS	00205/9801	LUL671	03-06-1465	AS DWG	10-12 weeks	██████
BRACKET & AXLE ASSY HD-B C/SHAFT	BRACKET <(>&<)> AXLE ASSEMBLY; FOR HD-B COUNTERSHAFT DIVERTER ARRANGEMENT.; TO LU DRAWING 71-12119 REV A; COMPRISING 71/12118 (BRACKET) AND 24-12011 (AXLE); REFERENCE DRAWINGS 13-15-006 <(>&<)> 7	00206/0092	LUL679	71-12119, 71/12118	AS DWG	3-4 weeks	██████
ANCHOR (CHAIN) LH PASSENGER ASSY. MY-A	CHAIN ANCHOR ASSEMBLY PASSENGER SIDE LEFT HAND MY-A TO PARTS LIST ON; ARRANGEMENT DRAWING 07-11-026 SHEETS 1 <(>&<)> 2 REV B (AS DRAWN);	00206/0413	LUL689	07-11-026	AS DWG	7-8 weeks	██████
ANCHOR (CHAIN) RH PASSENGER ASSY. MY-A	CHAIN ANCHOR ASSEMBLY PASSENGER SIDE RIGHT HAND MY-A TO PARTS LIST ON; ARRANGEMENT DRAWING 07-11-026 SHEETS 1 <(>&<)> 2 REV B (OPPOSITE TO AS; DRAWN);	00206/0414	LUL690	07-11-026	AS DWG	7-8 weeks	██████
ANCHOR (CHAIN) RH RETURN ASSY. MY-A	CHAIN ANCHOR ASSEMBLY RETURN SIDE RIGHT HAND MY-A TO PARTS LIST ON; ARRANGEMENT DRAWING 07-11-027 SHEETS 1 <(>&<)> 2 REV C (AS DRAWN);	00206/0415	LUL692	07-11-027	AS DWG	7-8 weeks	██████
ANCHOR (CHAIN) LH RETURN ASSY. MY-A	CHAIN ANCHOR ASSEMBLY RETURN SIDE LEFT HAND MY-A TO PARTS LIST ON; ARRANGEMENT DRAWING 07-11-027 SHEETS 1 <(>&<)> 2 REV C (AS DRAWN);	00206/0416	LUL691	07-11-027	AS DWG	7-8 weeks	██████
ADJUSTER ASSY HD-B C/SHAFT CHAIN TENSION	ADJUSTER ASSEMBLY FOR HD-B COUNTER SHAFT CHAIN TENSION; TO LU DRAWING 4-12002 REV A; ; SUPERCEDED BY 4-12004 <(>&<)> 4-12005 (DCN LU771) 12/5/17	00206/0811	LUL684	4/12002	AS DWG	5-6 weeks	██████
PLATE (HD-B/C CHAIN TENSION) 421/12069	PLATE FOR HD-B/C CHAIN TENSION DEVICE; TO LU DRAWING 421-12069 REV A	00206/0812	LUL687	421/12069	AS DWG	2-3 weeks	██████
HITCH PLATE HD-B/C C/S TENSION 421/12068	HITCH (PLATE) FOR COUNTERSHAFT CHAIN TENSION DEVICE; USED ON HD-B/C ESCALATORS; TO LU DRAWING 421-12068 REV A	00206/0813	LUL688	421/12068	AS DWG	3-4 weeks	██████
SHAFT NEWEL HD-B U/L 510-12044	NEWEL SHAFT FOR HD-B ESCALATORS UPPER LANDING; TO LU DRAWING 510-12044 REV 'A'; REFERENCE DRAWING 15-13-011.; SUPERSEDES OTIS LAA 494 FT2	00206/3008	LUL697	510/12044	AS DWG	3-4 weeks	██████
SHAFT NEWEL HD-C U/L 510-12045	NEWEL SHAFT FOR HD-C ESCALATORS UPPER LANDING; TO LU DRAWING 510-12045 REV 'B'; TO DCN LU 740 - TM 11/4/16; REFERENCE DRAWING 15-13-012; SUPERSEDES OTIS LAA 494 GK1	00206/3009	LUL698	510/12045	AS DWG	3-4 weeks	██████
DETECTOR (KINKED LINK) 584/12007	KINKED LINK DETECTOR ASSEMBLY; COMPLETE WITH SWITCH; TO LU DRAWING 584- 12007 REV 'A'; FOR USE ON MH A <(>&<)> MY-A ESCALATORS;	00206/3010	LUL733	584/12007	AS DWG	3-4 weeks	██████

SAP Short Description	Description	Product Number		Number	Specification Number	Delivery Time	
		LUL	Supplier				
CAP END (IDLER SHAFT BEARING) 95/12009	BEARING END CAP FOR HD-B/C IDLER SHAFTS; TO LU DRAWING 95-12009 REV 'A'	00206/3724	LUL702	95/12009	AS DWG	3-4 weeks	■
SHIM / PACKER FOR CHAIN ANCHOR MY-A	SHIM / PACKER FOR CHAIN ANCHOR ON MY-A ESCALATOR TO LU DRAWING 539-; 12107/12110	00206/5708	LUL714 / 715 / 716 / 717	539/120107-120110	AS DWG	3-4 weeks	■
SHIM/PACKER 0.5MM FOR CHAIN ANCHOR MY-A	SHIM / PACKER 0.5MM FOR CHAIN ANCHOR ON MY-A ESCALATOR; TO LU DRAWING 539-12107/12110; PART No.539/12107;	00206/5863	LUL714	539/12107-12110	AS DWG	3-4 weeks	■
SHIM/PACKER 1.0MM FOR CHAIN ANCHOR MY-A	SHIM / PACKER 1MM FOR CHAIN ANCHOR ON MY-A ESCALATOR; TO LU DRAWING 539-12107/12110; PART No.539/12108;	00206/5864	LUL715	539/12108	AS DWG	3-4 weeks	■
SHIM/PACKER 2MM FOR CHAIN ANCHOR MY-A	SHIM / PACKER 2MM FOR CHAIN ANCHOR ON MY-A ESCALATOR; TO LU DRAWING 539-12107/12110; PART No.539/12109;	00206/5865	LUL716	539/12109	AS DWG	3-4 weeks	■
SHIM/PACKER 5MM FOR CHAIN ANCHOR MY-A	SHIM / PACKER 5MM FOR CHAIN ANCHOR ON MY-A ESCALATOR; TO LU DRAWING 539-12107/12110; PART NUMBER 539/12110;	00206/5866	LUL717	539-12107-12110	AS DWG	3-4 weeks	■
415/1902 PIN PIVOT 11D 8-3/4"L x 2.0"D	11D BRAKE PIVOT PIN; TO LU DRG 415-1902; LENGTH = 8-3/4"; DIAMETER = 2"	00206/6756	LUL728	415-1902	AS DWG	2-3 weeks	■
415/1919 PIN PIVOT 11D 5-3/8"Lx1.1238"D	11D BRAKE PIVOT PIN; TO LU DRG 415-1919; LENGTH = 5-3/8"; DIAMETER = 1.1238"	00206/6757	LUL729	415/1919	AS DWG	2-3 weeks	■
415/1920 PIN PIVOT 11D 1-13/16"Lx0.50"D	PIVOT PIN FOR TYPE 11D BRAKE; LENGTH = 1-13/16" DIAMETER = 0.50"; TO LU DRG 415-1920	00206/6770	LUL730	415/1920	AS DWG	2-3 weeks	■
SHIM IDLER SHAFT BEARING MYA 0.1MM	SHIM FOR MY-A IDLER SHAFT BEARING; 0.1MM THICK; TO LU DRG. 539-1983	00206/7326	LUL724	539/1983	AS DWG	5-6 weeks	■
SHIM IDLER SHAFT BEARING MYA 0.2MM	SHIM FOR MY-A IDLER SHAFT BEARING; 0.2MM THICK; TO LU DRG. 539-1982;	00206/7327	LUL723	539-1982	AS DWG	5-6 weeks	■
NEWEL ASSY HD-B L/L MODERNISATION	LOWER LANDING NEWEL MODERNISATION MODIFICATION FOR HD-B ESCALATORS; TO LU DRG 15-13-008 INCLUDES NEWEL SHAFT 510/12043	00206/7485	LUL731	510/12043	AS DWG	8-10 weeks	■

SAP Short Description	Description	Product Number		Number	Specification Number	Delivery Time	
		LUL	Supplier				
510/12059 SHAFT COUNTER ASSY HD-C MH	COUNTERSHAFT ASSEMBLY HD-C ESCALATOR MH TRUSS VARIANT; TO LU DRG NO. 510-12059 REV 'A' COMPRISES :-; SHAFT TO LU DRG NO. 510-12057 REV 'A'; COUNTERSHAFT DRIVEN SPROCKET TO LU DRG NO. 655-9110 REV 'B'; HANDRAIL DRIVE SPROCKETS TO LU DRG NO. 655-9111 REV 'B'; COMPLETE WTH; BEARINGS SKF 22210	00206/8146	LUL785	510/12059	AS DWG	8-10 weeks	██████
510/12055 SHAFT COUNTER ASSY HD-B	COUNTERSHAFT ASSEMBLY HD-B ESCALATOR; TO LU DRG NO. 510-12055 REV 'A' COMPRISES:-; SHAFT TO LU DRG NO. 510-12056 REV 'A'; COUNTERSHAFT DRIVEN SPROCKET TO LU DRG NO. 655-9108 REV 'B'; HANDRAIL DRIVE SPROCKETS TO LU DRG NO. 655-9109 REV 'B'; COMPLETE WTH; BEARINGS SKF 22210	00206/8147	LUL784	510/12055	AS DWG	10-12 weeks	██████
NEWEL ASSY HD-C L/L NEWEL MODERNISATION	LOWER LANDING NEWEL MODERNISTION MODIFICATION FOR HD-C ESCALATORS TO LU; DRAWING 15-13-009 INCLUDES NEWEL SHAFT 510/12043	00206/8435	LUL755	15-13-009 510/12043	AS DWG	8-10 weeks	██████
KINKED LINK DET ASSEMBLY HDB 33/13/003	KINKED LINK DETECTOR ASSEMBLY FOR HDB TO LU DRG 33-13-003;	00206/9054	LUL778	33/13/003	AS DWG	3-4 weeks	██████
KINKED LINK DETECTOR ASSY HDC 33/14/001	KINKED LINK DETECTOR ASSEMBLY FOR HDC ESCALATOR; TO LU DRG 33-14-001;	00206/9055	LUL779	34/14/001	AS DWG	4-5 weeks	██████

### **Schedule 3 Specification**

SPC-LAE-301941170 Part 1 rev07.doc

SPC-LAE-301941170 Part 2 rev07.doc

SPC-LAE-301941170 Part 3 rev07.doc

As well as the individual LUL drawings of related components in the "MPS Drawing Pack" which shall form the specification for related Orders placed by the Contracting Authority.

## Schedule 3b Specification

As Stated in the tender documents and associated issued purchase orders

1. **DESCRIPTION OF SUPPLY** – This is a performance specification inclusive of all works and materials, unless specifically indicated otherwise, required to meet the design specifications, operating requirements and performance levels within the Contract for the supply of Materials identified below.
2. **SCOPE OF SUPPLY** – The Supplier shall be responsible for supply of all Materials, (inclusive of labour charges, plant, transport and associated costs within the following material groups:

### Pumps and Pump Parts

3. **RESTRICTIONS** – Whilst on LUL sites the Supplier is to comply with the general conditions appertaining to the respective location. For example, “No Smoking”, “No Radios”, “No Portable CD Music/Media Players”, “No Swearing”, “No Drugs”, “No Alcohol” etc and comply with all alarm testing and evacuation procedures as directed.
4. **PASSES & PERMITS** – Delivery drivers will not be required to hold any form of LUL Permit. Any of the Supplier’s staff involved in filling bins and part of a VMI service will be required to hold a LUCAS card.
5. **MATERIAL SPECIFICATIONS & REQUIREMENTS**

5.1 STANDARDS - The Supplier shall deliver the Materials to meet the requirements of the Conditions of Contract.

5.2 WARRANTY & PRODUCT LIFE –

5.2.1 CONTRACTUAL WARRANTY – The Supplier will provide details of Materials under warranty and the period of warranty on the Contract Material Data Sheets.

Defective Materials under warranty will allocated a unique tracking number by the Company and returned to the Supplier together with a completed Return to Vendor (RTV) form.

On receipt of the Materials the Supplier will carry out a formal investigation as to why the Materials have failed and the RTV should be completed and returned to the Company, stating the Suppliers findings, and any corrective actions taken.

The two basic outcomes will be:

- (i) No Fault Found – The Supplier has re-tested the Materials and can find no fault with them. The parts will be re-supplied to the Company; or.
- (ii) Fault Found – The Supplier has re-tested the Materials and has found fault. The fault has been determined and corrective action has or will take place to ensure no re-occurrence. The Company at its discretion may then quarantine, screen and return to the Supplier all existing stock from the same batch for full replacement.

Any Materials that have been returned to the Supplier under a warranty claim or quality issue will be deducted from monies owed to the Contactor by the Company’s accounts payable department at the Price at which it was supplied to the Company. The

Company will not be responsible for the costs of shipment back to the Supplier for any Materials that are deemed to have, and agreed as Fault Found. Any shipping costs incurred by the Company will either be deducted from monies owed to the Supplier, or alternatively the Supplier can choose to arrange their own pick up.

There may be small items of such low value that, between the Supplier and the Company, the cost to process any warranty claim would outweigh any cost benefit or supply any business justification for doing so. The Company and the Supplier will agree these items at the outset of the Contract being awarded. However this would not apply to any business or safety critical Materials.

The warranty period will re-commence for any material that is repaired under warranty. Any replacement materials will be classed as new for the calculation of warranty.

Where Materials under warranty have been maintained by the Company they will remain under warranty provided that the Suppliers instructions and guidelines have been followed. The Supplier will provide all maintenance instructions and manuals to the Company during the mobilisation period of the Contract.

5.2.2 PREDICTED PRODUCT LIFE - The Supplier will provide details of the expected product life for Materials on the Contract Material Data Sheet.

5.2.3 LATENT DEFECTS - Any latent defect in any item of Supplied Materials shall be rectified by the Supplier if it becomes apparent or is discovered at any time in the period of five (5) years after the commencement of the warranty period for the affected Materials.

## **6. ENGINEERING AND DESIGN CHANGE PROCESS**

The Supplier is responsible for following the process detailed below to advise the Company and get a design change approved:

The Supplier will formally request a design change, being an alternative, or a modification to an existing part, and will complete any paperwork that the Company deems necessary. The Supplier will supply supporting data to validate the design or alternative change being proposed. This may include, but not be limited to, certificates of conformity, test data, data sheets.

The Company will formally review the proposal, and then notify the Supplier of the outcome.

The Company will notify the Supplier in writing of any product or design changes they make in house. A testing process will take place before the implementation of any changes (refer to Testing section below).

## **7. TESTING**

Where formal approval is required for the introduction or amendment of new or existing materials and parts, or equipment testing of new Materials, the Company may request testing to be carried out (Acceptance Tests). This testing may be observed by the Company where deemed necessary.

Testing will require the Supplier to undertake/provide the following, (non exhaustive):

Provision of a sample – including any pre-production, or production tooling and or modifications to any existing tooling.

Provision of any external testing documentation.

Provision of any sample submission paperwork.

Responding to technical queries issued by the Company's Engineering department.

Provision of any further testing required by the Company to satisfy itself that the alternative Materials offered will not put the travelling public at risk.

Provision of any internal engineering costs born by the Company (the costs of its own internal personnel)

Compilation of final engineering report and sign off.

The costs for the above may be financed in one of the following ways to be agreed prior to commencement of testing.

The Supplier absorbs the costs.

The Company absorbs the costs.

The Supplier and Company jointly absorb the costs.

The testing process will align with the requirements of the Engineering and Design Change Process detailed above.

## **8. OBSOLESCENCE & COUNTERFEIT PROTECTION**

8.1 OBSOLESCENCE MANAGEMENT - The Supplier shall be fully responsible throughout the Term of the Contract for the cost of managing any incidence of obsolescence, and for implementing actions to ensure the continued supply of Materials listed under the Contract.

The availability of all active electronic components that are constituent parts of any Materials supplied under the Contract will need to be monitored. Monitoring shall consist of the Supplier evaluating the likelihood of obsolescence at appropriate time periods in order to give the Company prior notice of obsolescence. The Supplier shall provide, as part of its bid proposal, details of its monitoring processes including arrangements for notification.

8.2 MATERIAL AVAILABILITY - The Supplier shall provide, as part of its bid proposal, predictions of the time for which the Materials listed under this Contract will continue to remain available for purchase from the Supplier or its sub-contractors including time beyond the Term of this Contract.

8.3 EQUIPMENT DISCONTINUATION - The Supplier shall provide, as part of its bid proposal, details of its proposed action in the event that, during the Term of the Contract, the Supplier or its sub-contractors become unable or unwilling to continue to offer Materials listed under the Contract, for example, due to the discontinuation of production for any Materials or component. Details shall include arrangements for notification.

8.4 COUNTERFEIT PROTECTION - The Supplier shall develop and implement processes or procedures, or both, to ensure, to the best of its ability, protection against the procurement of counterfeits by either itself or its sub-contractors. Such processes and procedures shall be auditable by the Company.

**9. TRACEABILITY** - All safety critical parts must have full traceability and the Supplier will have a fully documented traceability process. Materials classed as safety critical are detailed on the Contract Material Data Sheets.

### ***(APPENDIX 1 - CONTRACT MATERIAL DATA SHEETS)***

## **10. MATERIAL SUPPLY**

10.1 ORDER PROCESS – The Company will produce Orders as and when demand arises.

An Order will be provided to the Supplier, detailing the Company's requirements in line with the price and lead-times agreed under the Condition of Contract.

The Supplier will then manufacture and deliver the items listed in the Order, adhering to any special instructions which may be stated in the Order, and ensuring that the items requested are manufactured, where applicable, to the correct drawing revisions and standards.

The Supplier, will then deliver the items to the Company on the date, and to the location specified in the Order.

## 10.2 GOODS INWARDS PROCESS

10.2.1 **WORKING HOURS & LOCATIONS** – Materials will be delivered to the locations, within in the hours and to any special requirements detailed in the table below. Materials are only to be delivered outside of these parameters with a written instruction from the Contract Manager. The table is not fully comprehensive and the Supplier will deliver if required to anywhere where the TfL group has a facility as part of its network and operations. Where a delivery is requested for a location not detailed in the table below and no delivery time is advised, delivery shall be between 09:00 and 16:00 Monday to Friday.

Location	Address	Opening Hours	Special Requirements
Griffith House	Griffith House 280 Old Marylebone Road London NW1 5RJ	Mon - Fri 09:00 – 16:00	There is an 11 foot height restriction for vehicles into the loading bay, and double red lines outside the bay, so no vehicle over this height will be able to stop and unload.

10.2.2 **PROOF OF DELIVERY** – The Supplier will ensure that satisfactory records of Proof of Delivery shall be kept. At a minimum these are to include – Time, Date, Location, signature and name of recipient.

10.2.3 **PACKAGING** – Materials shall be delivered in suitable packaging. The Supplier will comply with any special requirements detailed in the above table. The Supplier will comply with any relevant legislation and the Responsible Procurement Principles.

10.2.4 **INSPECTION** – All Materials may be subject to a goods inward inspection. The Company will notify the Supplier within five working days of any Materials failing this inspection and the reasons why. The Supplier is required to collect these Materials within five working days of being notified.

10.2.5 **ORDER TOLERANCE** – The Supplier shall deliver exact quantities. However the following tolerances (per line item) will be booked through stores and paid without any reference: Value - £0 to £500 - 5%; £500 to £1,000 -2%; Over £1000 – 1%. The Company reserves the right to revoke these tolerances at its discretion.

## 11. STOCK HOLDING

11.1 **REQUIREMENT** – The following table details the different types of stock holding that may be required, together with the Suppliers and Company's responsibility.

<b>Stock Process</b>	<b>Stock Level Responsibility</b>	<b>Location of Stock Holding</b>	<b>Ownership</b>
Contingency	Company	Supplier	Supplier
Assignment	Company	Supplier	Company
Consignment	Supplier	Company	Supplier

11.1.1 CONTINGENCY STOCK – The Supplier will maintain minimum stock levels at its Premises or those of its sub-contractors. Stock levels will be as defined on the Contract Material Data Sheet, (Appendix 1).

The risk and title to the Materials shall be dealt with as stated in Clause 7 of the Conditions of Contract.

11.1.2 ASSIGNMENT STOCK – The Supplier will maintain minimum stock levels at its Premises or those of its Suppliers. The Supplier will advise recommended stock levels on the Contract Material Data Sheet, (Appendix 1). The Supplier shall invoice the Company when the Materials enter the Assignment Stock.

11.1.3 CONSIGNMENT STOCK – The Supplier will maintain minimum stock levels at the Company's Premises.

The risk and title to the Goods at the Supplier's premises remains with the Supplier until such time as the Goods are used by the Company.

11.1.4 ALTERNATIVE OPTIONS – The Supplier may suggest any other methods of stock holding which may be appropriate to this contract. The Supplier must clearly state the benefits to the Company of operating these stock holding methods and the Company shall be under no obligation to accept such methods.

**12. FORECASTING** - The Company will provide to the Supplier an Annual Forecast Demand for the Goods, as set out in the Lead Time & Stock Level Data Sheet. This figure is for guidance only and does not represent any contractual commitment. The forecast figures will be reviewed together by the Company and Supplier, at the Quarterly Materials Review Meeting, and amended as required.

**13. CONTRACT MANAGMENT & SERVICE**

13.1 RECORDS & DOCUMENTATION – The Supplier is responsible for retaining copies of all documentation relating to the supply of raw materials, manufacture & testing of materials, and delivery documentation of all materials supplied under the Contract. These records will be kept by the Supplier for the length of the material warranty period, plus one year. The documentation may be reviewed by the Company at any point during the stated retention period.

13.2 REPORTING – The Supplier will be responsible for monitoring its performance over the period of the Contract, and produce On Time Delivery and Defect Rate reports, to be reviewed by the

Company. These reports will be compared against information the Company has compiled on the Supplier's performance, in the Monthly Contract Review Meeting.

13.3 MEETINGS -

Contract Review Meeting – To discuss performance. Meeting to be held once each Accounting Period.

Quarterly Materials Review Meeting – To discuss future requirements. Meeting to be held 4 times per annum.

13.4 RESPONSE TIMES – The Supplier is required to respond to requests made by the Company in a reasonable manner, within 24hrs. In the case of the Company requesting materials to be expedited, the Supplier will endeavour to meet this request, without altering Delivery Dates for other materials, unless agreed in writing by the Company.

13.5 SAFETY – The Supplier will at all times, whether on the Company's premises or it's own, comply fully with The Health and Safety at Work Act 1974, and any other safety requirements the Company requests. The Supplier will notify the Company within 24hrs, of any serious incident or fatality which occurs on the Suppliers premises

# Schedule 4 Form of Order

Transport for London  
**London Underground Limited**



## Purchase order

Page 1 of 2

### Vendor address

### Contact

Requested by :  
Telephone :

### Invoice to

London Underground Ltd  
Accounts Payable  
1st Floor  
PO Box 45276, 14 Pier Walk  
London SE10 1AJ  
Telephone: 0845 303 5100  
Fax: 020 3054 5331  
email: accountspayable@tfl.gov.uk

### Information

Purchase order no. :  
Creation date :  
Vendor no. :  
Currency :  
Payment terms :

### Delivery address

London Underground Limited  
55 Broadway  
London  
SW1H 0BD  
**Or as agreed below**

### Instructions to vendor

The supply of goods/services under this purchase order is subject to the Purchase Order Conditions which are available on [www.tfl.gov.uk](http://www.tfl.gov.uk) or available upon request from the contact named below. Supply of goods or services under this purchase order indicates your acceptance of such conditions.

Item	Description	Quantity	UM	Net price	Total price

**Procurement Department:**

London Underground Limited.

Registered Office: 55 Broadway, London SW1H 0BD. Registered in England and Wales no. 01900907.

VAT number: 756 2770 08. London Underground Limited is a company controlled by a local authority within the meaning of Part V of the Local Government and Housing Act 1989. The controlling Authority is Transport for London.

**Date:**

**MAYOR OF LONDON**

If you have problems reading this text please call 020 70384614

## **Schedule 4A**

### **Payment Procedure**

1. The company will pay the Supplier the Price in the following manner:

1.1 At the end of each Accounting Period calculated from the Start Date, the Supplier will be entitled to submit an invoice to:

Accounts Payable  
PO Box 45276  
14 Pier Walk  
London  
SE10 1AJ

1.2 The Invoice(s) submitted by the Supplier must always quote a relevant Company transaction number. The Invoice(s) must be clear, concise, accurate and adequately descriptive to avoid delays in processing and subsequent payment. VAT must be shown separately. Any loss or additional costs incurred by the Supplier in the correction or re-submission of an Invoice will be at the Supplier's expense.

1.3 If the Invoice is approved by the Company then the final date for payment of that Invoice will be thirty days after receipt by the Company of the Suppliers Invoice.

1.4 If the Invoice is not approved by the Company then the Company shall inform the Supplier within ten Business Days of the receipt of the Invoice has not been approved.

1.5 Payments shall be made by Bank Transfer (Bank Automated Clearance System- BACS) or such other method that the Company may choose from time to time.

1.6 For abatements related to the Supplier's performance (as detailed in clause 11 of the Conditions of Contract and Schedule 8 of the Contract) and payment of the Volume Discount (as detailed in Clause 31 of the Conditions of Contract and Schedule 4 of the Contract), the Supplier shall pay the Company in the following manner:

The company will issue an Invoice to the Supplier and payment will be made within 30 days of receipt of the Invoice.

## Schedule 5

### Contract Variation Procedure

- 1 The cost of any Variation Order shall be agreed between the parties taking account of the reasons why the Variation Order was required.
- 2 The Company may propose a variation by completing Part A of the Variation Proposal and supplying three (3) copies of it to the Supplier. Within five (5) Working Days of receipt, or such other time as may be agreed by the Company, the Supplier shall complete Part B of the Variation Proposal and shall supply two (2) copies of the Variation Proposal to the Company. The Company shall be entitled, at any time within thirty (30) days of receipt, to instruct and authorise the Supplier to proceed with the variation on the terms so set out by each party by completing and signing Part C of one copy of the Variation Proposal (which, following such signature, will be referred to as a "**Variation Order**") and supplying such Variation Order to the Supplier. The relevant part(s) of the relevant Contract shall thereupon be varied accordingly.
- 3 The Supplier may propose a variation, after requesting the issue by the Company of a Variation Proposal variation number, by completing Parts A and B of a Variation Proposal and supplying two (2) copies of it to the Company. The Company shall be entitled, at any time within thirty (30) days of receipt, to instruct the Supplier to proceed with the variation on the terms so set out by the Supplier by completing and signing Part C of one copy of the Variation Proposal (which, following such signature, will be referred to as a "**Variation Order**") and supplying such Variation Order to the Supplier. The relevant part(s) of the relevant Contract shall thereupon be varied accordingly.
- 4 The Supplier may indicate in a Variation Proposal that the price is an estimated price but, if it does so, it shall supply a firm price to the Company in writing at least seven (7) days before the expiry of the time within which the Company is entitled to instruct the Supplier to proceed with the variation.
- 5 The price indicated by the Supplier must be the full price and shall cover all costs associated with the variation. If appropriate a range of prices may be shown corresponding to the quantity of Goods to be supplied and extent of the Services to be carried out.
- 6 In an emergency, both parties shall use their reasonable endeavours to expedite the actions permitted or required under the Contract Variation Procedure.
- 7 The Company will not accept any retrospective claims for additional work caused by a variation which has not been approved by the Company in accordance with the Contract Variation Procedure before the commencement of such additional work.

- 8 All authorised additional work resulting from any Variation Proposal shall be priced in accordance with any applicable rates set out in.
- 9 The Supplier shall at all times act reasonably and shall price each Variation Proposal at the least possible additional cost to the Company that it is reasonably and economically practicable for the Supplier to offer and which has the least possible impact on the terms of the Agreement and the relevant Contract, including, but not limited to the Specification and the Order Programme.
- 10 Strict adherence to the procedure described in this Schedule 5 shall be a condition precedent to any addition to the price for the Goods and Services. If the Supplier does not adhere to each paragraph in this Schedule 5 then the Supplier shall not be entitled to any addition to the price notwithstanding that the Supplier may have supplied additional or varied Goods and/or Services.

**Appendix 1**  
**Form of Variation Proposal/Variation Order**

<b>To:</b>	<b>From:</b>
------------	--------------

**Contract Reference Number:**  
**Order Number:**  
**Variation Number:**  
**Variation Title:**

**PART A (TO BE COMPLETED BY THE ORIGINATOR OF THE VARIATION ORDER)**

**Description of change:**

**Reason for changes and impact (if any) on Contract:**

<b>Variation Proposal Authorised by:</b>	<b>Proposal Date:</b>
--	-----------------------

**PART B (TO BE COMPLETED BY THE SUPPLIER)**

<b>Price Breakdown</b>	
Note: If a further breakdown is needed please append details as a separate sheet.	

**Expected Order Delivery Date and/or Order Completion Date:**

**Supplier's Representative:**  
**Print Name:** ..... **Signature:** ..... **Date:** .....

Completed document to be returned to the Company's Representative

**PART C (TO BE COMPLETED BY THE COMPANY'S REPRESENTATIVE)**

**Comment on Parts A and B:**

Variation Authorisation

**Company's Representative:**  
**Print Name:** ..... **Signature:** ..... **Date:** .....

**Schedule 6**  
**QUENSH Health Quality and Safety Plan**

# F0780 A18 Contract Menu

This Contract Menu must be used in conjunction with Category 1 Standard [S1552](#) "Contract QUENSH Conditions"

## Contract Menu

<b>Contract No:</b>	TFL01122
<b>Contract Name</b>	Supply of Escalator Machined Parts
<b>Client:</b>	Escalator Services
<b>Supplier:</b>	Tyler Bros (Sutton In Ashfield) Ltd

**Principal Contractor:**                      Yes                       No

## Guidance

The menu is a tool which is used by the Client to identify conditions that apply to specific contracts and communicate these conditions to the Supplier.

### How to complete the menu

- 1) The Client evaluates the scope of work and enters 'Y' or 'N' in the 'Identified by the Client' column of the menu against each condition selected as applicable or not applicable to the Contract. In the 'Other documents / comments' column the Client can make references to other documents which are supplementary information which is available although not contained within the QUENSH manual but should be considered by the Supplier when they review the conditions. Copies of any additional documents identified in the menu shall be made available to the Supplier. All documents referenced in the Menu shall be current issue, unless otherwise advised. This column can also be used to communicate information (comments) to the Supplier which may be of use to the Supplier when reviewing the conditions.
- 2) The Client fills in 'Client menu (Invitation to Tender)' section on the last page of the menu and issues the menu as part of the ITT.
  - a) The Supplier receives the ITT, evaluates the scope of work and, as a requirement of the tendering process, inserts 'Y' or 'N' in the 'Identified by the Supplier' column of the menu against each condition selected as being applicable. These selections may be different from those identified by the Client. Where the Supplier's selection differs from the Client's selection, a clear explanation of the reason for these differences shall be given by the Supplier. A reference to these explanations shall be put in the 'Reference to explanation' column on the menu.
  - b) The Supplier representative signs and dates the 'Supplier menu (Tender)' on the last page of the menu and submits it with the tender, for consideration by the Client.
  - c) Differences in the Client and Supplier menu selections will be discussed and resolved with the Client at subsequent tender review meetings. The agreed final version of the menu selections shall form a mandatory part of the Contract and shall be complied with by all Suppliers and their sub-contractors.
  - d) The menu shall be subject to project version and document control.

### Queries on the menu

Any queries in relation to the Contract QUENSH Conditions selected on the menu are to be referred to the Client representative, see contact details/address on last page of the menu.

## Contract menu

### Requirements in QUENSH

Applicable requirements identified by Client				Applicable requirements identified by Supplier	
Section	Topic	Other documents / Comments	Y / N	Y / N	Reference to explanation - see Section 2a in attached Guidance Notes
4	Agreement of the applicable QUENSH contract conditions				
5	Supplier's selection of sub-contractors		Y	Y	
6	Identification of Safety Critical Activities		N	N	
7	Works Environmental Management		N	N	
8	Emergency Plan		N	N	
9	Method Statements		N	N	
10	Health, Safety and Environment File		N	N	
11	Pre-start LU health, safety and environment meeting		N	N	
12	Supplier's site induction		N	N	
13	Site Person in Charge		N	N	
<b>14</b>	<b>Staff requirements</b>		<b>N</b>	<b>N</b>	
<b>14.1</b>	<b>Behaviours</b>		<b>N</b>	<b>N</b>	
14.1.1	Alcohol and drugs		N	N	
<b>14.2</b>	<b>Control of hours worked</b>		<b>Y</b>	<b>Y</b>	
14.2.1	Working Time Regulations		Y	Y	
14.2.2	Fatigue		Y	Y	
<b>14.3</b>	<b>Knowledge</b>		<b>N</b>	<b>N</b>	
14.3.1	English language		N	N	
14.3.2	Access Card and Worksite Briefing		N	N	
14.3.3	Visitors to sites		N	N	
<b>14.4</b>	<b>General competence</b>		<b>N</b>	<b>N</b>	
14.4.1	Evidencing competence of safety critical staff		N	N	
14.4.2	Identification of safety critical staff		N	N	
14.4.3	Competent external safety critical personnel		N	N	

Applicable requirements identified by Client				Applicable requirements identified by Supplier	
Section	Topic	Other documents / Comments	Y / N	Y / N	Reference to explanation - see Section 2a in attached Guidance Notes
14.4.4	Training		N	N	
14.4.5	Asset specific competence		N	N	
14.5	<b>Medical requirements</b>		N	N	
14.6	<b>Identification of Suppliers staff</b>		N	N	
14.7	<b>Clothing</b>		N	N	
<b>15</b>	<b>Permits and licences</b>		<b>N</b>	<b>N</b>	
15.1	LU specific permits and licences		N	N	
15.2	Permits, licences and certificates for Supplier's staff		N	N	
<b>16</b>	<b>The Principles of Access</b>		<b>N</b>	<b>N</b>	
16.1	Introduction		N	N	
16.2	Access to Stations		N	N	
16.3	Access to Track		N	N	
16.4	Access to depots		N	N	
<b>17</b>	<b>Applying for Planned Access</b>		<b>N</b>	<b>N</b>	
17.1	Introduction		N	N	
18	Applying for General Access		N	N	
18.1	Constraints that apply to Generic Access		N	N	
19	Access for fault repair		N	N	
20	Operational Assurance		N	N	
<b>21</b>	<b>Closures and possessions</b>		<b>N</b>	<b>N</b>	
21.1	Requirements for closures		N	N	
21.2	Requirements for possessions		N	N	
<b>22</b>	<b>Controls at point of access</b>		<b>N</b>	<b>N</b>	
22.1	Publication of works		N	N	
22.2	Checks at point of access		N	N	
22.3	Signing-on with the Station Supervisor		N	N	
<b>22.4</b>	<b>Track specific requirements</b>		<b>N</b>	<b>N</b>	
22.4.1	Person providing protection		N	N	

Applicable requirements identified by Client				Applicable requirements identified by Supplier	
Section	Topic	Other documents / Comments	Y / N	Y / N	Reference to explanation - see Section 2a in attached Guidance Notes
22.4.2	Possessions		N	N	
23	Removal of supplier's personnel from LU Premises		N	N	
24	Incidents		N	N	
25	Notification of regulatory concern or action		N	N	
26	Confidential Incident Reporting and Analysis System (CIRAS)		N	N	
<b>27</b>	<b>Monitoring</b>		<b>N</b>	<b>N</b>	
27.1	LU inspections		N	N	
27.2	Monitoring the supply chain		N	N	
27.3	Health, safety and environmental surveillance by the supplier's personnel		N	N	
27.4	Work location inspection and audit		N	N	
27.5	Timescales for rectifying non-compliances		N	N	
28	Radio transmitters and transceivers		N	N	
29	Mobile phones		N	N	
30	Knives		N	N	
31	Site health, safety and environment committee		N	N	
32	Site housekeeping and security		N	N	
33	Accidental damage, obstruction or interference with assets		N	N	
34	Delivery of materials		N	N	
<b>35</b>	<b>Conveyance of loads</b>		<b>N</b>	<b>N</b>	
35.1	Conveyance of loads on lifts and escalators		N	N	
35.2	Conveyance of hazardous materials and substances		N	N	
36	Asbestos (non asbestos removal projects)		N	N	
37	Working in or near lifts and escalators		N	N	
38	Work on or adjacent to utilities and High Voltage cables (buried services)		N	N	
39	Working on or about the track		N	N	
40	Access to electrical sub-stations, working equipment, relay and		N	N	

Applicable requirements identified by Client				Applicable requirements identified by Supplier	
Section	Topic	Other documents / Comments	Y / N	Y / N	Reference to explanation - see Section 2a in attached Guidance Notes
	other secure rooms				
41	Entering areas with gaseous fire suppression systems		N	N	
<b>42</b>	<b>Fire prevention</b>		<b>N</b>	<b>N</b>	
42.1	General requirements		N	N	
42.2	Temporary fire points		N	N	
42.3	Timber		N	N	
42.4	Composites		N	N	
42.5	Sheeting materials		N	N	
<b>42.6</b>	<b>Gas cylinders</b>		<b>N</b>	<b>N</b>	
42.6.1	Use of gas cylinders in below ground locations		N	N	
42.6.2	Storage of gas cylinders (above ground)		N	N	
<b>42.7</b>	<b>Flammable and highly flammable materials</b>		<b>N</b>	<b>N</b>	
42.7.1	Use of flammable and highly flammable materials below ground		N	N	
42.7.2	Storage of flammable and highly flammable materials below ground		N	N	
<b>43</b>	<b>Hot work and fire hazards</b>		<b>N</b>	<b>N</b>	
43.1	Hot work		N	N	
43.2	Reasonable notice of works		N	N	
<b>43.3</b>	<b>Precautions</b>		<b>N</b>	<b>N</b>	
43.3.1	Buildings and assets		N	N	
43.3.2	Gas cylinders		N	N	
43.3.3	Gas detection		N	N	
<b>44</b>	<b>Storage</b>		<b>N</b>	<b>N</b>	
44.1	General requirements for storage		N	N	
44.2	Trackside storage		N	N	
44.3	Hazardous materials and substances		N	N	
44.4	Allocation of space on operational property		N	N	
45	Plant and equipment		N	N	
46	Clearance approvals		N	N	

Applicable requirements identified by Client				Applicable requirements identified by Supplier	
Section	Topic	Other documents / Comments	Y / N	Y / N	Reference to explanation - see Section 2a in attached Guidance Notes
47	Access equipment		N	N	
48	Temporary works		N	N	
49	Temporary fences and hoardings		N	N	
<b>50</b>	<b>Temporary lighting and power supplies</b>		<b>N</b>	<b>N</b>	
50.1	General requirements		N	N	
50.2	Lighting in tunnels and shafts		N	N	
51	Screening of lights and positioning		N	N	
<b>52</b>	<b>Environmental requirements</b>		<b>N</b>	<b>N</b>	
52.1	General environmental requirements		N	N	
52.2	Environmental nuisance		N	N	
52.3	Water		N	N	
52.4	Waste management		N	N	
52.5	Noise and vibration		N	N	
52.6	Archaeology, historical interest and listed buildings		N	N	
52.7	Wildlife and Habitats		N	N	
52.8	Resource Use		N	N	
52.9	Pest control		N	N	
52.10	Land and water pollution prevention		N	N	
<b>53</b>	<b>Quality requirements</b>		<b>N</b>	<b>N</b>	
53.1	Records		Y	Y	
53.2	Retention period		Y	Y	
53.3	Availability of records for inspection		Y	Y	
53.4	Statistical process control, audit and inspection procedures		Y	Y	
53.5	General quality requirements		Y	Y	
53.6	Quality Plan		Y	Y	
53.7	Testing and inspection		Y	Y	
53.8	Certification of conformity		Y	Y	
53.9	Quarantine		Y	Y	

Applicable requirements identified by Client				Applicable requirements identified by Supplier	
Section	Topic	Other documents / Comments	Y / N	Y / N	Reference to explanation - see Section 2a in attached Guidance Notes
53.10	Traceability		Y	Y	
53.11	Maintenance and servicing		Y	Y	
53.12	Design		Y	Y	
53.13	Computer aided design		Y	Y	
53.14	Asset commissioning and handover		Y	Y	

## Client/Supplier approval

### Client Menu (Initial Approval)

Prepared by:

Approved by  
(the Client's  
representative):

Title:

Address:

Phone No:

Email:

Revision of this menu: 01

### Supplier Menu (Tender)

Approved by  
(the Supplier's):

Title:

Address:

Phone No:

Email:

Revision of this menu: 01

### Contract Menu (Final Approval of Menu)

Evidence shall be recorded of any amendments to the Client's menu which were agreed in establishing the Contract Menu.

Client's  
representative  
approval:

Signature:

Supplier's  
representative  
acceptance:

Signature:

# HEALTH AND SAFETY POLICY

The Company aims to ensure, so far as is reasonably practicable, the health, safety and welfare of our employees while they are at work and of others who may be affected by our undertakings, and compliance with all the relevant legislation.

To ensure the principles of health and safety are clearly understood throughout Tyler Bros (Sutton-in-Ashfield) Ltd, we will be committed to:

- ensuring that there are arrangements put into place for the effective planning, development and review of this health and safety policy;
- ensuring that appropriate systems are developed and maintained for the effective communication of health and safety matters throughout the company;
- protecting the safety and health of all employees within the company by preventing work-related injuries, ill health, disease and incidents;
- complying with relevant health and safety laws and regulations, voluntary programmes, collective agreements on health and safety and other requirements to which the company subscribes;
- ensuring that employees and their representatives are consulted and encouraged to participate actively in all elements of Health and Safety Management;
- continually improving the performance of Health and Safety Management;
- providing the necessary information, instruction and training to employees and others, including temporary employees to ensure their competence with respect to health and safety;
- devoting the necessary resources in the form of finance, equipment, personnel and time to ensure the health and safety of employees. Expert help will be sought where the necessary skills are not available within the company;
- liaising and working with all necessary persons to ensure health and safety, and will also ensure that adequate arrangements are also in place for ensuring the health and safety of visitors.

We will take all reasonable steps to implement, monitor and maintain safe plant, substances, equipment, working environments and working practices within the Company. We will continuously improve our health and safety management arrangements in order to protect employees and others from risks to their health, safety and welfare whilst engaged in work related activities of the Company. We recognise that safety is the responsibility of everyone and is not just a function of management. Employees have specific responsibilities to take reasonable care of themselves and others that could be affected by their activities and to co-operate to achieve the standards required.

Signature: 

Name: 

Date: 1.7.18.....

Position: Managing Director

Approved



**Section QM 4**  
**Page 1 of 1**  
**Issue 5 Rev 1**  
**Date 1 February 2018**

### QM 4 COMPANY QUALITY POLICY

Tyler Brothers (Sutton in Ashfield) Ltd are firmly committed to supplying the best possible products and service to its customers and are aware of, and acknowledge, the terms and conditions specified or implied in their contracts.

It is the company's intention to control the quality of all elements manufactured, by continual improvement, in accordance with customer requirements including appropriate Statutory Regulations and National Standards as described in the document quality systems, prepared in accordance with the requirements of BS EN ISO 9001:2015.

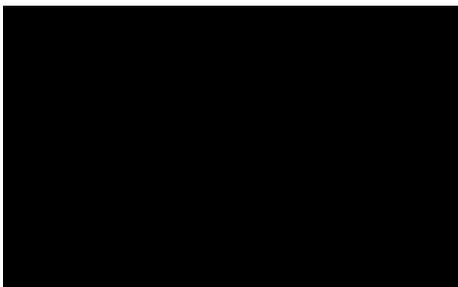
In establishing a fundamental set of quality objectives, Tyler Brothers (Sutton in Ashfield) Ltd aim to keep customer satisfaction and quality at the core of all operations.

At the heart of the quality management system is a preventative action report which seeks to identify opportunities for improvement throughout the organisation in an attempt to stay at the forefront of the precision engineering industry.

The Managing Director has full authority and responsibility for all matters affecting production and product and service quality. He is responsible for ensuring that any corrective actions required of the Company and/or its subcontractors are carried out in a coordinated manner and as soon as is practicable. He will also ensure that responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization.

To ensure that the quality management system is operated and controlled correctly and achieves what is intended, the Quality Assurance Manager is responsible for all audits, revisions and changes to the procedures or processes. He can request additional work, verification or testing to be performed on any aspect which he deems necessary for satisfactory completion of a contract. He may stop work in progress pending investigation into, and correction of, any deficiency.

The policies, procedures and documentation detailed in the Company's manuals are mandatory and shall be adhered to by all personnel. Matters relating to the effectiveness of the Quality Management System will periodically be posted on the company notice board to inform staff whether or not customer requirements are being met.



FM 39570

[]

## Schedule 7 Insurance

### Insurance Table

Insurance Against	Party Responsible for ensuring insurance is in place	Minimum amount of cover or minimum limit of indemnity
<p><b>Product and Public Liability Insurance</b></p> <p>All sums for which the insured shall become legally liable to pay as damages in respect of death of or injury or illness or disease to third parties and/or loss of or damage to third party property, Obstruction, loss of amenities, trespass, nuisance or any like cause happening during the period of insurance arising out of or in connection with the Contract.</p>	Supplier	£10,000,000 for each and every claim or series of claims arising out of one event.
<p><b>Employer's Liability Insurance</b></p> <p>Liability for death of or bodily injury or illness sustained by employees of the supplier arising out of or in the course of their employment in connection with the Contract.</p>	Supplier	Not less than £10,000,000 for each and every claim or series of claims arising out of one incident.
<p><b>Supplier's Materials Insurance</b></p> <p>Loss of or damage to construction plant, tools, equipment, temporary buildings (including contents therein) belonging to or the responsibility of the Supplier.</p>	Supplier	The replacement cost.
<p><b>Professional Indemnity Insurance</b></p> <p>Negligence omission or default in respect of the design of the Supply or other professional services for which the Supplier or its sub-contractors is responsible.</p>	Supplier	£1,000,000 for each and every claim in the aggregate per annum.
<p><b>Transit Insurance</b></p> <p>Transit Insurance to cover Materials, materials supplied by the Supplier until safe receipt at the Premises by the company.</p>	Supplier	Not less than £25,000 for each and every claim or series of claims arising out of one incident.



- 2.2 the Supplier releases and discharges the Company from all demands and claims whatsoever in respect of the Contract and accepts the liability of the New Company in relation to the Contract in lieu of the liability of the Company and agrees to be bound by the terms of the Contract in every way as if the New Company were and had been a party to the Contract at all times in lieu of the Company;
- 2.3 for the avoidance of doubt, it is hereby expressly agreed that:
- 2.3.1 any and all rights, claims, counter-claims, demands and other remedies of the Supplier against the Company accrued under or in connection with the Contract prior to the date hereof shall be exercisable and enforceable by the Supplier against the New Company; and
- 2.3.2 any and all rights, claims, counter-claims, demands and other remedies of the Company against the Supplier accrued under or in connection with the Contract prior to the date hereof shall be exercisable by the New Company against the Supplier.
- 2.4 the Company transfers its rights and obligations under the Contract to the New Company.
3. A person who is not a party to this Deed may not enforce any of its terms by virtue of the Contracts (Rights of Third Parties) Act 1999.

Executed as a deed by the parties and delivered on the date of this Deed

Executed as a deed by affixing the Common Seal of )

London Underground Limited )

in the presence of:- )

.....

*[Authorised Signatory]*

Executed as a Deed by [SUPPLIER] )

acting by

) .....

) Authorised Signatory

and

) .....

) Authorised Signatory

Executed as a Deed by [NEW COMPANY]

)

acting by

) .....

) Authorised Signatory

and

) .....

) Authorised Signatory

**Schedule 9**  
**Form of Parent Company Guarantee and Performance Bond**

**THIS GUARANTEE** is made the \_\_\_\_\_ day of \_\_\_\_\_ 201

**BETWEEN:**

- (1) [ ] a company registered in England and Wales under number [ ] and having its registered office at [ ] (the "**Guarantor**");
- (2) [ ] a company registered in England and Wales under number [ ] and having its registered office at Windsor House, 42-50 Victoria Street, London SW1H 0TL (the "**Company**" which expression shall include its successors in title and assigns); and
- (3) [ ] a company registered in England and Wales under number [ ] and having its registered office at [ ] (the "**Supplier**").

**WHEREAS:**

- (A) This Guarantee is supplemental to a framework agreement pursuant to which contracts may be made (together the "**Contract**") for the carrying out of [ ] at [ ] made between (1) the Company and (2) the Supplier.
- (B) The Guarantor has agreed to guarantee to the Company the due and punctual performance of the Contract by the Supplier in the manner hereinafter appearing.
- (C) The Supplier is a party to this Guarantee in order to confirm its request that the Guarantor provide this Guarantee on the terms set out herein.

**NOW IT IS HEREBY AGREED** as follows:

1. The Guarantor unconditionally guarantees to the Company the proper and punctual performance and observance by the Supplier of all its obligations, warranties, duties, undertakings and responsibilities under the Contract and shall forthwith make good any default thereunder on the part of the Supplier and the Guarantor shall pay or be responsible for the payment by the Supplier to the Company of all sums of money, liabilities, awards, losses, damages, costs, charges and expenses that may be or become due and payable under or arising out of the Contract in accordance with its terms or otherwise by reason or in consequence of any such default on the part of the Supplier.
2. This Guarantee shall be a continuing guarantee and indemnity and accordingly shall remain in full force and effect until all obligations, warranties, duties and undertakings now or hereafter to be carried out or performed or observed by the Supplier under or arising out of the Contract have been duly and completely performed and observed in full.

3. The Guarantee is in addition to and not in substitution for any other security or warranty which the Company may at any time hold for the performance of any obligations, warranties, duties and undertakings under the Contract and may be enforced by the Company without first taking any proceedings or exhausting any right or remedy against the Supplier or any other person or taking any action to enforce any other security, bond or guarantee.
4. The Guarantor shall be under no greater obligation or greater liability under this Guarantee than it would have been under the Contract if it had been named as the Supplier in the Contract.
5. The obligations and liabilities hereunder shall remain in full force and effect and shall not be affected, lessened, impaired or discharged by:
  - (a) any alteration or variation to the terms of the Contract;
  - (b) any alteration in the extent or nature or sequence or method or timing or scope of the works, services or supplies to be carried out under the Contract;
  - (c) any extension of time being given to the Supplier or any other indulgence or concession to the Supplier or any forbearance, forgiveness or any other thing done, omitted or neglected to be done under the Contract;
  - (d) any other bond, security or guarantee now or hereafter held for all or any part of the obligations of the Supplier under the Contract;
  - (e) the release, modification, exchange or waiver of any such bond, security or guarantee;
  - (f) any amalgamation or reconstruction or dissolution including liquidation of the Supplier;
  - (g) the making of a winding up order, the appointment of a provisional liquidator, the passing of a resolution for winding up, liquidation, administration, receivership or insolvency of the Supplier;
  - (h) any legal limitation, disability or incapacity relating to the Supplier (whether or not known to you);
  - (i) any invalidity in, irregularity affecting or unenforceability of the obligations of the Supplier under the Contract;
  - (j) the termination of the Contract; or
  - (k) anything the Company or the Supplier may do or omit or neglect to do including, but without limitation, the assertion of or failure or delay to assert any right or remedy of the Company or the pursuit of any right or remedy by the Company.
6. Until all amounts which may be or become payable and all liabilities, obligations, warranties, duties and undertakings in respect of the Supplier's obligations have been irrevocably paid, performed or

discharged in full, the Guarantor shall not, after a claim has been made or by virtue of any payment, performance or discharge by it under this Guarantee:

- (a) be subrogated to any rights, security or moneys held, received or receivable by the Company or be entitled to any right of contribution or indemnity in respect of any payment made or moneys received on account of the Guarantor's liability under this Guarantee;
- (b) claim, rank, prove or vote as a creditor of the Supplier or its estate in competition with the Company unless the Company so directs; or
- (c) receive, claim or have the benefit of any payment distribution or security from or on account of the Supplier, or exercise any right of set-off against the Supplier unless the Company so directs.

7. This Guarantee is irrevocable.

8. The benefit of this Guarantee may be assigned by the Company at any time to any assignee of the benefit of the whole of the Contract. No further or other assignments shall be permitted.

9. The Guarantor:

- (a) gives the guarantee contained in this Guarantee as principal obligor and not merely as surety;
- (b) agrees to indemnify the Company on written demand against any loss or liability suffered by it if any provision set out in the Contract guaranteed by the Guarantor becomes unenforceable, invalid or illegal, and
- (c) waives any right it may have of first requiring the Company to proceed against, or enforce any other rights or security or claim payment from, any person before claiming from the Guarantor under this Guarantee.

10. Until all amounts which may be or become payable in respect of the Supplier's obligations have been irrevocably paid in full by the Guarantor, the Company may:

- (a) refrain from applying or enforcing any other moneys, security or rights held or received by the Company in respect of those amounts, or apply and enforce the same in such manner and order as it sees fit (whether against those amounts or otherwise) and the Guarantor shall not be entitled to the benefit of the same; and
- (b) hold in a suspense account any moneys received from the Supplier on account of these Supplier's obligations or on account of the Guarantor's liability under this Guarantee.

11. The Company is entitled to make any number of demands under this Guarantee.

- 12. The invalidity, illegality or unenforceability in whole of or in part of any provisions of this Guarantee shall not affect the validity, legality and enforceability of the remaining part or provisions of this Guarantee.
  
- 13. This Guarantee may be executed in any number of counterparts each of which shall be an original and all of such counterparts taken together shall be deemed to constitute one and the same instrument.
  
- 14. No person other than TfL (as such term is defined in the Contract) and its subsidiaries (as defined in section 1159 of the Companies Act 2006) shall have any right to claim or remedy under or pursuant to this Guarantee and the provisions of the Contracts (Rights of Third Parties) Act 1999 are hereby excluded.
  
- 15. This Guarantee, executed and delivered as a deed, shall be governed by and interpreted according to the laws of England and the Courts of England shall have exclusive jurisdiction save that the Company shall have the right to bring proceedings in the courts of any other jurisdiction in which any of the Guarantor's assets may be situated.
  
- 16. *[For non-UK resident Guarantors only:*

*For the purposes of this Guarantee the Guarantor hereby appoints ..... of ..... [to be a London address] to accept service of process on its behalf, and service on the said ..... at the said address shall be deemed to be good service on the Guarantor; and the Guarantor hereby irrevocably agrees not to revoke or terminate such appointment).]*

Executed as a deed by the parties and delivered on the date of this Guarantee

Executed as a Deed by [GUARANTOR] )  
acting by ) .....  
) Authorised Signatory  
and ) .....  
) Authorised Signatory

Executed as a deed by affixing the Common Seal of )  
[COMPANY] )  
in the presence of:- )

.....  
[Authorised Signatory]

Executed as a Deed by [SUPPLIER] )  
acting by ) .....  
) Authorised Signatory  
and ) .....  
) Authorised Signatory

## FORM OF ON DEMAND PERFORMANCE BOND WITH ANNEX 1

### BOND

(Letterhead of Guarantor)

To: [Company name] (its successors in title and assigns)

**Contract Bond No.** [ • ]

1. Whereas our clients [ • ] (the “**Supplier**”) have entered into a contract with you dated [ • ] (the “**Contract**”) in respect of [ • ], we [ • ] (the “**Guarantor**”, which term shall include our successors in title and assigns) hereby irrevocably undertake as a primary obligation upon first demand in writing made by you upon us from time to time or at any time to pay to you on each occasion the sum demanded by you within five (5) banking days upon service of your demand.

### PROVIDED THAT:

2. This Bond shall come into force on the date hereof.
3. Any demand hereunder shall be substantially in the form of Annex to this Bond, and as between you and us the facts set out in that demand shall be: (a) deemed to be true and (b) accepted by us as conclusive evidence for the purposes of this Bond that the amount claimed in the demand is due and payable to you hereunder, it being our intention that the event upon which payment must be made hereunder is the service of your demand without any rights on our part to raise any objections, irrespective of the validity or the effectiveness of the Contract and the obligations arising thereunder and irrespective of the underlying facts or their significance under the Contract.
4. All sums payable under this Bond shall be paid in pounds sterling to such bank account as may be specified in your demand in immediately available funds, free of any restriction or condition and free and clear of and without any deduction or withholding whether for or on account of tax, by way of set-off, or otherwise, except to the extent required by law.
5. For the purpose of this paragraph 5, the expression “Expiry Date” means [ • ]. Our liability hereunder shall be limited as follows:
  - (a) we shall have no liability in respect of any demand received after the Expiry Date; and
  - (b) in respect of a demand or demands received on or before the Expiry Date, our liability shall not exceed the aggregate sum of £[ • ].
6. Our obligations hereunder shall remain in full force and effect and shall not in any way be affected, reduced or discharged by:

- (a) any alteration to the terms of the Contract made by agreement between you and the Supplier; and/or
  - (b) any defence, counterclaim, set-off or other deduction available to the Supplier under the Contract; and/or
  - (c) any alteration in the extent or nature or sequence or method or timing of the works/services to be carried out under the Contract; and/or
  - (d) any time being given to the Supplier or any other indulgence or concession to the Supplier or any forbearance, forgiveness or any other thing done, omitted or neglected to be done under the Contract; and/or
  - (e) any other bond, security or guarantee now or hereafter held by you for all or any part of the obligations of the Supplier under the Contract; and/or
  - (f) the release or waiver of any such other bond, security or guarantee; and/or
  - (g) any amalgamation or reconstruction or dissolution including liquidation or change in control or constitution of the Supplier; and/or
  - (h) the termination of the Contract; and/or
  - (i) any other event which might operate to discharge a guarantor at law or in equity.
7. Terms defined in the Contract and not otherwise defined herein shall have the same meaning in this Bond unless inconsistent with the context.
8. This Bond shall be governed by, and interpreted according to, the laws of England and the Courts of England shall have exclusive jurisdiction in relation to any claim, dispute or difference concerning this Bond and any matter arising from it save that you shall have the right to bring proceedings in the Courts of any other jurisdiction in which any of our assets may be situated.
9. This Bond may be assigned or transferred without our prior consent to any member of the TfL Group. Any other assignment or transfer of this Bond by either party shall require the consent of the other party, such consent not to be unreasonably withheld or delayed.
10. This bond may not be amended, varied or supplemented in any manner whatsoever without your prior written consent, other than in accordance with its express terms.
11. Each of the provisions of this bond is severable and distinct from the others, and if at any time any such provision is or becomes ineffective, inoperable, invalid or unenforceable it shall be severed and deemed to be deleted from this bond, and in such event the remaining provisions of this bond shall continue to have full force and effect.

12. All bank charges and other fees payable in relation to or in connection with this bond are for the account of the Manufacturer and you shall have no liability or responsibility therefor.
13. Except to the extent it is inconsistent with the express terms of this bond, this bond is subject to the ICC Uniform Rules for Demand Guarantees, 2010 revision, ICC Publication No. 758.

Executed as a deed by the parties and delivered on the date of this Bond.

Executed as a Deed by [GUARANTOR] )  
 acting by ) .....  
 ) Authorised Signatory  
 and ) .....  
 ) Authorised Signatory

Executed as a deed by affixing the Common Seal of )  
 [COMPANY] )  
 in the presence of:- )

.....  
*[Authorised Signatory]*

**ANNEX 1**  
**Form of Demand from the Company to the Guarantor**

Dear Sirs

**[Contract Title]**

**Contract No: [ • ] (the “Contract”)**

We refer to the Bond given by you to us dated [ • ].

An event has occurred of the type described in Clause [ • ] of the Contract.

We hereby demand payment from you of the sum of £[ • ] under the Bond. Please make payment by CHAPS made payable to [Company name / bank account details].

Yours faithfully

.....

[Company name]

Windsor House

42-50 Victoria Street

London

SW1H 0TL



- (b) reasonable skill and care has been and will continue to be exercised in connection with:
- (i) the design of any goods, works or services to the extent that the Sub-Contractor has or will be responsible for such design;
  - (ii) the selection of all goods and materials comprised in the Sub-Contract Supply (in so far as such goods and materials have been or will be selected by the Sub-Contractor);
  - (iii) the satisfaction of any performance specification or requirement in so far as the same are included or referred to in the contract between the Supplier and the Sub-Contractor in relation to the Sub-Contract Supply (the "**Sub-Contract**");
  - (iv) the execution and completion of the Sub-Contract Supply;
  - (v) the Sub-Contract Supply will, on completion of the Main Contract, comply with all Applicable Laws and Standards (as such capitalised terms are defined in the Main Contract);
- (c) the Sub-Contract Supply will be reasonably fit for the purposes for which they are intended (awareness of which purposes the Sub-Contractor hereby acknowledges) and in particular but without limitation will be so fit for the period and with a rate of deterioration reasonably to be expected of high quality, reliable, well designed and engineered goods, materials and construction; and
- (d) it has the right to grant to the Company all licences (including without limitation all rights to sub-licence) of all intellectual property rights as contemplated in this Agreement.

For the purposes of construing the warranties in this Clause 1 references to the Sub-Contract Supply shall include any part of the Sub-Contract Supply. Each warranty shall be construed as a separate warranty and shall not be limited by reference to, or reference from, the terms of any other warranty or any other term of the Sub-Contract.

2. The Sub-Contractor shall, save in so far as he is delayed by any event in respect of which the Supplier is granted an extension of time under the Main Contract for completion of the Supply:

- (a) Execute and complete the Sub-Contract Supply in accordance with the provisions of the Sub-Contract; and
  - (b) ensure that the Supplier shall not become entitled to any extension of time for completion of the Supply or to claim any additional payment under the Main Contract due to any failure or delay by the Sub-Contractor.
3. The Sub-Contractor shall from time to time supply the Company and the Supplier with such information as either may reasonably require.
4. To the extent that the intellectual property rights in any and all Documents have not already vested in the Company or the Supplier, the Sub-Contractor hereby grants to the Company an irrevocable, non-exclusive, non-terminable, royalty-free licence to copy and make full use of any and all Documents and all amendments and additions to them and any works, designs or inventions of the Sub-Contractor incorporated or referred to in them for the following purposes:
- (a) understanding the Supply;
  - (b) operating, maintaining, repairing, modifying, altering, enhancing, re-figuring, correcting, replacing, re-procuring and re-tendering the Supply;
  - (c) extending, interfacing with, integrating with, connecting into and adjusting the Supply;
  - (d) enabling the Company to carry out the operation, maintenance repair, renewal and enhancement of the Underground Network (as such capitalised terms are defined in the Main Contract);
  - (e) executing and completing the Supply; and
  - (f) enabling the Company to perform its functions and duties as Infrastructure Manager and Operator of the Underground Network (as such capitalised terms are defined in the Main Contract)

provided always that the Supplier shall not be liable for the consequences of any use of the Documents as aforesaid for any other purpose. Such licence shall carry the right to grant sub-licences and shall be transferable to third parties without the prior consent of the Sub-Contractor.

For the purposes of this Clause, the term “**Documents**” shall mean documents, items of information, data, reports, drawings, specifications, plans, software, designs, inventions and any other materials provided by or on behalf of the Sub-Contractor in connection with the Sub-Contract (whether in existence or to be made).

5. The Sub-Contractor agrees:

- (a) on request at any time to give the Company or any persons authorised by the Company access to the material referred to in Clause 4 and at the Company’s expense to provide copies of any such material; and
- (b) at the Sub-Contractor’s expense to provide the Company with a set of all such material on completion of the Sub-Contract Supply.

6. The parties hereby agree that:

- (a) this Agreement shall be personal to the Sub-Contractor;
- (b) the Company may assign the benefit of this Agreement to any third party;
- (c) the rights and remedies contained in this Agreement are cumulative and shall not exclude any other right or remedy available to either party in law or equity.

7. The Sub-Contractor warrants and undertakes to the Company that he has maintained and will continue to maintain all insurances required to be maintained pursuant to the terms of the Sub-Contract and that, insofar as he is responsible for the design of the Sub-Contract Supply, he has professional indemnity insurance with a limit of indemnity of not less than *[two million pounds (£2,000,000)]* in respect of each and every claim which may be made against the Sub-Contractor in respect of the Sub-Contract Supply. The Sub-Contractor shall maintain such professional indemnity insurance for a period of 12 years from completion of the Supply provided such insurance remains available at commercially reasonable rates and shall notify the Company forthwith if such insurance ceases to be so available. When deciding whether such insurances are available at commercially reasonable rates, no account shall be taken of any increase in the premium or imposition of terms which arise as a result of the Sub-Contractor’s insurance claims record.

8. If any dispute of any kind whatsoever arises between the parties in connection with this Agreement or the Sub-Contract Supply which raises issues which are in opinion of the Company the same as or substantially the same as issues raised in a related dispute (the "**Related Dispute**") between the Company and the Supplier and such Related Dispute has already been referred to a conciliator or arbitrator appointed under the provisions to that effect contained in the Main Contract, then the Sub-Contractor hereby agrees that the Company may at his discretion by giving notice in writing to the Sub-Contractor refer the dispute arising out of this Agreement or the Sub-Contract Supply to the adjudicator, conciliator, arbitrator or other party (the "**Appointed Party**") appointed to determine the Related Dispute. In this event the Appointed Party shall have power to give such directions for the determination of the dispute and the Related Dispute as he may think fit and to make such awards as may be necessary in the same way as if the procedure of the High Court as to joining one or more defendants or joint co-defendants or third parties was available to the parties and to him.
9. (a) Neither the Sub-Contractor nor the Supplier shall exercise or seek to exercise any right which may be or become available to it to terminate or treat as terminated the Sub-Contract or discontinue or suspend the performance of any of its duties or obligations thereunder or treat the Sub-Contract as determined without first giving to the Supplier or the Sub-Contractor (as applicable) not less than 35 days prior written notice of its intention to do so, with a copy to the Company, specifying the Sub-Contractor's or Supplier's grounds for terminating or treating as terminated the Sub-Contract or discontinuing or suspending its performance thereof or treating the Sub-Contract as determined.
- (b) If the Main Contract is terminated for any reason, within 35 days of such termination the Company may give written notice to the Sub-Contractor and to the Supplier (a "**Step-in Notice**") that the Company or its appointee shall henceforth become the Supplier under the Sub-Contract in accordance with the terms of sub-clause (c) below.
- (c) With effect from the date of the service of any Step-in Notice:
- (i) the Company or its appointee shall be substituted in the Sub-Contract as the Supplier thereunder in place of the Supplier and references in the Sub-Contract to the Supplier shall be construed as references to the Company or its appointee;
- (ii) the Sub-Contractor shall be bound to continue with the performance of its duties and obligations under the Sub-Contract and any exercise or purported

exercise by the Sub-Contractor prior to the date of the Step-in Notice of any right to terminate or treat as terminated the Sub-Contract or to discontinue or suspend the performance of any of its duties or obligations thereunder or to treat the Sub-Contract as automatically determined shall be of no effect;

(iii) the Company shall become bound by the terms and conditions of the Sub-Contract in respect of all obligations and duties of the Supplier thereunder which fall to be performed after the date of the Step-in Notice and shall promptly thereafter make payment of any amounts properly due to the Sub-Contractor as at the date of the Step-in Notice and still outstanding; and

(iv) the Supplier shall be released from further performance of the duties and obligations of the Supplier under the Sub-Contract after the date of the Step-in Notice, but without prejudice to any rights and remedies of:

(1) the Sub-Contractor against the Supplier in respect of any matter or thing done or omitted to be done by the Supplier on or before the date of the Step-in Notice; and

(2) the Supplier against the Sub-Contractor in respect of any matter or thing done or omitted to be done by the Sub-Contractor on or before the date of the Step-in Notice.

(d) Notwithstanding anything contained in this Agreement and notwithstanding any payments which may be made by the Company to the Sub-Contractor, the Company shall not be under any obligation to the Sub-Contractor and the Sub-Contractor shall not be under any obligation to the Company unless the Company shall have served a Step-in Notice pursuant to Clause 9(b) above.

10. The Sub-Contractor's liabilities, duties and obligations hereunder shall be no greater and of no longer duration than the liabilities, duties and obligations which the Sub-Contractor owes to the Supplier under the Sub-Contract.

11. The Sub-Contractor further undertakes to indemnify the Company from and against the consequences of any breach by the Sub-Contractor of any of the warranties, covenants and undertakings contained in this Agreement.

12. The rights and benefits conferred upon the Company by this Agreement are in addition to any other rights and remedies that the Company may have against the Sub-Contractor including, without prejudice to the generality of the foregoing, any remedies in negligence.
13. Nothing contained in this Agreement shall in any way limit the obligations of the Supplier to the Company arising under the Main Contract or otherwise undertaken by the Supplier to the Company in relation to the Sub-Contract Supply.
14. No amendment to this Agreement shall be valid unless it is in writing and signed by all parties.
15. Any person who is not a party to this Agreement may not enforce any of its terms under the Contracts (Rights of Third Parties) Act 1999.
16. This Agreement shall be governed by and construed in accordance with English law and shall be subject to the exclusive jurisdiction of the Courts of England and Wales.

Executed as deed by the parties and delivered on the date of this Agreement.

Executed as a deed by affixing the Common Seal of )

London Underground Limited )

in the presence of:- )

.....

*[Authorised Signatory]*

Executed as a Deed by [SUB-CONTRACTOR] )

acting by ) .....

) Authorised Signatory

and ) .....

) Authorised Signatory

Executed as a Deed by [SUPPLIER] )

acting by ) .....

) Authorised Signatory

and ) .....

) Authorised Signatory

## Schedule 11 Supplier Performance

1

### 1.1. KEY PERFORMANCE INDICATORS

1.1.1. DELIVERY – The target is 100% on time delivery, to the agreed times included in the Material Contract Data Sheets. Failure to meet delivery times will attract the following abatements against the full order value of all Goods due to be delivered in the measured period. This will be measured for each Accounting Period.

<b>Delivery Performance by Value</b>	<b>Abatement Attracted on Full Value of orders</b>
>= 99.00%	0%
97.00% - 98.99%	1%
95.00% - 96.99%	2%
90.00% - 94.99%	3%
80.00% - 89.99%	4%
<80.00%	5%

1.1.2. Not required

### 1.2. SDI PERFORMANCE CRITERIA / SERVICE DELIVERY INDICATORS (SDI's)

1.2.1. QUALITY – The Supplier will supply Goods with 0% Defects. When Defects are found the escalation process will begin in the following circumstances:

#### 1.2.1.1. Non Safety Critical Goods

- Defects found in 3 or more Accounting Periods over a rolling six Accounting Periods; or
- Defects found in over 2% of Goods Delivered in an Accounting Period.

#### 1.2.1.2. Safety Critical Goods

- Any single Defect

1.2.2. STOCK HOLDING – The Supplier shall maintain the value of agreed stock holding.

Where the stock holding is:

- below 100% for 4 or more Accounting Periods over a rolling six Accounting Periods;
- below 90% for 2 or 3 Accounting Periods over a rolling six Accounting Periods; or
- below 75% in any single Accounting Period,

the escalation process shall begin.

- Stock holding to be measured by review of the agreed delivery schedules, Contract Programme and in line with London Underground's Material Team.

## 2. ESCALATION PROCESS

In the event of unsatisfactory performance standards, including (but not limited to) failure to reach the targets set by the Service Delivery Indicators, failure to reach the targets set by the key performance indicators (in 1.1. above), faults open beyond the rectification time and any other deficiencies in performance, the escalation process shall be invoked by the Company in their absolute discretion.

The purpose of the escalation process is to provide a structured framework within which the Parties can address unsatisfactory performance standards against timescales and deliverable targets. For the purposes of this process notified levels of poor performance will be termed "**Non-Conformances**".

This procedure operates with four levels; the lowest level Non-Conformance being Level 1. Should Non-Conformances escalate they will receive an appropriate level of management intervention from the Company and the Supplier. Level 3 gives final review and opportunity for remedial actions to resolve issues before the Non-Conformance reaches Level 4, which will entitle the Company to terminate in accordance with Clause 21.1 of this Agreement.

In the event that a performance issue is not resolved between the Company and the Supplier then the Non-Conformance may be raised formally to a Level 1 or Level 2 Non-Conformance, depending upon the severity of the performance failure. It is possible for a number of Level 1 and/or Level 2 issues to be in hand at any one time.

## Summary of Escalation Process

TRIGGER	LEVEL	ACTION	BY	RESULT
Failure to rectify identified non-conformance issued as part of KPIs and/ or SDIs	LEVEL 1	Improvement plan with precise end date required. On going review dates specified.	Supplier	Satisfactory - Stop  Unsatisfactory - Level 2
Level 1 re-occurrence  Consistent failure to meet required requirement  Safety Condition infringements.	LEVEL 2	Improvement plan with precise end date required. Ongoing review dates specified.	Supplier	Satisfactory - Stop  Unsatisfactory - Level 3
Level 2 re-occurrence	LEVEL 3	Final review. Final opportunity for remedial action. Precise end date required.	Supplier	Satisfactory - Stop  Unsatisfactory - Level 4
Level 3 re-occurrence	LEVEL 4	POSSIBLE TERMINATION		

Issues shall be resolved locally on a day-to-day basis to the mutual satisfaction of all Parties and shall not be raised to Level 1 without prior endeavours to resolve. At this stage of the process, the Supplier may be required to supply a Root Cause Analysis and a Recovery Plan.

### Level 1

The Level 1 Non-Conformance will be recorded by the Company and a notice submitted to the Supplier. The Supplier shall in response (such response to be within 10 Business Days of service of the notice by the Company) prepare and submit to the Company a Level 1 Non-Conformance Report. Such report will contain:

- Confirmation of the date and details of the Level 1 Non-Conformance
- The steps to be taken by the Supplier to ensure there is no repetition of such Level 1 Non-Conformance (the “**Level 1 Required Action**”)
- The time within which such Level 1 Required Action is to be completed (which shall be a reasonable period and no longer than the “**Level 1 Rectification Period**”).

The Supplier and the Company will use all reasonable endeavours to agree the Level 1 Rectification Period and the Level 1 Required Action. If the agreed Level 1 Required Action is carried out within the agreed Level 1 Rectification Period then the Non-Conformance will be classed as closed.

## **Level 2**

If the Company determines, that a Non-Conformance should be treated as a Level 2 Non-Conformance; or the Supplier fails to provide the Company with a Level 1 Non-Conformance Report within 10 Business Days; or the Supplier fails to rectify the Level 1 Non-Conformance within the Level 1 Rectification Period, then this shall be a “**Level 2 Non-Conformance**” and the Company will submit a notice to the Supplier.

The Supplier shall in response (such response to be within 10 Business Days of service of the notice by the Company) prepare and submit to the Company a Level 2 Non-Conformance Report. Such report will contain:

- Confirmation of the date and details of the Level 2 Non-Conformance
- The steps to be taken by the Supplier to ensure there is no repetition of such Level 2 Non-Conformance (the “**Level 2 Required Action**”)
- The time within which such Level 2 Required Action is to be completed (which shall be a reasonable period and no longer than the “**Level 2 Rectification Period**”).

The Supplier and the Company will use all reasonable endeavours to agree the Level 2 Rectification Period and the Level 2 Required Action.

If the Level 2 Required Action is taken within the agreed Level 2 Rectification Period then the Non-Conformance will be considered resolved. However, a record of the Non-Conformance will be made and Level 2 trends monitored.

## **Level 3**

If the Company determines, that a Non-Conformance should be treated as a Level 3 Non-Conformance; or the Supplier fails to provide the Company with a Level 2 Non-Conformance Report within 10 Business Days; or the Supplier fails to rectify the Level 2 Non-Conformance within the Level

2 Rectification Period, then this shall be a “**Level 3 Non-Conformance**” and the Company will submit a notice to the Supplier.

The Supplier will provide the Company a report (a “**Level 3 Non-Conformance Report**”), setting out the steps which the Supplier has taken, or will take, to ensure that no further Non-Conformances of this type shall arise (the “**Level 3 Required Action**”); and the period (being no greater than 2 months from the time of occurrence of the Level 3 Non-Conformance for the Supplier to put in place steps to ensure that no further Non-Conformances of the same type occur (the “**Level 3 Rectification Period**”).

#### **Level 4**

The Supplier fails to provide the Company by the agreed deadline, a Level 3 Non-Conformance Report; or the Supplier fails to undertake the Level 3 Required Action within the Level 3 Rectification Period; or the Supplier fails to rectify the Level 3 Non-Conformance within the Level 3 Rectification Period.

Schedule 12 Execution Page

THIS FRAMEWORK CONTRACT has been executed as Deed and delivered by the Parties on the day year written above.

819

The COMMON SEAL of  
LUL NOMINEE BCV LIMITED  
WAS affixed to THIS DEED  
In the presence of:

Signature of Authorised Signatory

~~Print Name of Authorised Signatory~~

1070

The COMMON SEAL of  
LUL NOMINEE SSL LIMITED  
WAS affixed to THIS DEED  
In the presence of:

Signature of Authorised Signatory

~~Print Name of Authorised Signatory~~

The COMMON SEAL of  
LONDON UNDERGROUND LIMITED  
WAS affixed to THIS DEED  
In the presence of:

Signature of Authorised Signatory

~~Print Name of Authorised Signatory~~

1050

The COMMON SEAL of  
TUBE LINES LIMITED  
WAS affixed to THIS DEED  
In the presence of:

Signature of Authorised Signatory

~~Print Name of Authorised Signatory~~

SUPPLIER  
for and on behalf of TYLER BROT  
LIMITED

acting by  
Signature of Authorised Signatory

Print Name of Authorised Signatory

Signature of Authorised Signatory

Print Name of Authorised Signatory