

Framework Schedule 6 (Order Form Template, Statement of Work Template and Call-Off Schedules)

Order Form

Call-Off Reference: DDaT23179

Call-Off Title: Simpler & Better Funding (SBF): Delivering The Funding Service (TFS) through Public Beta and in to Live

Call-Off Contract Description: The Simpler & Better Funding (SBF) Programme in UKRI is building a new Cloud-based digital Service (The Funding Service – TFS) to simplify and harmonise the funding process for its 9 Research Councils (including Research England – RE and Innovate UK – IUK) to support research and innovation in the UK.

This contract is for the provision of a Delivery Partner (DP) to roll out Public Beta at high volume throughout the remainder of 2023 (300+ Grants Opportunities and 9000+ Grant Applications). This will see all 7 Research Councils run their Grants on the new TFS service by the end of 2023.

Throughout 2024-25 TFS is to onboard the remaining UKRI Grants types (those Grants sponsored by RE & IUK) and move from Public Beta into Live (Business As Usual – BAU) phase by the end of the contract.

The DP will augment the programme in the areas of technical digital delivery, using an iterative or agile approach.

The Buyer: UK Research and Innovation (UKRI)

Buyer Address: Polaris House, North Star Avenue, Swindon, Wiltshire, SN2 1FL

The Supplier: Networthnet Limited T/A Worth Internet Systems

Supplier Address: Davidson House, Forbury Square, Reading, RG1 3EU

Registration Number: 08241216

DUNS Number: 21-862-2535

SID4GOV ID: Not Applicable

Contract Ref: DDaT23179

Framework Ref: RM1043.8 Digital Outcomes 6

Project Version: v2.0

Model Version: v3.8

Applicable Framework Contract

This Order Form is for the provision of the Call-Off Deliverables and dated Friday 30th June 2023.

It's issued under the Framework Contract with the reference number RM1043.8 for the provision of Digital Outcomes Deliverables.

The Parties intend that this Call-Off Contract will not, except for the first Statement of Work which shall be executed at the same time that the Call-Off Contract is executed, oblige the Buyer to buy or the Supplier to supply Deliverables.

The Parties agree that when a Buyer seeks further Deliverables from the Supplier under the Call-Off Contract, the Buyer and Supplier will agree and execute a further Statement of Work (in the form of the template set out in Annex 1 to this Framework Schedule 6 (Order Form Template, Statement of Work Template and Call-Off Schedules)).

Upon the execution of each Statement of Work it shall become incorporated into the Buyer and Supplier's Call-Off Contract.

Call-Off Lot

1 Definitions

1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

Term	Definition
Alpha	the alpha phase of agile delivery described in the Service Manual;
Beta	the beta phase of agile development described in the Service Manual;
Cyber Security	the digital role with the skills needed to minimise the chance of data or information systems security breaches, ensure information is protected against unauthorised or unintended access and put systems in place to prevent data destruction or disruption;
DDaT Roles	Digital, Data and Technology (DDaT) roles in government and the skills needed to do them, as described in the Digital, Data and Technology Profession Capability Framework: https://www.gov.uk/government/collections/digital-data-and-technology-profession-capability-framework ;
Digital Outcomes	a team of digital specialists to deliver a defined digital outcome as further described in Paragraphs 4.2 to 4.6;
Discovery	the discovery phase of agile delivery described in the Service Manual;
GDS	the Government Digital Service;
Live	the live phase of agile development described in the Service Manual;
Open Standards	the Cabinet Office' Open Standards principles:

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Principles	https://www.gov.uk/government/publications/open-standards-principles/open-standards-principles ;
Retirement	the retirement phase of agile development described in the Service Manual;
Service Manual	the GDS Service Manual: http://www.gov.uk/service-manual ;
Service Standard	the Service Standard section of the Service Manual: http://www.gov.uk/service-manual/service-standard ;
T Levels	these are new courses which follow GCSEs and are equivalent to 3 A levels. These 2-year courses, which launched September 2020, have been developed in collaboration with employers and businesses so that the content meets the needs of industry and prepares students for work, further training or study: https://www.gov.uk/government/publications/introduction-of-t-levels/introduction-of-t-levels ;
Technology Code of Practice	the GDS technology code of practice: https://www.gov.uk/service-manual/technology/code-of-practice ;
User Research Participants	an individual with the appropriate characteristics to test a digital service as further described in Paragraphs 4.9 to 4.10; and
User Research Studios	a physical space in which to conduct user research as further described in Paragraphs 4.7 to 4.8.

2 Delivering social value

Social Value legislation places a legal requirement on all public bodies to consider the additional social, economic and environmental benefits that can be realised for individuals and communities through commissioning and procurement activity, and, in Scotland, to deliver them. These benefits are over and above the core deliverables of Contracts. General information on the Social Value Act can be found at:

<https://www.gov.uk/government/publications/social-value-act-information-and-resources>

Guidance published in [Procurement Policy Note 06/20](#) requires that Social Value should be explicitly evaluated in all central government procurement rather than just considered' as required under the Public Services (Social Value) Act 2012.

Updated social value themes for public bodies can be found on this link:

<https://www.gov.uk/government/publications/procurement-policy-note-0620-taking-account-of-social-value-in-the-award-of-central-government-contracts>

The following Social Value priorities are intrinsic to the Specification for this Framework Contract:

- tackling economic inequality
- equal opportunity

The Buyer can identify further specific social value priorities within its Statement of Requirements as part of the Call-Off Award Procedure undertaken in accordance with Framework Schedule 7 (Call-Off Award Procedure).

2.1 COVID-19 recovery

2.1.1 Help local communities to manage and recover from the impact of COVID-19

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- **Workplace conditions that better support the COVID-19 recovery efforts:** Buyers can ask Suppliers for measures to ensure effective social distancing, remote working and sustainable transport solutions to deliver the services, which are relevant to the Call-Off Contract.

2.2 Tackling economic inequality

2.2.1 Create new businesses, new jobs and new skills

- **Apprenticeships and other training schemes:** At the Call-Off Award Procedure, Buyers can ask Suppliers to deliver training schemes and programmes (such as apprenticeships, T Levels or any other similar provisions) for some specified DDaT Role requirements to support relevant sector related skills growth and sustainability, and in response to any identified digital skills gaps and under-representation in the workforce through employment for new jobs of the disabled, ex-forces, new graduates and back to work in support of skills and employment objectives.

2.2.2 Increase supply chain resilience and capacity

- **Supply chain opportunities for a diverse range of businesses:** Suppliers shall be asked how their organisation will ensure that supply chain opportunities under the Contract are accessible to a diverse range of businesses, including SMEs, VCSEs and mutuals, through subcontracting or any other acceptable arrangements (such as consortiums). They shall also be asked how they will monitor, measure and report on the impact of this through the use of a Balanced Scorecard.
- **Corporate social responsibility:** Suppliers shall be required to comply with the provisions of the Supplier Code of Conduct and the standards set out in Joint Schedule 5 (Corporate Social Responsibility) including reporting (see Framework Schedule 5 (Management Charges and Information)) and continuous improvement (see Call-Off Schedule 3 (Continuous Improvement)) requirements.

2.3 Fighting climate change

2.3.1 Effective stewardship of the environment

- **Environmental sustainability and carbon reduction:** For Call-Off Contracts with a value of £5 million per annum or above, and where the measure is related and proportionate, Buyers can set out to assess as part of the selection criteria during the Call-Off Award Procedure on how Suppliers have taken steps to understand their environmental impact and carbon footprint relevant to the delivery of the Call-Off Contract through their carbon reduction plans and commitment to Net Zero in accordance with PPN 06/21.

2.4 Equal opportunity

2.4.1 Reduce the disability employment gap

- **Development opportunities for disabled people in the workforce:** Suppliers can be asked by Buyers during the Call-Off Award Procedure how they can offer development opportunities for disabled people in their workforce or employ more disabled people in new skills relevant to the Call-Off Contract, including through training schemes that result in the disabled people obtaining recognised qualifications.

2.4.2 Tackle workforce inequality

- **Modern Slavery:** The Supplier shall be aware of and adhere to duties imposed on commercial organisations by the Modern Slavery Act 2015 and all related

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Government procurement policy notes in relation to transparency in the supply chain.

2.5 Wellbeing

2.5.1 Improve health and wellbeing

- **Health and wellbeing of supplier staff:** Buyers can ask the Suppliers as part of the Call-Off Award Procedure to illustrate their understanding of issues relating to health and wellbeing of staff in delivering their services under the Contract, including physical and mental health, such as having inclusive and accessible recruitment practices, development practices and retention focussed activities in their workforce.

2.5.2 Improve community integration

- **Digital inclusion and accessibility:** The Supplier shall comply with the World Wide Web Consortium (W3C) Web Accessibility Initiative (WAI) Web Content Accessibility Guidelines (WCAG) 2.1 Conformance Level AA standard for accessibility when delivering their Services to design, develop and build any public facing websites and mobile applications. The Supplier's compliance with this requirement in turn enables CCS and the Buyer to comply with their own obligations under Public Sector Bodies (Websites and Mobile Applications) (No. 2) Accessibility Regulations 2018 in signposting and making the Services available to Buyers.

3 Introduction

3.1 This Schedule sets out what we and our Buyers want.

3.2 The Supplier must only provide the Services, as part of the Deliverables, for those Lots that they are awarded under the Framework Contract, as set out in the Framework Award Form.

3.3 Services must be exclusively delivered by the Supplier Staff (where Supplier Staff includes Supplier employees, agents, consultants, contractors, Subcontractors or any person engaged by a Subcontractor in the performance of the Supplier's obligations under the Contract). The Supplier will deliver the Deliverables and will not solely source staff for others.

3.4 Subcontracting

3.4.1 The Supplier will only subcontract with the Approval of the Buyer. If the Supplier chooses to use Subcontractors or a person engaged by a Subcontractor, this will be outlined in any Buyer's bid along with the percentage of delivery allocated to each Subcontractor.

3.4.2 The Supplier will take direct contractual responsibility and full accountability for delivering the Deliverables they provide using Subcontractors.

3.5 For all Lots and/or Deliverables, the Supplier must help Buyers comply with any specific applicable Standards of the Buyer.

3.6 The Deliverables and any Standards set out in Paragraph 5.5 below may be refined (to the extent permitted and set out in the Order Form and, if appropriate, each SOW) by a Buyer during a Further Competition Procedure to reflect its Deliverables requirements for entering into a particular Call-Off Contract.

3.7 Call-Off Contract Period

3.7.1 The Call-Off Contract is for the Call-Off Initial Period of up to a maximum of 24 Months from the Call-Off Start Date as set out in the Order Form.

3.8 Call-Off Optional Extension Period

3.8.1 The Call-Off Initial Period may be extended by the Buyer serving written notice on the Supplier on or before the Minimum Notice Period for Extension(s) as set out in

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the Order Form.

- 3.8.2 Where the Buyer has incorporated an Optional Extension Period in the Order Form, the Parties agree that this Extension Period shall be for up to a maximum of 50% of the Call-Off Initial Period. The exercise of any Extension Period shall be done in accordance with Clause 10.1.2 of the Core Terms.

4 Services offered

- 4.1 Suppliers are only able to provide Services, as part of the Deliverables, for the Lot(s) to which they've been awarded a Framework Contract. The Digital Outcomes Deliverables are split into 3 Lots:

- Lot 1: Digital Outcomes
- Lot 2: User Research Studios
- Lot 3: User Research Participants

Lot 1: Digital Outcomes

- 4.2 Digital Outcomes Suppliers will provide Supplier Staff to create teams of 1 or more individuals to research, test, design, build, release, iterate, support and/or retire a digital service. Buyers will define their specific requirements in their Statement of Requirements.

- 4.3 The Supplier must:

- work according to the Technology Code of Practice;
- work according to the GDS Service Manual; and
- understand what it means to work on one of the Discovery, Alpha, Beta, Live or Retirement phases described in the GDS Service Manual.

- 4.4 The Supplier must provide Services within one or more of the following capabilities:

- user experience and design;
- performance analysis and data;
- security;
- service delivery;
- software development;
- support and operations;
- testing and auditing; and/or
- user research.

All Service Capability descriptions are in Annex 1 to this Schedule and each Supplier's Service Capability descriptions are recorded on the Platform.

- 4.5 The Supplier must state, for each of the Service Capabilities provided, the DDaT Roles they can offer to deliver the Services:

- application operations engineer;
- business analyst;
- business relationship manager;
- change and release manager;
- command and control centre manager;
- content designer;
- content strategist;
- cyber security;
- data analyst;
- data architect;
- data engineer;

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- data scientist;
- delivery manager;
- development operations (DevOps) engineer;
- end user computing engineer;
- frontend developer;
- graphic designer;
- incident manager;
- infrastructure engineer;
- infrastructure operations engineer;
- interaction designer;
- IT service manager;
- network architect;
- performance analyst;
- problem manager;
- product manager;
- programme delivery manager;
- quality assurance testing (QAT) analyst;
- security architect;
- service designer;
- service desk manager;
- service owner;
- service transition manager;
- software developer;
- specialist infrastructure engineer;
- technical architect;
- technical specialist architect;
- technical writer;
- test engineer;
- test manager; and/or
- user researcher.

Job role descriptions are accessible at: <https://www.gov.uk/government/collections/digital-data-and-technology-profession-capability-framework>.

The job role Cyber Security is not yet covered in the DDaT Profession Capability Framework. It is applicable to the delivery of Services under the security capability and will be required to be provided by the Supplier under this Contract.

Call-Off Incorporated Terms

The following documents are incorporated into this Call-Off Contract. Where numbers are missing we are not using those schedules. If the documents conflict, the following order of precedence applies:

- 1 This Order Form including the Call-Off Special Terms and Call-Off Special Schedules.
- 2 Joint Schedule 1 (Definitions) RM1043.8
- 3 Framework Special Terms
- 4 The following Schedules in equal order of precedence:
 - Joint Schedules for RM1043.8
 - Joint Schedule 2 (Variation Form)

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- Joint Schedule 3 (Insurance Requirements)
- Joint Schedule 6 (Key Subcontractors)
- Joint Schedule 10 (Rectification Plan)

- Joint Schedule 11 (Processing Data) RM1043.8 Call-Off Schedules for RM1043.8
 - Call-Off Schedule 1 (Transparency Reports)
 - Call-Off Schedule 3 (Continuous Improvement)
 - Call-Off Schedule 5 (Pricing Details and Expenses Policy)
 - Call-Off Schedule 6 (Intellectual Property Rights and Additional Terms on Digital Deliverables)
 - Call-Off Schedule 7 (Key Supplier Staff)
 - Call-Off Schedule 8 (Business Continuity and Disaster Recovery)
 - Call-Off Schedule 9 (Security)
 - Call-Off Schedule 10 (Exit Management)
 - Call-Off Schedule 13 (Implementation Plan and Testing)
 - Call-Off Schedule 14 (Service Levels and Balanced Scorecard)
 - Call-Off Schedule 15 (Call-Off Contract Management)
 - Call-Off Schedule 16 (Benchmarking)
 - Call-Off Schedule 20 (Call-Off Specification)
 - Call-Off Schedule 26 (Cyber Essentials Scheme)

5 CCS Core Terms (version 3.0.11)

6 Joint Schedule 5 (Corporate Social Responsibility) RM1043.8

7 Call-Off Schedule 4 (Call-Off Tender) as long as any parts of the Call-Off Tender that offer a better commercial position for the Buyer (as decided by the Buyer) take precedence over the documents above.

No other Supplier terms are part of the Call-Off Contract. That includes any terms written on the back of, added to this Order Form, or presented at the time of delivery.

Call-Off Special Terms

The following Special Terms are incorporated into this Call-Off Contract:

None

Call-Off Start Date: Friday 30th June 2023

Call-Off Expiry Date: Monday 31st March 2025

Call-Off Initial Period: 1 Year and 9 Months

Call-Off Optional Extension Period: Not applicable

Minimum Notice Period for Extensions: Not applicable

Call-Off Contract Value: The total value of this Call-Off Contract shall not exceed £8,250,000.00 excluding VAT. There is no commitment to spend the total Call-Off Contract value.

Call-Off Deliverables

See details in Call-Off Schedule 20 (Call-Off Specification)

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Warranty Period

The Supplier shall provide digital and Software Deliverables with a minimum warranty of at least 90 days against all obvious defects, and in relation to the warranties detailed in Paragraphs 4 (licensed Software warranty) and 9.6.2 (Specially Written Software and New IPRs) of Call-Off Schedule 6 (IPRs and Additional Terms on Digital Deliverables).

Buyer's Standards

From the Start Date of this Call-Off Contract, the Supplier shall comply with the relevant (and current as of the Call-Off Start Date) Standards referred to in Framework Schedule 1 (Specification). The Buyer requires the Supplier to comply with the following additional Standards for this Call-Off Contract:

None

Cyber Essentials Scheme

The Buyer requires the Supplier, in accordance with Call-Off Schedule 26 (Cyber Essentials Scheme) to provide a Cyber Essentials Certificate prior to commencing the provision of any Deliverables under this Call-Off Contract.

Maximum Liability

The limitation of liability for this Call-Off Contract is stated in Clause 11.2 of the Core Terms as amended by the Framework Award Form Special Terms.

The Estimated Year 1 Charges used to calculate liability in the first Contract Year is £4,714,285.71 excluding VAT.

Call-Off Charges

Time and Materials (T&M)

Reimbursable Expenses

Expenses Policy in Annex 1 to Call-Off Schedule 5 (Pricing Details and Expenses Policy)

Payment Method

BACS

Buyer's Invoice Address

UKRI, C/O UK Shared Business Services Ltd, Polaris House, North Star Avenue, Swindon, United Kingdom, SN2 1UH



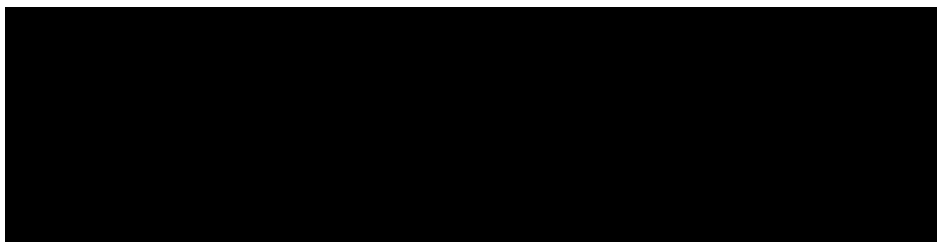
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Buyer's Authorised Representative



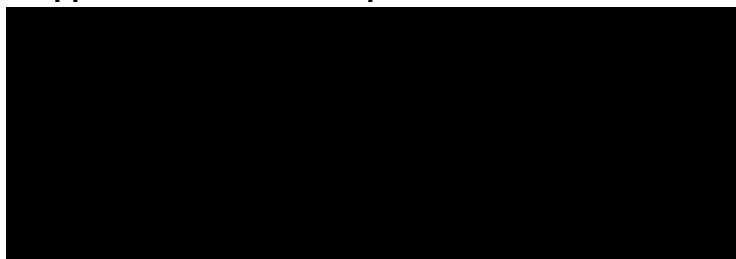
Buyer's Environmental Policy

[Environmental sustainability strategy – UKRI](#)

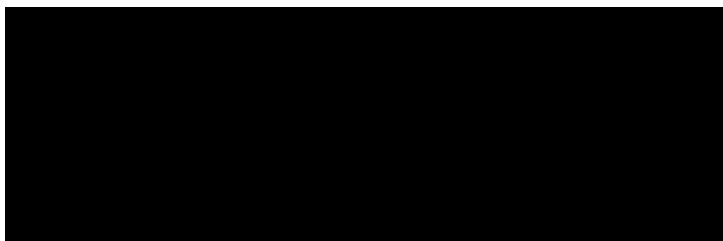
Buyer's Security Policy

Appended at Call-Off Schedule 9 (Security)

Supplier's Authorised Representative



Supplier's Contract Manager



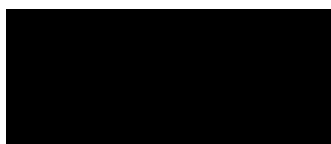
Progress Report Frequency

Due on the last Thursday of each calendar month

Progress Meeting Frequency

Weekly

Key Staff



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Commercially Sensitive Information

Not applicable

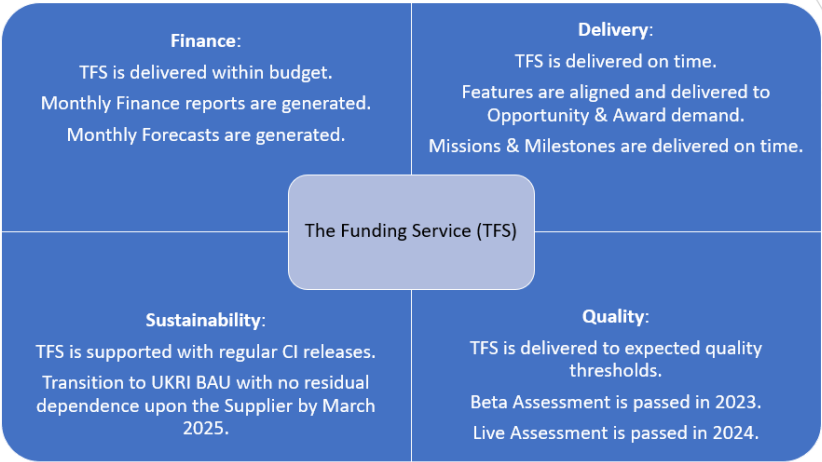
Balanced Scorecard

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Simpler and Better Funding

SBF Balanced Scorecard

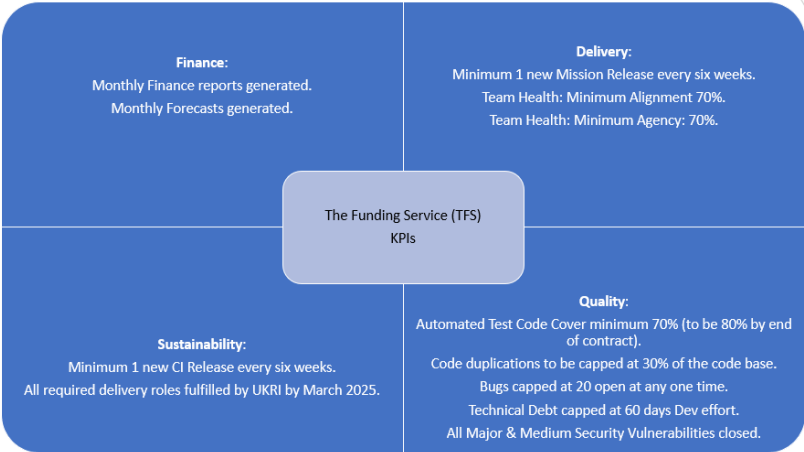


UKRI Organisational Change Working together for a simpler, better future

Material KPIs

Simpler and Better Funding

SBF KPIs



UKRI Organisational Change Working together for a simpler, better future

Service Credits

Not applicable

Additional Insurances

Not applicable

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Guarantee

Not applicable

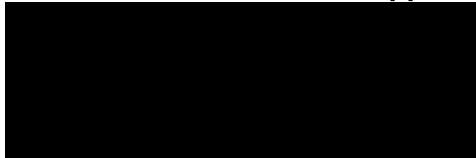
Social Value Commitment

Not applicable

Statement of Works

During the Call-Off Contract Period, the Buyer and Supplier may agree and execute completed Statement of Works. Upon execution of a Statement of Work the provisions detailed therein shall be incorporated into the Call-Off Contract to which this Order Form relates.

For and on behalf of the Supplier:



Date: 3/7/2023

For and on behalf of the Buyer:



Date: 7/3/2023

Appendix 1

1 Statement of Works (SOW) Details

Upon execution, this SOW forms part of the Call-Off Contract (reference below).

The Parties will execute a SOW for each set of Buyer Deliverables required. Any ad-hoc Deliverables requirements are to be treated as individual requirements in their own right and the Parties should execute a separate SOW in respect of each, or alternatively agree a Variation to an existing SOW.

All SOWs must fall within the Specification and provisions of the Call-Off Contract.

The details set out within this SOW apply only in relation to the Deliverables detailed herein and will not apply to any other SOWs executed or to be executed under this Call-Off Contract, unless otherwise agreed by the Parties in writing.

Date of SOW: Friday 30th June 2023

SOW Title: Mission 2: Responsive mode opportunities can run on the service

SOW Reference: Milestone 3: Award a high-volume opportunity with a reduction in administrative effort required by both councils and research office users.

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Buyer: UK Research and Innovation (UKRI)

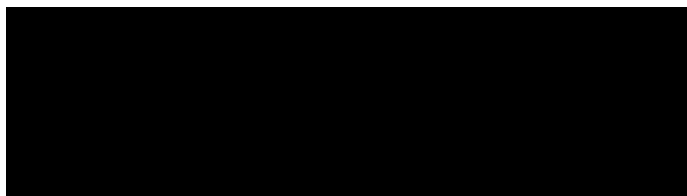
Supplier: Networthnet Limited T/A Worth Internet Systems

SOW Start Date: Friday 30th June 2023

SOW End Date: Thursday 30th November 2023

Duration of SOW: 5 months

Key Personnel (Buyer):



Key Personnel (Supplier):



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[REDACTED]

Subcontractors:

[REDACTED]

2 Call-Off Contract Specification – Deliverables Context

SOW Deliverables Background: SOW covers 3 elements of the overall Beta deliverables (see Outcomes 1 & 2)

Delivery phase(s): Beta

Overview of Requirement: Full Public Beta delivery followed by Live Phase, with transition to BAU. Releases will be regular (at least one per delivery cycle).

3 Buyer Requirements – SOW Deliverables

Outcome Description:

Outcomes	Description	Priority	Acceptance criteria	Estimated duration
Goal: Enhance core 'Award' functionality				
<p>Enable co-funded Opportunities, including adding Funding Areas (linked to cost centres) through the UI</p> <p>Decline a Grant Agreement, should data need correcting</p> <p>Enable read only Award information for Pls</p> <p>Enable ability to update Terms and Conditions over the life of an Award, with associated RO notification</p> <p>Receive structured data from the Application, to remove the need to re-key data in Award Setup</p> <p>Ability to gather Resource and Costs information from RO at Award Setup stage</p> <p>Guidance section updated to supplement the Grant Agreement</p>	<p>Supplier will</p> <ol style="list-style-type: none"> 1. Technical expertise to contribute to the solution design and engage with UCD colleagues in the definition of the solution to be implemented for each outcome. 2. Involvement in refinement and creation of user stories, adhering to UKRI digital delivery processes/standards and tooling 3. Monitor and track progress, reporting to the Programme SLT on a regular basis to ensure that there is time to action or remediate any blockers or delays <p>SBF programme will</p> <ol style="list-style-type: none"> 1. Work collaboratively with the supplier to ensure the 'Definition of Ready' for each outcome is available to enable the scrum teams to start development activities to the agreed schedule 2. Provide support and expertise from Subject Matter Experts within the business and user community 3. Provide access to the necessary tools and systems required to deliver the outcomes 	<p>Must</p> <p>Must</p> <p>Must</p> <p>Must</p> <p>Must</p> <p>Must</p>	<p>All outcomes will only be considered 'done' once:</p> <ol style="list-style-type: none"> 1. The definition of done is met 2. Product Managers have signed off the outcomes 3. The outcomes are deployed to the live environments (unless agreed otherwise) 	<p>Each outcome is estimated to take a scrum team 1 cycle to complete.</p>
Capture the audit information when changing awards				

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<p>Implement different internal user permissions, based on controls and risk mitigation</p> <p>Capture the justification of changes and display associated history</p>	<p>Supplier will</p> <ol style="list-style-type: none"> 1. Technical expertise to contribute to the solution design and engage with UCD colleagues in the definition of the solution to be implemented for each outcome. 2. Involvement in refinement and creation of user stories, adhering to UKRI digital delivery processes/standards and tooling 3. Monitor and track progress, reporting to the Programme SLT on a regular basis to ensure that there is time to action or remediate any blockers or delays <p>SBF programme will</p> <ol style="list-style-type: none"> 1. Work collaboratively with the supplier to ensure the 'Definition of Ready' for each outcome is available to enable the scrum teams to start development activities to the agreed schedule 2. Provide support and expertise from Subject Matter Experts within the business and user community 3. Provide access to the necessary tools and systems required to deliver the outcomes 	<p>Must</p> <p>Must</p>	<p>All outcomes will only be considered 'done' once:</p> <ol style="list-style-type: none"> 1. The definition of done is met 2. Product Managers have signed off the outcomes 3. The outcomes are deployed to the live environments (unless agreed otherwise) 	<p>Each outcome is estimated to take a scrum team 1 cycle to complete.</p>
Technical continuous improvement				
<p>Integrate TFS with UKRI systems to receive validated organisation data, mitigating the need for offline checks/intervention or where these systems are not mature enough to meet TFS requirements delivery efficient interim solutions in time to meet TFS need.</p>	<p>Supplier will</p> <ol style="list-style-type: none"> 1. Technical expertise to contribute to the solution design and engage with UCD colleagues in the definition of the solution to be implemented for each outcome. 2. Involvement in refinement and creation of user stories, adhering to UKRI digital delivery processes/standards and tooling 3. Monitor and track progress, reporting to the Programme SLT on a regular basis to ensure that there is time to action or remediate any blockers or delays <p>SBF programme will</p> <ol style="list-style-type: none"> 1. Work collaboratively with the supplier to ensure the 'Definition of Ready' for each outcome is available to enable the scrum teams to start development activities to the agreed schedule 	<p>Must</p>	<p>All outcomes will only be considered 'done' once:</p> <ul style="list-style-type: none"> • The Minimum Viable Service for Opportunities and Grants in TFS is delivered and accepted by the Service Owner. 	<p>Duration will vary depending on integration, system and solution.</p>

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	<ol style="list-style-type: none">2. Provide support and expertise from Subject Matter Experts within the business and user community3. Provide access to the necessary tools and systems required to deliver the outcomes			
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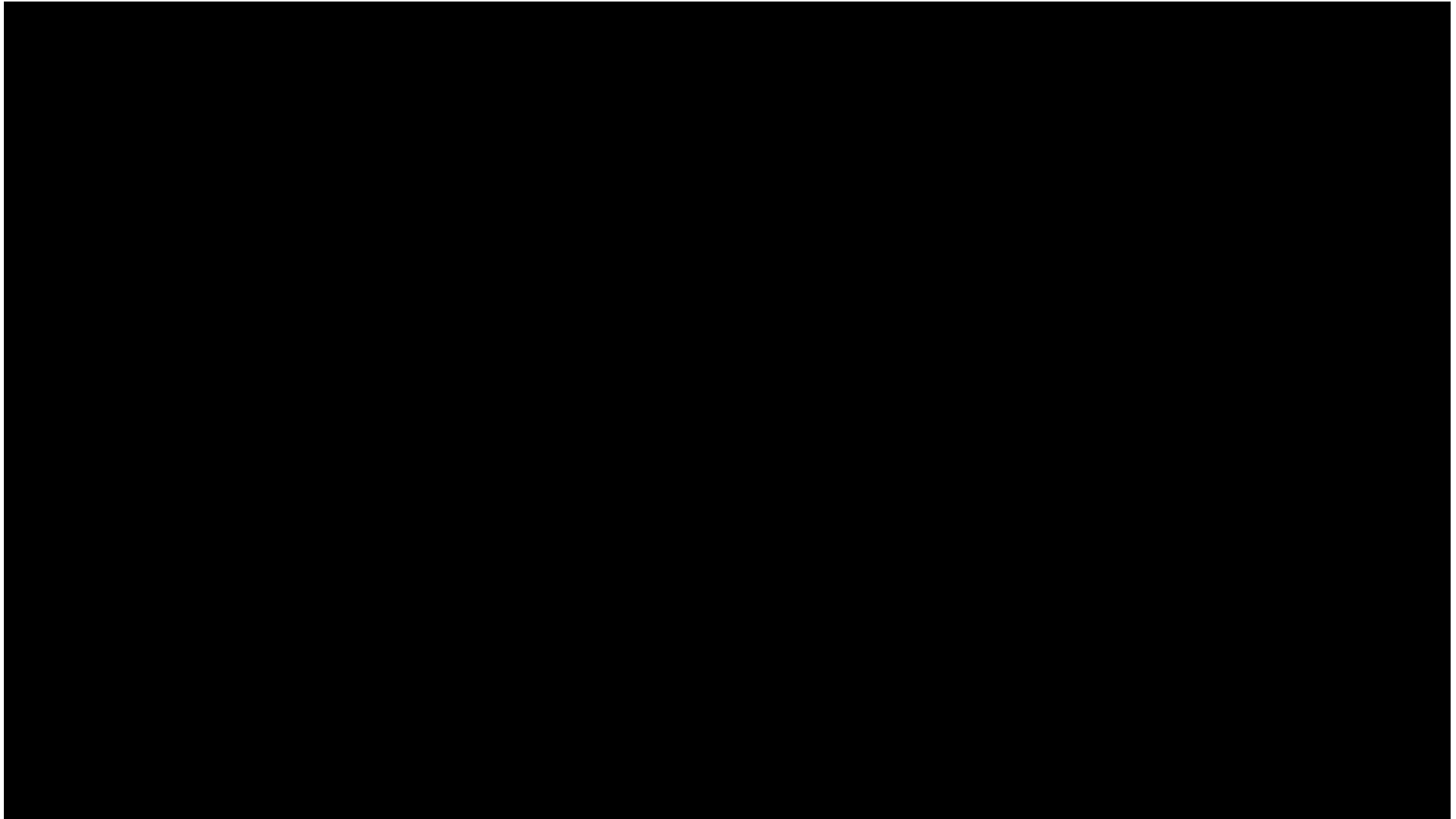
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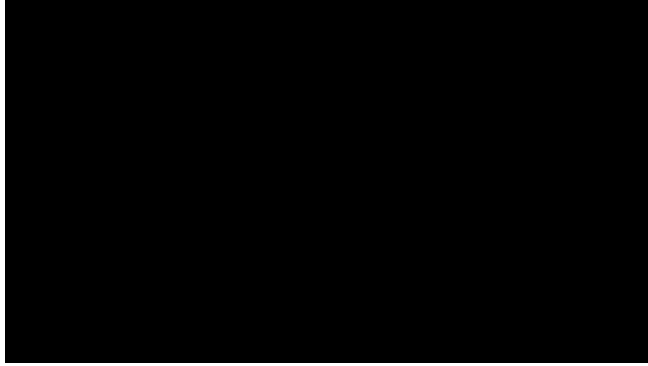
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Delivery Plan:



Contract Ref: DDaT23179



Contract Ref: DDaT23179

Framework Ref: RM1043.8 Digital Outcomes 6
Project Version: v2.0
Model Version: v3.8

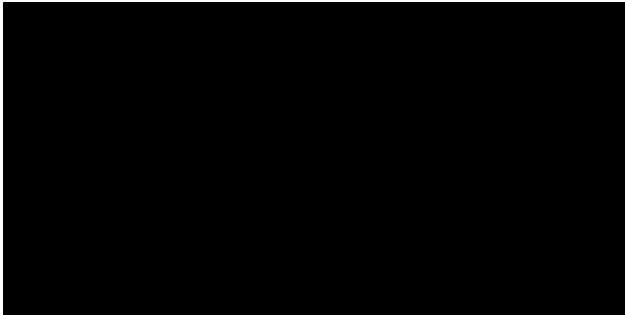
Dependencies:



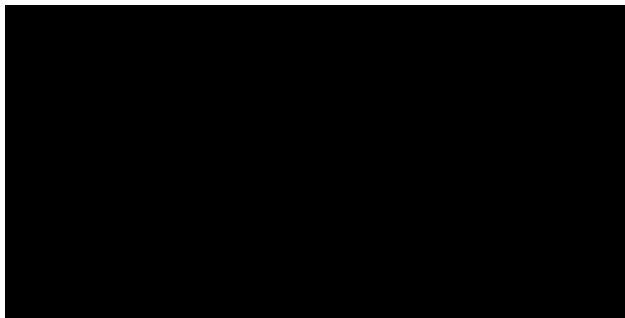
Dependencies
Matrix v0.1.xlsx

Supplier Resource Plan:

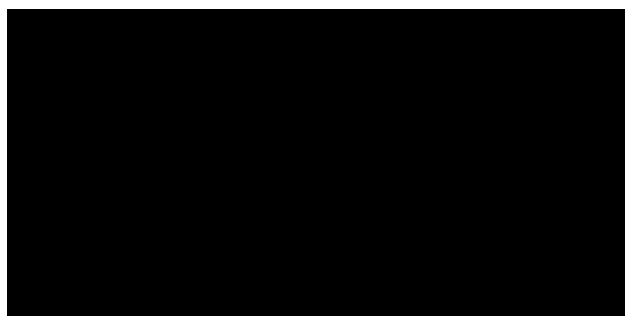
Goal: Enhance core 'Award' functionality



Capture the audit information when changing awards



Technical continuous improvement



Security Applicable to SOW:

The Supplier confirms that all Supplier Staff working on Buyer Sites and on Buyer Systems and Deliverables, have completed Supplier Staff Vetting in accordance with Paragraph 6 (Security of Supplier Staff) of Part B – Annex 1 (Baseline Security Requirements) of Call-Off Schedule 9 (Security).

Cyber Essentials Scheme:

The Buyer requires the Supplier to have and maintain a Cyber Essentials Certificate for the work undertaken under this SOW, in accordance with Call-Off Schedule 26 (Cyber

Essentials Scheme).

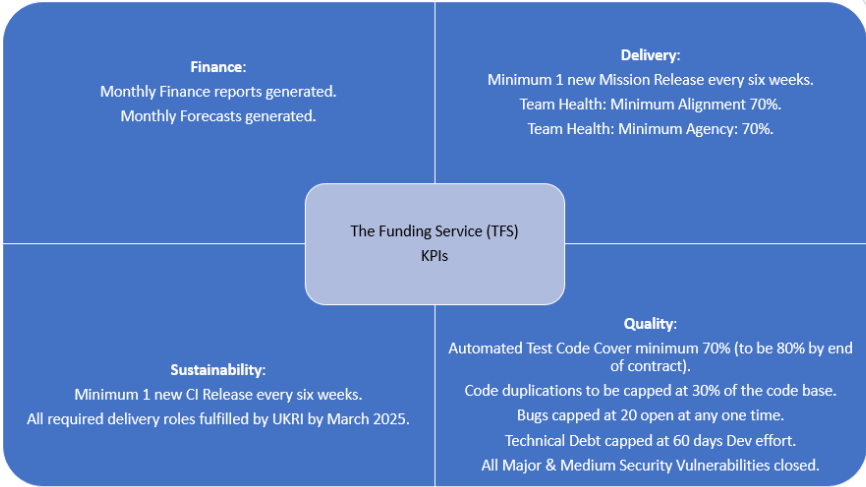
SOW Standards:

TFS must adhere to the 18 Point Service Standard: [Digital Service Standard \(pre-July 2019\) - Service Manual - GOV.UK \(www.gov.uk\)](#)

Performance Management:

Simpler and Better Funding

SBF KPIs



UKRI Organisational Change Working together for a simpler, better future

Additional Requirements:

Annex 1 – Where Annex 1 of Joint Schedule 11 (Processing Data) in the Call-Off Contract does not accurately reflect the data Processor / Controller arrangements applicable to this Statement of Work, the Parties shall comply with the revised Annex 1 attached to this Statement of Work.

Key Supplier Staff:

Key Role	Key Staff	Contract Details	Worker Engagement Route (incl. inside/outside IR35)

SOW Reporting Requirements:

Further to the Supplier providing the management information detailed in Call-Off Schedule 15 (Call Off Contract Management), the Supplier shall also provide the following additional management information under and applicable to this SOW only:

Ref.	Type of Information	Which Services does this requirement apply to?	Required regularity of Submission
1	Monthly written Progress Report covering status of all deliverables, testing and health of the service.	All	Monthly

4 Charges**Call Off Contract Charges:**

Goal: Enhance core 'Award' functionality

£1,013,100.00 excluding VAT

Capture the audit information when changing awards

£900,800.00 excluding VAT

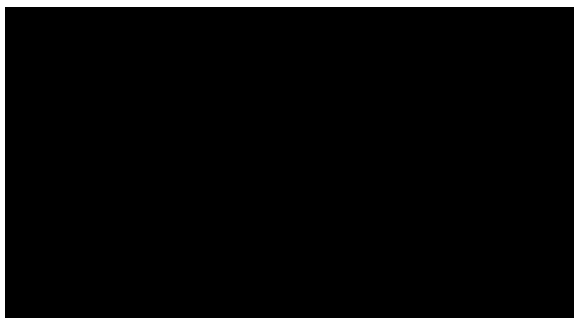
Technical continuous improvement

£114,600.00 excluding VAT

The applicable charging method(s) for this SOW is:

- Capped Time and Materials

The estimated maximum value of this SOW (irrespective of the selected charging method) is £2,028,500.00 excluding VAT

Rate Cards Applicable:**Reimbursable Expenses:**

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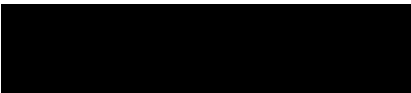
See Expenses Policy in Annex 1 to Call-Off Schedule 5 (Pricing Details and Expenses Policy)

5 Signatures and Approvals

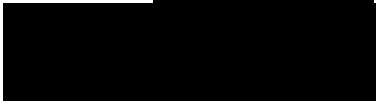
Agreement of this SOW

BY SIGNING this Statement of Work, the Parties agree that it shall be incorporated into Appendix 1 of the Order Form and incorporated into the Call-Off Contract and be legally binding on the Parties:

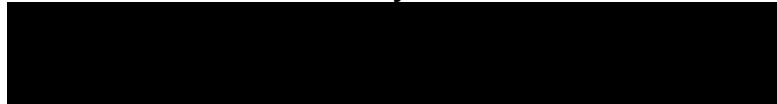
For and on behalf of the Supplier



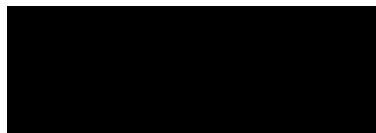
Date: 3/7/2023



For and on behalf of the Buyer



Date: 7/3/2023



Annex 1

Data Processing

Prior to the execution of this Statement of Work, the Parties shall review Annex 1 of Joint Schedule 11 (Processing Data) and if the contents of Annex 1 does not adequately cover the Processor / Controller arrangements covered by this Statement of Work, Annex 1 shall be amended as set out below and the following table shall apply to the Processing activities undertaken under this Statement of Work only:

Description	Details
Identity of Controller for each Category of Personal Data	<i>UKRI is the data controller for all categories of personal data.</i>
Duration of the Processing	<i>21 months.</i>
Nature and purposes of the Processing	<i>The Delivery Partner will build and support the Beta Funding Service (TFS) that will be generating Production Data relating to Grants Applications and Awards, including People and Org data.</i>
Type of Personal Data	<i>All data processed within the new Grant service (TFS) is within scope.</i> <i>The data is expected to include basic personal details, details of grant applications and proposals, details required to support grant applications, and data used for equality and diversity monitoring.</i>
Categories of Data Subject	<i>People & Org data processed on the new funding service (TFS).</i>
Plan for return and destruction of the data once the Processing is complete UNLESS requirement under Union or Member State law to preserve that type of data	<i>Most of the data is expected to remain on UKRI owned infrastructure.</i> <i>If it is necessary to transfer any data to the supplier's IT infrastructure the data must be returned or warranted as securely deleted at the end of the contract.</i>

Annex 1 (Template Statement of Work)

6 Statement of Works (SOW) Details

Upon execution, this SOW forms part of the Call-Off Contract (reference below).

The Parties will execute a SOW for each set of Buyer Deliverables required. Any ad-hoc Deliverables requirements are to be treated as individual requirements in their own right and the Parties should execute a separate SOW in respect of each, or alternatively agree a Variation to an existing SOW.

All SOWs must fall within the Specification and provisions of the Call-Off Contract.

The details set out within this SOW apply only in relation to the Deliverables detailed herein and will not apply to any other SOWs executed or to be executed under this Call-Off Contract, unless otherwise agreed by the Parties in writing.

Date of SOW:

SOW Title:

SOW Reference:

Call-Off Contract Reference:

Buyer:

Supplier:

SOW Start Date:

SOW End Date:

Duration of SOW:

Key Personnel (Buyer):

Key Personnel (Supplier):

Subcontractors:

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7 Call-Off Contract Specification – Deliverables Context

SOW Deliverables Background: [Insert details of which elements of the Deliverables this SOW will address]

Delivery phase(s): [Insert item and nature of Delivery phase(s), for example, Discovery, Alpha, Beta or Live]

Overview of Requirement: [Insert details including Release Type(s), for example Ad hoc, Inception, Calibration or Delivery]

8 Buyer Requirements – SOW Deliverables

Outcome Description:

Milestone Ref	Milestone Description	Acceptance Criteria	Due Date
MS01			
MS02			

Delivery Plan:

Dependencies:

Supplier Resource Plan:

Security Applicable to SOW:

The Supplier confirms that all Supplier Staff working on Buyer Sites and on Buyer Systems and Deliverables, have completed Supplier Staff Vetting in accordance with Paragraph 6 (Security of Supplier Staff) of Part B – Annex 1 (Baseline Security Requirements) of Call-Off Schedule 9 (Security).

[If different security requirements than those set out in Call-Off Schedule 9 (Security) apply under this SOW, these shall be detailed below and apply only to this SOW:

[Insert if necessary]

Cyber Essentials Scheme:

The Buyer requires the Supplier to have and maintain a [Cyber Essentials Certificate][OR Cyber Essentials Plus Certificate] for the work undertaken under this SOW, in accordance with Call-Off Schedule 26 (Cyber Essentials Scheme).

SOW Standards:

[Insert any specific Standards applicable to this SOW]

Performance Management:

[Insert details of Material KPIs that have a material impact on Contract performance]

Material KPIs	Target	Measured by
---------------	--------	-------------

[Insert Service Levels and/or KPIs – See Call-Off Schedule 14 (Service Levels and Balanced Scorecard)]

Additional Requirements:

Annex 1 – Where Annex 1 of Joint Schedule 11 (Processing Data) in the Call-Off Contract does not accurately reflect the data Processor / Controller arrangements applicable to this Statement of Work, the Parties shall comply with the revised Annex 1 attached to this Statement of Work.

Key Supplier Staff:

Key Role	Key Staff	Contract Details	Worker Engagement Route (incl. inside/outside IR35)

[Indicate: whether there is any requirement to issue a Status Determination Statement]

SOW Reporting Requirements:

Further to the Supplier providing the management information detailed in Call-Off Schedule 15 (Call Off Contract Management), the Supplier shall also provide the following additional management information under and applicable to this SOW only:

Ref.	Type of Information	Which Services does this requirement apply to?	Required regularity of Submission
1.	[insert]		
1.1	[insert]	[insert]	[insert]

]

9 Charges

Call Off Contract Charges:

The applicable charging method(s) for this SOW is:

- [Capped Time and Materials]
- [Incremental Fixed Price]
- [Time and Materials]
- [Fixed Price]
- [2 or more of the above charging methods]

[Buyer to select as appropriate for this SOW]

The estimated maximum value of this SOW (irrespective of the selected charging

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method) is £[Insert detail].

Rate Cards Applicable:

[Insert SOW applicable Supplier and Subcontractor rate cards from Call-Off Schedule 5 (Pricing Details and Expenses Policy), including details of any discounts that will be applied to the work undertaken under this SOW.]

Reimbursable Expenses:

[See Expenses Policy in Annex 1 to Call-Off Schedule 5 (Pricing Details and Expenses Policy)]

[Reimbursable Expenses are capped at [£[Insert] [OR] [Insert] percent ([X]%) of the Charges payable under this Statement of Work.]

[None]

[Buyer to delete as appropriate for this SOW]

10 Signatures and Approvals

Agreement of this SOW

BY SIGNING this Statement of Work, the Parties agree that it shall be incorporated into Appendix 1 of the Order Form and incorporated into the Call-Off Contract and be legally binding on the Parties:

For and on behalf of the Supplier

Name:

Title:

Date:

Signature:

For and on behalf of the Buyer

Name:

Title:

Date:

Signature:

Annex 1

Data Processing

Prior to the execution of this Statement of Work, the Parties shall review Annex 1 of Joint Schedule 11 (Processing Data) and if the contents of Annex 1 does not adequately cover the Processor / Controller arrangements covered by this Statement of Work, Annex 1 shall be amended as set out below and the following table shall apply to the Processing activities undertaken under this Statement of Work only:

[Template Annex 1 of Joint Schedule 11 (Processing Data) Below]

Description	Details
Identity of Controller for each Category of Personal Data	<p>The Relevant Authority is Controller and the Supplier is Processor</p> <p>The Parties acknowledge that in accordance with paragraph 2 to paragraph 15 and for the purposes of the Data Protection Legislation, the Relevant Authority is the Controller and the Supplier is the Processor of the following Personal Data:</p> <ul style="list-style-type: none"> • [Insert the scope of Personal Data for which the purposes and means of the Processing by the Supplier is determined by the Relevant Authority] <p>The Supplier is Controller and the Relevant Authority is Processor</p> <p>The Parties acknowledge that for the purposes of the Data Protection Legislation, the Supplier is the Controller and the Relevant Authority is the Processor in accordance with paragraph 2 to paragraph 15 of the following Personal Data:</p> <ul style="list-style-type: none"> • [Insert the scope of Personal Data which the purposes and means of the Processing by the Relevant Authority is determined by the Supplier] <p>The Parties are Joint Controllers</p> <p>The Parties acknowledge that they are Joint Controllers for the purposes of the Data Protection Legislation in respect of:</p> <ul style="list-style-type: none"> • [Insert the scope of Personal Data which the purposes and means of the Processing is determined by the both Parties together] <p>The Parties are Independent Controllers of Personal Data</p> <p>The Parties acknowledge that they are Independent Controllers for the purposes of the Data Protection Legislation in respect of:</p> <ul style="list-style-type: none"> • Business contact details of Supplier Personnel for which the Supplier is the Controller, • Business contact details of any directors, officers, employees, agents, consultants and contractors of Relevant Authority (excluding the Supplier Personnel) engaged in the performance of the Relevant Authority's duties under the Contract) for which the Relevant Authority is the Controller,

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	<ul style="list-style-type: none"> • [Insert the scope of other Personal Data provided by one Party who is Controller to the other Party who will separately determine the nature and purposes of its Processing the Personal Data on receipt e.g. where (1) the Supplier has professional or regulatory obligations in respect of Personal Data received, (2) a standardised service is such that the Relevant Authority cannot dictate the way in which Personal Data is processed by the Supplier, or (3) where the Supplier comes to the transaction with Personal Data for which it is already Controller for use by the Relevant Authority] <p>[Guidance where multiple relationships have been identified above, please address the below rows in the table for in respect of each relationship identified]</p>
Duration of the Processing	[Clearly set out the duration of the Processing including dates]
Nature and purposes of the Processing	<p>[Be as specific as possible, but make sure that you cover all intended purposes.</p> <p>The nature of the Processing means any operation such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction of data (whether or not by automated means) etc.</p> <p>The purpose might include: employment processing, statutory obligation, recruitment assessment etc.]</p>
Type of Personal Data	[Examples here include: name, address, date of birth, NI number, telephone number, pay, images, biometric data etc.]
Categories of Data Subject	[Examples include: Staff (including volunteers, agents, and temporary workers), customers/ clients, suppliers, patients, students / pupils, members of the public, users of a particular website etc.]
Plan for return and destruction of the data once the Processing is complete UNLESS requirement under Union or Member State law to preserve that type of data	[Describe how long the data will be retained for, how it be returned or destroyed]

1 Joint Schedule 1 (Definitions) RM1043.8

- 1.1 In each Contract, unless the context otherwise requires, capitalised expressions shall have the meanings set out in this Joint Schedule 1 (Definitions) or the relevant Schedule in which that capitalised expression appears.
- 1.2 If a capitalised expression does not have an interpretation in this Schedule or any other Schedule, it shall, in the first instance, be interpreted in accordance with the common interpretation within the relevant market sector/industry where appropriate. Otherwise, it shall be interpreted in accordance with the dictionary meaning.
- 1.3 In each Contract, unless the context otherwise requires:
 - 1.3.1 the singular includes the plural and vice versa;
 - 1.3.2 reference to a gender includes the other gender and the neuter;
 - 1.3.3 references to a person include an individual, company, body corporate, corporation, unincorporated association, firm, partnership or other legal entity or Central Government Body;
 - 1.3.4 a reference to any Law includes a reference to that Law as amended, extended, consolidated or re-enacted from time to time;
 - 1.3.5 the words "**including**", "**other**", "**in particular**", "**for example**" and similar words shall not limit the generality of the preceding words and shall be construed as if they were immediately followed by the words "**without limitation**";
 - 1.3.6 references to "**writing**" include typing, printing, lithography, photography, display on a screen, electronic and facsimile transmission and other modes of representing or reproducing words in a visible form, and expressions referring to writing shall be construed accordingly;
 - 1.3.7 references to "**representations**" shall be construed as references to present facts, to "**warranties**" as references to present and future facts and to "**undertakings**" as references to obligations under the Contract;
 - 1.3.8 references to "**Clauses**" and "**Schedules**" are, unless otherwise provided, references to the clauses and schedules of the Core Terms and references in any Schedule to parts, paragraphs, annexes and tables are, unless otherwise provided, references to the parts, paragraphs, annexes and tables of the Schedule in which these references appear;
 - 1.3.9 references to "**Paragraphs**" are, unless otherwise provided, references to the paragraph of the appropriate Schedules unless otherwise provided;
 - 1.3.10 references to a series of Clauses or Paragraphs shall be inclusive of the clause numbers specified;
 - 1.3.11 the headings in each Contract are for ease of reference only and shall not affect the interpretation or construction of a Contract;
 - 1.3.12 where the Buyer is a Central Government Body it shall be treated as contracting with the Crown as a whole;
 - 1.3.13 where a standard, policy or document is referred to by reference of a hyperlink, if that hyperlink is changed or no longer provides access to the relevant standard, policy or document, the Supplier shall notify the Relevant Authority and the Parties shall update the reference to a replacement hyperlink;
 - 1.3.14 any reference in a Contract which immediately before Exit Day was a reference to (as it has effect from time to time):

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- (a) any EU regulation, EU decision, EU tertiary legislation or provision of the EEA agreement ("**EU References**") which is to form part of domestic law by application of section 3 of the European Union (Withdrawal) Act 2018 shall be read on and after Exit Day as a reference to the EU References as they form part of domestic law by virtue of section 3 of the European Union (Withdrawal) Act 2018 as modified by domestic law from time to time; and
- (b) any EU institution or EU authority or other such EU body shall be read on and after Exit Day as a reference to the UK institution, authority or body to which its functions were transferred; and

1.3.15 unless otherwise provided, references to "**Buyer**" shall be construed as including Exempt Buyers; and

1.3.16 unless otherwise provided, references to "**Call-Off Contract**" and "**Contract**" shall be construed as including Exempt Call-off Contracts.

1.4 In each Contract, unless the context otherwise requires, the following words shall have the following meanings:

Term	Definition
Achieve	in respect of a Test, to successfully pass such Test without any Test Issues and in respect of a Milestone, the issue of a Satisfaction Certificate in respect of that Milestone if specified within the Buyer's acceptance testing procedure and " Achieved ", " Achieving " and " Achievement " shall be construed accordingly;
Additional Insurances	insurance requirements relating to a Call-Off Contract specified in the Order Form additional to those outlined in Joint Schedule 3 (Insurance Requirements);
Admin Fee	means the costs incurred by CCS in dealing with MI Failures calculated in accordance with the tariff of administration charges published by the CCS on: http://CCS.cabinetoffice.gov.uk/i-am-supplier/management-information/admin-fees ;
Affected Party	the Party seeking to claim relief in respect of a Force Majeure Event;
Affiliates	in relation to a body corporate, any other entity which directly or indirectly Controls, is Controlled by, or is under direct or indirect common Control of that body corporate from time to time;
Annex	extra information which supports a Schedule;
Approval	the prior written consent of the Buyer and " Approve " and " Approved " shall be construed accordingly;
Audit	the Relevant Authority's right to: (a) verify the accuracy of the Charges and any other amounts payable by a Buyer under a Call-Off Contract (including proposed or actual variations to them in accordance with the Contract); (b) verify the costs of the Supplier (including the costs of all Subcontractors and any third party suppliers) in connection with the provision of the Services; (c) verify the Open Book Data;

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	<p>(d) verify the Supplier's and each Subcontractor's compliance with the Contract and applicable Law;</p> <p>(e) identify or investigate actual or suspected breach of Clauses 27 to 33 and/or Joint Schedule 5 (Corporate Social Responsibility), impropriety or accounting mistakes or any breach or threatened breach of security and in these circumstances the Relevant Authority shall have no obligation to inform the Supplier of the purpose or objective of its investigations;</p> <p>(f) identify or investigate any circumstances which may impact upon the financial stability of the Supplier, any Guarantor, and/or any Subcontractors or their ability to provide the Deliverables;</p> <p>(g) obtain such information as is necessary to fulfil the Relevant Authority's obligations to supply information for parliamentary, ministerial, judicial or administrative purposes including the supply of information to the Comptroller and Auditor General;</p> <p>(h) review any books of account and the internal contract management accounts kept by the Supplier in connection with each Contract;</p> <p>(i) carry out the Relevant Authority's internal and statutory audits and to prepare, examine and/or certify the Relevant Authority's annual and interim reports and accounts;</p> <p>(j) enable the National Audit Office to carry out an examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Relevant Authority has used its resources; or</p> <p>(k) verify the accuracy and completeness of any Management Information delivered or required by the Framework Contract;</p>
Auditor	<p>(a) the Buyer's internal and external auditors;</p> <p>(b) the Buyer's statutory or regulatory auditors;</p> <p>(c) the Comptroller and Auditor General, their staff and/or any appointed representatives of the National Audit Office;</p> <p>(d) HM Treasury or the Cabinet Office;</p> <p>(e) any party formally appointed by the Relevant Authority to carry out audit or similar review functions; and</p> <p>(f) successors or assigns of any of the above;</p>
Authority	CCS and each Buyer;
Authority Cause	any breach of the obligations of the Relevant Authority or any other default, act, omission, negligence or statement of the Relevant Authority, of its employees, servants, agents in connection with or in relation to the subject-matter of the Contract and in respect of which the Relevant Authority is liable to the Supplier;
Authorised User	CCS' and Buyers' individual or group of individuals (including employees, consultants, contractors and agents) authorised by CCS and/or the Buyer to:

	<p>(a) access and use the Platform for the purposes set out in Framework Schedule 7 (Call-Off Award Procedure); and</p> <p>(b) the rights granted under (a) shall apply unless and until that authorisation is revoked by CCS or the Buyer;</p>
BACS	the Bankers' Automated Clearing Services, which is a scheme for the electronic processing of financial transactions within the United Kingdom;
Balanced Scorecard	a tool for Call-Off Contract management activity, through measurement of a Supplier's performance against key performance indicators, which the Buyer and Supplier may agree at the Call-Off Contract Start Date;
Beneficiary	a Party having (or claiming to have) the benefit of an indemnity under this Contract;
Buyer	the relevant public sector purchaser identified as such in the Order Form;
Buyer Assets	the Buyer's infrastructure, data, software, materials, assets, equipment or other property owned by and/or licensed or leased to the Buyer and which is or may be used in connection with the provision of the Deliverables which remain the property of the Buyer throughout the term of the Contract;
Buyer Authorised Representative	the representative appointed by the Buyer from time to time in relation to the Call-Off Contract initially identified in the Order Form;
Buyer Guidance	<p>guidance for Buyers on how to buy digital services using the Framework Contract, located at:</p> <p>https://www.gov.uk/guidance/digital-outcomes-and-specialists-buyers-guide ;</p>
Buyer Premises	premises owned, controlled or occupied by the Buyer which are made available for use by the Supplier or its Subcontractors for the provision of the Deliverables (or any of them);
Buyer Registration Process	the process to be completed in accordance with Framework Schedule 7 (Call-Off Award Procedure) or as otherwise notified to the Buyer in writing by CCS, the completion of which shall result in a potential Buyer being registered as a "Buyer" within the Platform which will entitle the Buyer to undertake a Call-Off Procedure in accordance with Framework Schedule 7, as supported by the Platform;
Call-Off Contract	the contract between the Buyer and the Supplier (entered into pursuant to the provisions of the Framework Contract), which consists of the terms set out and referred to in the Order Form;
Call-Off Contract Period	the Contract Period in respect of the Call-Off Contract;
Call-Off Expiry Date	<p>the latter of:</p> <p>(a) the scheduled date of the end of a Call-Off Contract as stated in the Order Form; or</p> <p>(b) the date of completion of the last Deliverable due under the last Statement of Work under the Call-Off Contract;</p>
Call-Off Incorporated Terms	the contractual terms applicable to the Call-Off Contract specified under the relevant heading in the Order Form;
Call-Off Initial Period	the Initial Period of a Call-Off Contract specified in the Order Form;

Call-Off Optional Extension Period	such period or periods beyond which the Call-Off Initial Period may be extended as specified in the Order Form;
Call-Off Procedure	the process for awarding a Call-Off Contract pursuant to Clause 2 (How the contract works) and Framework Schedule 7 (Call-Off Award Procedure);
Call-Off Special Terms	any additional terms and conditions specified in the Order Form incorporated into the applicable Call-Off Contract;
Call-Off Start Date	the date of start of a Call-Off Contract as stated in the Order Form;
Call-Off Tender	the tender submitted by the Supplier in response to the Buyer's Statement of Requirements following a Further Competition Procedure and set out at Call-Off Schedule 4 (Call-Off Tender);
Cap	the maximum amount to be paid by the Buyer under a Time and Materials mechanism for the delivery of an agreed scope; and "Capped" shall be construed accordingly;
Capped Time and Materials	Time and Materials payable up to a specified Cap for delivery of the agreed scope of Deliverables;
CCS	the Minister for the Cabinet Office as represented by Crown Commercial Service, which is an executive agency and operates as a trading fund of the Cabinet Office, whose offices are located at 9th Floor, The Capital, Old Hall Street, Liverpool L3 9PP;
CCS Authorised Representative	the representative appointed by CCS from time to time in relation to the Framework Contract initially identified in the Framework Award Form;
Central Government Body	a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics: (a) Government Department; (b) Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal); (c) Non-Ministerial Department; or (d) Executive Agency;
Change in Law	any change in Law which impacts on the supply of the Deliverables and performance of the Contract which comes into force after the Start Date;
Change of Control	is: (a) a change of control within the meaning of Section 450 of the Corporation Tax Act 2010; or (b) any instance where the Supplier demerges into 2 or more firms, merges with another firm, incorporated or otherwise changes its legal form;
Charges	the prices (exclusive of any applicable VAT), payable to the Supplier by the Buyer under the Call-Off Contract, as set out in the Order Form and, if applicable, each Statement of Work, for the full and proper performance by the Supplier of its obligations under the Call-Off Contract less any Deductions;
Claim	any claim which it appears that a Beneficiary is, or may become, entitled to indemnification under this Contract;

Commercially Sensitive Information	the Confidential Information listed in the Framework Award Form or Order Form (if any) comprising of commercially sensitive information relating to the Supplier, its IPR or its business or which the Supplier has indicated to the Authority that, if disclosed by the Authority, would cause the Supplier significant commercial disadvantage or material financial loss;
Comparable Supply	the supply of Deliverables to another Buyer of the Supplier that are the same or similar to the Deliverables;
Compliance Officer	the person(s) appointed by the Supplier who is responsible for ensuring that the Supplier complies with its legal obligations;
Confidential Information	any information, however it is conveyed, that relates to the business, affairs, developments, trade secrets, Know-How, personnel and suppliers of CCS, the Buyer or the Supplier, including IPRs, together with information derived from the above, and any other information clearly designated as being confidential (whether or not it is marked as " confidential ") or which ought reasonably to be considered to be confidential;
Conflict of Interest	a conflict between the financial or personal duties of the Supplier or the Supplier Staff and the duties owed to CCS or any Buyer under a Contract, in the reasonable opinion of the Buyer or CCS, as the context requires;
Contract	either the Framework Contract or the Call-Off Contract, as the context requires;
Contract Period	the term of either a Framework Contract or Call-Off Contract on and from the earlier of the: (a) applicable Start Date; or (b) the Effective Date up to and including the applicable End Date;
Contract Value	the higher of the actual or expected total Charges paid or payable under a Contract where all obligations are met by the Supplier;
Contract Year	a consecutive period of twelve (12) Months commencing on the Start Date or each anniversary thereof;
Control	(a) control in either of the senses defined in sections 450 and 1124 of the Corporation Tax Act 2010; or (b) any instance where the Supplier demerges into 2 or more firms, merges with another firm, incorporate or otherwise changes its legal form; and " Controlled " shall be construed accordingly;
Controller	has the meaning given to it in the UK GDPR;
Core Terms	CCS' terms and conditions for common goods and services which govern how Suppliers must interact with CCS and Buyers under Framework Contracts and Call-Off Contracts;
Costs	the following costs (without double recovery) to the extent that they are reasonably and properly incurred by the Supplier in providing the Deliverables: (a) the cost to the Supplier or the Key Subcontractor (as the context requires), calculated per Work Day, of engaging the Supplier Staff, including: (i) base salary paid to the Supplier Staff;

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	<ul style="list-style-type: none"> (ii) employer's National Insurance contributions; (iii) pension contributions; (iv) car allowances; (v) any other contractual employment benefits; (vi) staff training; (vii) work place accommodation; (viii) work place IT equipment and tools reasonably necessary to provide the Deliverables (but not including items included within limb (b) below); and (ix) reasonable recruitment costs, as agreed with the Buyer; <p>(b) costs incurred in respect of Supplier Assets which would be treated as capital costs according to generally accepted accounting principles within the UK, which shall include the cost to be charged in respect of Supplier Assets by the Supplier to the Buyer or (to the extent that risk and title in any Supplier Asset is not held by the Supplier) any cost actually incurred by the Supplier in respect of those Supplier Assets;</p> <p>(c) operational costs which are not included within (a) or (b) above, to the extent that such costs are necessary and properly incurred by the Supplier in the provision of the Deliverables; and</p> <p>(d) Reimbursable Expenses to the extent these have been specified as allowable in the Order Form and are incurred in delivering any Deliverables;</p> <p>but excluding:</p> <ul style="list-style-type: none"> (i) Overhead; (ii) financing or similar costs; (iii) maintenance and support costs to the extent that these relate to maintenance and/or support Deliverables provided beyond the Call-Off Contract Period whether in relation to Supplier Assets or otherwise; (iv) taxation; (v) fines and penalties; (vi) amounts payable under Call-Off Schedule 16 (Benchmarking) where such Schedule is used; and (vii) non-cash items (including depreciation, amortisation, impairments and movements in provisions);
CRTPA	the Contract Rights of Third Parties Act 1999;
Data Protection Impact Assessment	an assessment by the Controller of the impact of the envisaged Processing on the protection of Personal Data;
Data Protection Legislation	(i) the UK GDPR as amended from time to time; (ii) the DPA 2018 to the extent that it relates to Processing of Personal Data and privacy; (iii) all applicable Law about the Processing of Personal Data and privacy;
Data Protection Liability Cap	the amount specified in the Framework Award Form;

Data Protection Officer	has the meaning given to it in the UK GDPR;
Data Subject	has the meaning given to it in the UK GDPR;
Data Subject Access Request	a request made by, or on behalf of, a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation to access their Personal Data;
Day Rate	the Pricing Mechanism where the Supplier will invoice the Buyer for Supplier Staff providing Deliverables (or one or more of the elements of the Deliverables) based on a rate for no more than 7.5 Work Hours performed by the Supplier's Staff;
Deductions	all Service Credits, Delay Payments (if applicable), or any other deduction which the Buyer is paid or is payable to the Buyer under a Call-Off Contract;
Default	any breach of the obligations of the Supplier (including abandonment of a Contract in breach of its terms) or any other default (including material default), act, omission, negligence or statement of the Supplier, of its Subcontractors or any Supplier Staff howsoever arising in connection with or in relation to the subject-matter of a Contract and in respect of which the Supplier is liable to the Relevant Authority;
Default Management Charge	has the meaning given to it in Paragraph 8.1.1 of Framework Schedule 5 (Management Charges and Information);
Delay Payments	the amounts (if any) payable by the Supplier to the Buyer in respect of a delay in respect of a Milestone as specified in the Implementation Plan;
Deliverables	Goods and/or Services that may be ordered under the Contract including the Documentation;
Delivery	delivery of the relevant Deliverable or Milestone in accordance with the terms of a Call-Off Contract as confirmed and accepted by the Buyer by the either (a) confirmation in writing to the Supplier; or (b) where Call-Off Schedule 13 (Implementation Plan and Testing) is used issue by the Buyer of a Satisfaction Certificate. " Deliver " and " Delivered " shall be construed accordingly;
Disclosing Party	the Party directly or indirectly providing Confidential Information to the other Party in accordance with Clause 15 (What you must keep confidential);
Dispute	any claim, dispute or difference (whether contractual or non-contractual) arising out of or in connection with the Contract or in connection with the negotiation, existence, legal validity, enforceability or termination of the Contract, whether the alleged liability shall arise under English law or under the law of some other country and regardless of whether a particular cause of action may successfully be brought in the English courts;
Dispute Resolution Procedure	the dispute resolution procedure set out in Clause 34 (Resolving disputes);
Documentation	descriptions of the Services and Service Levels, technical specifications, user manuals, training manuals, operating manuals, process definitions and procedures, system environment descriptions and all such other documentation (whether in hardcopy or electronic form) is required to be supplied by the Supplier to the Buyer under a Contract as: (a) would reasonably be required by a competent third party capable of Good Industry Practice contracted by the Buyer to develop,

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	<p>configure, build, deploy, run, maintain, upgrade and test the individual systems that provide the Deliverables</p> <p>(b) is required by the Supplier in order to provide the Deliverables; and/or</p> <p>(c) has been or shall be generated for the purpose of providing the Deliverables;</p>
DOTAS	the Disclosure of Tax Avoidance Schemes rules which require a promoter of Tax schemes to tell HMRC of any specified notifiable arrangements or proposals and to provide prescribed information on those arrangements or proposals within set time limits as contained in Part 7 of the Finance Act 2004 and in secondary legislation made under vires contained in Part 7 of the Finance Act 2004 and as extended to National Insurance Contributions;
DPA 2018	the Data Protection Act 2018;
Due Diligence Information	any information supplied to the Supplier by or on behalf of the Authority prior to the Start Date;
Effective Date	the date on which the final Party has signed the Contract;
EIR	the Environmental Information Regulations 2004;
Electronic Invoice	an invoice which has been issued, transmitted and received in a structured electronic format which allows for its automatic and electronic processing and which complies with (a) the European standard and (b) any of the syntaxes published in Commission Implementing Decision (EU) 2017/1870;
Employment Regulations	the Transfer of Undertakings (Protection of Employment) Regulations 2006 (SI 2006/246) as amended or replaced or any other Regulations implementing the European Council Directive 77/187/EEC;
End Date	<p>the earlier of:</p> <p>(a) the Expiry Date (as extended by any Extension Period exercised by the Relevant Authority under Clause 10.1.2); or</p> <p>(b) if a Contract or Statement of Work is terminated before the date specified in (a) above, the date of termination of the Contract or Statement of Work (as the context dictates);</p>
Environmental Policy	to conserve energy, water, wood, paper and other resources, reduce waste and phase out the use of ozone depleting substances and minimise the release of greenhouse gases, volatile organic compounds and other substances damaging to health and the environment, including any written environmental policy of the Buyer;
Equality and Human Rights Commission	the UK Government body named as such as may be renamed or replaced by an equivalent body from time to time;
Estimated Year 1 Charges	the anticipated total Charges payable by the Buyer in the first Contract Year specified in the Order Form;
Estimated Yearly Charges	<p>for the purposes of calculating each Party's annual liability under clause 11.2 :</p> <p>(i) in the first Contract Year, the Estimated Year 1 Charges; or</p> <p>(ii) in the any subsequent Contract Years, the Charges paid or payable in the previous Call-off Contract Year; or</p>

	(iii) after the end of the Call-off Contract, the Charges paid or payable in the last Contract Year during the Call-off Contract Period;
Exempt Buyer	a public sector purchaser that is: (a) eligible to use the Framework Contract; and (b) is entering into an Exempt Call-off Contract that is not subject to (as applicable) any of: (i) the Regulations; (ii) the Concession Contracts Regulations 2016 (SI 2016/273); (iii) the Utilities Contracts Regulations 2016 (SI 2016/274); (iv) the Defence and Security Public Contracts Regulations 2011 (SI 2011/1848); (v) the Remedies Directive (2007/66/EC); (vi) Directive 2014/23/EU of the European Parliament and Council; (vii) Directive 2014/24/EU of the European Parliament and Council; (viii) Directive 2014/25/EU of the European Parliament and Council; or (ix) Directive 2009/81/EC of the European Parliament and Council;
Exempt Call-off Contract	the contract between the Exempt Buyer and the Supplier for Deliverables which consists of the terms set out and referred to in the Order Form incorporating and, where necessary, amending, refining or adding to the terms of the Framework Contract;
Exempt Procurement Amendments	any amendments, refinements or additions to any of the terms of the Framework Contract made through the Exempt Call-off Contract to reflect the specific needs of an Exempt Buyer to the extent permitted by and in accordance with any legal requirements applicable to that Exempt Buyer;
Expenses Policy	the Buyer's expenses policy as set out in Annex 1 to Call-Off Schedule 5 (Pricing Details and Expenses Policy);
Existing IPR	any and all IPR that are owned by or licensed to either Party and which are or have been developed independently of the Contract (whether prior to the Start Date or otherwise) and shall include, in the case of CCS, the website domain names www.crowncommercial.gov.uk
Exit Day	shall have the meaning in the European Union (Withdrawal) Act 2018;
Expiry Date	the Framework Expiry Date or the Call-Off Expiry Date (as the context dictates);
Extension Period	the Framework Optional Extension Period or the Call-Off Optional Extension Period as the context dictates;
Fixed Price	the Pricing Mechanism where Charges are agreed at a set amount in relation to all work to be done under a Contract, Statement of Work, Deliverable(s) (or one or more element of the Deliverable(s)) including all materials and/or Milestones, no matter how much work is required to complete each Contract, Statement of Work, Deliverable(s) (or one or more element of the Deliverable(s)) within the agreed scope, and the total amount to be paid by the Buyer will not exceed the agreed fixed price;

FOIA	the Freedom of Information Act 2000 and any subordinate legislation made under that Act from time to time together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government department in relation to such legislation;
Force Majeure Event	any event outside the reasonable control of either Party affecting its performance of its obligations under the Contract arising from acts, events, omissions, happenings or non-happenings beyond its reasonable control and which are not attributable to any wilful act, neglect or failure to take reasonable preventative action by that Party, including: (a) riots, civil commotion, war or armed conflict; (b) acts of terrorism; (c) acts of government, local government or regulatory bodies; (d) fire, flood, storm or earthquake or other natural disaster, but excluding any industrial dispute relating to the Supplier, the Supplier Staff or any other failure in the Supplier or the Subcontractor's supply chain;
Force Majeure Notice	a written notice served by the Affected Party on the other Party stating that the Affected Party believes that there is a Force Majeure Event;
Framework Award Form	the document outlining the Framework Incorporated Terms and crucial information required for the Framework Contract, to be executed by the Supplier and CCS;
Framework Contract	the framework agreement established between CCS and the Supplier in accordance with Regulation 33 by the Framework Award Form for the provision of the Deliverables to Buyers by the Supplier pursuant to the notice published on the Find a Tender Service;
Framework Contract Period	the period from the Framework Start Date until the End Date of the Framework Contract;
Framework Expiry Date	the scheduled date of the end of the Framework Contract as stated in the Framework Award Form;
Framework Incorporated Terms	the contractual terms applicable to the Framework Contract specified in the Framework Award Form;
Framework Optional Extension Period	such period or periods beyond which the Framework Contract Period may be extended as specified in the Framework Award Form;
Framework Price(s)	the price(s) applicable to the provision of the Deliverables set out in Framework Schedule 3 (Framework Prices);
Framework Special Terms	any additional terms and conditions specified in the Framework Award Form incorporated into the Framework Contract;
Framework Start Date	the date of start of the Framework Contract as stated in the Framework Award Form;
Framework Tender Response	the tender submitted by the Supplier to CCS and annexed to or referred to in Framework Schedule 2 (Framework Tender);
Further Competition Procedure	the further competition procedure described in Framework Schedule 7 (Call-Off Award Procedure);
General Anti-Abuse Rule	(a) the legislation in Part 5 of the Finance Act 2013; and (b) any future legislation introduced into parliament to counteract Tax advantages arising from abusive arrangements to avoid National Insurance contributions;

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General Change in Law	a Change in Law where the change is of a general legislative nature (including Tax or duties of any sort affecting the Supplier) or which affects or relates to a Comparable Supply;
Goods	goods made available by the Supplier as specified in Framework Schedule 1 (Specification) and in relation to a Call-Off Contract as specified in the Order Form;
Good Industry Practice	standards, practices, methods and procedures conforming to the Law and the exercise of the degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged within the relevant industry or business sector;
Government	the government of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Government and the National Assembly for Wales), including government ministers and government departments and other bodies, persons, commissions or agencies from time to time carrying out functions on its behalf;
Government Data	the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any electronic, magnetic, optical or tangible media, including any of the Authority's Confidential Information, and which: (i) are supplied to the Supplier by or on behalf of the Authority; (ii) the Supplier is required to generate, process, store or transmit pursuant to a Contract; (iii) any Personal Data for which CCS or the Buyer is the Controller; or (iv) all Buyer Registration Process data submitted by Buyers into the Platform, including the full auditable history of any and all transactions and procedures conducted via the Platform;
Guarantor	the person (if any) who has entered into a guarantee in the form set out in Joint Schedule 8 (Guarantee) in relation to this Contract;
Halifax Abuse Principle	the principle explained in the CJEU Case C-255/02 Halifax and others;
HMRC	Her Majesty's Revenue and Customs;
Hourly Rate	the Pricing Mechanism where the Supplier will invoice the Buyer for the work undertaken by Supplier Staff providing the Deliverables (or one or more of the elements of the Deliverables) under the Contract (and, if applicable, each SOW) based on the division of the applicable Supplier Staff Day Rate by no less than 7.5 being the applicable Work Day where the Supplier Staff grade is set out in Annex 1 of Framework Schedule 3 (Framework Prices);
ICT Policy	the Buyer's policy and any Platform policy in respect of information and communications technology, referred to in the Order Form, which is in force as at the Call-Off Start Date (a copy of which has been supplied to the Supplier), as updated from time to time in accordance with the Variation Procedure;
Impact Assessment	an assessment of the impact of a Variation request by the Relevant Authority completed in good faith, including:

	<p>(a) details of the impact of the proposed Variation on the Deliverables and the Supplier's ability to meet its other obligations under the Contract;</p> <p>(b) details of the cost of implementing the proposed Variation;</p> <p>(c) details of the ongoing costs required by the proposed Variation when implemented, including any increase or decrease in the Framework Prices/Charges (as applicable), any alteration in the resources and/or expenditure required by either Party and any alteration to the working practices of either Party;</p> <p>(d) a timetable for the implementation, together with any proposals for the testing of the Variation; and</p> <p>(e) such other information as the Relevant Authority may reasonably request in (or in response to) the Variation request;</p>
Implementation Plan	the plan for provision of the Deliverables set out in Call-Off Schedule 13 (Implementation Plan and Testing) where that Schedule is used or otherwise as agreed between the Supplier and the Buyer;
Incremental Fixed Price	the Price Mechanism where the overall Statement of Work is based on Capped Time and Materials, but where the prices for individual Deliverables Increments are fixed prior to the work being undertaken. The Charges for the first Deliverable Increment or Deliverables Increments for the Statement of Work will be fixed, but the Charges for subsequent Deliverables Increments will be reviewed and refined prior to the execution of each subsequent Deliverables Increment within the same Statement of Work;
Indemnifier	a Party from whom an indemnity is sought under this Contract;
Independent Control	where a Controller has provided Personal Data to another Party which is not a Processor or a Joint Controller because the recipient itself determines the purposes and means of Processing but does so separately from the Controller providing it with Personal Data and “ Independent Controller ” shall be construed accordingly;
Indexation	the adjustment of an amount or sum in accordance with Framework Schedule 3 (Framework Prices) and the relevant Order Form;
Information	has the meaning given under section 84 of the Freedom of Information Act 2000;
Information Commissioner	the UK’s independent authority which deals with ensuring information relating to rights in the public interest and data privacy for individuals is met, whilst promoting openness by public bodies;
Initial Period	the initial term of a Contract specified in the Framework Award Form or the Order Form, as the context requires;
Insolvency Event	<p>with respect to any person, means:</p> <p>(a) that person suspends, or threatens to suspend, payment of its debts, or is unable to pay its debts as they fall due or admits inability to pay its debts, or:</p> <p>(i) (being a company or a LLP) is deemed unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986, or</p> <p>(ii) (being a partnership) is deemed unable to pay its debts within the meaning of section 222 of the Insolvency Act 1986;</p>

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	<p>(b) that person commences negotiations with one or more of its creditors (using a voluntary arrangement, scheme of arrangement or otherwise) with a view to rescheduling any of its debts, or makes a proposal for or enters into any compromise or arrangement with one or more of its creditors or takes any step to obtain a moratorium pursuant to Section 1A and Schedule A1 of the Insolvency Act 1986 other than (in the case of a company, a LLP or a partnership) for the sole purpose of a scheme for a solvent amalgamation of that person with one or more other companies or the solvent reconstruction of that person;</p> <p>(c) another person becomes entitled to appoint a receiver over the assets of that person or a receiver is appointed over the assets of that person;</p> <p>(d) a creditor or encumbrancer of that person attaches or takes possession of, or a distress, execution or other such process is levied or enforced on or sued against, the whole or any part of that person's assets and such attachment or process is not discharged within 14 days;</p> <p>(e) that person suspends or ceases, or threatens to suspend or cease, carrying on all or a substantial part of its business;</p> <p>(f) where that person is a company, a LLP or a partnership:</p> <ul style="list-style-type: none"> (i) a petition is presented (which is not dismissed within 14 days of its service), a notice is given, a resolution is passed, or an order is made, for or in connection with the winding up of that person other than for the sole purpose of a scheme for a solvent amalgamation of that person with one or more other companies or the solvent reconstruction of that person; (ii) an application is made to court, or an order is made, for the appointment of an administrator, or if a notice of intention to appoint an administrator is filed at Court or given or if an administrator is appointed, over that person; (iii) (being a company or a LLP) the holder of a qualifying floating charge over the assets of that person has become entitled to appoint or has appointed an administrative receiver; or (iv) (being a partnership) the holder of an agricultural floating charge over the assets of that person has become entitled to appoint or has appointed an agricultural receiver; or <p>(g) any event occurs, or proceeding is taken, with respect to that person in any jurisdiction to which it is subject that has an effect equivalent or similar to any of the events mentioned above;</p>
Installation Works	all works which the Supplier is to carry out at the beginning of the Call-Off Contract Period to install the Goods in accordance with the Call-Off Contract and, if applicable, each SOW;
Intellectual Property Rights or IPR	(a) copyright, rights related to or affording protection similar to copyright, rights in databases, patents and rights in inventions, semi-conductor topography rights, trade marks, rights in internet domain names and website addresses and other rights in trade or business names,

	<p>goodwill, designs, Know-How, trade secrets and other rights in Confidential Information;</p> <p>(b) applications for registration, and the right to apply for registration, for any of the rights listed at (a) that are capable of being registered in any country or jurisdiction; and</p> <p>(c) all other rights having equivalent or similar effect in any country or jurisdiction;</p>
Invoicing Address	the address to which the Supplier shall invoice the Buyer as specified in the Order Form;
IPR Claim	any action, suit, claim, demand, Loss or other liability which the Relevant Authority or Central Government Body may suffer or incur as a result of any claim that the performance of the Deliverables infringes or allegedly infringes (including the defence of such infringement or alleged infringement or passing off) of any third party IPR, used to provide the Deliverables or otherwise provided and/or licensed by the Supplier (or to which the Supplier has provided access) to the Relevant Authority in the fulfilment of its obligations under a Contract;
IR35	the off-payroll rules requiring individuals who work through their company pay the same income tax and National Insurance contributions as an employee which can be found online at: https://www.gov.uk/guidance/ir35-find-out-if-it-applies ;
Joint Controller Agreement	the agreement (if any) entered into between the Relevant Authority and the Supplier substantially in the form set out in Annex 2 of Joint Schedule 11 (Processing Data);
Joint Controllers	where two or more Controllers jointly determine the purposes and means of Processing;
Joint Control	where two or more Controllers agree jointly to determine the purposes and means of Processing Personal Data;
Key Staff	the individuals (if any) identified as such in the Order Form and any Statement of Work;
Key Sub-Contract	each Sub-Contract with a Key Subcontractor;
Key Subcontractor	<p>any Subcontractor:</p> <p>(a) which is relied upon to deliver any work package within the Deliverables in their entirety; and/or</p> <p>(b) which, in the opinion of CCS or the Buyer performs (or would perform if appointed) a critical role in the provision of all or any part of the Deliverables; and/or</p>

	<p>(c) with a Sub-Contract with a contract value which at the time of appointment exceeds (or would exceed if appointed) 10% of the aggregate Charges forecast to be payable under the Call-Off Contract,</p> <p>and the Supplier shall list all such Key Subcontractors in section 19 of the Framework Award Form and in the Key Subcontractor Section in the Order Form;</p>
Know-How	all ideas, concepts, schemes, information, knowledge, techniques, methodology, and anything else in the nature of know-how relating to the Deliverables but excluding know-how already in the other Party's possession before the applicable Start Date;
Law	any law, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of Section 2 of the European Communities Act 1972, regulation, order, regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements with which the relevant Party is bound to comply;
Location	the place at or from which the Supplier's team will provide the Services under the Call-Off Contract and, if applicable, each SOW;
Losses	all losses, liabilities, damages, costs, expenses (including legal and professional fees), disbursements, costs of investigation, litigation, settlement, judgment, interest and penalties whether arising in contract, tort (including negligence), breach of statutory duty, misrepresentation or otherwise and " Loss " shall be interpreted accordingly;
Lots	the number of lots specified in Framework Schedule 1 (Specification), if applicable;
Management Charge	the sum specified in the Framework Award Form payable by the Supplier to CCS in accordance with Framework Schedule 5 (Management Charges and Information);
Management Information or MI	the management information specified in Framework Schedule 5 (Management Charges and Information);
Material KPIs	any Key Performance Indicators which are identified by the Buyer as having a material impact on the performance of the Call-Off Contract;
MI Default	when two (2) MI Reports are not provided in any rolling six (6) month period;
MI Failure	<p>when an MI report:</p> <p>(a) contains any material errors or material omissions or a missing mandatory field; or</p> <p>(b) is submitted using an incorrect MI reporting Template; or</p> <p>(c) is not submitted by the reporting date (including where a declaration of no business should have been filed);</p>
MI Report	a report containing Management Information submitted to the Authority in accordance with Framework Schedule 5 (Management Charges and Information);
MI Reporting Template	the form of report set out in the Annex to Framework Schedule 5 (Management Charges and Information) setting out the information the Supplier is required to supply to the Authority;

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Milestone	an event or task described in the Implementation Plan or Statement of Work;
Milestone Date	the target date set out against the relevant Milestone in the Implementation Plan by which the Milestone must be Achieved;
Misconduct	has the meaning given to it in Paragraph 8.2 of Framework Schedule 7 (Call-Off Award Procedure);
Month	a calendar month and " Monthly " shall be interpreted accordingly;
National Insurance	contributions required by the Social Security Contributions and Benefits Act 1992 and made in accordance with the Social Security (Contributions) Regulations 2001 (SI 2001/1004);
New IPR	<p>(a) IPR in items created by the Supplier (or by a third party on behalf of the Supplier) specifically for the purposes of a Contract and updates and amendments of these items including (but not limited to) database schema; and/or</p> <p>(b) IPR in or arising as a result of the performance of the Supplier's obligations under a Contract and all updates and amendments to the same;</p> <p>but shall not include the Supplier's Existing IPR;</p>
Occasion of Tax Non-Compliance	<p>where:</p> <p>(a) any Tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 is found on or after 1 April 2013 to be incorrect as a result of:</p> <p>(i) a Relevant Tax Authority successfully challenging the Supplier under the General Anti-Abuse Rule or the Halifax Abuse Principle or under any Tax rules or legislation in any jurisdiction that have an effect equivalent or similar to the General Anti-Abuse Rule or the Halifax Abuse Principle;</p> <p>(ii) the failure of an avoidance scheme which the Supplier was involved in, and which was, or should have been, notified to a Relevant Tax Authority under the DOTAS or any equivalent or similar regime in any jurisdiction; and/or</p> <p>(b) any Tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 which gives rise, on or after 1 April 2013, to a criminal conviction in any jurisdiction for Tax related offences which is not spent at the Start Date or to a civil penalty for fraud or evasion;</p>
Off-Payroll Worker	a worker (or contractor), not employed by the Supplier or any other organisation within the supply chain, that provides their services through their own private limited company or other type of intermediary which may include the worker's own personal service company, a partnership or an individual;
Open Book Data	<p>complete and accurate financial and non-financial information which is sufficient to enable the Buyer to verify the Charges already paid or payable and Charges forecast to be paid during the remainder of the Call-Off Contract, including details and all assumptions relating to:</p> <p>(a) the Supplier's Costs broken down against each Good and/or Service and/or Deliverable, including actual capital expenditure (including</p>

	<p>capital replacement costs) and the unit cost and total actual costs of all Deliverables;</p> <p>(b) operating expenditure relating to the provision of the Deliverables including an analysis showing:</p> <p>(i) the unit costs and quantity of Goods and any other consumables and bought-in Deliverables;</p> <p>(ii) staff costs broken down into the number and grade/role of all Supplier Staff (free of any contingency) together with a list of agreed rates against each grade;</p> <p>(iii) a list of Costs underpinning those rates for each grade, being the agreed rate less the Supplier Profit Margin; and</p> <p>(iv) Reimbursable Expenses, if allowed under the Order Form;</p> <p>(c) Overheads;</p> <p>(d) all interest, expenses and any other third party financing costs incurred in relation to the provision of the Deliverables;</p> <p>(e) the Supplier Profit achieved over the Framework Contract Period and on an annual basis;</p> <p>(f) confirmation that all methods of Cost apportionment and Overhead allocation are consistent with and not more onerous than such methods applied generally by the Supplier;</p> <p>(g) an explanation of the type and value of risk and contingencies associated with the provision of the Deliverables, including the amount of money attributed to each risk and/or contingency; and</p> <p>(h) the actual Costs profile for each Service Period;</p>
Option	the selection of an option by the Buyer which is incorporated into the Call-Off Contract and, if applicable, any Statement of Work, which the Supplier must comply with;
Optional Extension Period	is the Buyer's maximum optional extension period to the Call-Off Initial Period as set out in the Order Form;
Order	an order for the provision of the Deliverables placed by a Buyer with the Supplier under a Contract;
Order Form	a completed Order Form Template (or equivalent information issued by the Buyer) used to create a Call-Off Contract;
Order Form Template	the template in Framework Schedule 6 (Order Form Template, SOW Template and Call-Off Schedules);
Other Contracting Authority	any actual or potential Buyer under the Framework Contract;
Overhead	those amounts which are intended to recover a proportion of the Supplier's or the Key Subcontractor's (as the context requires) indirect corporate costs (including financing, marketing, advertising, research and development and insurance costs and any fines or penalties) but excluding allowable indirect costs apportioned to facilities and administration in the provision of Supplier Staff and accordingly included within limb (a) of the definition of "Costs";
Parliament	takes its natural meaning as interpreted by Law;

Party	in the context of the Framework Contract, CCS or the Supplier, and in the in the context of a Call-Off Contract the Buyer or the Supplier. " Parties " shall mean both of them where the context permits;
Performance Indicators or PIs	the performance measurements and targets in respect of the Supplier's performance of the Framework Contract set out in Framework Schedule 4 (Framework Management);
Personal Data	has the meaning given to it in the UK GDPR;
Personal Data Breach	has the meaning given to it in the UK GDPR;
Personnel	all directors, officers, employees, agents, consultants and suppliers of the Relevant Authority and/or of any subcontractor and/or Subprocessor (as detailed in Joint Schedule 11 (Processing Data)) engaged in the performance of its obligations under a Contract;
Platform	the platform, site or system operated on behalf of CCS which requires a potential Buyer to complete the Buyer Registration Procedure and specify its Authorised Users who may access and use the platform, site or system on behalf of the Buyer and use it to assist in selecting or shortlisting suppliers when undertaking a Call-Off Procedure in accordance with Framework Schedule 7, to Order Deliverables under a Contract;
Prescribed Person	a legal adviser, an MP or an appropriate body which a whistle-blower may make a disclosure to as detailed in 'Whistleblowing: list of prescribed people and bodies', 24 November 2016, available online at: https://www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2/whistleblowing-list-of-prescribed-people-and-bodies ;
Pricing Mechanism	the pricing mechanisms are (a) Capped Time and Materials, (b) Incremental Fixed Prices, (c) Time and Materials, (d) Fixed Price, and (e) a combination of two or more of these as set out in Framework Schedule 3 (Framework Prices) and Framework Schedule 7 (Call-Off Award Procedure) and as may be refined in the Further Competition Procedure;
Processing	has the meaning given to it in the UK GDPR;
Processor	has the meaning given to it in the UK GDPR;
Progress Meeting	a meeting between the Buyer Authorised Representative and the Supplier Authorised Representative;
Progress Meeting Frequency	the frequency at which the Supplier shall conduct a Progress Meeting in accordance with Clause 6.1 as specified in the Order Form;
Progress Report	a report provided by the Supplier indicating the steps taken to achieve Milestones or delivery dates;
Progress Report Frequency	the frequency at which the Supplier shall deliver Progress Reports in accordance with Clause 6.1 as specified in the Order Form;
Prohibited Acts	(a) to directly or indirectly offer, promise or give any person working for or engaged by a Buyer or any other public body a financial or other advantage to: (i) induce that person to perform improperly a relevant function or activity; or (ii) reward that person for improper performance of a relevant function or activity;

	<p>(b) to directly or indirectly request, agree to receive or accept any financial or other advantage as an inducement or a reward for improper performance of a relevant function or activity in connection with each Contract; or</p> <p>(c) committing any offence:</p> <p>(i) under the Bribery Act 2010 (or any legislation repealed or revoked by such Act); or</p> <p>(ii) under legislation or common law concerning fraudulent acts; or</p> <p>(iii) defrauding, attempting to defraud or conspiring to defraud a Buyer or other public body; or</p> <p>(d) any activity, practice or conduct which would constitute one of the offences listed under (c) above if such activity, practice or conduct had been carried out in the UK;</p>
Protective Measures	appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it including those outlined in Framework Schedule 9 (Cyber Essentials Scheme), if applicable, in the case of the Framework Contract or Call-Off Schedule 9 (Security), if applicable, in the case of a Call-Off Contract;
Recall	a request by the Supplier to return Goods to the Supplier or the manufacturer after the discovery of safety issues or defects (including defects in the right IPR rights) that might endanger health or hinder performance;
Recipient Party	the Party which receives or obtains directly or indirectly Confidential Information;
Rectification Plan	<p>the Supplier's plan (or revised plan) to rectify its breach using the template in Joint Schedule 10 (Rectification Plan) which shall include:</p> <p>(a) full details of the Default that has occurred, including a root cause analysis;</p> <p>(b) the actual or anticipated effect of the Default; and</p> <p>(c) the steps which the Supplier proposes to take to rectify the Default (if applicable) and to prevent such Default from recurring, including timescales for such steps and for the rectification of the Default (where applicable);</p>
Rectification Plan Process	the process set out in Clause 10.3.1 to 10.3.4 (Rectification Plan Process);
Regulations	the Public Contracts Regulations 2015 and/or the Public Contracts (Scotland) Regulations 2015 (as the context requires);
Reimbursable Expenses	<p>the reasonable out of pocket travel and subsistence (for example, hotel and food) expenses, properly and necessarily incurred in the performance of the Services, calculated at the rates and in accordance with the Buyer's Expenses Policy current from time to time, but not including:</p> <p>(a) travel expenses incurred as a result of Supplier Staff travelling to and from their usual place of work, or to and from the premises at which</p>

	<p>the Services are principally to be performed, unless the Buyer otherwise agrees in advance in writing; and</p> <p>(b) subsistence expenses incurred by Supplier Staff whilst performing the Services at their usual place of work, or to and from the premises at which the Services are principally to be performed;</p>
Relevant Authority	the Authority which is party to the Contract to which a right or obligation is owed, as the context requires;
Relevant Authority's Confidential Information	<p>(a) all Personal Data and any information, however it is conveyed, that relates to the business, affairs, developments, property rights, trade secrets, Know-How and IPR of the Relevant Authority (including all Relevant Authority Existing IPR and New IPR);</p> <p>(b) any other information clearly designated as being confidential (whether or not it is marked "confidential") or which ought reasonably be considered confidential which comes (or has come) to the Relevant Authority's attention or into the Relevant Authority's possession in connection with a Contract; and</p> <p>(c) information derived from any of the above;</p>
Relevant Requirements	all applicable Law relating to bribery, corruption and fraud, including the Bribery Act 2010 and any guidance issued by the Secretary of State pursuant to section 9 of the Bribery Act 2010;
Relevant Tax Authority	HMRC, or, if applicable, the tax authority in the jurisdiction in which the Supplier is established;
Reminder Notice	a notice sent in accordance with Clause 10.5 given by the Supplier to the Buyer <u>providing notification that payment has not been received on time</u> ;
Replacement Deliverables	any deliverables which are substantially similar to any of the Deliverables and which the Buyer receives in substitution for any of the Deliverables following the Call-Off Expiry Date, whether those goods are provided by the Buyer internally and/or by any third party;
Replacement Subcontractor	a Subcontractor of the Replacement Supplier to whom Transferring Supplier Employees will transfer on a Service Transfer Date (or any Subcontractor of any such Subcontractor);
Replacement Supplier	any third party provider of Replacement Deliverables appointed by or at the direction of the Buyer from time to time or where the Buyer is providing Replacement Deliverables for its own account, shall also include the Buyer;
Request For Information	a request for information or an apparent request relating to a Contract for the provision of the Deliverables or an apparent request for such information under the FOIA or the EIRs;
Required Insurances	the insurances required by Joint Schedule 3 (Insurance Requirements) or any additional insurances specified in the Order Form;
Restricted Staff	any person employed or engaged by either Party, in the capacity of director or in any research, technical, IT, security, engineering, procurement, financial, legal or managerial role who has been engaged in the provision of the Deliverables or management of the Contract either as principal, agent, employee, independent contractor or in any other form of employment or engagement over the previous 12 months, directly worked with or had any material dealings, but shall not include any person employed or engaged in an administrative, clerical, manual or secretarial capacity;

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Retained EU Law	the category of UK Law created under Section 2 to 4 of the European Union (Withdrawal) Act 2018 at the end of the transition period following the repeal of the savings to the European Communities Act 1972;
Request for Information or RFI Tool	the functional tool within the Platform (or as otherwise described in Framework Schedule 7 (Call-Off Award Procedure) to be used by Buyers to seek clarification or additional information from one or more suppliers that will assist the Buyer in preparing its Statement of Requirement, planning and conducting its Call-Off Procedure, before undertaking a Call-Off Procedure in accordance with Framework Schedule 7 (Call-Off Award Procedure);
Satisfaction Certificate	the certificate (materially in the form of the document contained in of Part B of Call-Off Schedule 13 (Implementation Plan and Testing) or as agreed by the Parties where Call-Off Schedule 13 is not used in this Contract) granted by the Buyer when the Supplier has met all of the requirements of an Order, Achieved a Milestone or a Test;
Security Management Plan	the Supplier's security management plan prepared pursuant to Call-Off Schedule 9 (Security) (if applicable);
Security Policy	the Buyer's security policy, referred to in the Order Form, in force as at the Call-Off Start Date (a copy of which has been supplied to the Supplier), as updated from time to time and notified to the Supplier;
Self Audit Certificate	means the certificate in the form as set out in Framework Schedule 8 (Self Audit Certificate);
Serious Fraud Office	the UK Government body named as such as may be renamed or replaced by an equivalent body from time to time;
Service Capability	the Service capabilities of the Supplier as set out in Framework Schedule 1 (Specification);
Service Levels	any service levels applicable to the provision of the Deliverables under the Call Off Contract (which, where Call Off Schedule 14 (Service Levels and Balanced Scorecard) is used in this Contract, are specified in the Annex to Part A of such Schedule);
Service Period	has the meaning given to it in the Order Form;
Services	services made available by the Supplier as specified in Framework Schedule 1 (Specification) and in relation to a Call-Off Contract as specified in the Order Form;
Service Provision	one or more service provisions set out in Paragraph 1.1 of Framework Schedule 1 (Specification);
Service Transfer	any transfer of the Deliverables (or any part of the Deliverables), for whatever reason, from the Supplier or any Subcontractor to a Replacement Supplier or a Replacement Subcontractor;
Service Transfer Date	the date of a Service Transfer;
Sites	any premises (including the Buyer Premises, the Supplier's premises or third party premises) from, to or at which: (a) the Deliverables are (or are to be) provided; or (b) the Supplier manages, organises or otherwise directs the provision or the use of the Deliverables;

SME	an enterprise falling within the category of micro, small and medium sized enterprises defined by the Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium enterprises;
SOW End Date	the date up to and including this date when the supply of the Deliverables under the Statement of Work shall cease;
SOW Start Date	the date of the start of the Statement of Works as stated in the SOW;
Special Terms	any additional Clauses set out in the Framework Award Form or Order Form which shall form part of the respective Contract;
Specific Change in Law	a Change in Law that relates specifically to the business of the Buyer and which would not affect a Comparable Supply where the effect of that Specific Change in Law on the Deliverables is not reasonably foreseeable at the Start Date;
Specification	the specification set out in Framework Schedule 1 (Specification), as may, in relation to a Call-Off Contract, be supplemented by the Order Form;
Standards	any: (a) standards published by BSI British Standards, the National Standards Body of the United Kingdom, the International Organisation for Standardisation or other reputable or equivalent bodies (and their successor bodies) that a skilled and experienced operator in the same type of industry or business sector as the Supplier would reasonably and ordinarily be expected to comply with; (b) standards detailed in the specification in Schedule 1 (Specification); (c) standards detailed by the Buyer in the Order Form or agreed between the Parties from time to time; (d) relevant Government codes of practice and guidance applicable from time to time;
Start Date	in the case of the Framework Contract, the date specified on the Framework Award Form, and in the case of a Call-Off Contract, the date specified in the Order Form, and in the case of a Statement of Work, the date specified in that Statement of Work;
Statement of Requirements	a statement issued by the Buyer detailing its requirements and expected outcomes in respect of Deliverables issued in accordance with the Call-Off Procedure;
Statement of Work or (SOW)	the document which, upon its execution by the Buyer and Supplier, shall become incorporated into their Call-Off Contract and outlines the agreed body of works to be undertaken as part of the Call-Off Contract Deliverables. There may be any number of Statements of Work incorporated into a Call-Off Contract and each Statement of Work may include (but is not limited to) the Statement of Requirements, identified output(s), completion date(s) and charging method(s);
Status Determination Statement or (SDS)	a statement that describes the determination reached by the Buyer/client on the employment status (i.e. IR35 status) of an Off-Payroll Worker for a particular Call-Off Contract or any element of work undertaken as part of any SOW, and the reasons for reaching that determination. The SDS

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	must be passed to the worker and the person or organisation the client contracts with for the worker's services;
Storage Media	the part of any device that is capable of storing and retrieving data;
Sub-Contract	any contract or agreement (or proposed contract or agreement), other than a Call-Off Contract or the Framework Contract, pursuant to which a third party: (a) provides the Deliverables (or any part of them); (b) provides facilities or services necessary for the provision of the Deliverables (or any part of them); and/or (c) is responsible for the management, direction or control of the provision of the Deliverables (or any part of them);
Subcontractor	any person other than the Supplier, who is a party to a Sub-Contract and the servants or agents of that person;
Subprocessor	any third Party appointed to process Personal Data on behalf of that Processor related to a Contract;
Summary of Work	a short description or overview of the Buyer's Statement of Requirements;
Supplier	the person, firm or company identified in the Framework Award Form;
Supplier Assets	all assets and rights used by the Supplier to provide the Deliverables in accordance with the Call-Off Contract but excluding the Buyer Assets;
Supplier Authorised Representative	the representative appointed by the Supplier named in the Framework Award Form, or later defined in a Call-Off Contract;
Supplier Compliance Officer	the person(s) appointed by the Supplier who is responsible for ensuring that the Supplier complies with its legal obligation;
Supplier's Confidential Information	(a) any information, however it is conveyed, that relates to the business, affairs, developments, IPR of the Supplier (including the Supplier Existing IPR) trade secrets, Know-How, and/or personnel of the Supplier; (b) any other information clearly designated as being confidential (whether or not it is marked as "confidential") or which ought reasonably to be considered to be confidential and which comes (or has come) to the Supplier's attention or into the Supplier's possession in connection with a Contract; (c) Information derived from any of (a) and (b) above;
Supplier's Contract Manager	the person identified in the Order Form appointed by the Supplier to oversee the operation of the Call-Off Contract and any alternative person whom the Supplier intends to appoint to the role, provided that the Supplier informs the Buyer prior to the appointment;
Supplier Equipment	the Supplier's hardware, computer and telecoms devices, equipment, plant, materials and such other items supplied and used by the Supplier (but not hired, leased or loaned from the Buyer) in the performance of its obligations under this Call-Off Contract;
Supplier Marketing Contact	shall be the person identified in the Framework Award Form;
Supplier Non-Performance	where the Supplier has failed to: (a) Achieve a Milestone by its Milestone Date;

	<p>(b) provide the Goods and/or Services in accordance with the Service Levels; and/or</p> <p>(c) comply with an obligation under a Contract;</p>
Supplier Profit	in relation to a period, the difference between the total Charges (in nominal cash flow terms but excluding any Deductions and total Costs (in nominal cash flow terms) in respect of a Call-Off Contract for the relevant period;
Supplier Profit Margin	in relation to a period or a Milestone (as the context requires), the Supplier Profit for the relevant period or in relation to the relevant Milestone divided by the total Charges over the same period or in relation to the relevant Milestone and expressed as a percentage;
Supplier Staff	all directors, officers, employees, agents, consultants and contractors of the Supplier and/or of any Subcontractor engaged in the performance of the Supplier's obligations under a Contract;
Supporting Documentation	sufficient information in writing to enable the Buyer to reasonably assess whether the Charges, Reimbursable Expenses and other sums due from the Buyer under the Call-Off Contract detailed in the information are properly payable;
Tax	<p>(a) all forms of taxation whether direct or indirect;</p> <p>(b) national insurance contributions in the United Kingdom and similar contributions or obligations in any other jurisdiction;</p> <p>(c) all statutory, governmental, state, federal, provincial, local government or municipal charges, duties, imports, contributions, levies or liabilities (other than in return for goods or services supplied or performed or to be performed) and withholdings; and</p> <p>(d) any penalty, fine, surcharge, interest, charges or costs relating to any of the above,</p> <p>in each case wherever chargeable and whether of the United Kingdom and any other jurisdiction;</p>
Termination Notice	a written notice of termination given by one Party to the other, notifying the Party receiving the notice of the intention of the Party giving the notice to terminate a Contract on a specified date and setting out the grounds for termination;
Test Issue	any variance or non-conformity of the Deliverables from their requirements as set out in a Call-Off Contract;
Test Plan	<p>a plan:</p> <p>(a) for the Testing of the Deliverables; and</p> <p>(b) setting out other agreed criteria related to the achievement of Milestones;</p>
Tests	any tests required to be carried out pursuant to a Call-Off Contract as set out in the Test Plan or elsewhere in a Call-Off Contract and " Tested " and " Testing " shall be construed accordingly;
Third Party IPR	Intellectual Property Rights owned by a third party which is or will be used by the Supplier for the purpose of providing the Deliverables;
Time and Materials	a Pricing Mechanism whereby the Buyer agrees to pay the Supplier for the work performed by the Supplier Staff and for the material used in the project, no matter how much work is required to complete the project,

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	based on no more than the pro rata division of the Day Rates by 7.5 to provide an Hourly Rate for the Supplier Staff who undertook the work and for the materials used in the project based on pre-agreed material disclosures and subject to time approval by the Buyer;
Transferring Supplier Employees	those employees of the Supplier and/or the Supplier's Subcontractors to whom the Employment Regulations will apply on the Service Transfer Date;
Transparency Information	the Transparency Reports and the content of a Contract, including any changes to this Contract agreed from time to time, except for: (i) any information which is exempt from disclosure in accordance with the provisions of the FOIA, which shall be determined by the Relevant Authority; and (ii) Commercially Sensitive Information;
Transparency Reports	the information relating to the Deliverables and performance of the Contracts which the Supplier is required to provide to the Buyer in accordance with the reporting requirements in Call-Off Schedule 1 (Transparency Reports);
UK GDPR	the retained EU law version of the General Data Protection Regulation (Regulation (EU) 2016/679);
User Terms	the terms of use applicable to all Buyer's Authorised Users who access and use the Platform which are available at: https://www.ukri.org/wp-content/uploads/2020/10/UKRI-081020-AcceptableUsePolicy.pdf ;
Variation	any change to a Contract;
Variation Form	the form set out in Joint Schedule 2 (Variation Form);
Variation Procedure	the procedure set out in Clause 24 (Changing the contract);
VAT	value added tax in accordance with the provisions of the Value Added Tax Act 1994;
VCSE	a non-governmental organisation that is value-driven and which principally reinvests its surpluses to further social, environmental or cultural objectives;
Worker	any one of the Supplier Staff which the Buyer, in its reasonable opinion, considers is an individual to which Procurement Policy Note 08/15 (Tax Arrangements of Public Appointees) (https://www.gov.uk/government/publications/procurement-policy-note-0815-tax-arrangements-of-appointees) applies in respect of the Deliverables;
Worker Engagement Route	the details of the labour supply chain through which the worker is engaged as Supplier Staff. For example, the worker could be: (a) employed by the Supplier the Buyer contracts with, (b) employed by another organisation within the supply chain, e.g. an agency or umbrella company, (c) an off-payroll worker engaged via an intermediary e.g. the worker's own personal service company, or (d) an independent sole trader;
Working Day	any day other than a Saturday or Sunday or public holiday in England and Wales unless specified otherwise by the Parties in the Order Form;
Work Day	a minimum of 7.5 Work Hours, whether or not such hours are worked consecutively and whether or not they are worked on the same day; and

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Work Hours	the hours spent by the Supplier Staff properly working on the provision of the Deliverables including time spent travelling (other than to and from the Supplier's offices, or to and from the Sites) but excluding lunch breaks.
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Joint Schedule 2 (Variation Form)

This form is to be used in order to change a contract in accordance with Clause 24 (Changing the contract):

Contract Details		
This variation is between:	[delete as applicable: CCS / Buyer] ("CCS" / "the Buyer") And [insert name of Supplier] ("the Supplier")	
Contract name:	[insert name of contract to be changed] ("the Contract")	
Contract reference number:	[insert contract reference number]	
[Statement of Work (SOW) reference:]	[insert SOW reference number and title (if applicable) or delete row]	
[Buyer reference:]	[insert cost centre/portfolio codes as appropriate]	
Details of Proposed Variation		
Variation initiated by:	[delete as applicable: CCS/Buyer/Supplier]	
Variation number:	[insert variation number]	
Date variation is raised:	[insert date]	
Proposed variation	[insert detail here or use Annex 1 below]	
Reason for the variation:	[insert reason]	
An Impact Assessment shall be provided within:	[insert number] days	
Impact of Variation		
Likely impact of the proposed variation:	[Supplier to insert assessment of impact]	
Outcome of Variation		
Contract variation:	This Contract detailed above is varied as follows: <ul style="list-style-type: none"> • [CCS/Buyer to insert original Clauses or Paragraphs to be varied and the changed clause] • [reference Annex 1 as appropriate] 	
Financial variation:	Original Contract Value:	£ [insert amount]
	Additional cost due to variation:	£ [insert amount]
	New Contract value:	£ [insert amount]
[Timescale variation/s:]	[insert changes to dates/milestones or delete row]	

- 1 This Variation must be agreed and signed by both Parties to the Contract and shall only be effective from the date it is signed by [delete as applicable: CCS / Buyer].
- 2 Words and expressions in this Variation shall have the meanings given to them in the Contract.
- 3 The Contract, including any previous Variations, shall remain effective and unaltered except as amended by this Variation.

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Signed by an authorised signatory for and on behalf of the **[delete]** as applicable: CCS / Buyer]

Signature:

Date:

Name (in capitals):

Job Title:

Address:

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

Signature:

Date:

Name (in capitals):

Job Title:

Address:

Annex 1

[insert] details as required]

Joint Schedule 3 (Insurance Requirements)

1 The insurance the Supplier needs to have

- 1.1 The Supplier shall take out and maintain, or procure the taking out and maintenance of the insurances as set out in the Annex to this Schedule, any additional insurances required under a Call-Off Contract (specified in the applicable Order Form) ("Additional Insurances") and any other insurances as may be required by applicable Law (together the "Insurances"). The Supplier shall ensure that each of the Insurances is effective no later than:
 - 1.1.1 the Framework Start Date in respect of those Insurances set out in the Annex to this Schedule and those required by applicable Law; and
 - 1.1.2 the Call-Off Contract Effective Date in respect of the Additional Insurances.
- 1.2 The Insurances shall be:
 - 1.2.1 maintained in accordance with Good Industry Practice;
 - 1.2.2 (so far as is reasonably practicable) on terms no less favourable than those generally available to a prudent contractor in respect of risks insured in the international insurance market from time to time;
 - 1.2.3 taken out and maintained with insurers of good financial standing and good repute in the international insurance market; and
 - 1.2.4 maintained for the Contract Period and for at least six (6) years after the End Date.
- 1.3 The Supplier shall ensure that the public and products liability policy contain an indemnity to principals clause under which the Relevant Authority shall be indemnified in respect of claims made against the Relevant Authority in respect of death or bodily injury or third party property damage arising out of or in connection with the Deliverables and for which the Supplier is legally liable.

2 How to manage the insurance

- 2.1 Without limiting the other provisions of this Contract, the Supplier shall:
 - 2.1.1 take or procure the taking of all reasonable risk management and risk control measures in relation to Deliverables as it would be reasonable to expect of a prudent contractor acting in accordance with Good Industry Practice, including the investigation and reports of relevant claims to insurers;
 - 2.1.2 promptly notify the insurers in writing of any relevant material fact under any Insurances of which the Supplier is or becomes aware; and
 - 2.1.3 hold all policies in respect of the Insurances and cause any insurance broker effecting the Insurances to hold any insurance slips and other evidence of placing cover representing any of the Insurances to which it is a party.

3 What happens if the Supplier is not insured

- 3.1 The Supplier shall not take any action or fail to take any action or (insofar as is reasonably within its power) permit anything to occur in relation to it which would entitle any insurer to refuse to pay any claim under any of the Insurances.
- 3.2 Where the Supplier has failed to purchase or maintain any of the Insurances in full force and effect, the Relevant Authority may elect (but shall not be obliged) following written notice to the Supplier to purchase the relevant Insurances and recover the

reasonable premium and other reasonable costs incurred in connection therewith as a debt due from the Supplier.

4 Evidence of insurance to be provided

- 4.1 The Supplier shall upon the Start Date and within 15 Working Days after the renewal of each of the Insurances, provide evidence, in a form satisfactory to the Relevant Authority, that the Insurances are in force and effect and meet in full the requirements of this Schedule.

5 Required amount of insurance

- 5.1 The Supplier shall ensure that any Insurances which are stated to have a minimum limit "in the aggregate" are maintained at all times for the minimum limit of indemnity specified in this Contract and if any claims are made which do not relate to this Contract then the Supplier shall notify the Relevant Authority and provide details of its proposed solution for maintaining the minimum limit of indemnity.

6 Cancelled insurance

- 6.1 The Supplier shall notify the Relevant Authority in writing at least five (5) Working Days prior to the cancellation, suspension, termination or non-renewal of any of the Insurances.
- 6.2 The Supplier shall ensure that nothing is done which would entitle the relevant insurer to cancel, rescind or suspend any insurance or cover, or to treat any insurance, cover or claim as voided in whole or part. The Supplier shall use all reasonable endeavours to notify the Relevant Authority (subject to third party confidentiality obligations) as soon as practicable when it becomes aware of any relevant fact, circumstance or matter which has caused, or is reasonably likely to provide grounds to, the relevant insurer to give notice to cancel, rescind, suspend or void any insurance, or any cover or claim under any insurance in whole or in part.

7 Insurance claims

- 7.1 The Supplier shall promptly notify to insurers any matter arising from, or in relation to, the Deliverables, or each Contract for which it may be entitled to claim under any of the Insurances. In the event that the Relevant Authority receives a claim relating to or arising out of a Contract or the Deliverables, the Supplier shall co-operate with the Relevant Authority and assist it in dealing with such claims including without limitation providing information and documentation in a timely manner.
- 7.2 Except where the Relevant Authority is the claimant party, the Supplier shall give the Relevant Authority notice within twenty (20) Working Days after any insurance claim in excess of 10% of the sum required to be insured pursuant to Paragraph 5.1 relating to or arising out of the provision of the Deliverables or this Contract on any of the Insurances or which, but for the application of the applicable policy excess, would be made on any of the Insurances and (if required by the Relevant Authority) full details of the incident giving rise to the claim.
- 7.3 Where any Insurance requires payment of a premium, the Supplier shall be liable for and shall promptly pay such premium.
- 7.4 Where any Insurance is subject to an excess or deductible below which the indemnity from insurers is excluded, the Supplier shall be liable for such excess or deductible. The Supplier shall not be entitled to recover from the Relevant Authority any sum paid by way of excess or deductible under the Insurances whether under the terms of this Contract or otherwise.

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Annex: Required insurances

- 1 The Supplier shall hold the following insurance cover from the Framework Start Date in accordance with this Schedule:
 - 1.1 professional indemnity insurance with cover (for a single event or a series of related events and in the aggregate) of not less than eight million two hundred and fifty thousand pounds (£8,250,000);
 - 1.2 public liability and products insurance with cover (for a single event or a series of related events and in the aggregate) of not less than eight million two hundred and fifty thousand pounds (£8,250,000); and
 - 1.3 employers' liability insurance with cover (for a single event or a series of related events and in the aggregate) of not less than eight million pounds two hundred and fifty thousand pounds (£8,250,000).

Joint Schedule 5 (Corporate Social Responsibility) RM1043.8

1 What we expect from our Suppliers

- 1.1 In September 2017, HM Government published a Supplier Code of Conduct setting out the standards and behaviours expected of suppliers who work with government (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/646497/2017-09-13_Official_Sensitive_Supplier_Code_of_Conduct_September_2017.pdf).
- 1.2 CCS expects its suppliers and subcontractors to meet the standards set out in that Code. In addition, CCS expects its suppliers and subcontractors to comply with the standards set out in this Schedule.
- 1.3 The Supplier acknowledges that the Buyer may have additional requirements in relation to corporate social responsibility. The Buyer expects that the Supplier and its Subcontractors will comply with such corporate social responsibility requirements as the Buyer may notify to the Supplier from time to time.

2 Equality and Accessibility

- 2.1 In addition to legal obligations, the Supplier shall support CCS and the Buyer in fulfilling its Public Sector Equality duty under section 149 of the Equality Act 2010 by ensuring that it fulfils its obligations under each Contract in a way that seeks to:
 - 2.1.1 eliminate discrimination, harassment or victimisation of any kind; and
 - 2.1.2 advance equality of opportunity and good relations between those with a protected characteristic (age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation, and marriage and civil partnership) and those who do not share it.

3 Modern Slavery, Child Labour and Inhumane Treatment

"**Modern Slavery Helpline**" means the mechanism for reporting suspicion, seeking help or advice and information on the subject of modern slavery is online at <https://www.modern-slaveryhelpline.org/report> or by telephone on 08000 121 700.

- 3.1 The Supplier:
 - 3.1.1 shall not use, nor allow its Subcontractors to use forced, bonded or involuntary prison labour;
 - 3.1.2 shall not require any Supplier Staff to lodge deposits or identify papers with the employer and shall be free to leave their employer after reasonable notice;
 - 3.1.3 warrants and represents that it has not been convicted of any slavery or human trafficking offences anywhere around the world;
 - 3.1.4 warrants that to the best of its knowledge it is not currently under investigation, inquiry or enforcement proceedings in relation to any allegation of slavery or human trafficking offenses anywhere around the world;
 - 3.1.5 shall make reasonable enquires to ensure that its officers, employees and Subcontractors have not been convicted of slavery or human trafficking offenses anywhere around the world;
 - 3.1.6 shall have and maintain throughout the term of each Contract its own policies and procedures to ensure its compliance with the Modern Slavery Act and include in its contracts with its Subcontractors anti-slavery and human trafficking provisions;
 - 3.1.7 shall implement due diligence procedures to ensure that there is no slavery or human trafficking in any part of its supply chain performing obligations under a Contract;

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- 3.1.8 shall prepare and deliver to CCS, an annual slavery and human trafficking report setting out the steps it has taken to ensure that slavery and human trafficking is not taking place in any of its supply chains or in any part of its business with its annual certification of compliance with Paragraph 3;
- 3.1.9 shall not use, nor allow its employees or Subcontractors to use physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation of its employees or Subcontractors;
- 3.1.10 shall not use or allow child or slave labour to be used by its Subcontractors;
- 3.1.11 shall report the discovery or suspicion of any slavery or trafficking by it or its Subcontractors to CCS, the Buyer and Modern Slavery Helpline.

4 Income Security

- 4.1 The Supplier shall:
 - 4.1.1 ensure that that all wages and benefits paid for a standard working week meet, at a minimum, national legal standards in the country of employment;
 - 4.1.2 ensure that all Supplier Staff are provided with written and understandable Information about their employment conditions in respect of wages before they enter;
 - 4.1.3 ensure all workers shall be provided with written and understandable Information about their employment conditions in respect of wages before they enter employment and about the particulars of their wages for the pay period concerned each time that they are paid;
 - 4.1.4 not make deductions from wages:
 - (a) as a disciplinary measure
 - (b) except where permitted by law; or
 - (c) without expressed permission of the worker concerned;
 - 4.1.5 record all disciplinary measures taken against Supplier Staff; and
 - 4.1.6 ensure that Supplier Staff are engaged under a recognised employment relationship established through national law and practice.

5 Working Hours

- 5.1 The Supplier shall:
 - 5.1.1 ensure that the working hours of Supplier Staff comply with national laws, and any collective agreements;
 - 5.1.2 that the working hours of Supplier Staff, excluding overtime, shall be defined by contract, and shall not exceed 48 hours per week unless the individual has agreed in writing;
 - 5.1.3 ensure that use of overtime used responsibly, taking into account:
 - (a) the extent;
 - (b) frequency; and
 - (c) hours worked;
- by individuals and by the Supplier Staff as a whole;
- 5.2 The total hours worked in any seven day period shall not exceed 60 hours, except where covered by Paragraph 5.3 below.

5.3 Working hours may exceed 60 hours in any seven day period only in exceptional circumstances where all of the following are met:

5.3.1 this is allowed by national law;

5.3.2 this is allowed by a collective agreement freely negotiated with a workers' organisation representing a significant portion of the workforce;
appropriate safeguards are taken to protect the workers' health and safety; and

5.3.3 the employer can demonstrate that exceptional circumstances apply such as unexpected production peaks, accidents or emergencies.

5.4 All Supplier Staff shall be provided with at least one (1) day off in every seven (7) day period or, where allowed by national law, two (2) days off in every fourteen (14) day period.

6 Sustainability

6.1 The Supplier shall meet the applicable Government Buying Standards applicable to Deliverables which is online at:

<https://www.gov.uk/government/collections/sustainable-procurement-the-government-buying-standards-gbs>

Joint Schedule 6 (Key Subcontractors)

1 Restrictions on certain subcontractors

- 1.1 The Supplier is entitled, unless the Buyer states to the contrary, to sub-contract its obligations under each Call-Off Contract to the Key Subcontractors set out in the Call-Off Order Form.
- 1.2 Subject to Paragraph 1.1, the Supplier is entitled to sub-contract some of its obligations under a Call-Off Contract to Key Subcontractors who are specifically nominated in the Order Form.
- 1.3 Where during the Contract Period the Supplier wishes to enter into a new Key Sub-Contract or replace a Key Subcontractor, it must obtain the prior written consent of the Buyer and the Supplier shall, at the time of requesting such consent, provide the Buyer with the information detailed in Paragraph 1.4. The decision of the Buyer to consent or not will not be unreasonably withheld or delayed. Where the Buyer consents to the appointment of a new Key Subcontractor then they will be added to Key Subcontractor section of the Order Form. The Buyer may reasonably withhold their consent to the appointment of a Key Subcontractor if it considers that:
 - 1.3.1 the appointment of a proposed Key Subcontractor may prejudice the provision of the Deliverables or may be contrary to its interests;
 - 1.3.2 the proposed Key Subcontractor is unreliable and/or has not provided reliable goods and or reasonable services to its other customers; and/or
 - 1.3.3 the proposed Key Subcontractor employs unfit persons.
- 1.4 The Supplier shall provide CCS and the Buyer with the following information in respect of the proposed Key Subcontractor:
 - 1.4.1 the proposed Key Subcontractor's name, registered office and company registration number;
 - 1.4.2 the name and details of the directors, employees, agents, consultants and contractors of the subcontractor engaged in the performance of the Supplier's obligations under the Contract. Details should include: name; role; email address; address; contract details; Worker Engagement Route – for example, employed by subcontractor; engaged via worker's intermediary e.g. PSC (i.e. a personal service company), engaged as an independent sole trader or employed by another entity in supply chain;
 - 1.4.3 the scope/description of any Deliverables to be provided by the proposed Key Subcontractor;
 - 1.4.4 where the proposed Key Subcontractor is an Affiliate of the Supplier, evidence that demonstrates to the reasonable satisfaction of CCS and the Buyer that the proposed Key Sub-Contract has been agreed on "arm's length" terms;
 - 1.4.5 for the Buyer, the Key Sub-Contract price expressed as a percentage of the total projected Charges over the Call Off Contract Period; and
 - 1.4.6 (where applicable) the Credit Rating Threshold (as defined in Joint Schedule 7 (Financial Distress)) of the Key Subcontractor.
- 1.5 If requested by CCS and/or the Buyer, within 10 Working Days, the Supplier shall also provide:
 - 1.5.1 a copy of the proposed Key Sub-Contract; and
 - 1.5.2 any further information reasonably requested by CCS and/or the Buyer.

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- 1.6 The Supplier shall ensure that each new or replacement Key Sub-Contract shall include:
 - 1.6.1 provisions which will enable the Supplier to discharge its obligations under the Contracts;
 - 1.6.2 a right under CRTPA for CCS and the Buyer to enforce any provisions under the Key Sub-Contract which confer a benefit upon CCS and the Buyer respectively;
 - 1.6.3 a provision enabling CCS and the Buyer to enforce the Key Sub-Contract as if it were the Supplier;
 - 1.6.4 a provision enabling the Supplier to assign, novate or otherwise transfer any of its rights and/or obligations under the Key Sub-Contract to CCS and/or the Buyer;
 - 1.6.5 obligations no less onerous on the Key Subcontractor than those imposed on the Supplier under the Framework Contract in respect of:
 - (a) the data protection requirements set out in Clause 14 (Data protection);
 - (b) the FOIA and other access request requirements set out in Clause 16 (When you can share information);
 - (c) the obligation not to embarrass CCS or the Buyer or otherwise bring CCS or the Buyer into disrepute;
 - (d) the keeping of records in respect of the goods and/or services being provided under the Key Sub-Contract, including the maintenance of Open Book Data; and
 - (e) the conduct of audits set out in Clause 6 (Record keeping and reporting);
 - 1.6.6 provisions enabling the Supplier to terminate the Key Sub-Contract on notice on terms no more onerous on the Supplier than those imposed on CCS and the Buyer under Clauses 10.4 (When CCS or the buyer can end this contract) and 10.5 (When the supplier can end the contract) of this Contract; and
 - 1.6.7 a provision restricting the ability of the Key Subcontractor to sub-contract all or any part of the provision of the Deliverables provided to the Supplier under the Key Sub-Contract without first seeking the written consent of CCS and the Buyer.

Joint Schedule 10 (Rectification Plan)

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

Signed by [CCS/Buyer]		Date:	
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Joint Schedule 11 (Processing Data) RM1043.8

Definitions

- 1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

Term	Definition
Processor Personnel	all directors, officers, employees, agents, consultants and suppliers of the Processor and/or of any Subprocessor engaged in the performance of its obligations under a Contract.

Status of the Controller

- 2 The Parties acknowledge that for the purposes of the Data Protection Legislation, the nature of the activity carried out by each of them in relation to their respective obligations under a Contract dictates the status of each party under the DPA 2018. A Party may act as:

- (a) "Controller" in respect of the other Party who is "Processor";
- (b) "Processor" in respect of the other Party who is "Controller";
- (c) "Joint Controller" with the other Party;
- (d) "Independent Controller" of the Personal Data where the other Party is also "Controller",

in respect of certain Personal Data under a Contract and shall specify in Annex 1 (Processing Personal Data) which scenario they think shall apply in each situation.

Where one Party is Controller and the other Party its Processor

- 3 Where a Party is a Processor, the only Processing that it is authorised to do is listed in Annex 1 (Processing Personal Data) by the Controller.
- 4 The Processor shall notify the Controller immediately if it considers that any of the Controller's instructions infringe the Data Protection Legislation.
- 5 The Processor shall provide all reasonable assistance to the Controller in the preparation of any Data Protection Impact Assessment prior to commencing any Processing. Such assistance may, at the discretion of the Controller, include:
- (a) a systematic description of the envisaged Processing and the purpose of the Processing;
 - (b) an assessment of the necessity and proportionality of the Processing in relation to the Deliverables;
 - (c) an assessment of the risks to the rights and freedoms of Data Subjects; and
 - (d) the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.
- 6 The Processor shall, in relation to any Personal Data Processed in connection with its obligations under the Contract:
- (a) Process that Personal Data only in accordance with Annex 1 (Processing Personal Data), unless the Processor is required to do otherwise by Law. If it is so required the Processor shall notify the Controller before Processing the Personal Data unless prohibited by Law;
 - (b) ensure that it has in place Protective Measures, including in the case of the Supplier the measures set out in Clause 14.3 of the Core Terms, which the Controller may reasonably reject (but failure to reject shall not amount to approval by the Controller of the adequacy of the Protective Measures) having taken account of the:

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- (i) nature of the data to be protected;
 - (ii) harm that might result from a Personal Data Breach;
 - (iii) state of technological development; and
 - (iv) cost of implementing any measures;
 - (c) ensure that:
 - (i) the Processor Personnel do not Process Personal Data except in accordance with the Contract (and in particular Annex 1 (Processing Personal Data));
 - (ii) it takes all reasonable steps to ensure the reliability and integrity of any Processor Personnel who have access to the Personal Data and ensure that they:
 - A. are aware of and comply with the Processor's duties under this Joint Schedule 11, Clauses 14 (Data protection), 15 (What you must keep confidential) and 16 (When you can share information) of the Core Terms;
 - B. are subject to appropriate confidentiality undertakings with the Processor or any Subprocessor;
 - C. are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Controller or as otherwise permitted by the Contract; and
 - D. have undergone adequate training in the use, care, protection and handling of Personal Data;
 - (d) not transfer Personal Data outside of the UK or EU unless the prior written consent of the Controller has been obtained and the following conditions are fulfilled:
 - (i) the Controller or the Processor has provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or LED Article 37) as determined by the Controller;
 - (ii) the Data Subject has enforceable rights and effective legal remedies;
 - (iii) the Processor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Controller in meeting its obligations); and
 - (iv) the Processor complies with any reasonable instructions notified to it in advance by the Controller with respect to the Processing of the Personal Data; and
 - (e) at the written direction of the Controller, delete or return Personal Data (and any copies of it) to the Controller on termination of the Contract unless the Processor is required by Law to retain the Personal Data.
- 7 Subject to Paragraph 8 of this Joint Schedule 11, the Processor shall notify the Controller immediately if in relation to it Processing Personal Data under or in connection with the Contract it:
- (a) receives a Data Subject Access Request (or purported Data Subject Access Request);
 - (b) receives a request to rectify, block or erase any Personal Data;
 - (c) receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;

- (d) receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data Processed under the Contract;
 - (e) receives a request from any third Party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or
 - (f) becomes aware of a Personal Data Breach.
- 8 The Processor's obligation to notify under Paragraph 7 of this Joint Schedule 11 shall include the provision of further information to the Controller, as details become available.
- 9 Taking into account the nature of the Processing, the Processor shall provide the Controller with assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under Paragraph 7 of this Joint Schedule 11 (and insofar as possible within the timescales reasonably required by the Controller) including by immediately providing:
- (a) the Controller with full details and copies of the complaint, communication or request;
 - (b) such assistance as is reasonably requested by the Controller to enable it to comply with a Data Subject Access Request within the relevant timescales set out in the Data Protection Legislation;
 - (c) the Controller, at its request, with any Personal Data it holds in relation to a Data Subject;
 - (d) assistance as requested by the Controller following any Personal Data Breach; and/or
 - (e) assistance as requested by the Controller with respect to any request from the Information Commissioner's Office, or any consultation by the Controller with the Information Commissioner's Office.
- 10 The Processor shall maintain complete and accurate records and information to demonstrate its compliance with this Joint Schedule 11. This requirement does not apply where the Processor employs fewer than 250 staff, unless:
- (a) the Controller determines that the Processing is not occasional;
 - (b) the Controller determines the Processing includes special categories of data as referred to in Article 9(1) of the UK GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the UK GDPR; or
 - (c) the Controller determines that the Processing is likely to result in a risk to the rights and freedoms of Data Subjects.
- 11 The Processor shall allow for audits of its Data Processing activity by the Controller or the Controller's designated auditor.
- 12 The Parties shall designate a Data Protection Officer if required by the Data Protection Legislation.
- 13 Before allowing any Subprocessor to Process any Personal Data related to the Contract, the Processor must:
- (a) notify the Controller in writing of the intended Subprocessor and Processing;
 - (b) obtain the written consent of the Controller;
 - (c) enter into a written agreement with the Subprocessor which give effect to the terms set out in this Joint Schedule 11 such that they apply to the Subprocessor; and

- (d) provide the Controller with such information regarding the Subprocessor as the Controller may reasonably require.
- 14 The Processor shall remain fully liable for all acts or omissions of any of its Subprocessors.
- 15 The Relevant Authority may, at any time on not less than thirty (30) Working Days' notice, revise this Joint Schedule 11 by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to the Contract).
- 16 The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Relevant Authority may on not less than thirty (30) Working Days' notice to the Supplier amend the Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.

Where the Parties are Joint Controllers of Personal Data

- 17 In the event that the Parties are Joint Controllers in respect of Personal Data under the Contract, the Parties shall implement Paragraphs that are necessary to comply with UK GDPR Article 26 based on the terms set out in Annex 2 to this Joint Schedule 11 (Processing Data).

Independent Controllers of Personal Data

- 18 With respect to Personal Data provided by one Party to another Party for which each Party acts as Controller but which is not under the Joint Control of the Parties, each Party undertakes to comply with the applicable Data Protection Legislation in respect of their Processing of such Personal Data as Controller.
- 19 Each Party shall Process the Personal Data in compliance with its obligations under the Data Protection Legislation and not do anything to cause the other Party to be in breach of it.
- 20 Where a Party has provided Personal Data to the other Party in accordance with Paragraph 18 of this Joint Schedule 11 above, the recipient of the Personal Data will provide all such relevant documents and information relating to its data protection policies and procedures as the other Party may reasonably require.
- 21 The Parties shall be responsible for their own compliance with Articles 13 and 14 UK GDPR in respect of the Processing of Personal Data for the purposes of the Contract.
- 22 The Parties shall only provide Personal Data to each other:
 - (a) to the extent necessary to perform their respective obligations under the Contract;
 - (b) in compliance with the Data Protection Legislation (including by ensuring all required data privacy information has been given to affected Data Subjects to meet the requirements of Articles 13 and 14 of the UK GDPR); and
 - (c) where it has recorded it in Annex 1 (Processing Personal Data).
- 23 Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of Processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, each Party shall, with respect to its Processing of Personal Data as Independent Controller, implement and maintain appropriate technical and organisational measures to ensure a level of security appropriate to that risk, including, as appropriate, the measures referred to in Article 32(1)(a), (b), (c) and (d) of the UK GDPR, and the measures shall, at a minimum, comply with the requirements of the Data Protection Legislation, including Article 32 of the UK GDPR.

- 24 A Party Processing Personal Data for the purposes of the Contract shall maintain a record of its Processing activities in accordance with Article 30 UK GDPR and shall make the record available to the other Party upon reasonable request.
- 25 Where a Party receives a request by any Data Subject to exercise any of their rights under the Data Protection Legislation in relation to the Personal Data provided to it by the other Party pursuant to the Contract ("Request Recipient"):
 - (a) the other Party shall provide any information and/or assistance as reasonably requested by the Request Recipient to help it respond to the request or correspondence, at the cost of the Request Recipient; or
 - (b) where the request or correspondence is directed to the other Party and/or relates to that other Party's Processing of the Personal Data, the Request Recipient will:
 - (i) promptly, and in any event within five (5) Working Days of receipt of the request or correspondence, inform the other Party that it has received the same and shall forward such request or correspondence to the other Party; and
 - (ii) provide any information and/or assistance as reasonably requested by the other Party to help it respond to the request or correspondence in the timeframes specified by Data Protection Legislation.
- 26 Each Party shall promptly notify the other Party upon it becoming aware of any Personal Data Breach relating to Personal Data provided by the other Party pursuant to the Contract and shall:
 - (a) do all such things as reasonably necessary to assist the other Party in mitigating the effects of the Personal Data Breach;
 - (b) implement any measures necessary to restore the security of any compromised Personal Data;
 - (c) work with the other Party to make any required notifications to the Information Commissioner's Office and affected Data Subjects in accordance with the Data Protection Legislation (including the timeframes set out therein); and
 - (d) not do anything which may damage the reputation of the other Party or that Party's relationship with the relevant Data Subjects, save as required by Law.
- 27 Personal Data provided by one Party to the other Party may be used exclusively to exercise rights and obligations under the Contract as specified in Annex 1 (Processing Personal Data).
- 28 Personal Data shall not be retained or processed for longer than is necessary to perform each Party's respective obligations under the Contract which is specified in Annex 1 (Processing Personal Data).
- 29 Notwithstanding the general application of Paragraphs 2 to 16 of this Joint Schedule 11 to Personal Data, where the Supplier is required to exercise its regulatory and/or legal obligations in respect of Personal Data, it shall act as an Independent Controller of Personal Data in accordance with Paragraphs 18 to 28 of this Joint Schedule 11.

Annex 1: Processing Personal Data

- 1 This Annex shall be completed by the Controller, who may take account of the view of the Processors, however the final decision as to the content of this Annex shall be with the Relevant Authority at its absolute discretion.
- 1.1 The contact details of the Relevant Authority's Data Protection Officer are: Data Protection Officer, [REDACTED]
- 1.2 The contact details of the Supplier's Data Protection Officer are: [REDACTED]
- 1.3 The Processor shall comply with any further written instructions with respect to Processing by the Controller.
- 1.4 Any such further instructions shall be incorporated into this Annex.

Description	Details
Identity of Controller for each Category of Personal Data	<i>UKRI is the data controller for all categories of personal data.</i>
Duration of the Processing	<i>21 months.</i>
Nature and purposes of the Processing	<i>The Delivery Partner will build and support the Beta Funding Service (TFS) that will be generating Production Data relating to Grants Applications and Awards, including People and Org data.</i>
Type of Personal Data	<i>All data processed within the new Grant service (TFS) is within scope.</i> <i>The data is expected to include basic personal details, details of grant applications and proposals, details required to support grant applications, and data used for equality and diversity monitoring.</i>
Categories of Data Subject	<i>People & Org data processed on the new funding service (TFS).</i>
Plan for return and destruction of the data once the Processing is complete UNLESS requirement under Union or Member State law to preserve that type of data	<i>Most of the data is expected to remain on UKRI owned infrastructure.</i> <i>If it is necessary to transfer any data to the supplier's IT infrastructure the data must be returned or warranted as securely deleted at the end of the contract.</i>

Annex 2: Joint Controller Agreement

Not applicable

Call-Off Schedule 1 (Transparency Reports)

1 Transparency Reports

- 3.1 The Supplier recognises that the Buyer is subject to PPN 01/17 (Updates to transparency principles v1.1 (<https://www.gov.uk/government/publications/procurement-policy-note-0117-update-to-transparency-principles>)). The Supplier shall comply with the provisions of this Schedule in order to assist the Buyer with its compliance with its obligations under that PPN.
- 3.2 Without prejudice to the Supplier's reporting requirements set out in the Framework Contract, within three (3) Months of the Start Date the Supplier shall submit to the Buyer for Approval (such Approval not to be unreasonably withheld or delayed) draft Transparency Reports consistent with the content requirements and format set out in the Annex of this Schedule.
- 3.3 If the Buyer rejects any proposed Transparency Report submitted by the Supplier, the Supplier shall submit a revised version of the relevant report for further Approval within five (5) days of receipt of any notice of rejection, taking account of any recommendations for revision and improvement to the report provided by the Buyer. If the Parties fail to agree on a draft Transparency Report the Buyer shall determine what should be included. Any other disagreement in connection with Transparency Reports shall be treated as a Dispute.
- 3.4 The Supplier shall provide accurate and up-to-date versions of each Transparency Report to the Buyer at the frequency referred to in the Annex of this Schedule.

Annex A: List of Transparency Reports

Title	Content	Format	Frequency
Performance metrics	TBD	Written report	Monthly
Call-Off Contract Charges	TBD	Written report	Monthly
Key Subcontractors and supply chain governance	TBD	Written report	Monthly
Technical	TBD	Written report	Monthly
Performance and under-performance management	TBD	Written report	Monthly
Resource plans	TBD	Written report	Monthly

Call-Off Schedule 3 (Continuous Improvement)

1 Buyer's Rights

- 1.1 The Buyer and the Supplier recognise that, where specified in Framework Schedule 4 (Framework Management), the Buyer may give CCS the right to enforce the Buyer's rights under this Schedule.

2 Supplier's Obligations

- 2.1 The Supplier must, throughout the Contract Period, identify new or potential improvements to the provision of the Deliverables with a view to reducing the Buyer's costs (including the Charges) and/or improving the quality and efficiency of the Deliverables and their supply to the Buyer.
- 2.2 The Supplier must adopt a policy of continuous improvement in relation to the Deliverables, which must include regular reviews with the Buyer of the Deliverables and the way it provides them, with a view to reducing the Buyer's costs (including the Charges) and/or improving the quality and efficiency of the Deliverables. The Supplier and the Buyer must provide each other with any information relevant to meeting this objective.
- 2.3 In addition to Paragraph 2.1, the Supplier shall produce at the start of each Contract Year a plan for improving the provision of Deliverables and/or reducing the Charges (without adversely affecting the performance of this Contract) during that Contract Year ("**Continuous Improvement Plan**") for the Buyer's Approval. The Continuous Improvement Plan must include, as a minimum, proposals:
- 2.3.1 identifying the emergence of relevant new and evolving technologies;
 - 2.3.2 changes in business processes of the Supplier or the Buyer and ways of working that would provide cost savings and/or enhanced benefits to the Buyer (such as methods of interaction, supply chain efficiencies, reduction in energy consumption and methods of sale);
 - 2.3.3 new or potential improvements to the provision of the Deliverables including the quality, responsiveness, procedures, benchmarking methods, likely performance mechanisms and customer support services in relation to the Deliverables; and
 - 2.3.4 measuring and reducing the sustainability impacts of the Supplier's operations and supply-chains relating to the Deliverables, and identifying opportunities to assist the Buyer in meeting their sustainability objectives.
- 2.4 The initial Continuous Improvement Plan for the first (1st) Contract Year shall be submitted by the Supplier to the Buyer for Approval within one hundred (100) Working Days of the first Order or six (6) Months following the Start Date, whichever is earlier.
- 2.5 The Buyer shall notify the Supplier of its Approval or rejection of the proposed Continuous Improvement Plan or any updates to it within twenty (20) Working Days of receipt. If it is rejected then the Supplier shall, within ten (10) Working Days of receipt of notice of rejection, submit a revised Continuous Improvement Plan reflecting the changes required. Once Approved, it becomes the Continuous Improvement Plan for the purposes of this Contract.
- 2.6 The Supplier must provide sufficient information with each suggested improvement to enable a decision on whether to implement it. The Supplier shall provide any further information as requested.

- 2.7 If the Buyer wishes to incorporate any improvement into this Contract, it must request a Variation in accordance with the Variation Procedure and the Supplier must implement such Variation at no additional cost to the Buyer or CCS.
- 2.8 Once the first Continuous Improvement Plan has been Approved in accordance with Paragraph 2.5:
 - 2.8.1 the Supplier shall use all reasonable endeavours to implement any agreed deliverables in accordance with the Continuous Improvement Plan; and
 - 2.8.2 the Parties agree to meet as soon as reasonably possible following the start of each quarter (or as otherwise agreed between the Parties) to review the Supplier's progress against the Continuous Improvement Plan.
- 2.9 The Supplier shall update the Continuous Improvement Plan as and when required but at least once every Contract Year (after the first (1st) Contract Year) in accordance with the procedure and timescales set out in Paragraph 2.3.
- 2.10 All costs relating to the compilation or updating of the Continuous Improvement Plan and the costs arising from any improvement made pursuant to it and the costs of implementing any improvement, shall have no effect on and are included in the Charges.
- 2.11 Should the Supplier's costs in providing the Deliverables to the Buyer be reduced as a result of any changes implemented, all of the cost savings shall be passed on to the Buyer by way of a consequential and immediate reduction in the Charges for the Deliverables.
- 2.12 At any time during the Contract Period of the Call-Off Contract, the Supplier may make a proposal for gainshare. If the Buyer deems gainshare to be applicable then the Supplier shall update the Continuous Improvement Plan so as to include details of the way in which the proposal shall be implemented in accordance with an agreed gainshare ratio.

Call-Off Schedule 4 (Call-Off Tender)

The suppliers responses to the questions asked at tender stage are listed below.

Essential Skills and Experience

Question	Suppliers Response
Provide an example of developing secure, high quality digital services built to high standards of code quality, GDS compliant, and architected to mitigate security. In your response please indicate a reference contact email address from a previous contract.	
Provide an example of building scalable services using microservice architectures and containers in cloud and TypeScript using NodeJS based frameworks and relational databases. In your response please indicate a reference contact email address from a previous contract.	

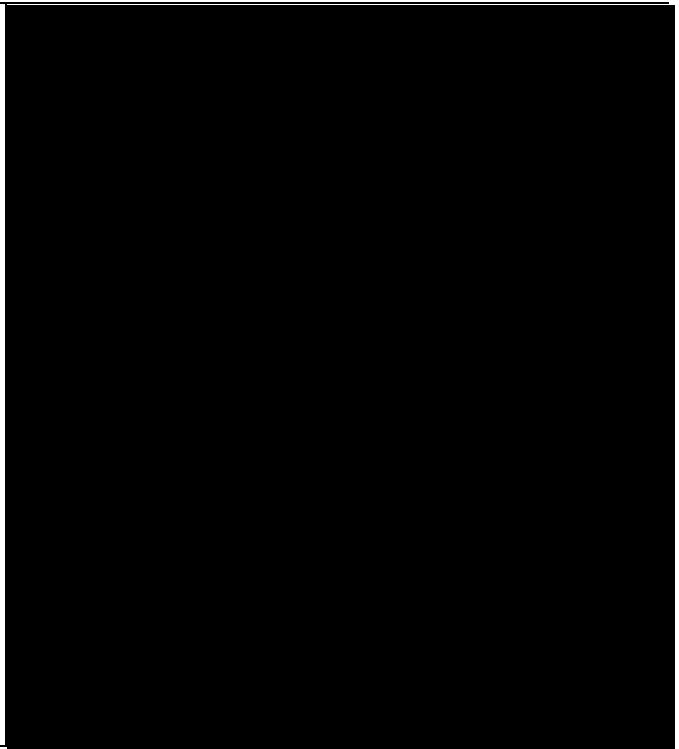
Provide an example of your ability to use the following technologies: messaging via AWS SNS/SQS, Serverless (Lambda), Containers, S3, AWS Cognito, and AWS Cloud Search. In your response please indicate a reference contact email address from a previous contract.

Demonstrate experience of web application development using React.JS, Express, and Next.JS. In your response please indicate a reference contact email address from a previous contract.

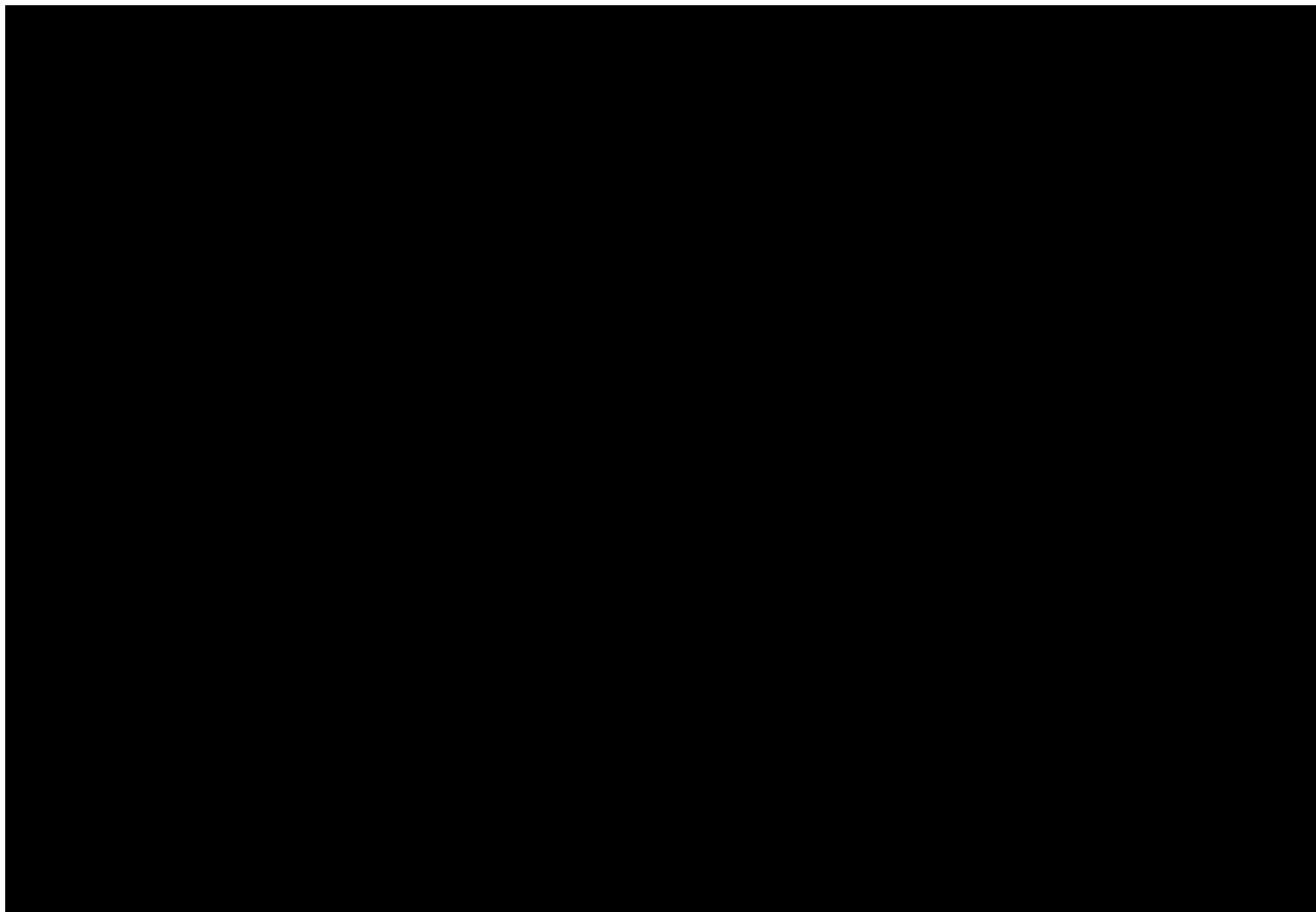
Demonstrate experience of RESTful API design and implementation together with experience of OpenAPI, and Fastify. In your response please indicate a reference contact email address from a previous contract.

Demonstrate experience of provisioning a CI/CD pipeline using Bamboo enabled by Terraform and Terragrunt. In your response please indicate a reference contact email address from a previous contract. (15%)	
Demonstrate experience of developing applications using SQL and NoSQL databases, using PostgresDB, in AWS. In your response please indicate a reference contact email address from a previous contract. (5%)	

Show how you have defined and applied a Service Test Strategy that achieves acceptance criteria, with high test coverage, low regression and low manual testing, including: Unit, E2E, API, Performance, Security, Disaster Recovery (DR) and System Integration Testing (SIT) using automated test tools such as Selenium, Gatling, SonarQube or others. In your response please indicate a reference contact email address from a previous contract. (5%)

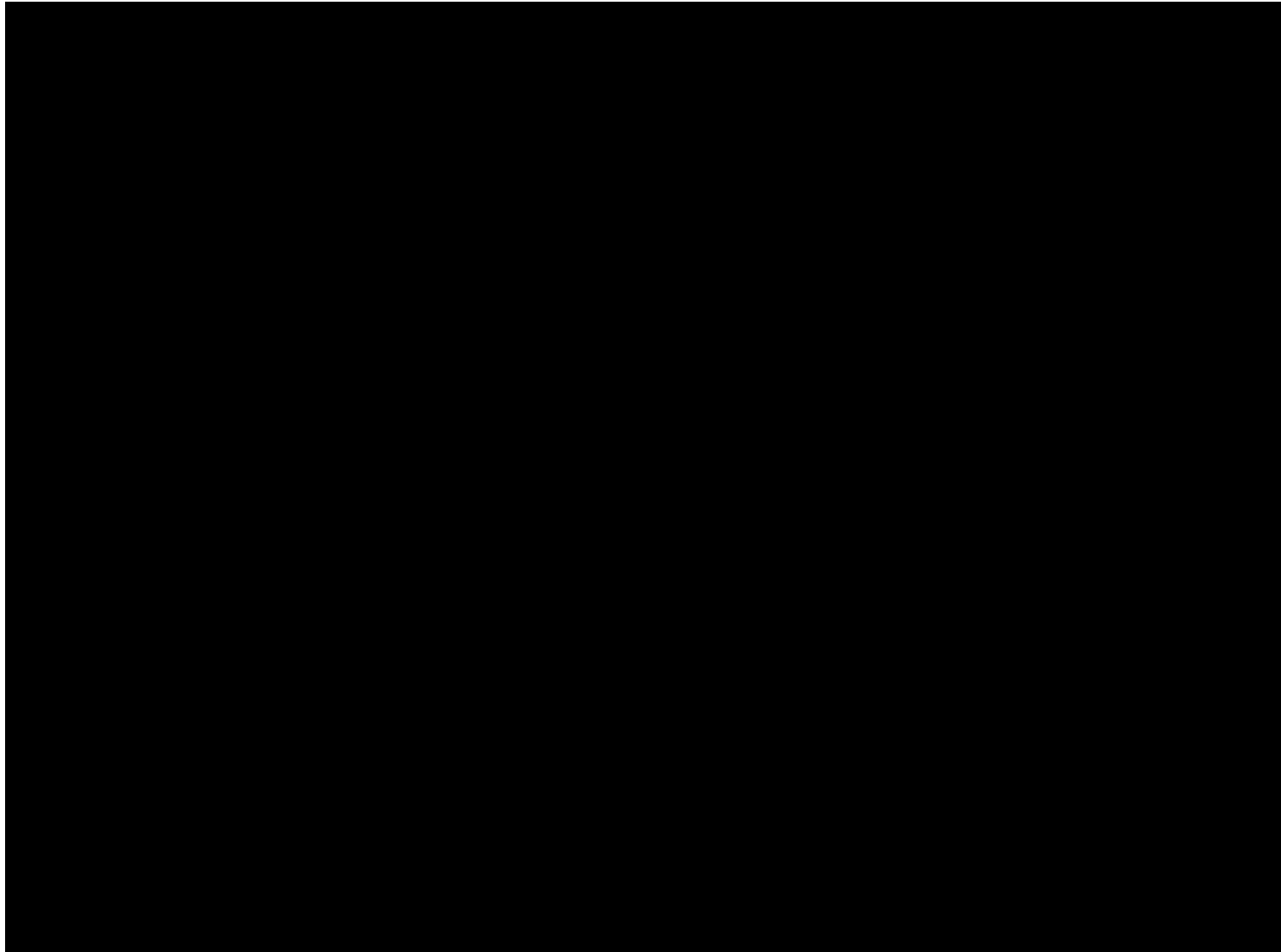


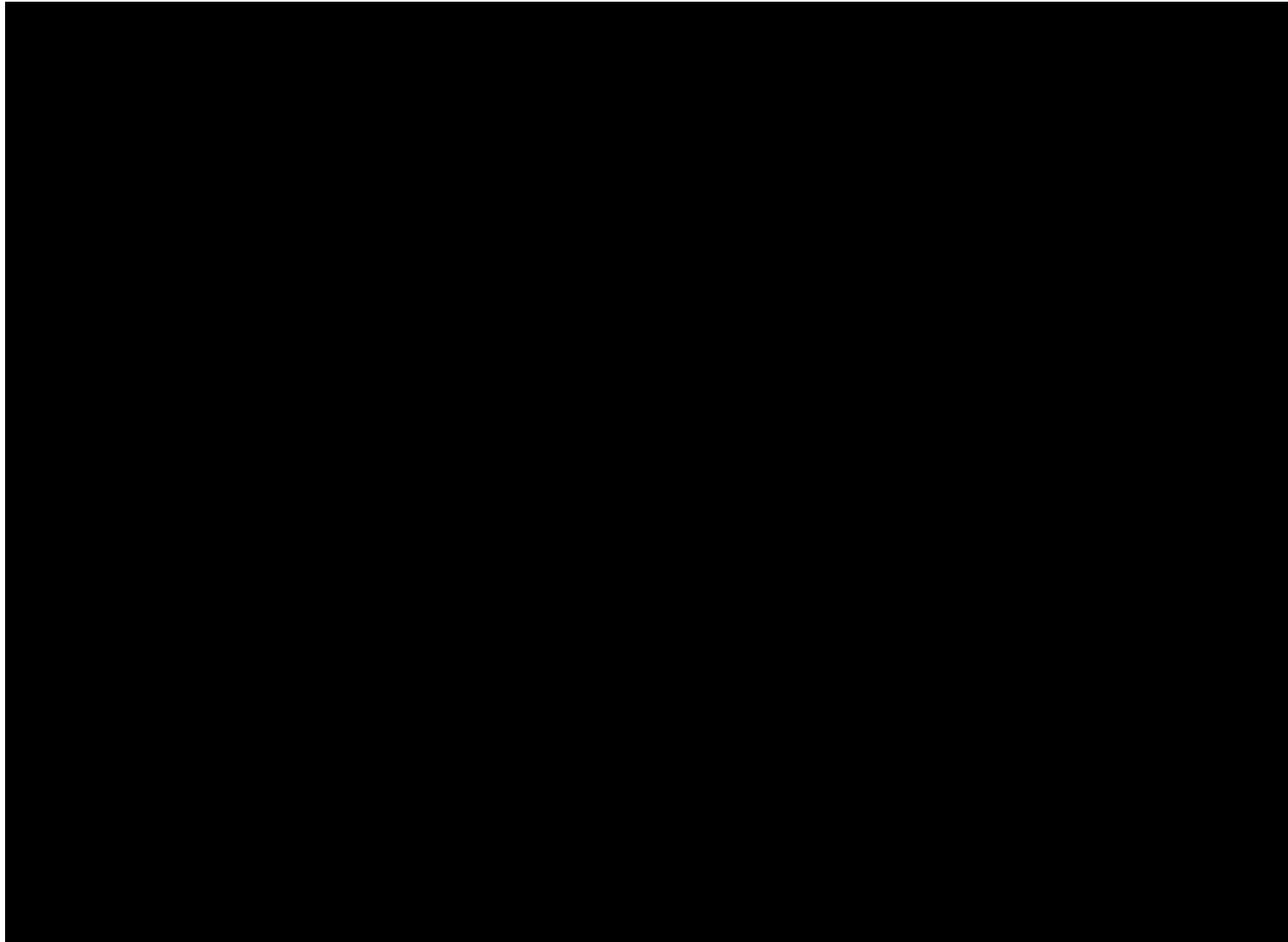
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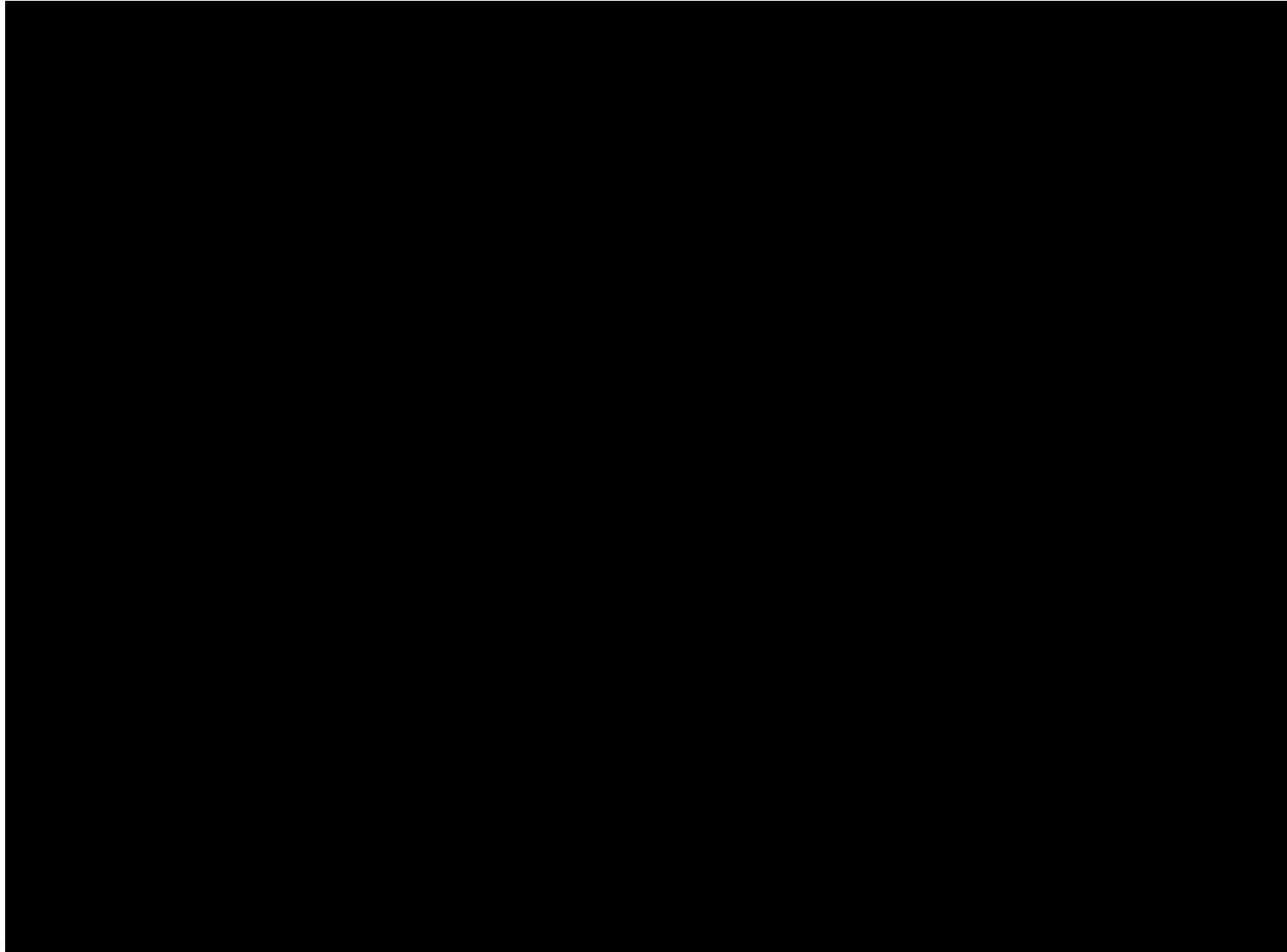


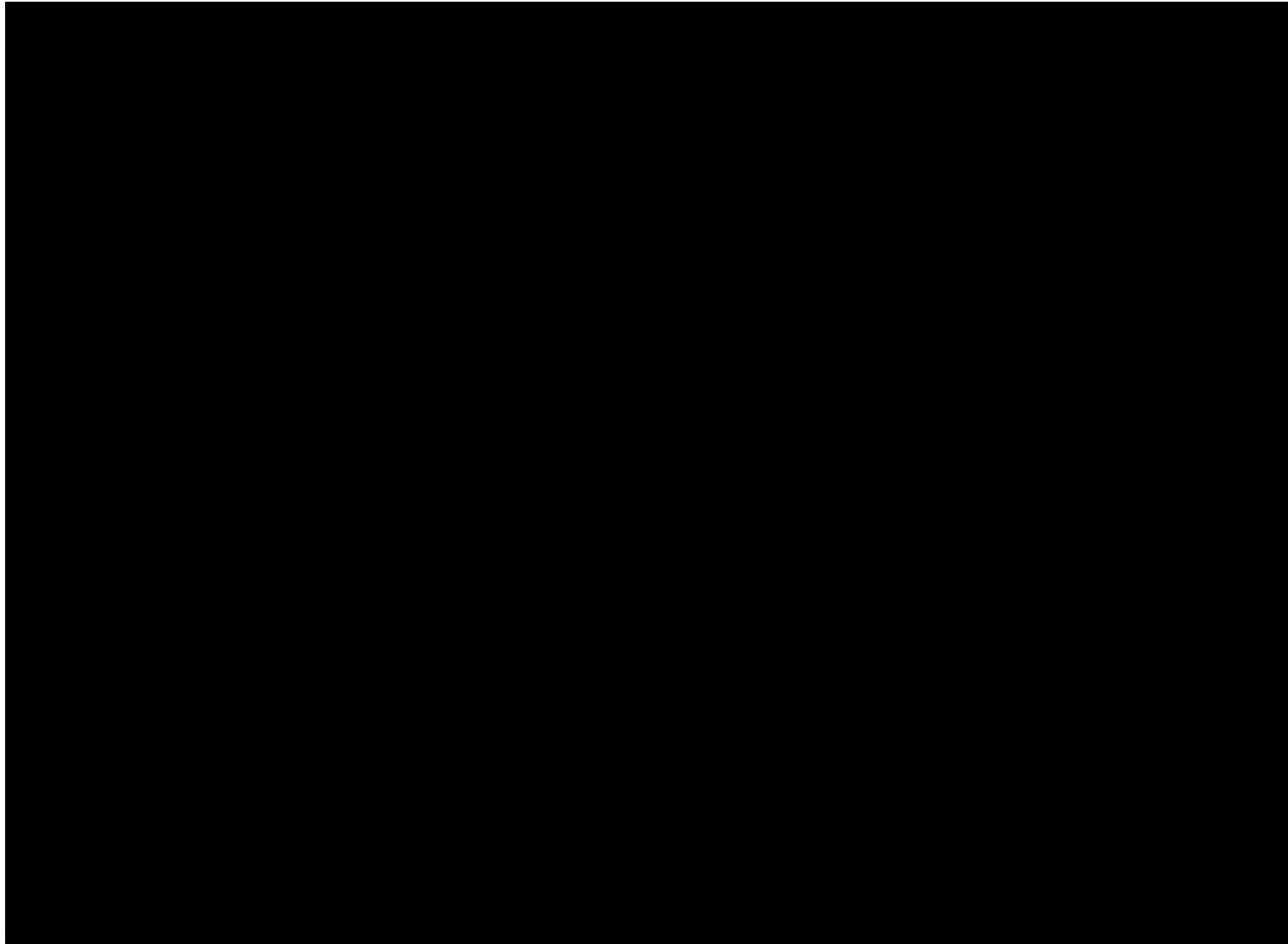
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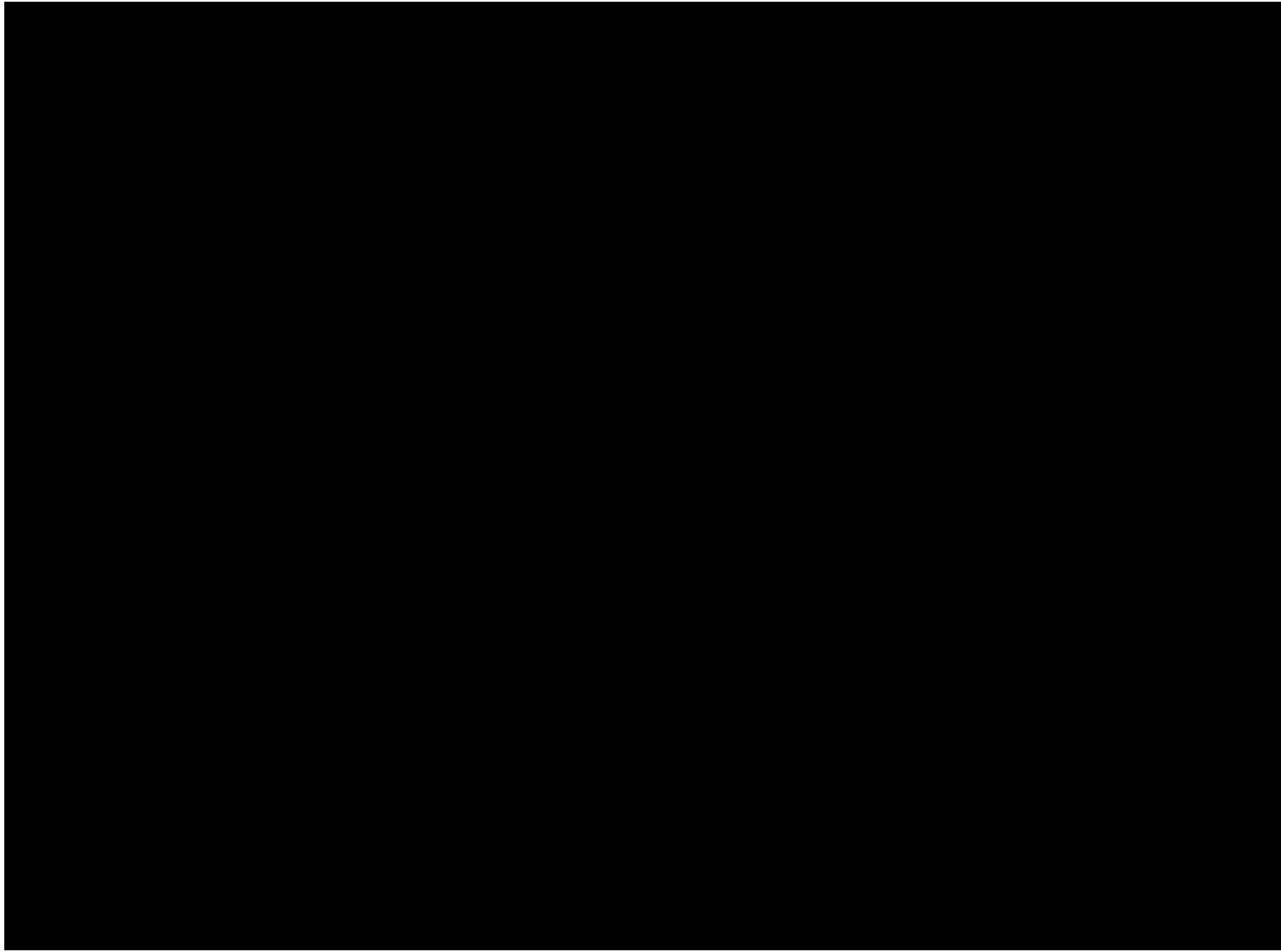
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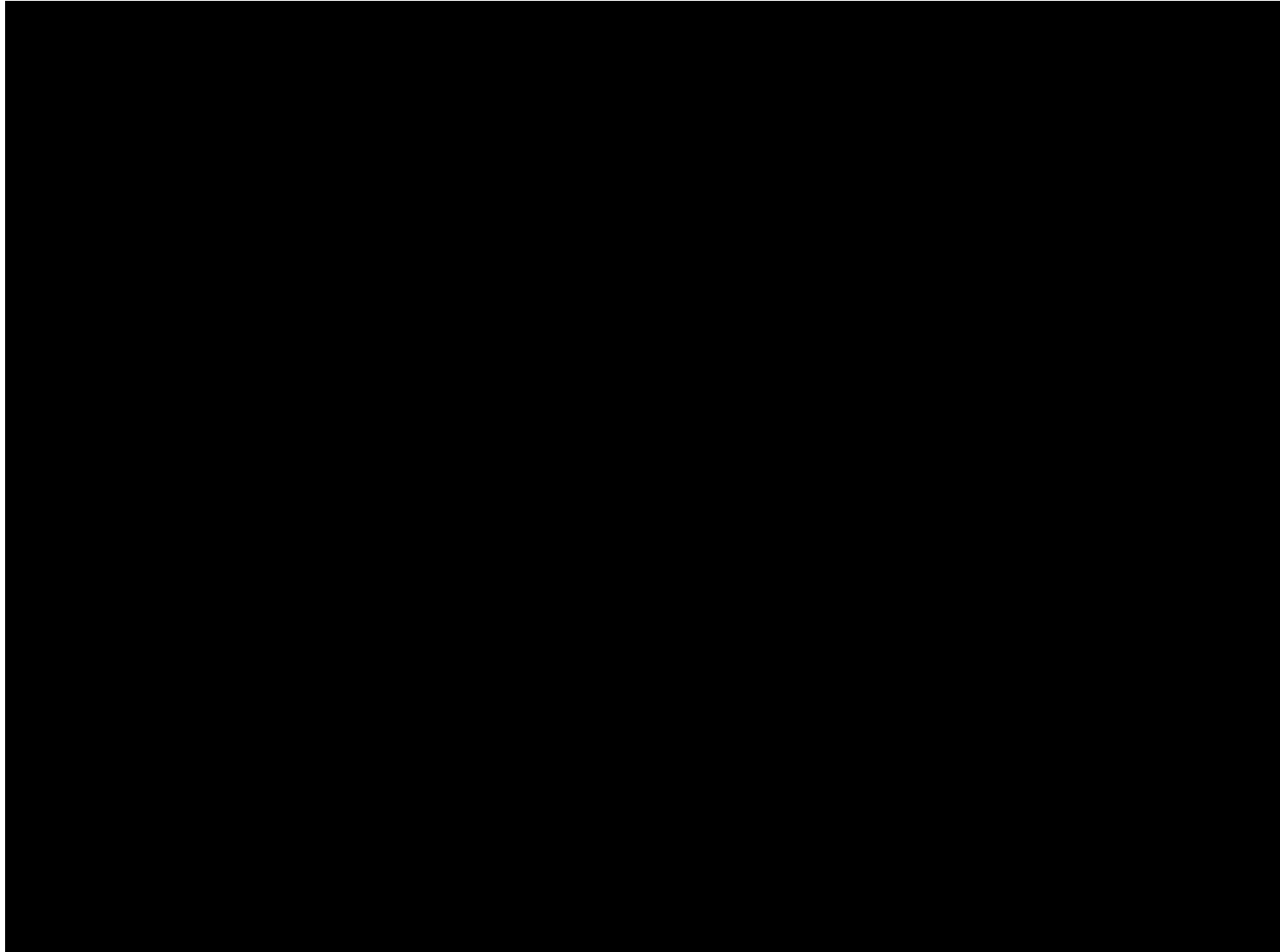


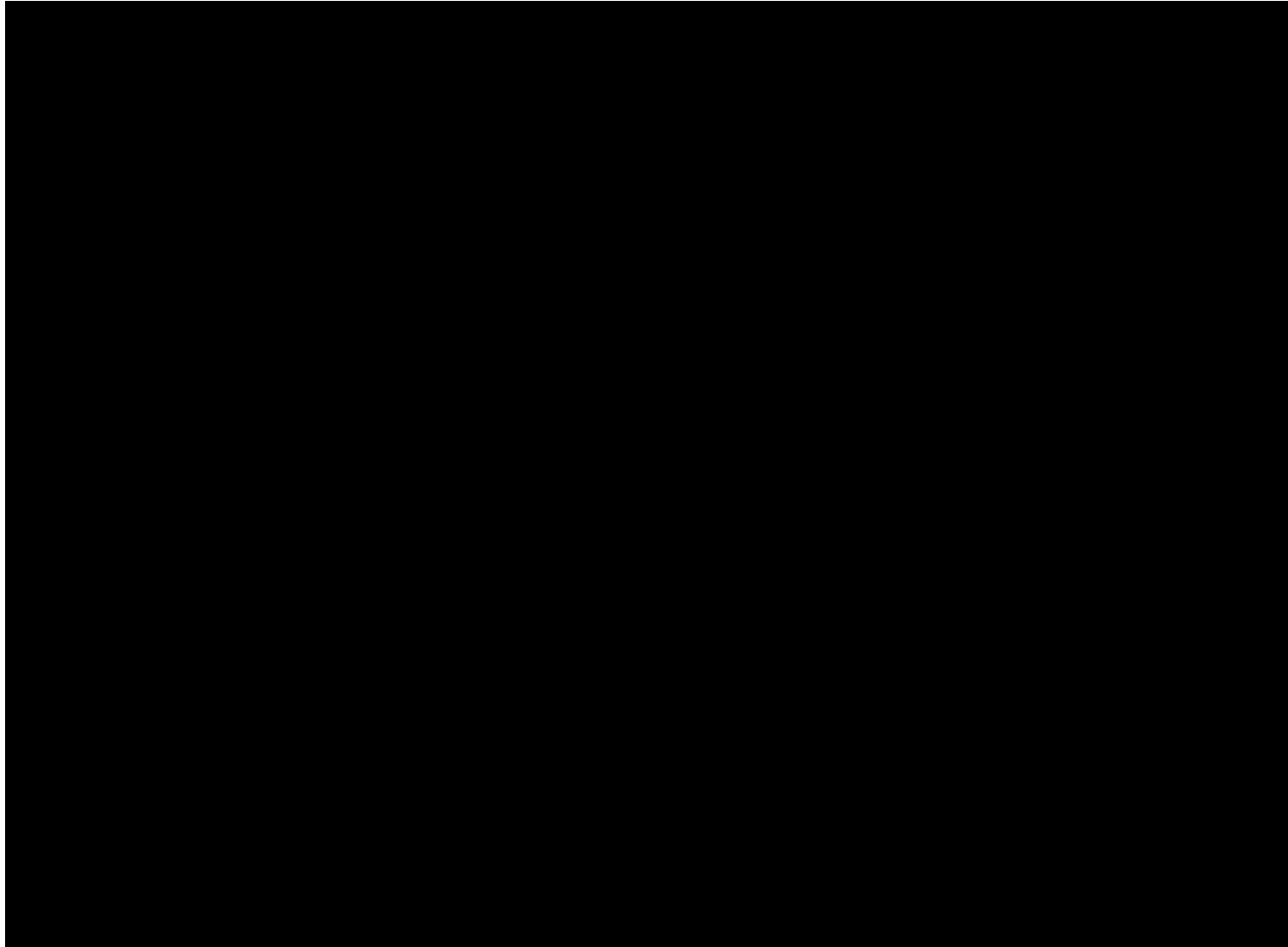


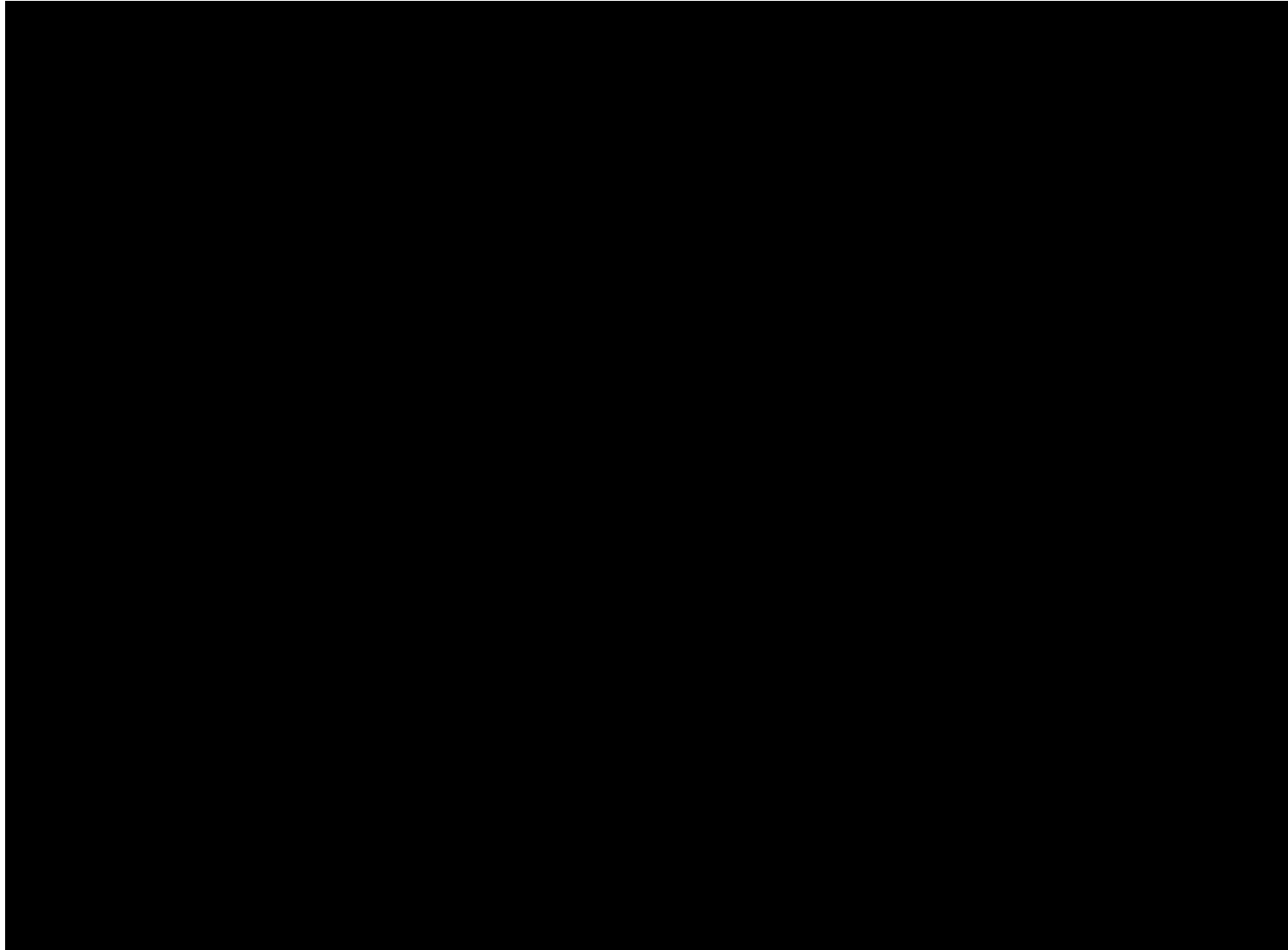


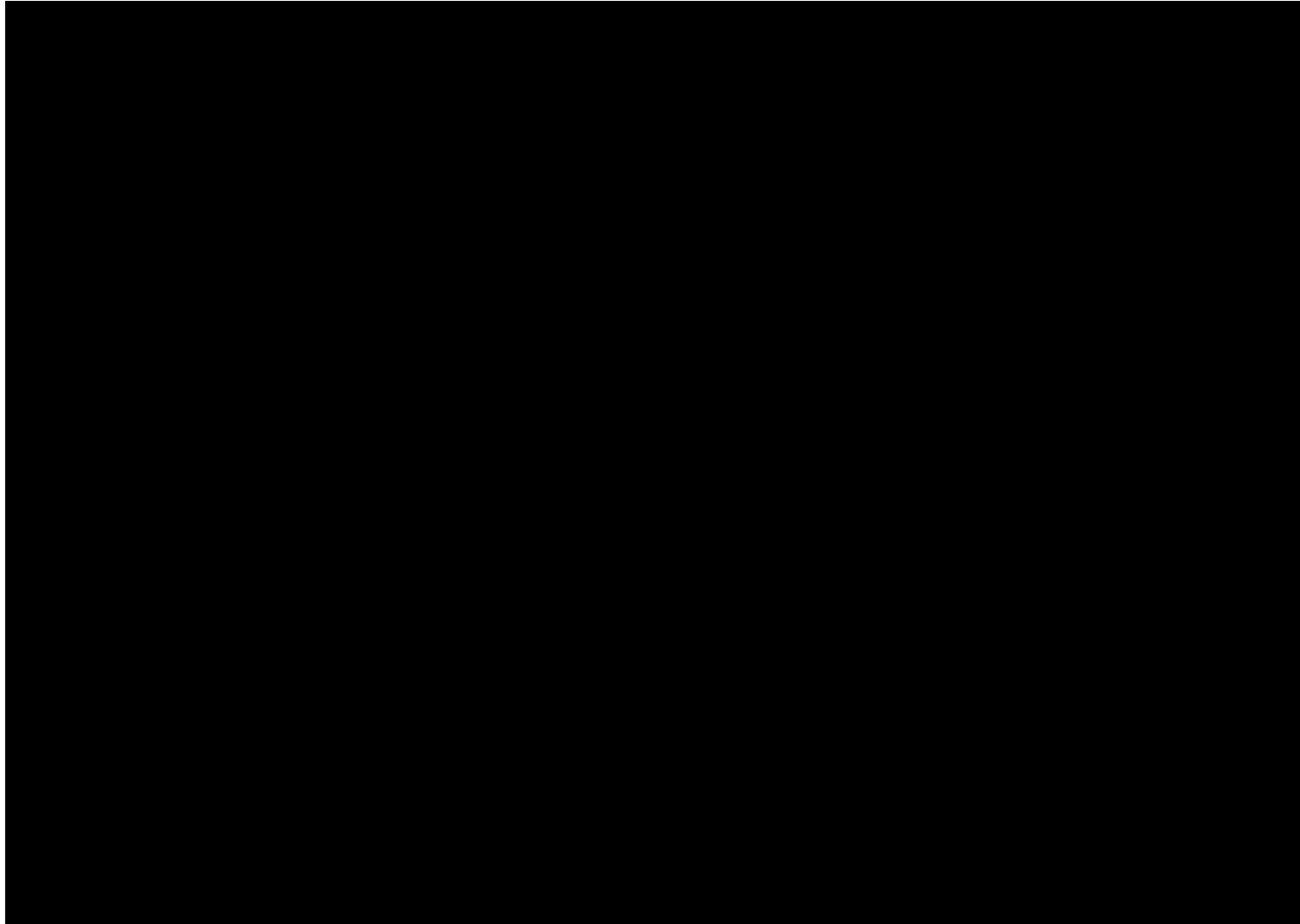


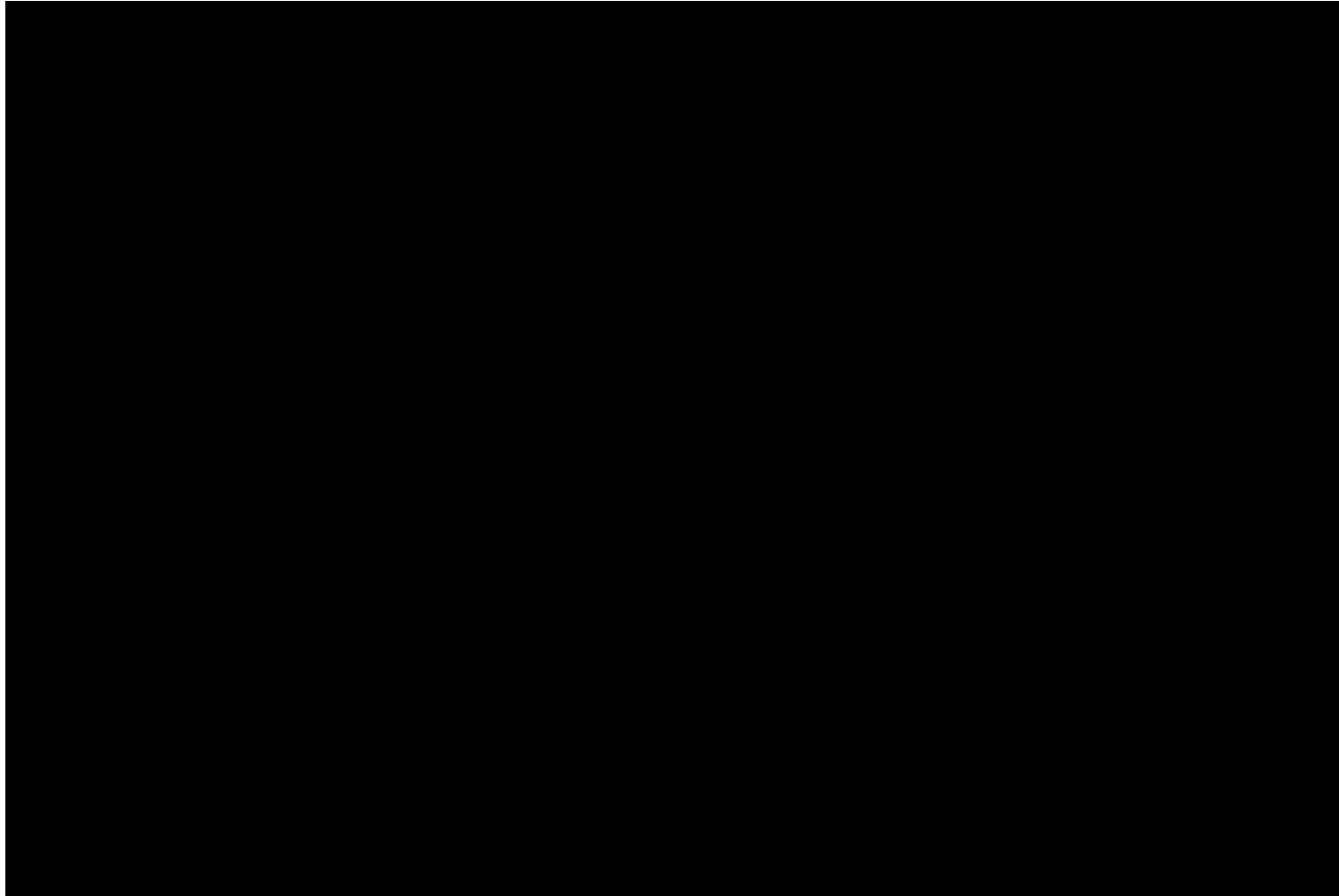




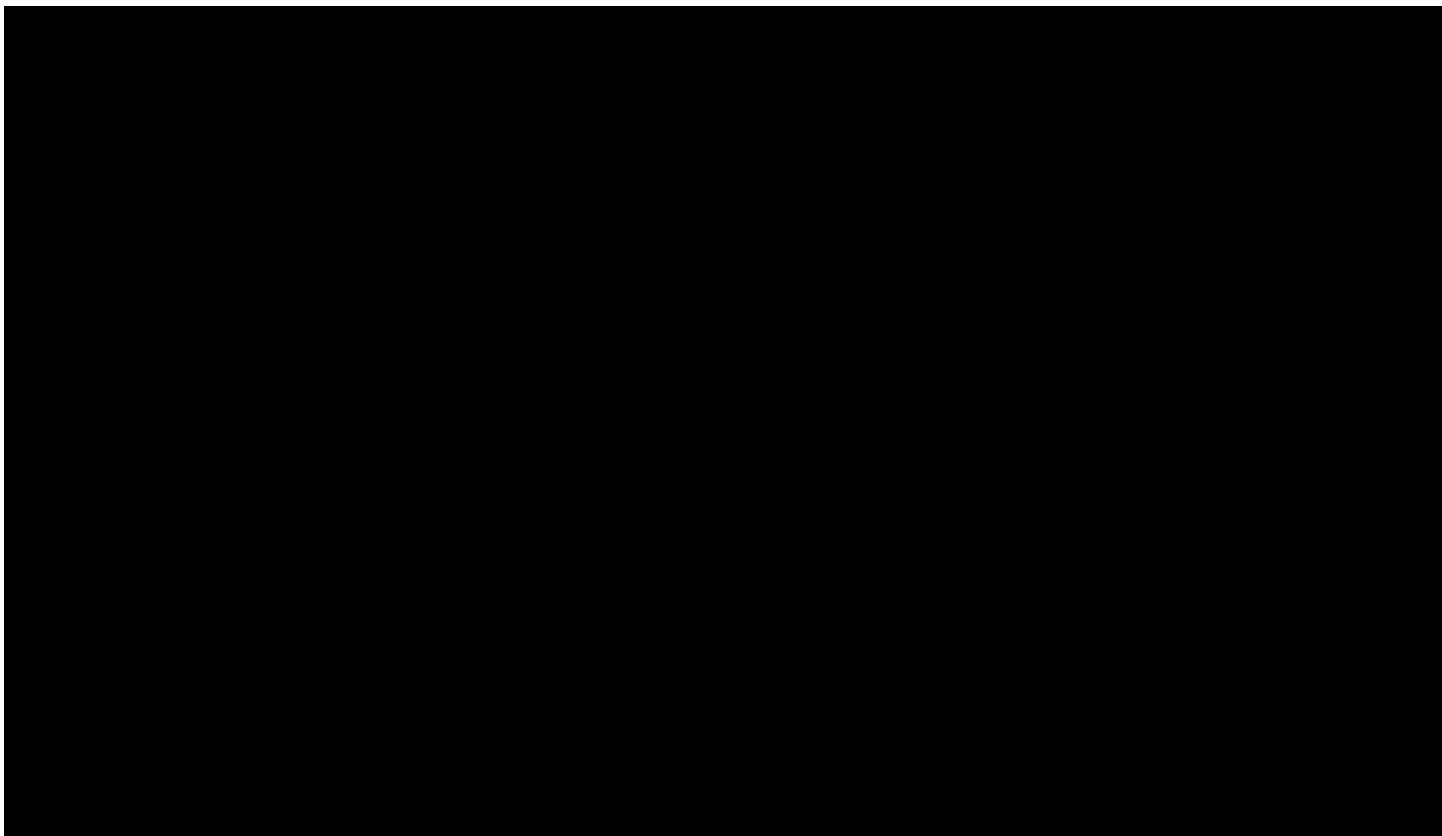






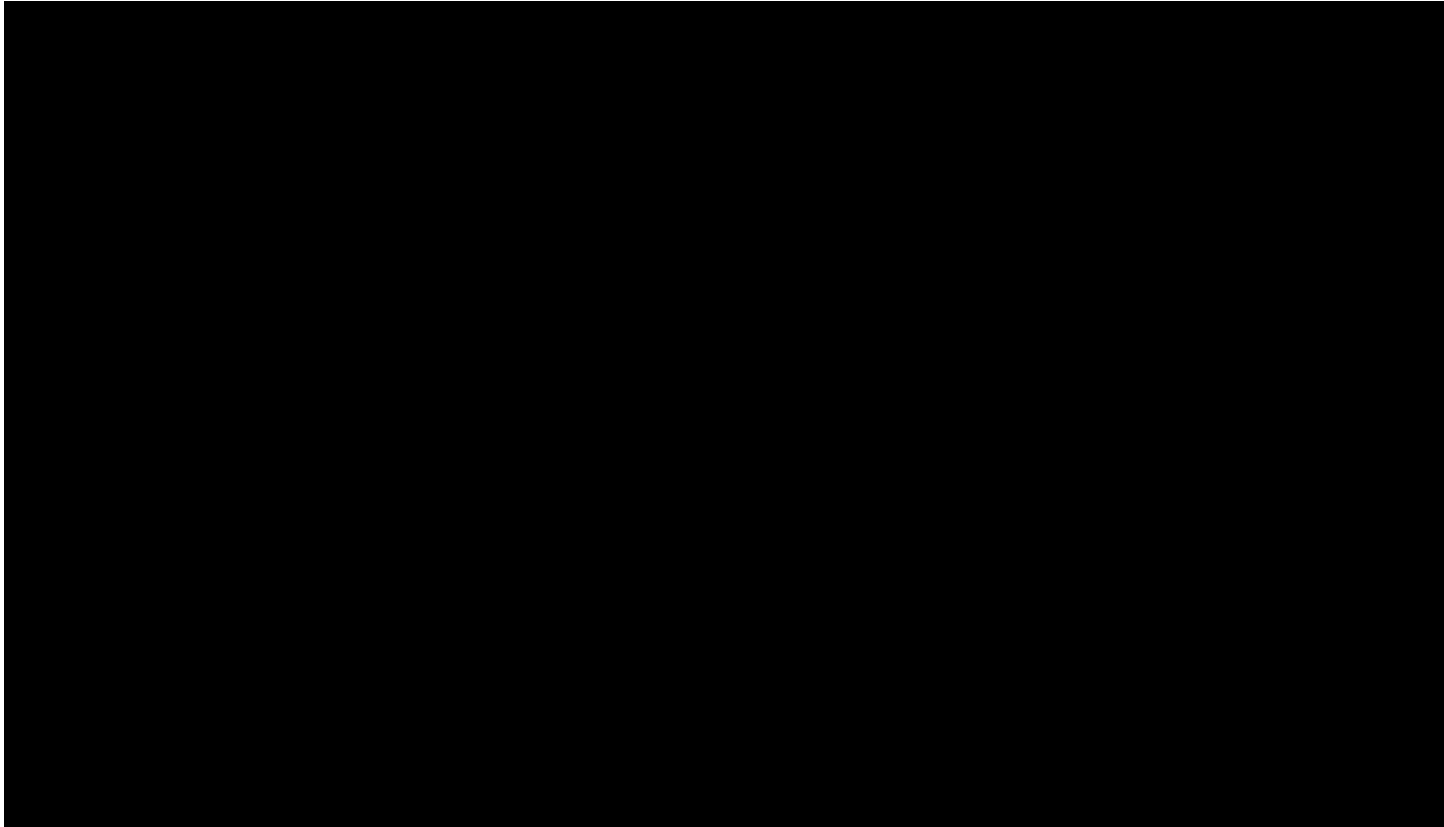


Cultural Fit



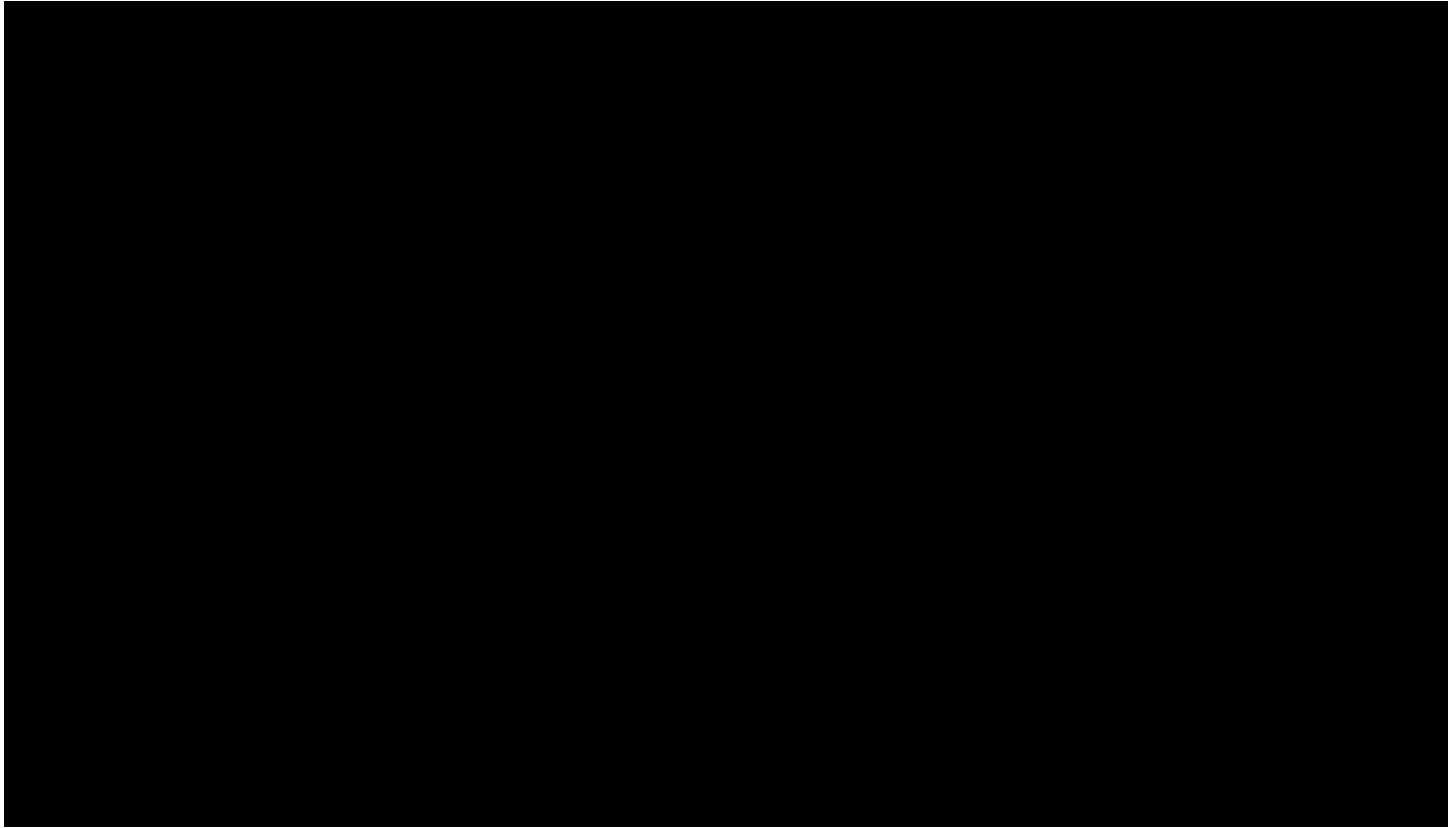
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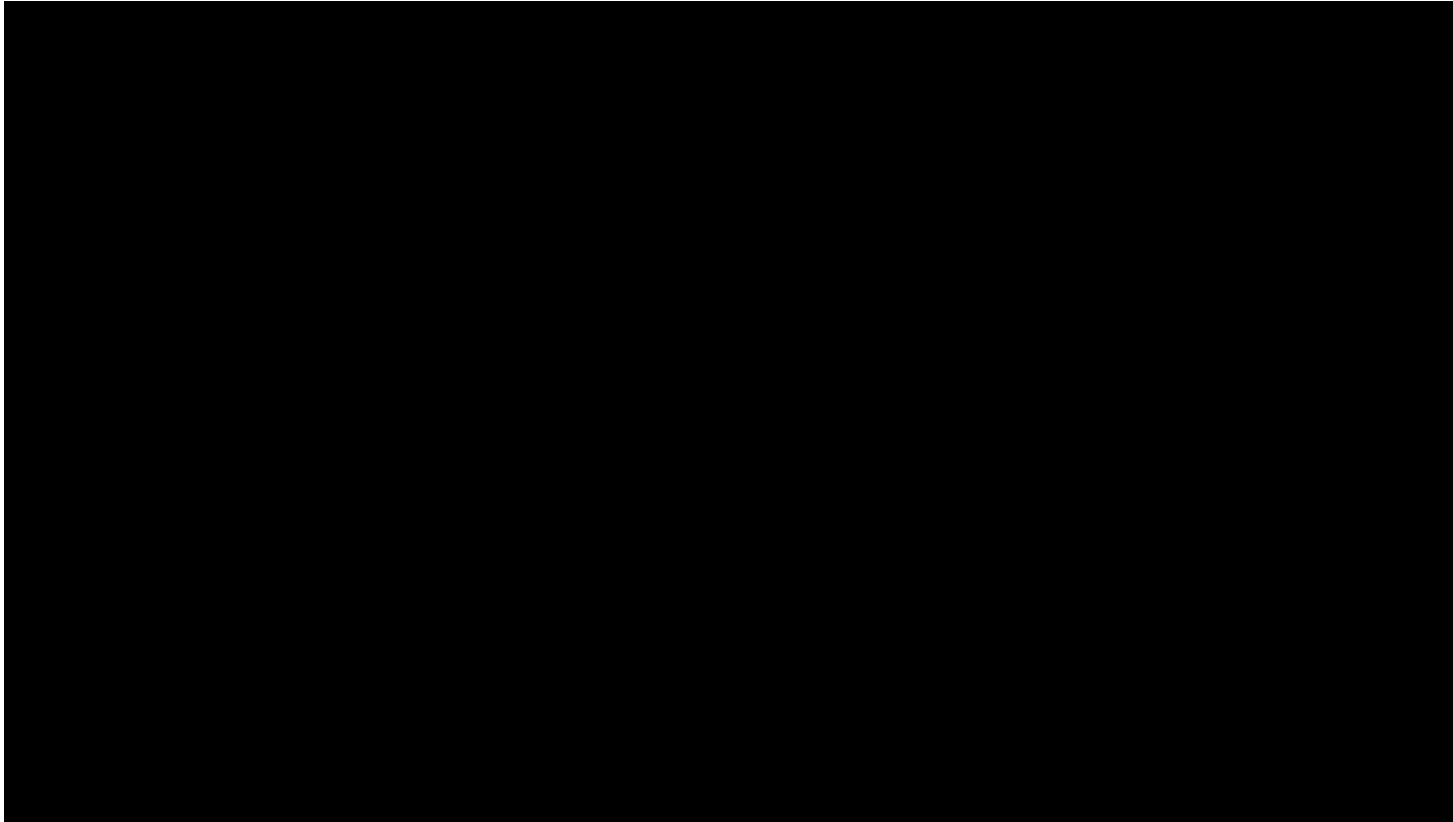
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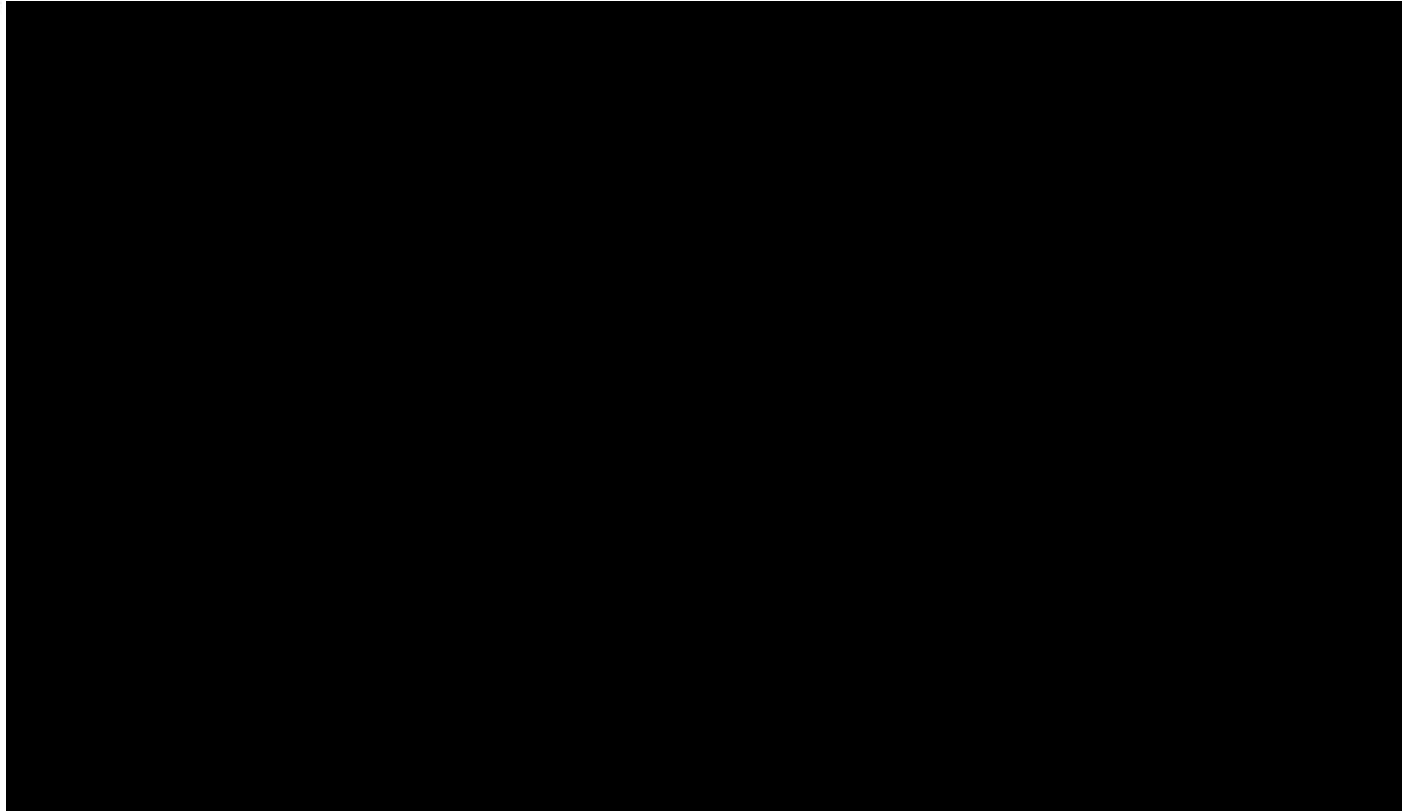
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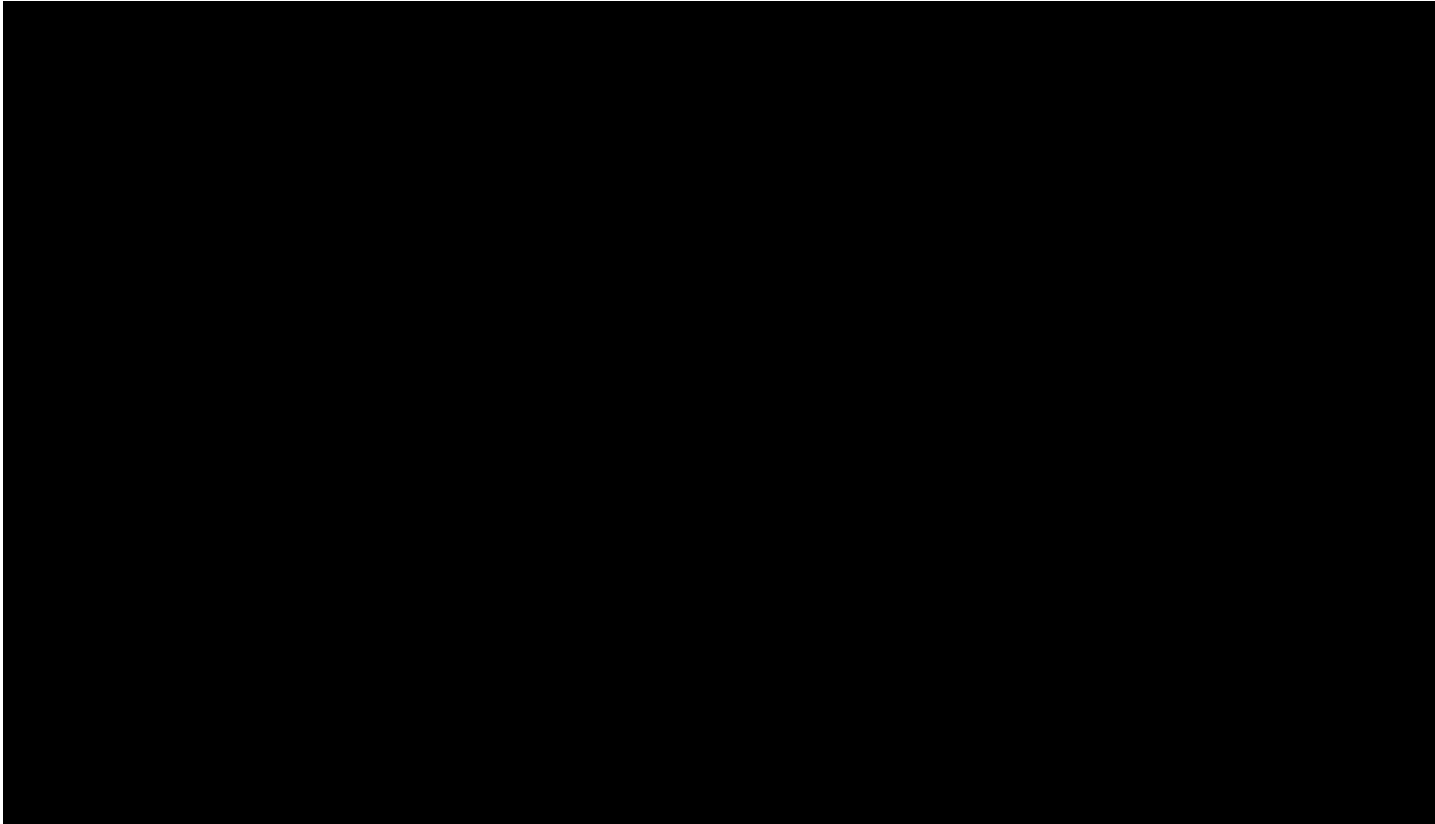
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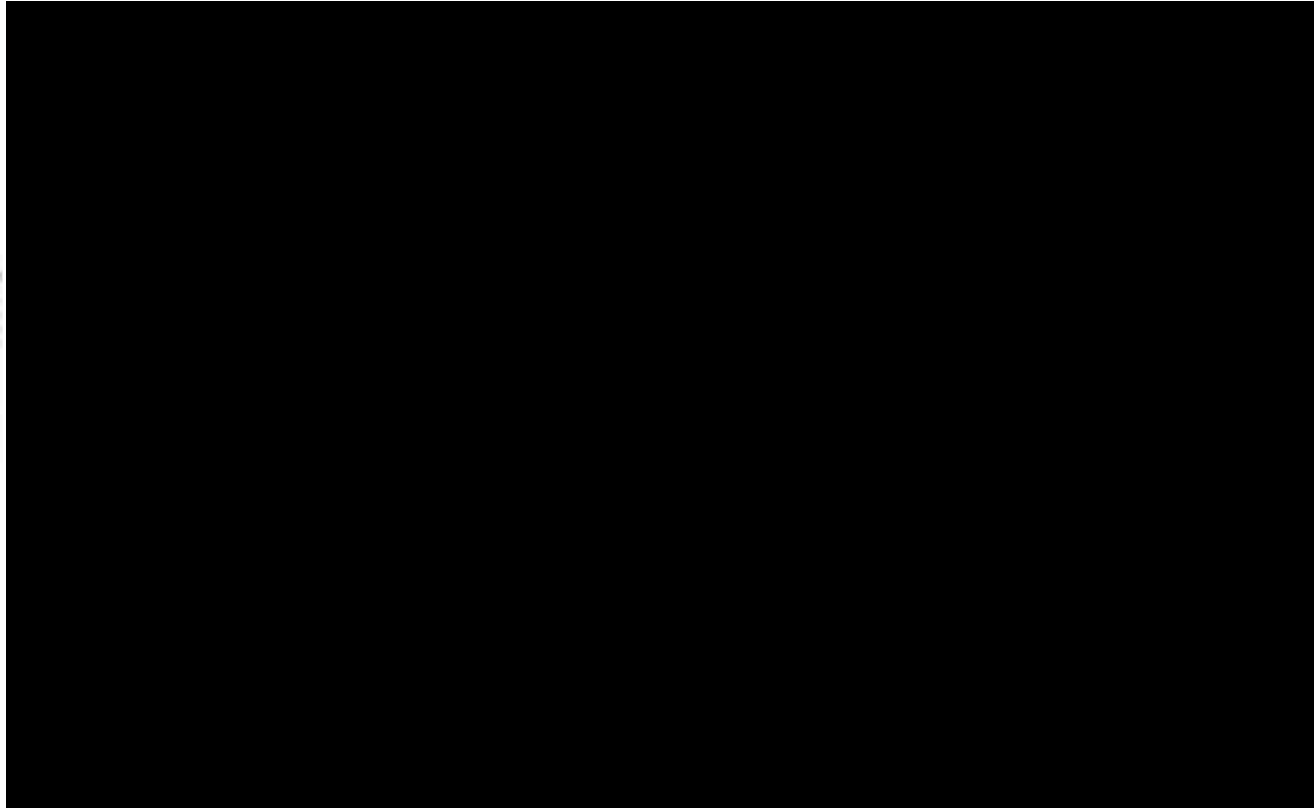
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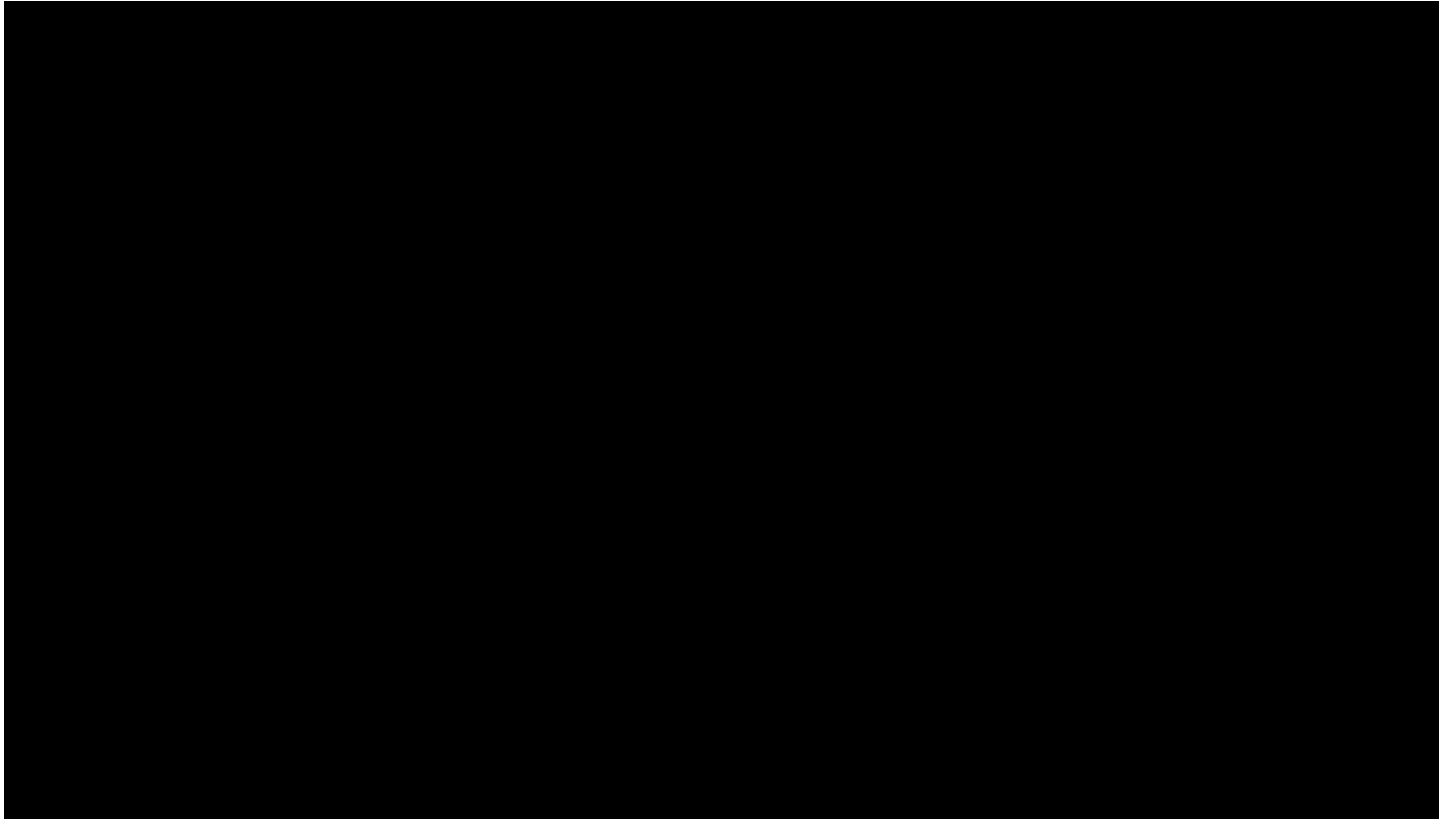
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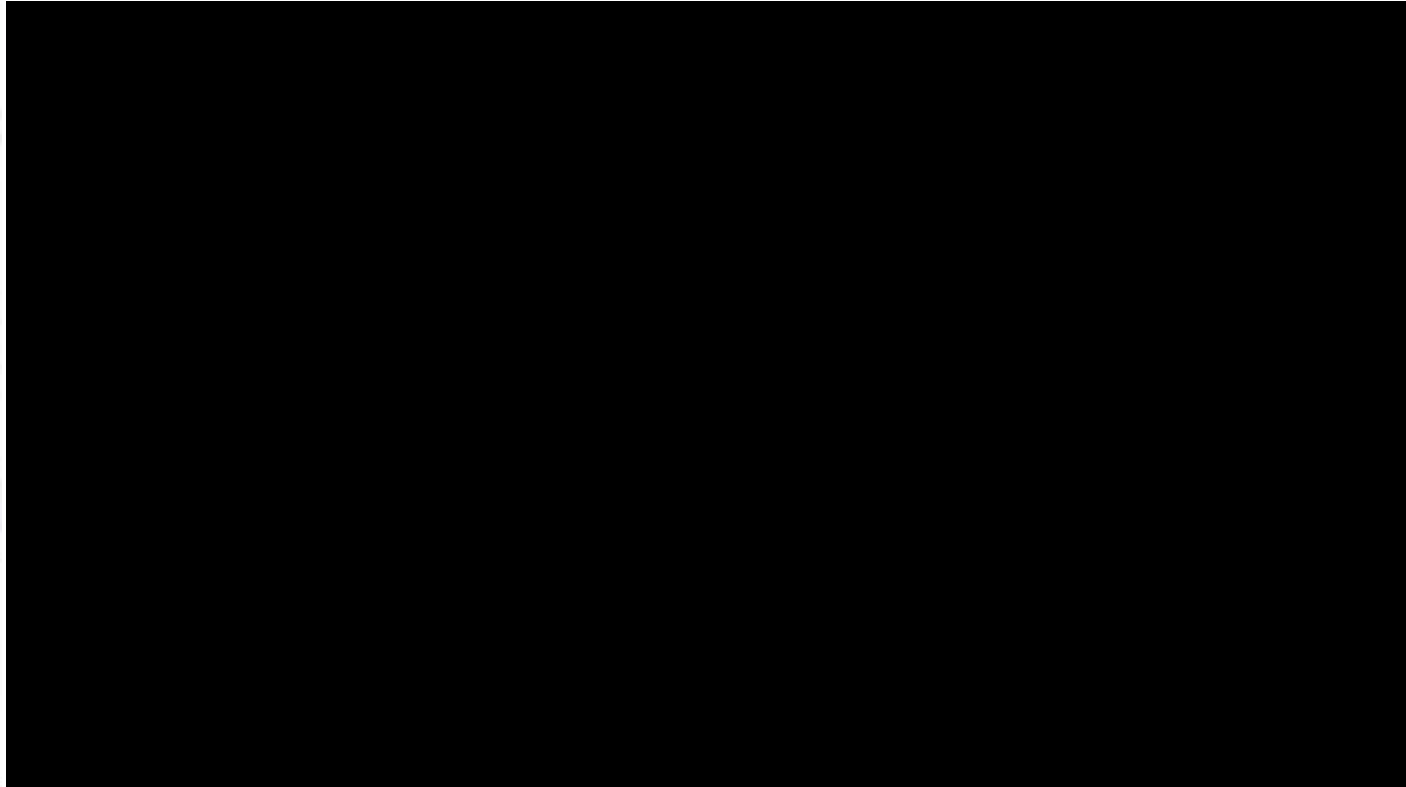
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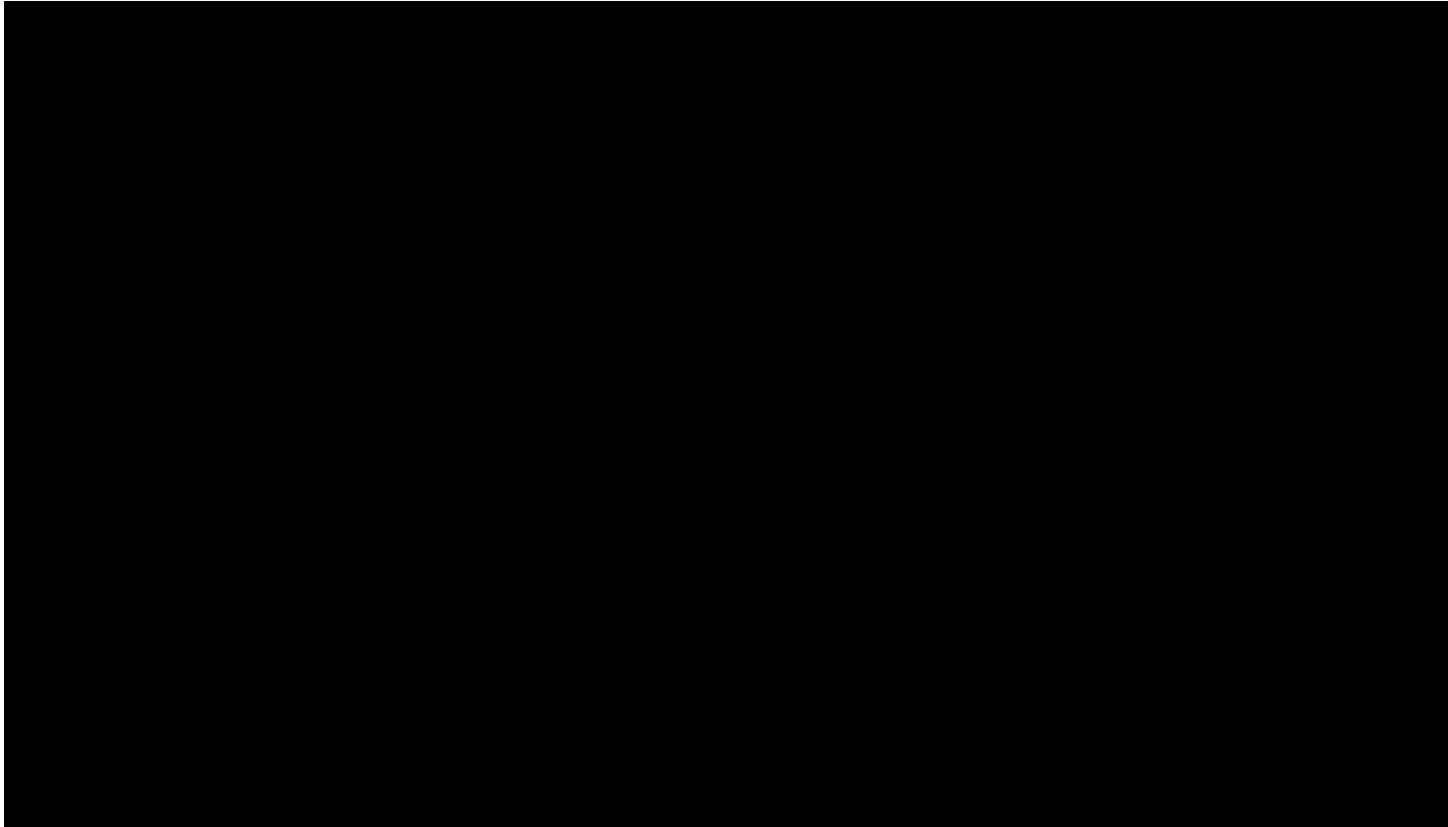
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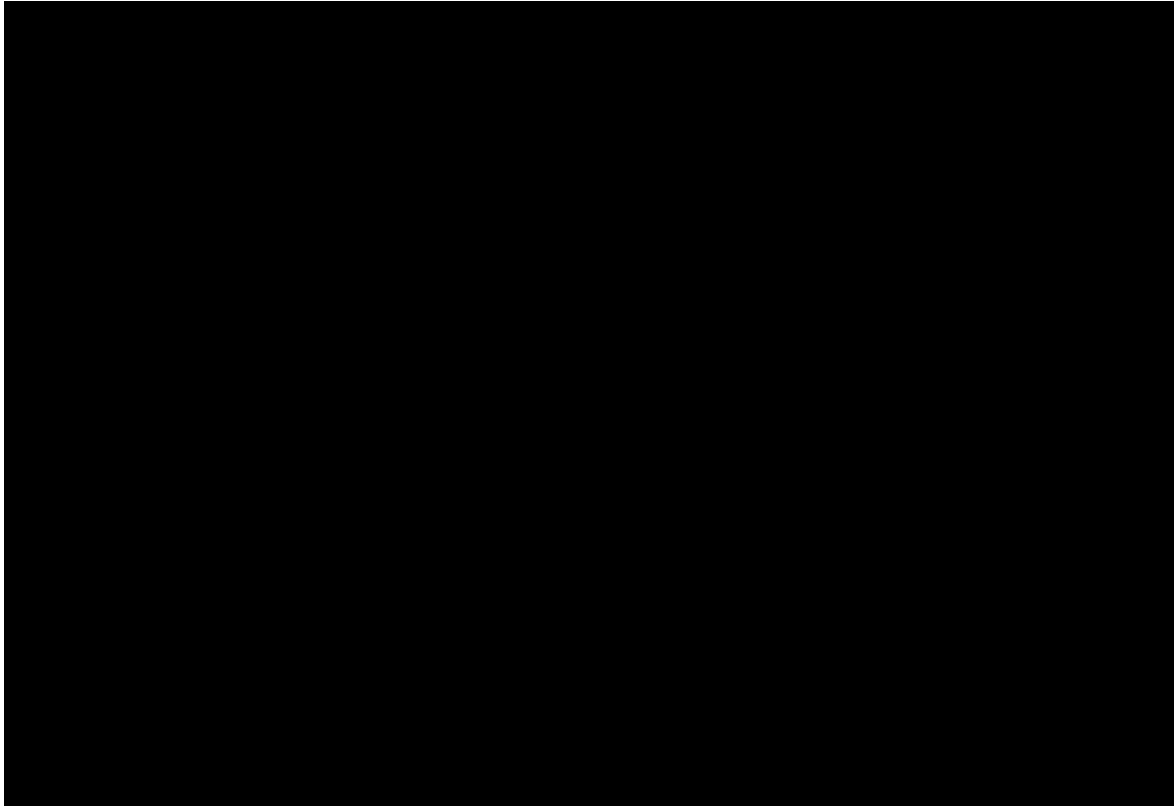
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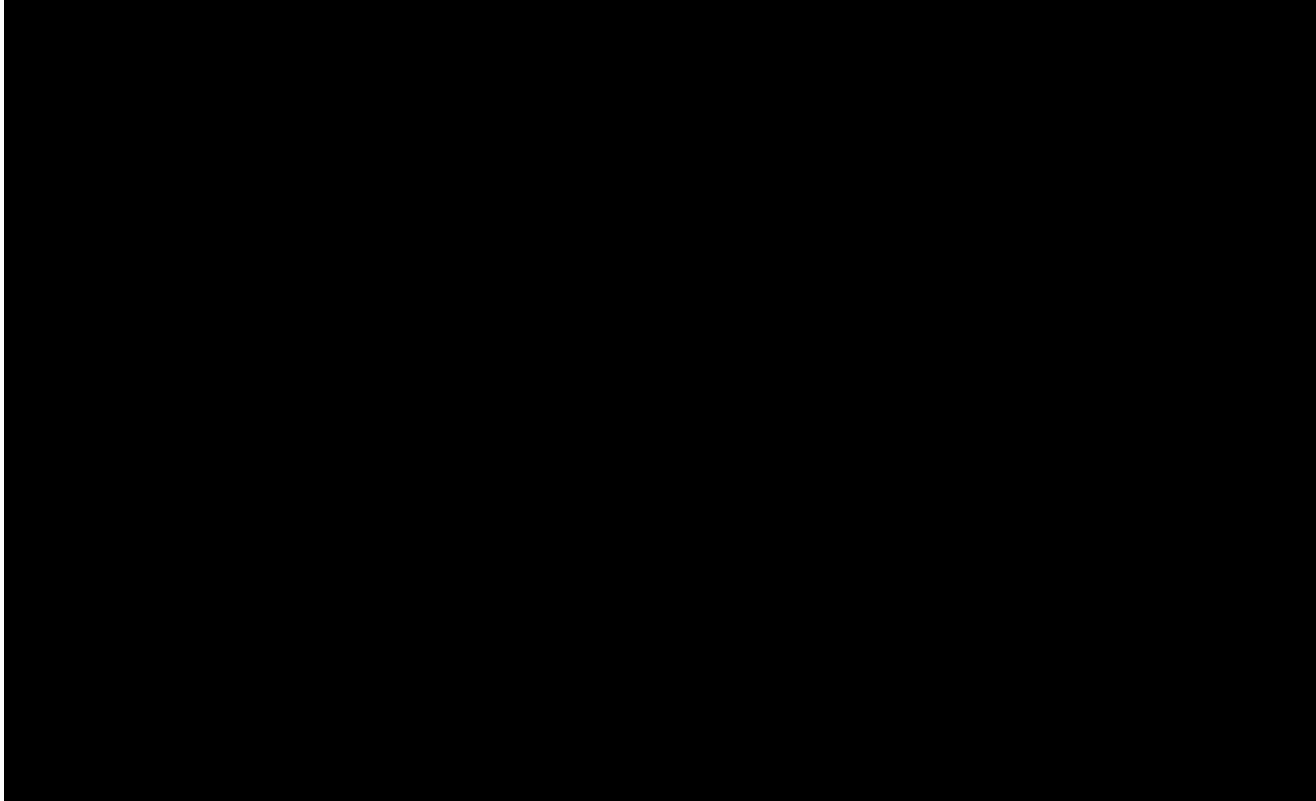
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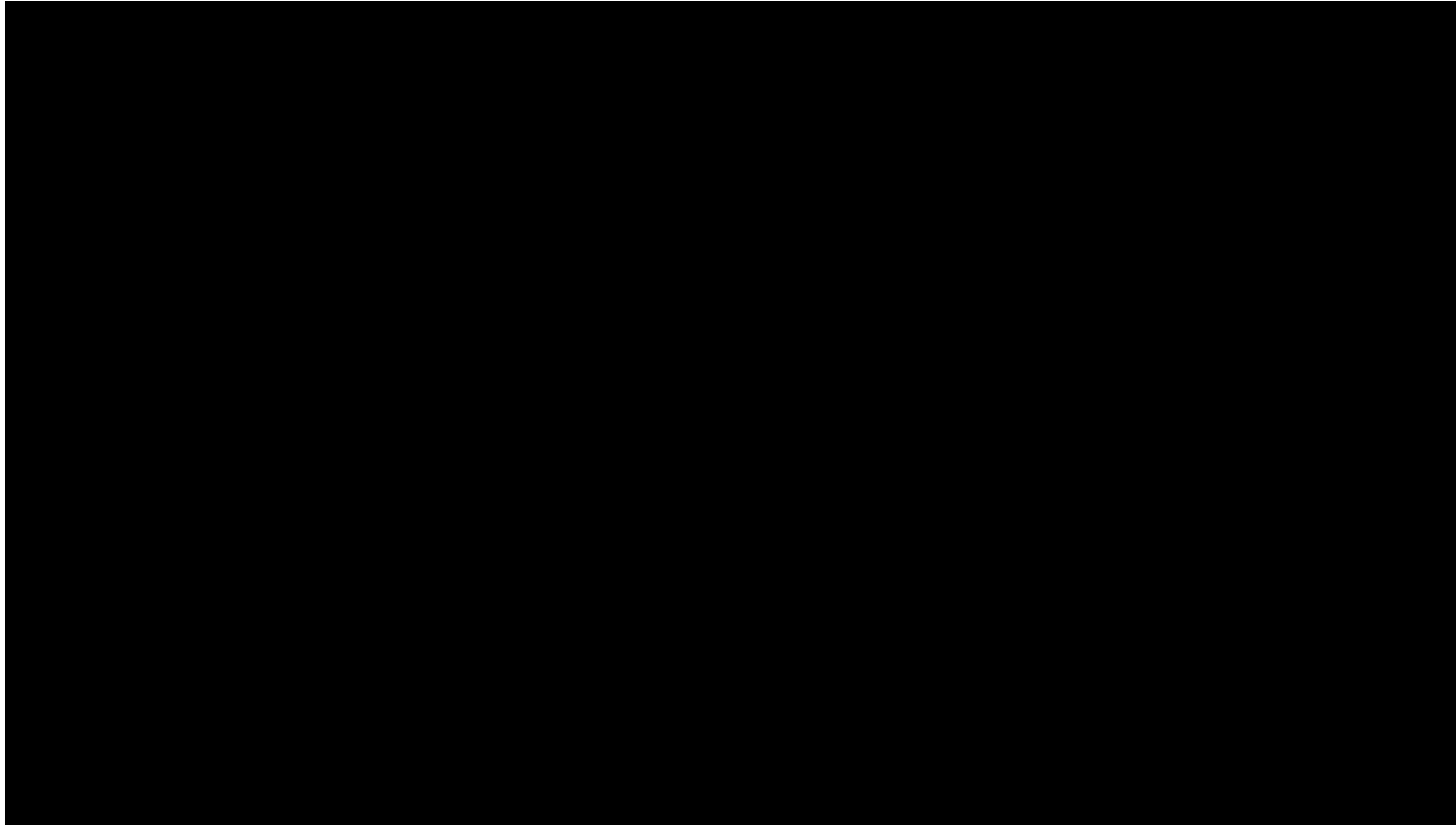
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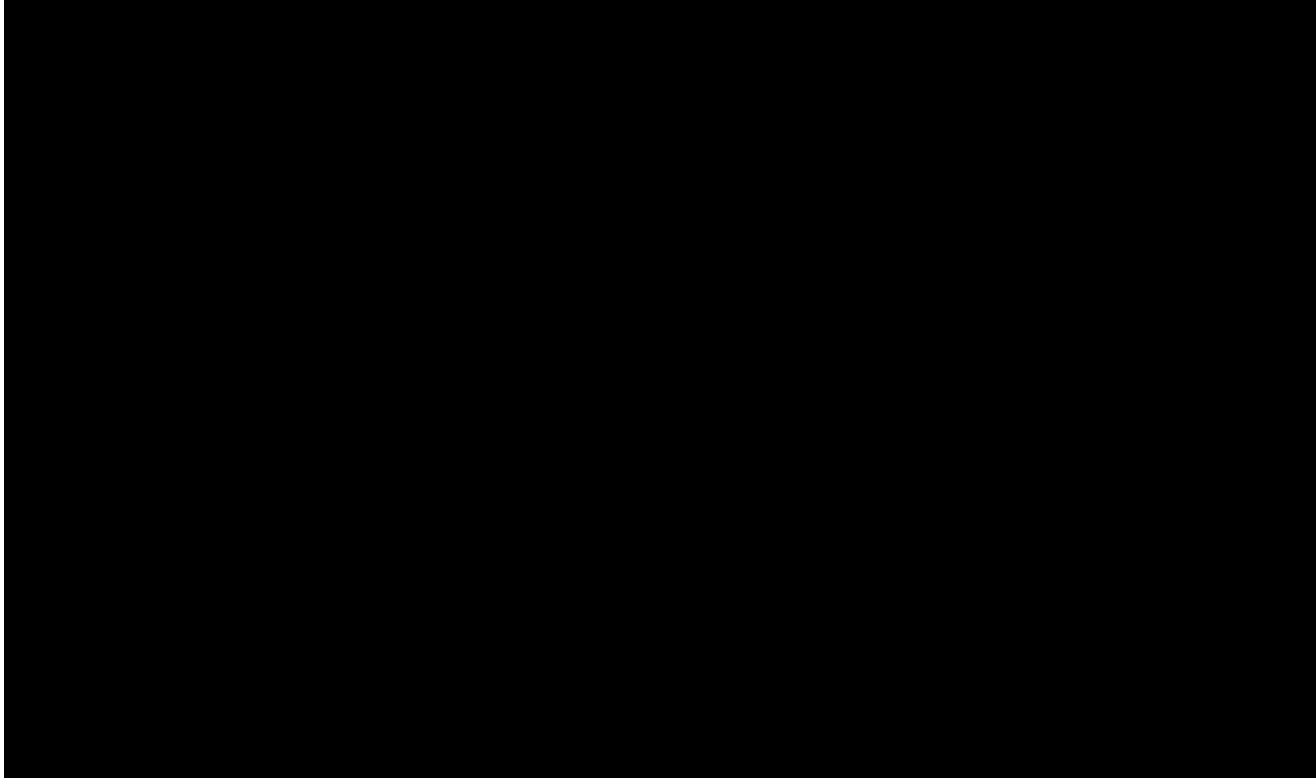
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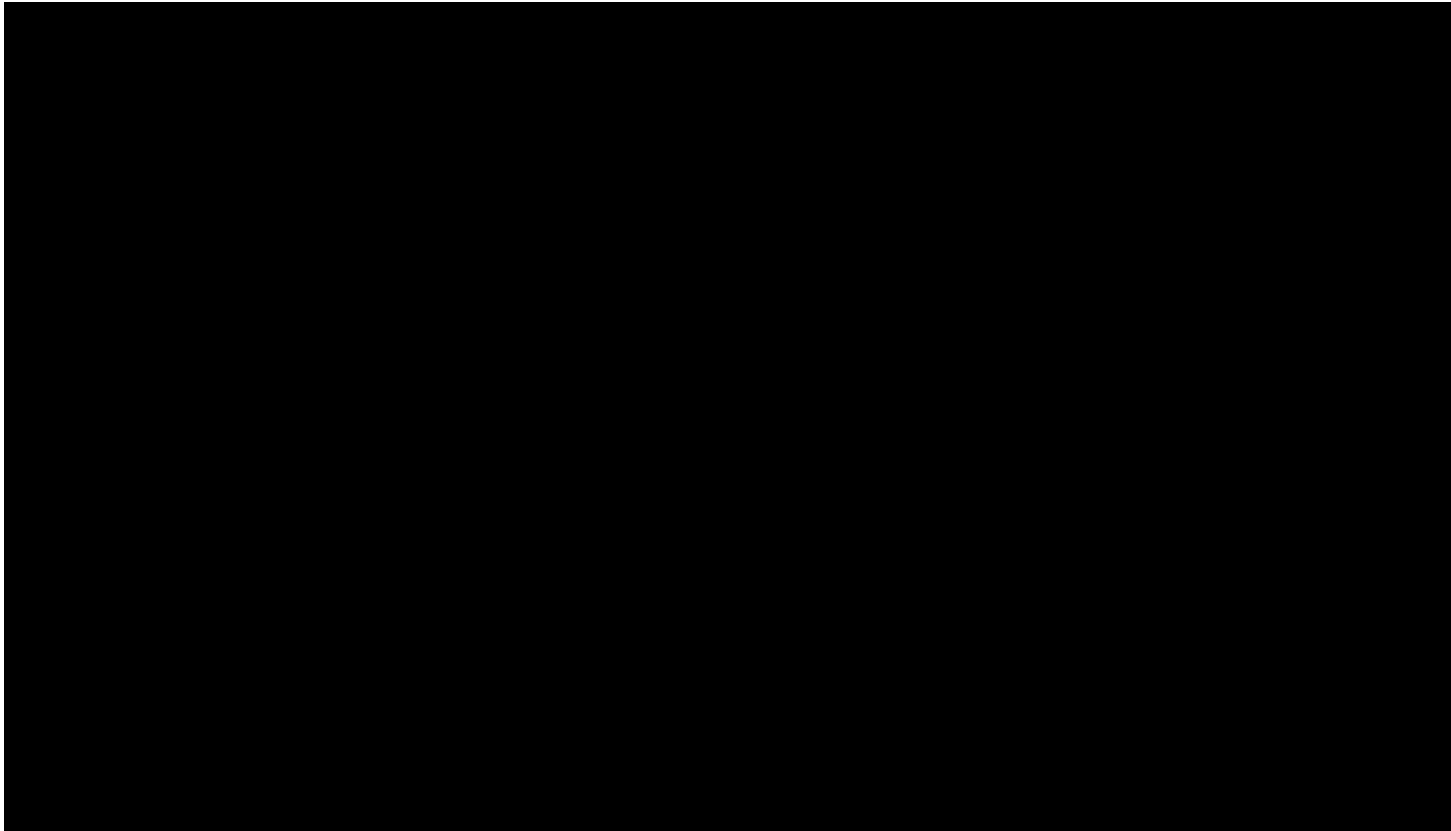
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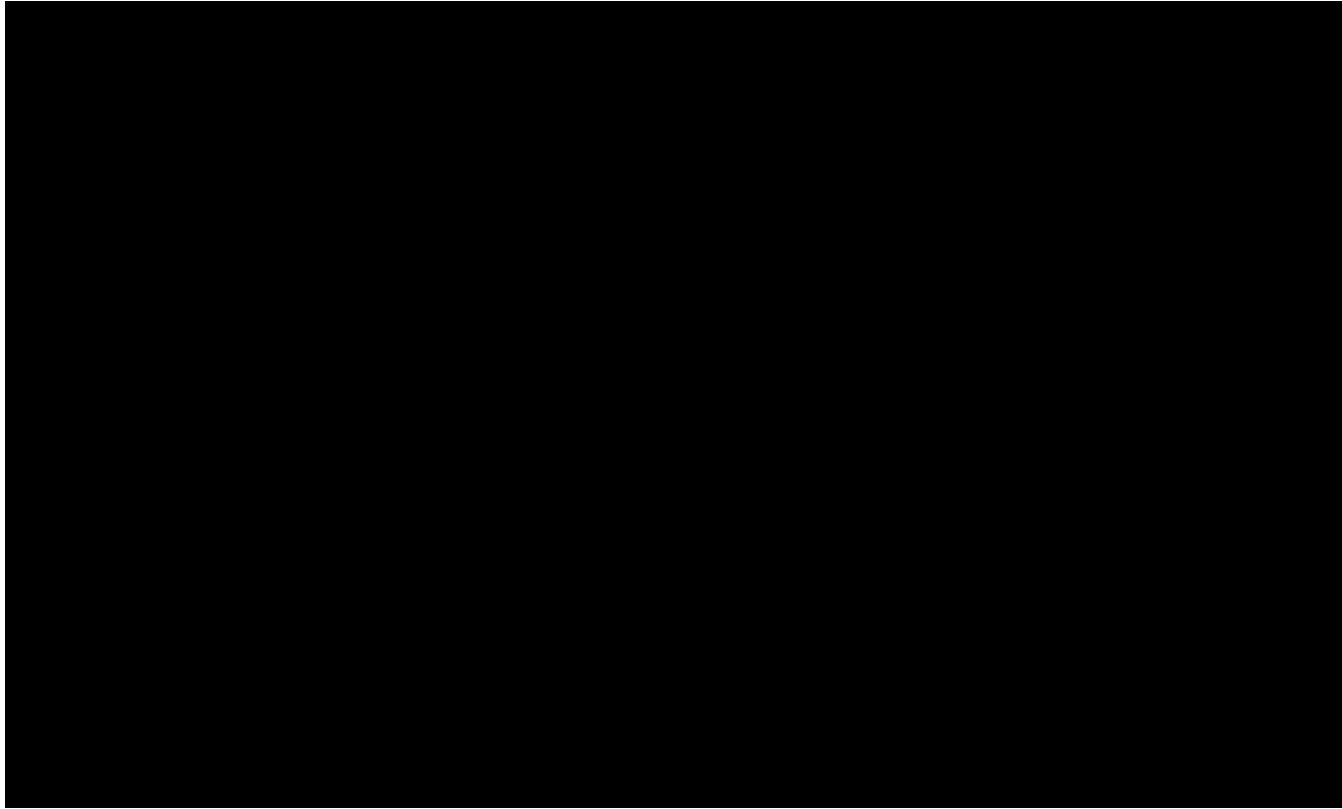
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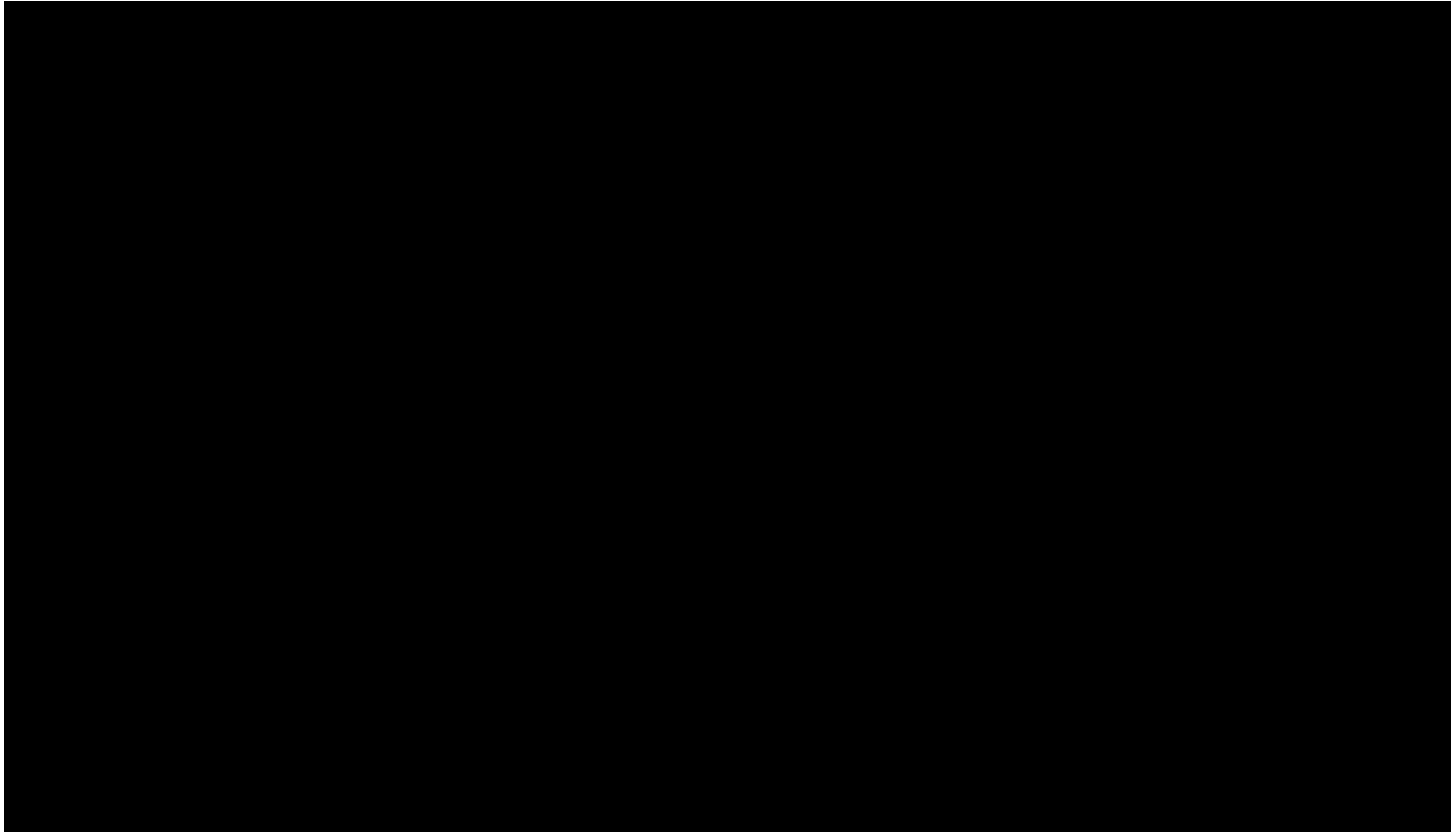
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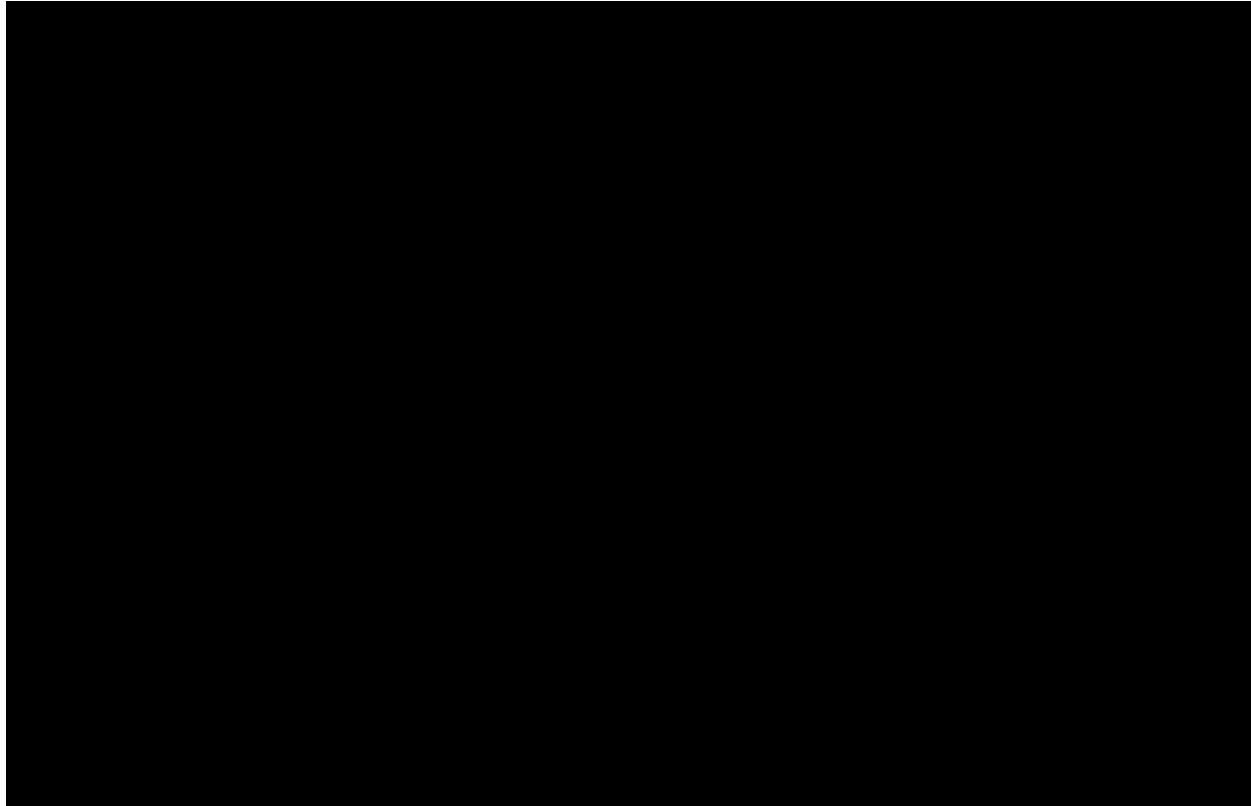
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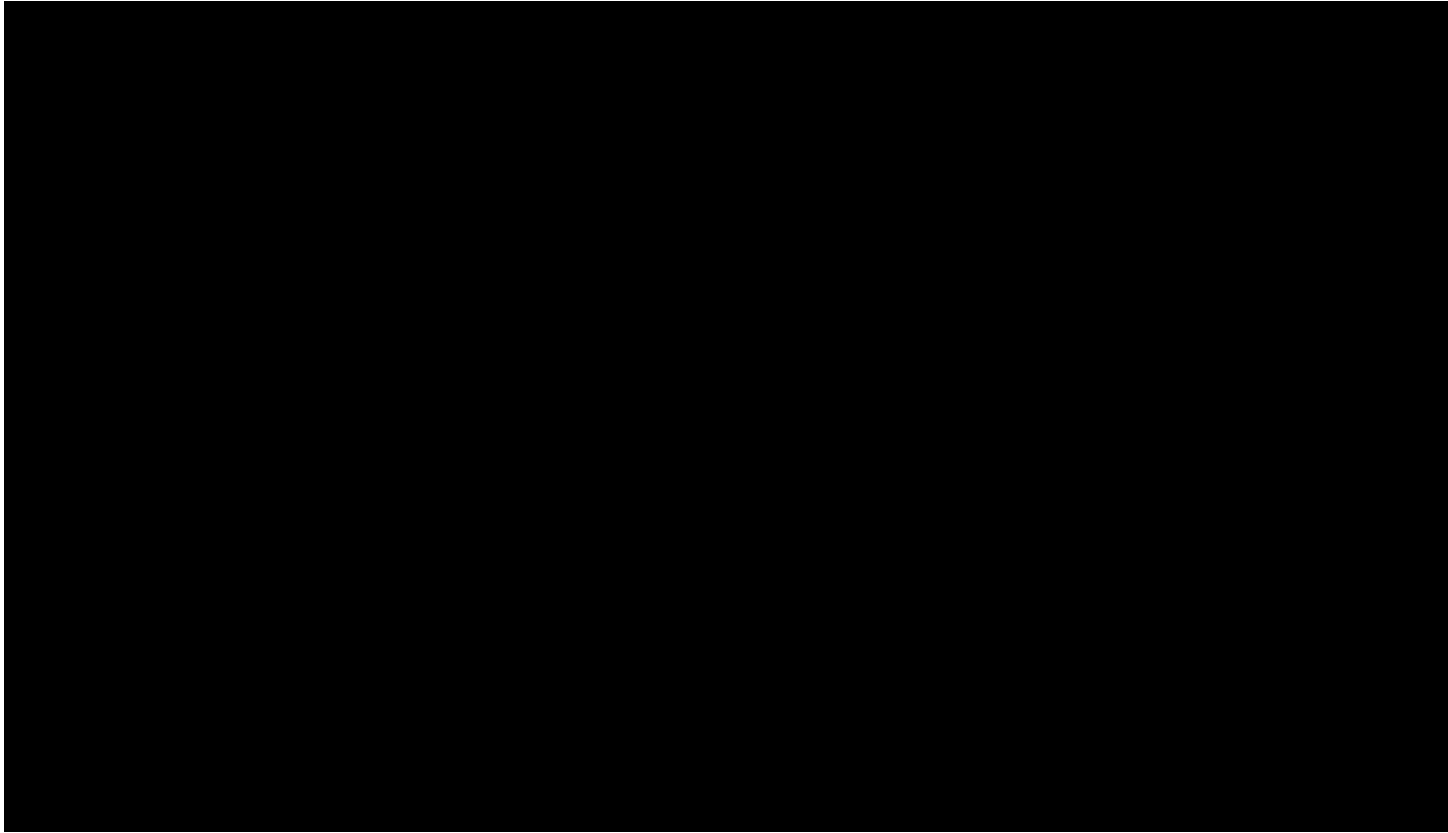
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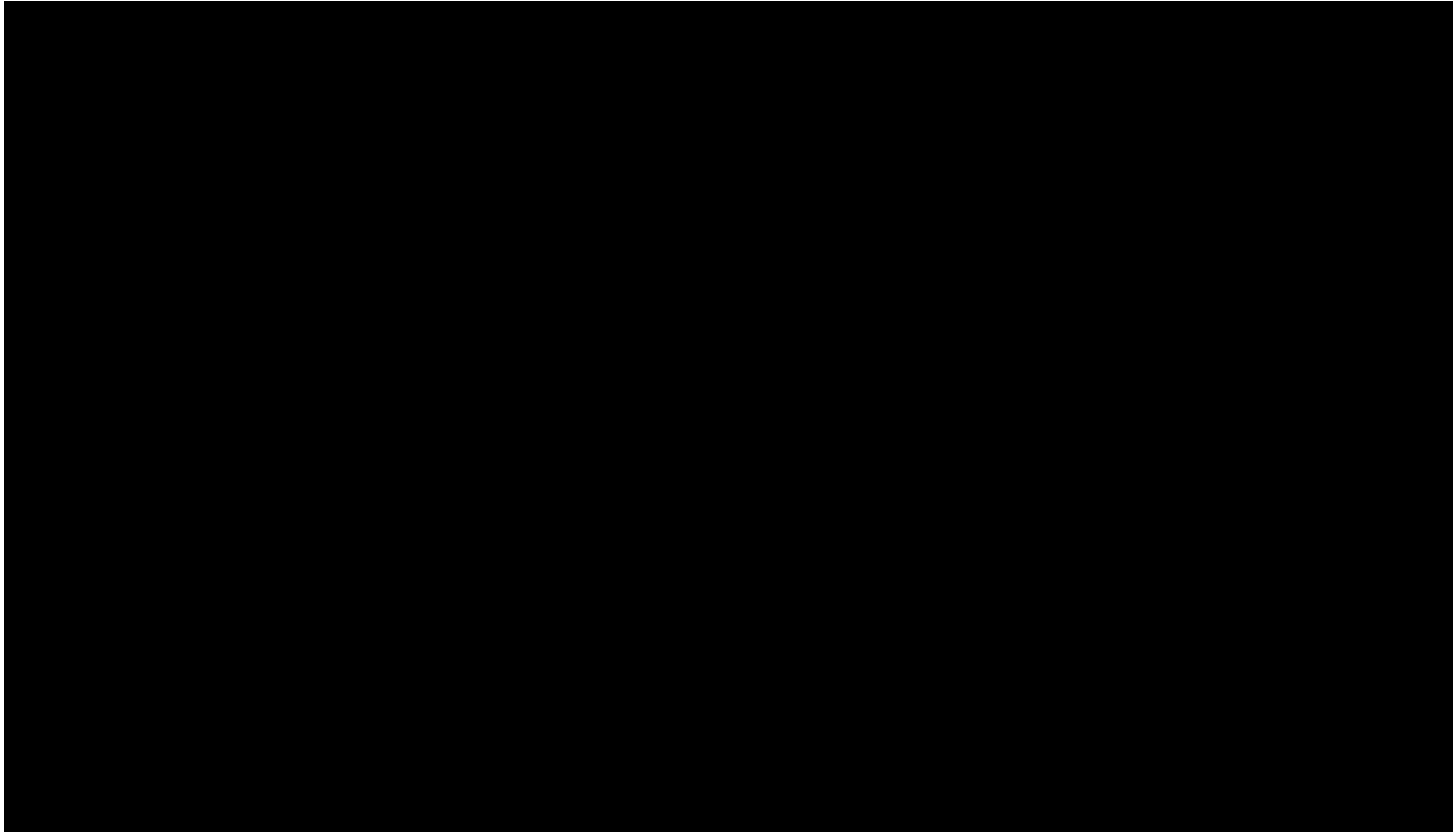
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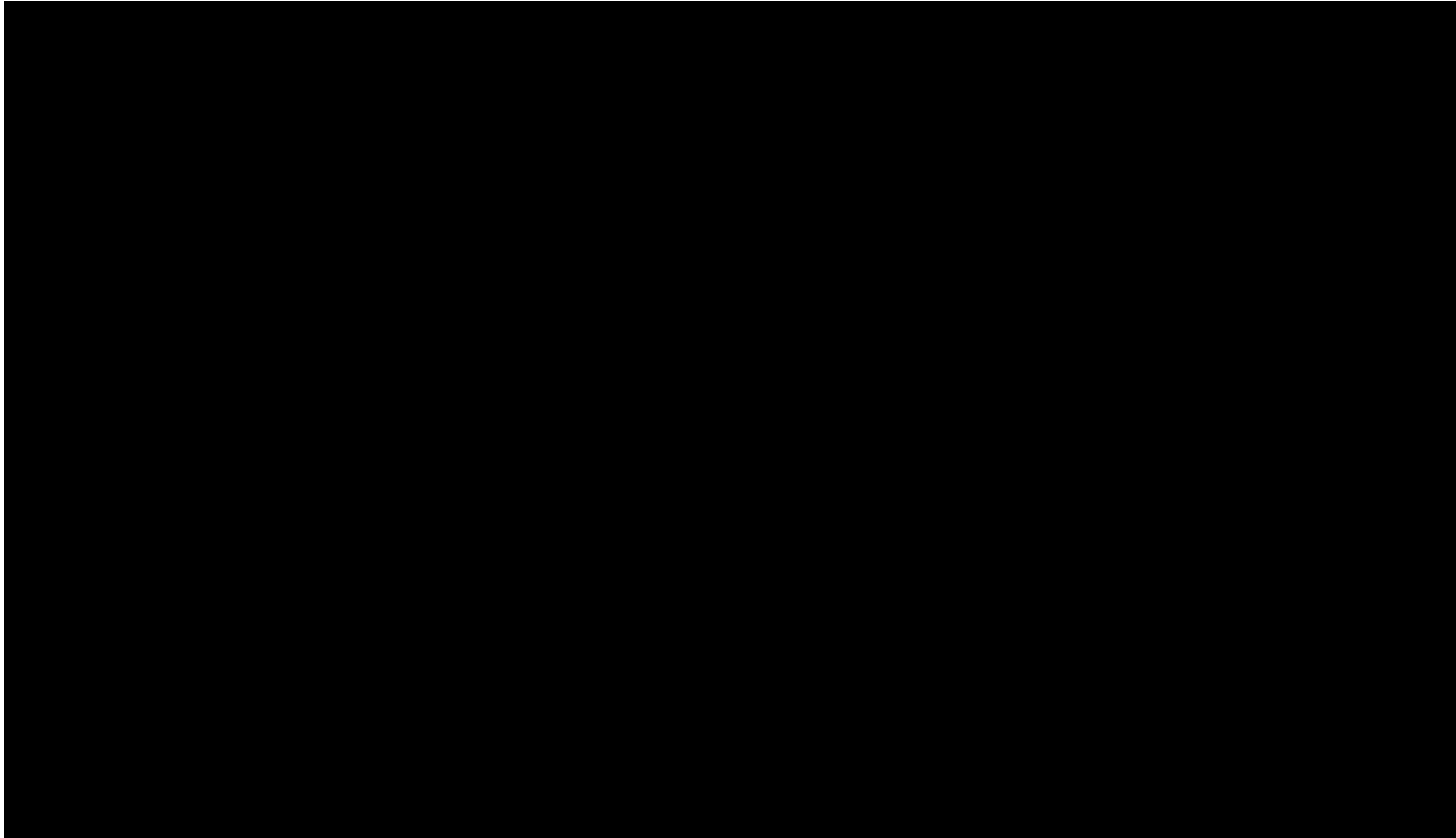
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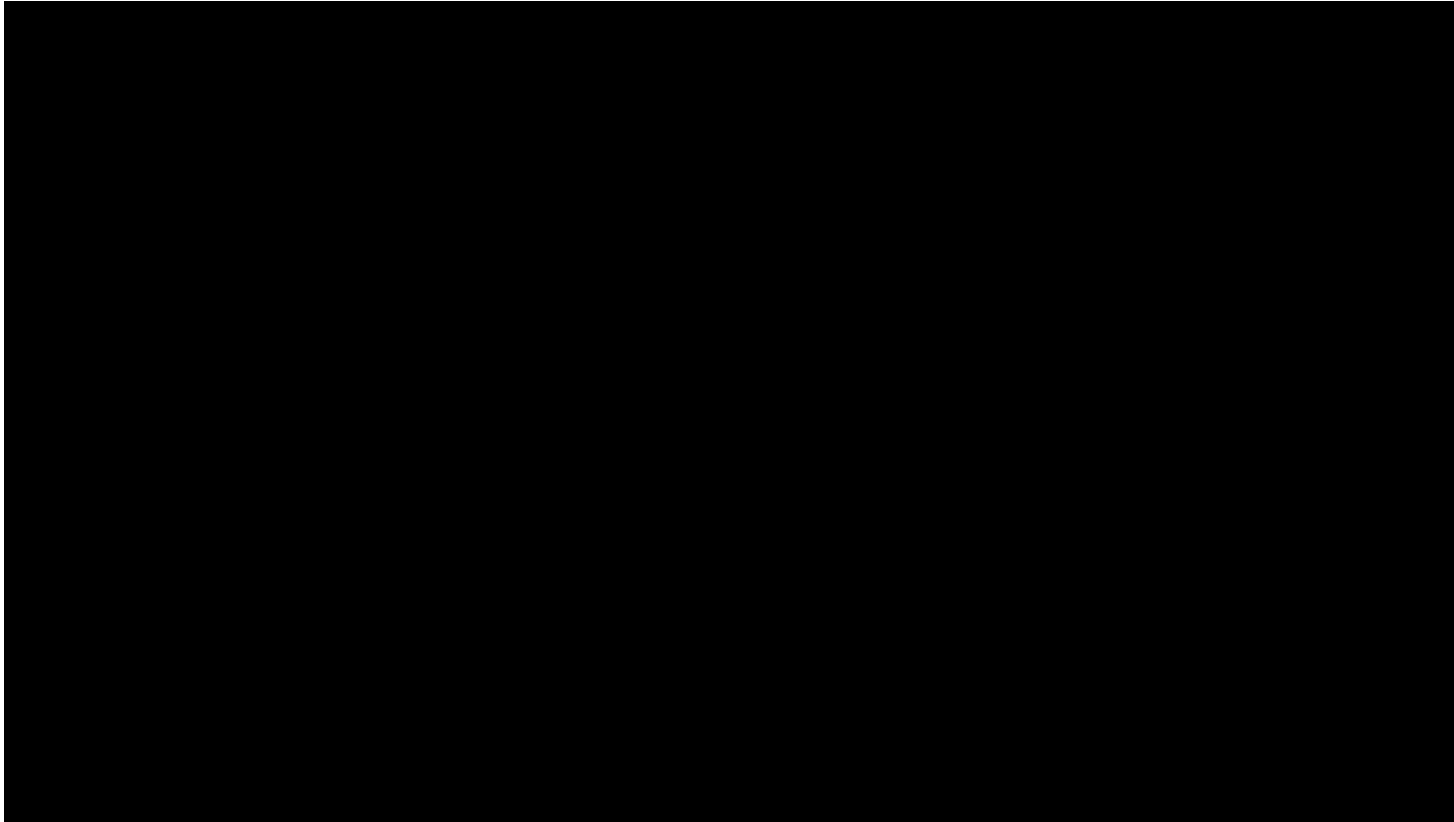
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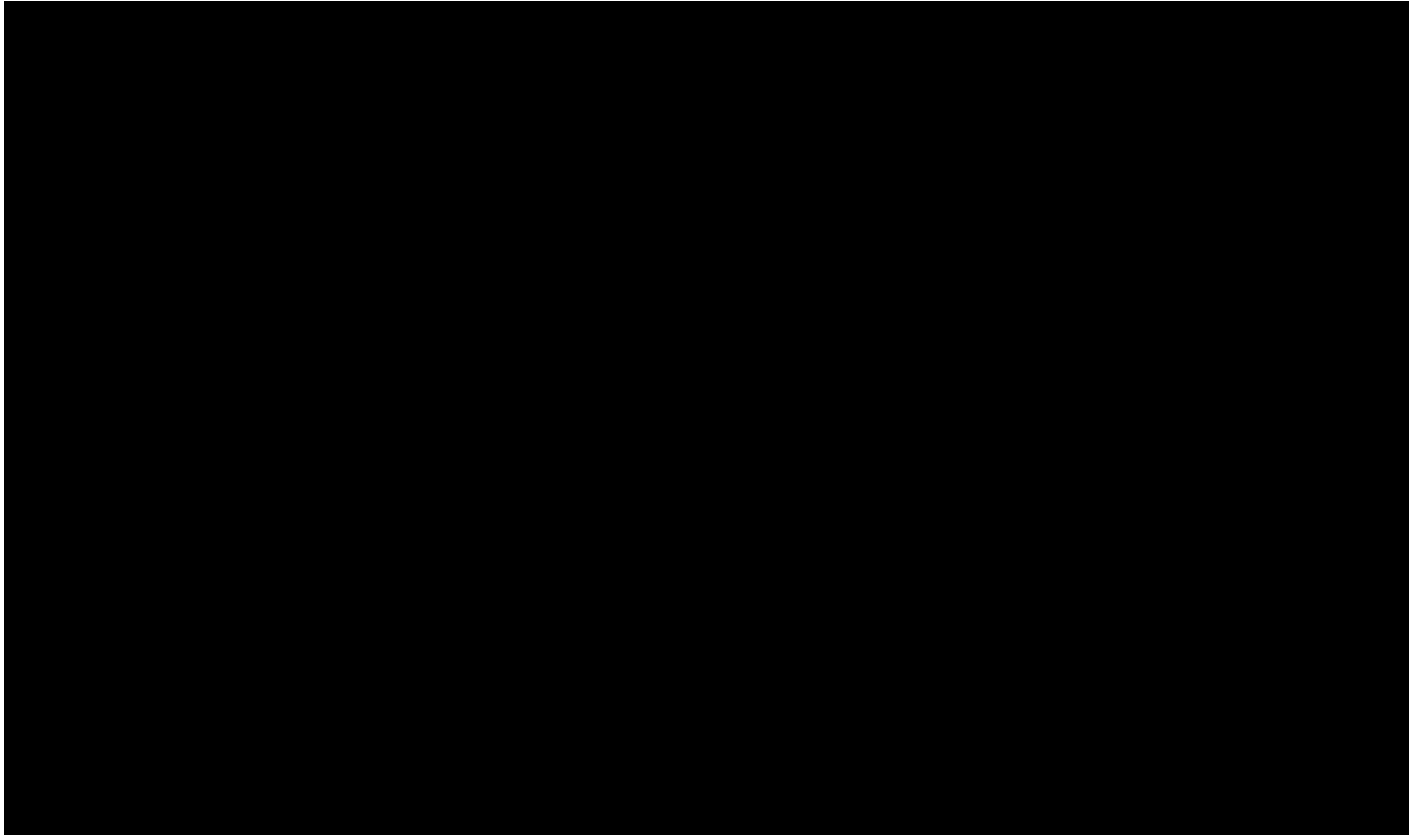
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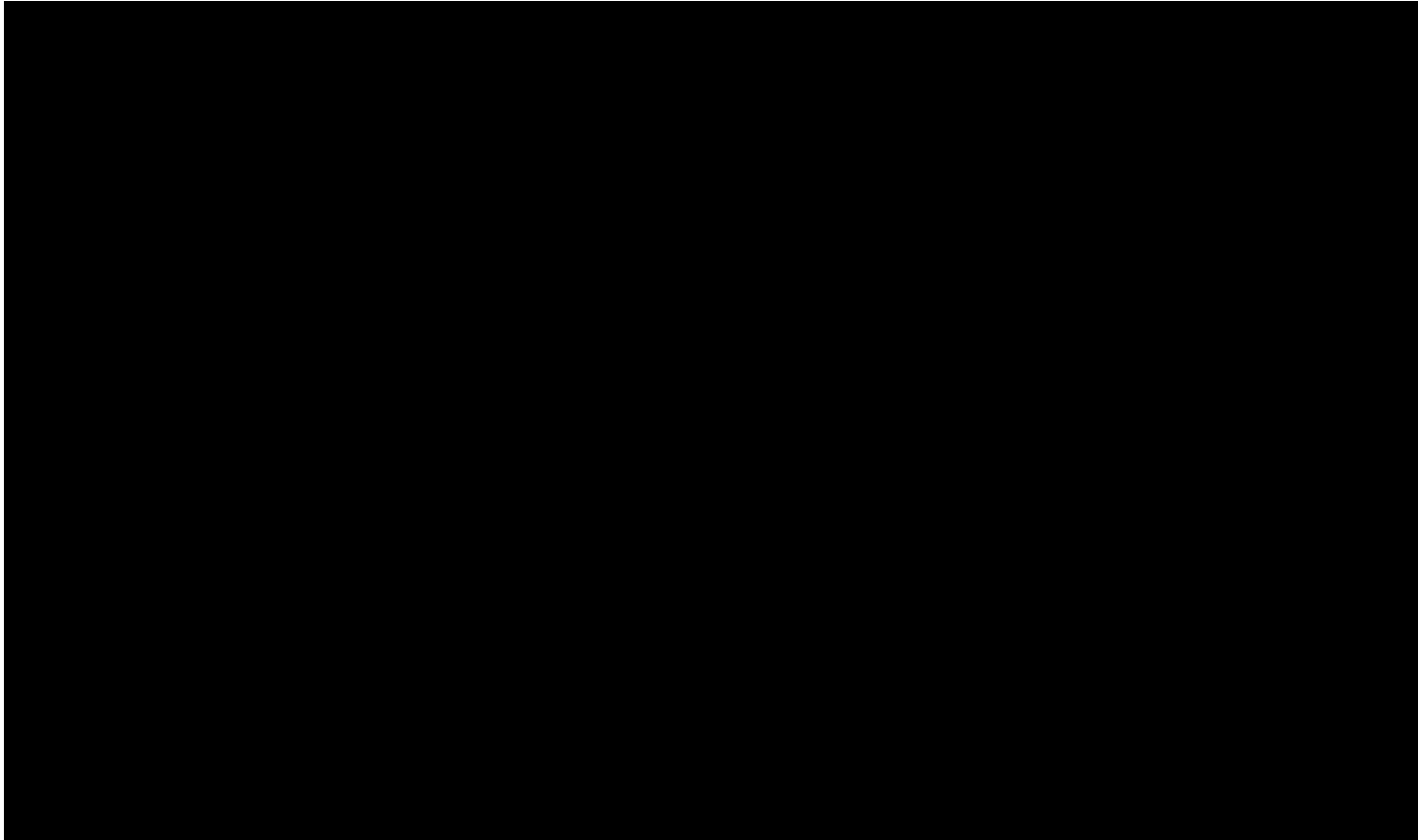
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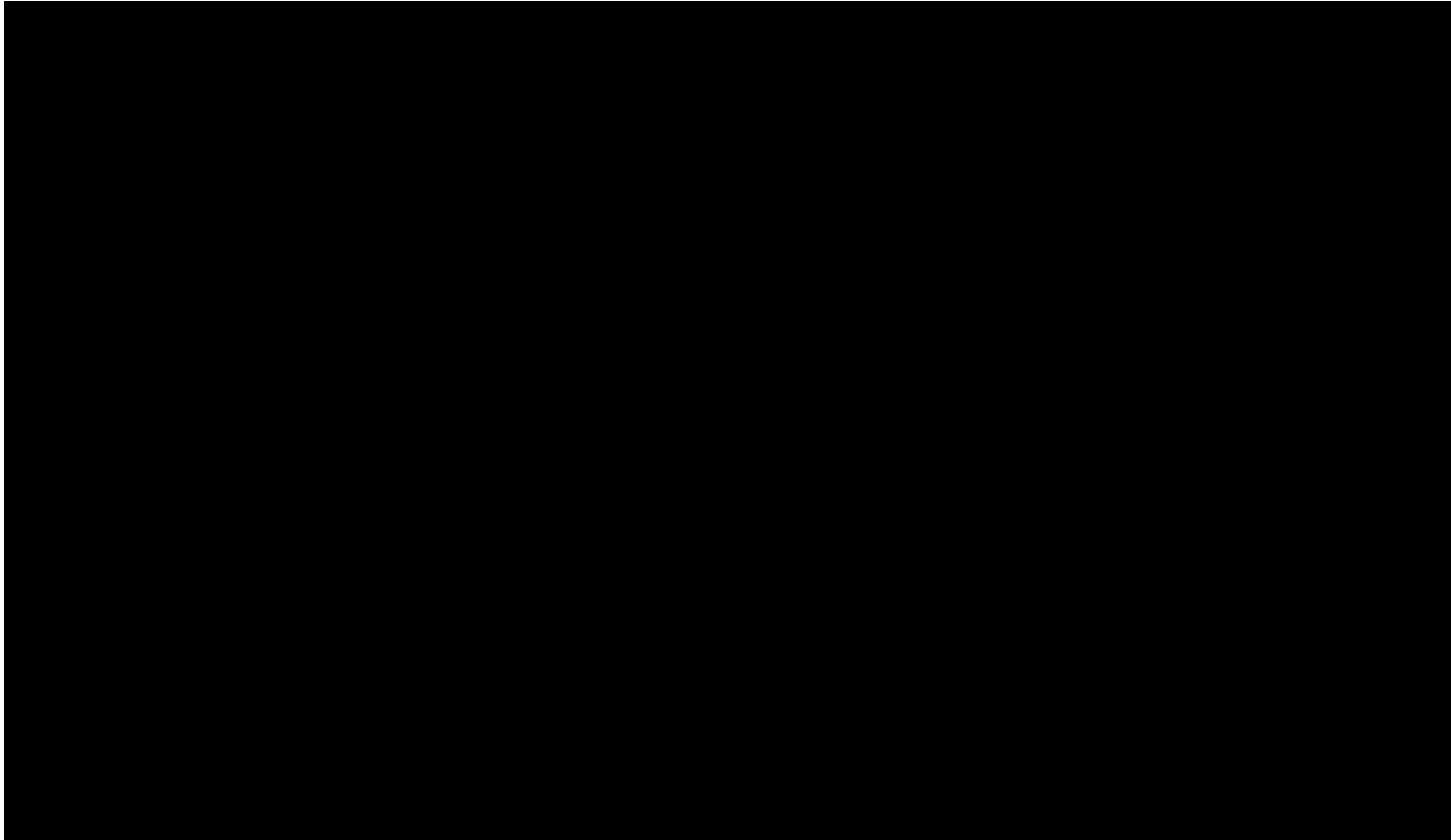
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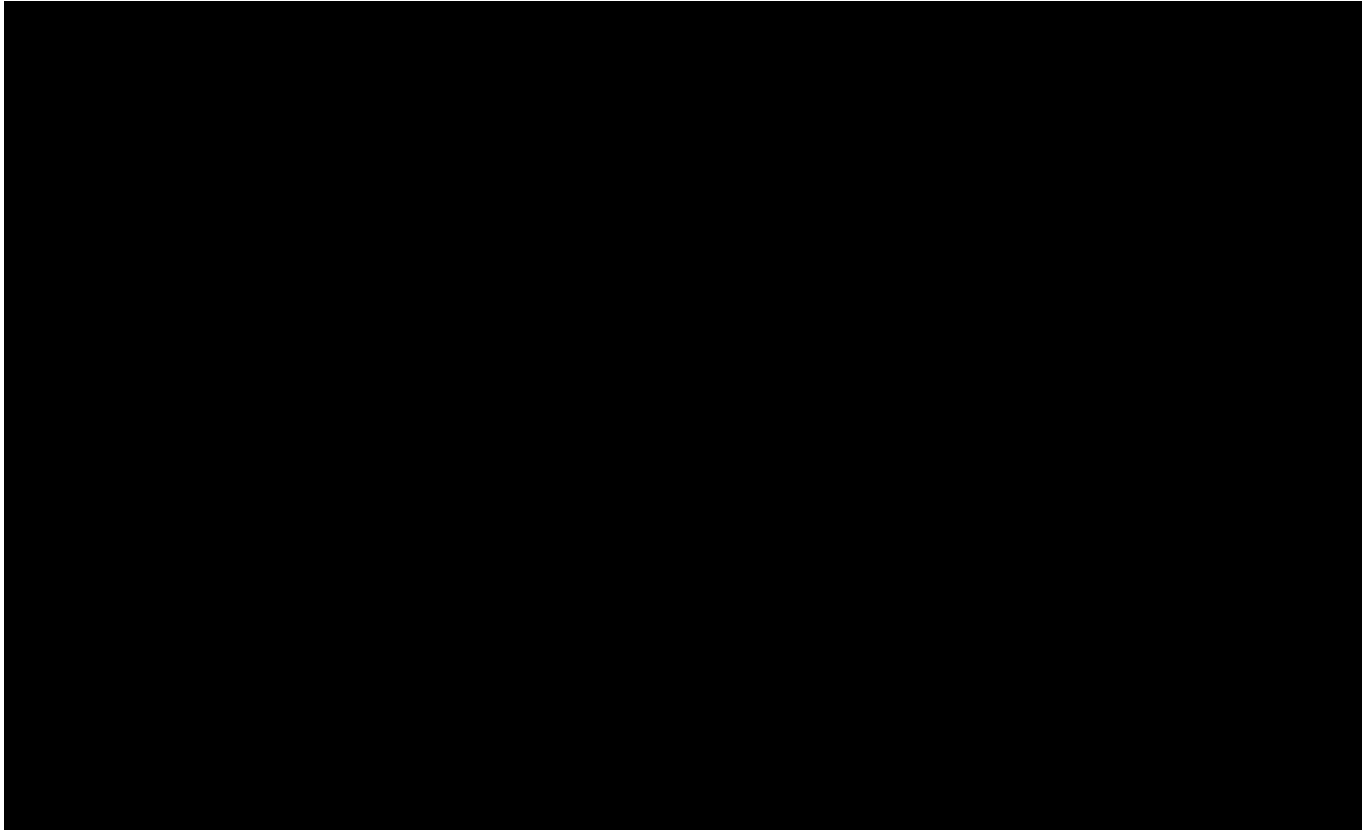
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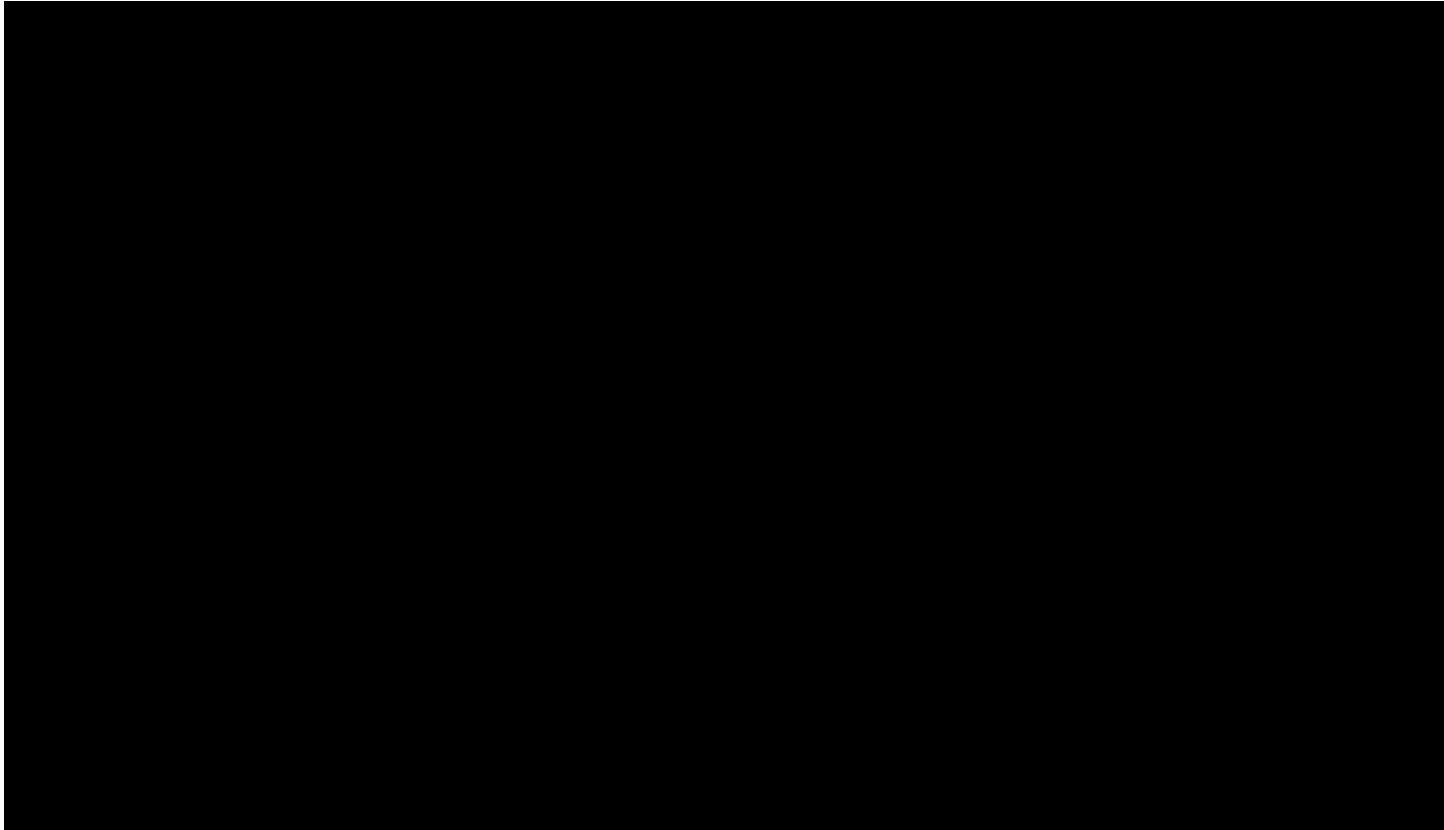
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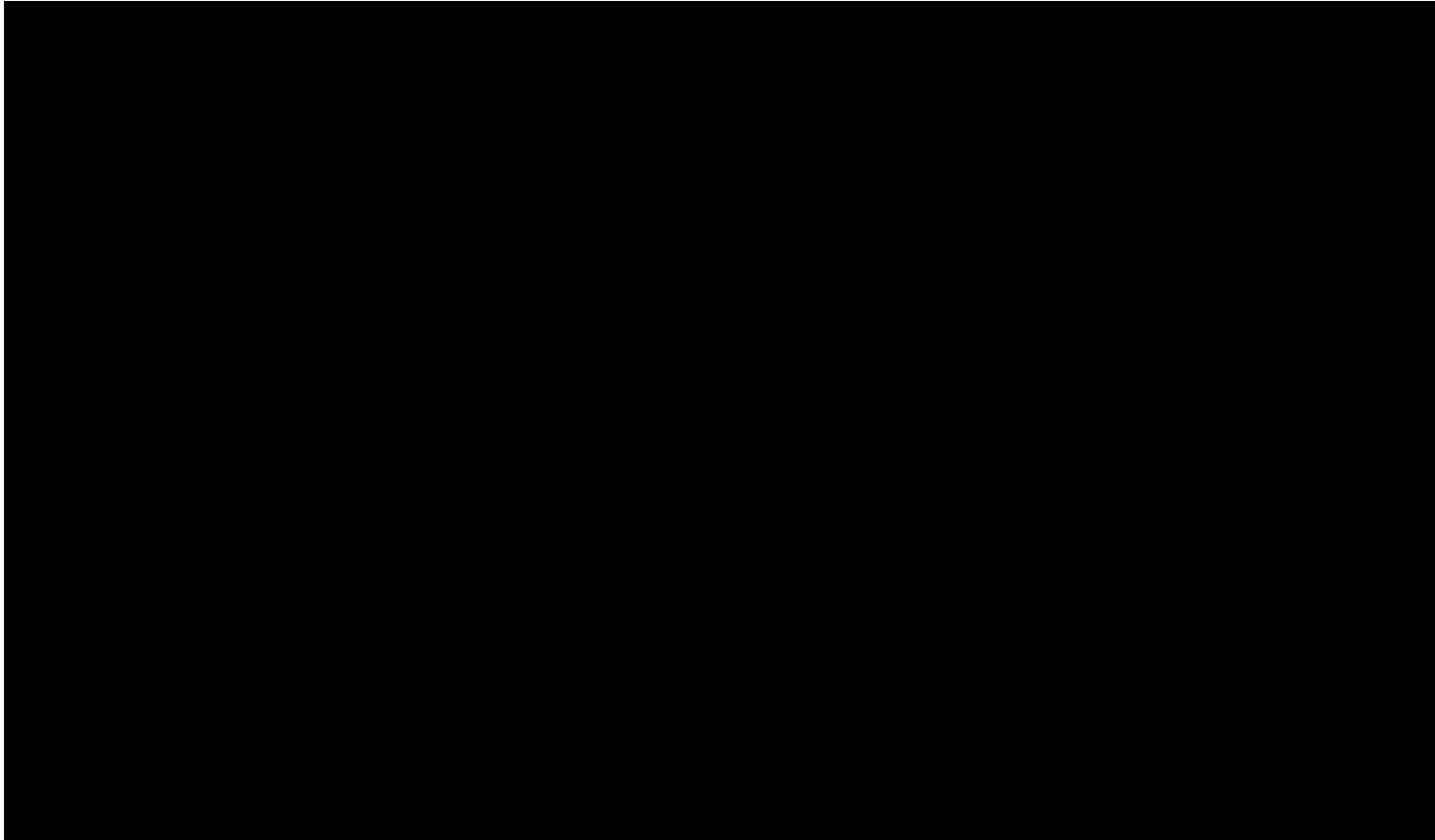
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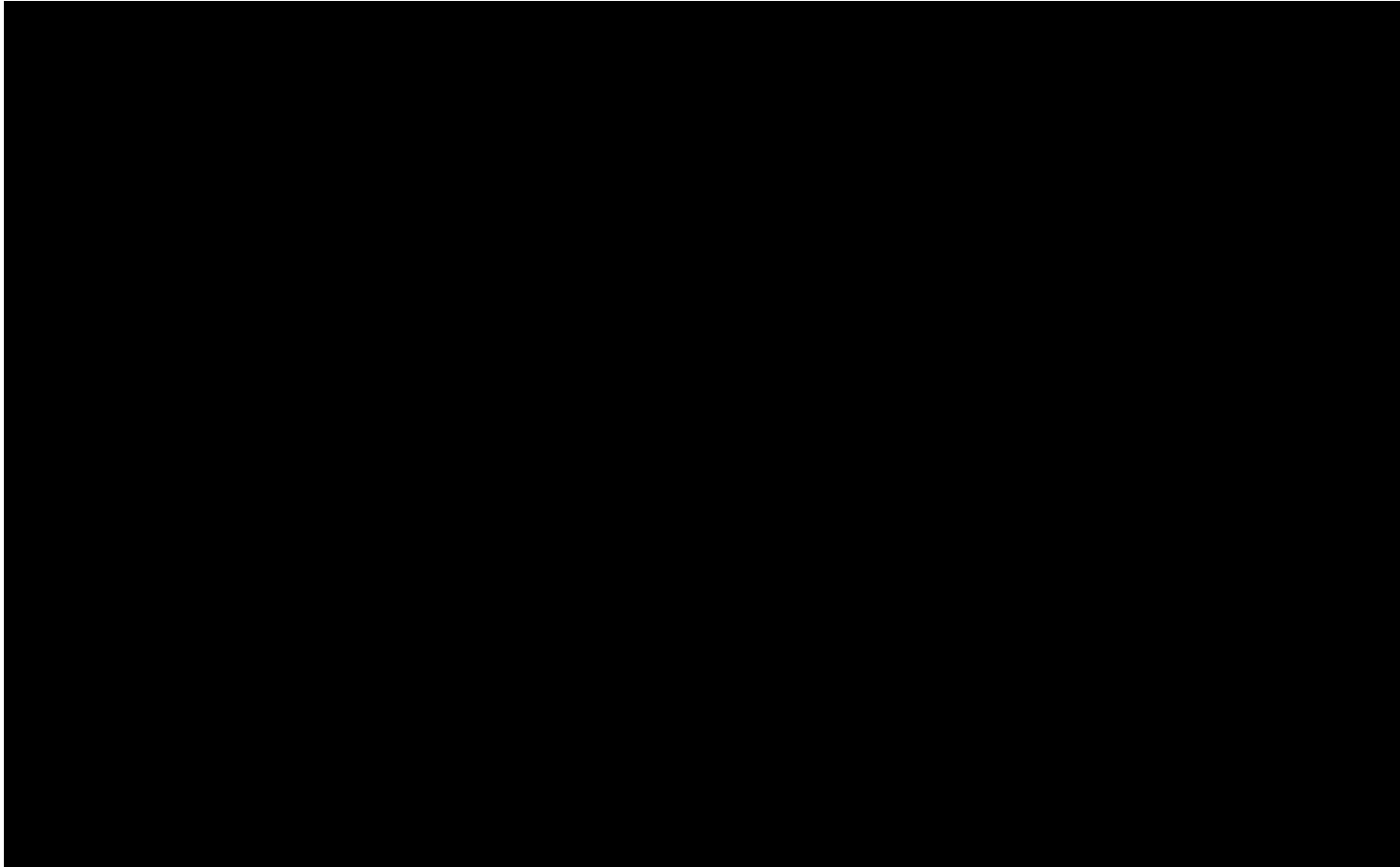
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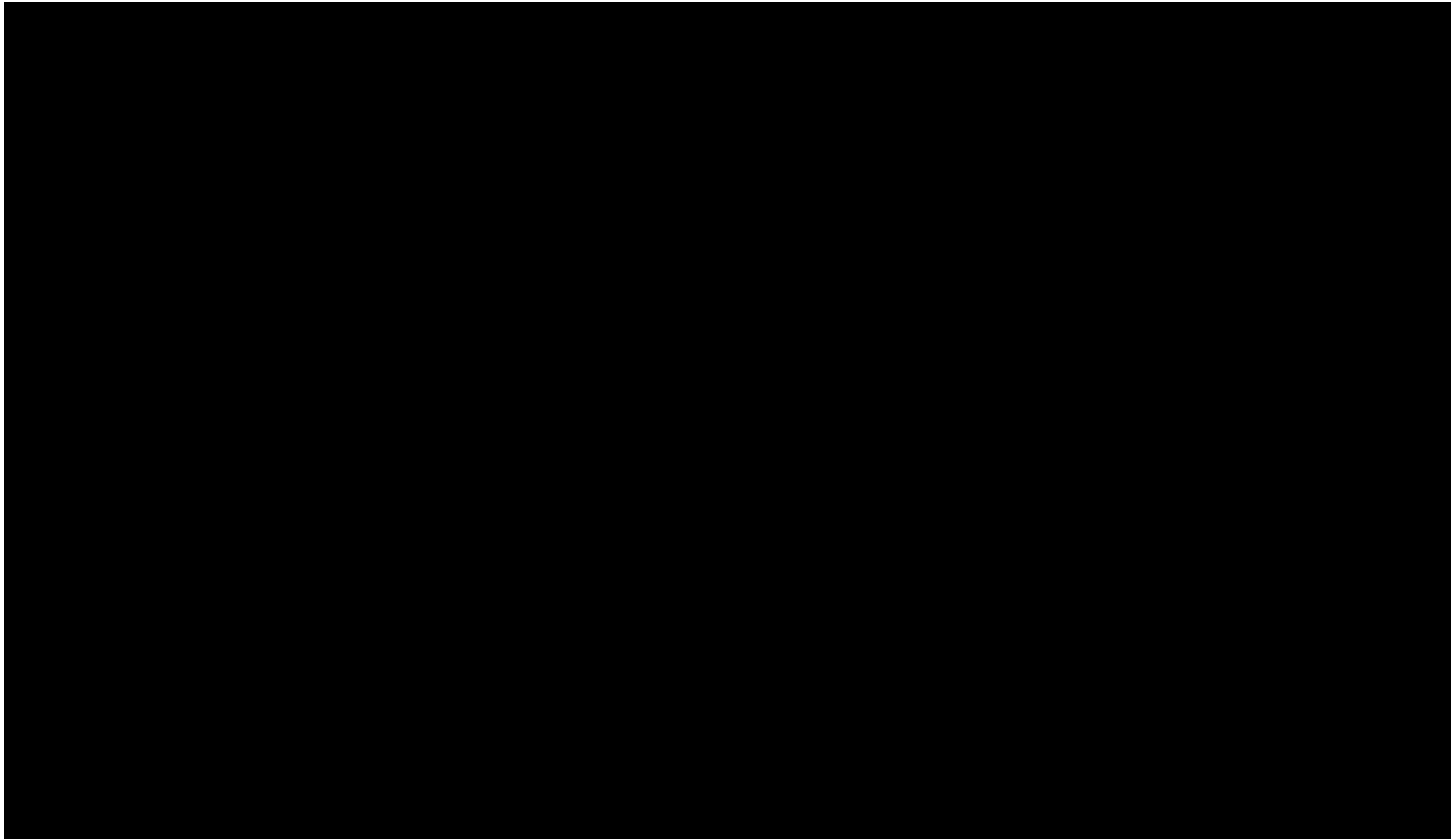
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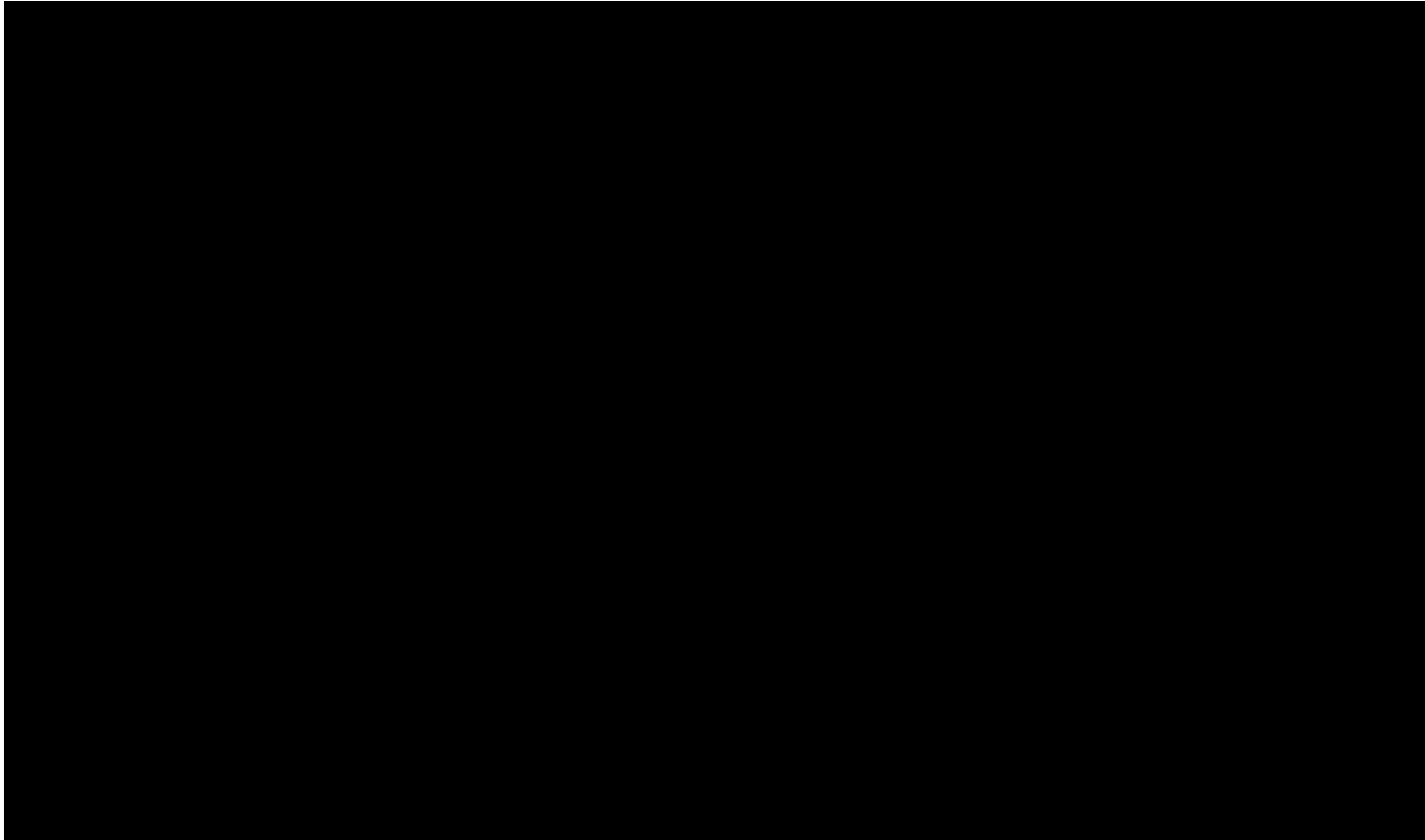
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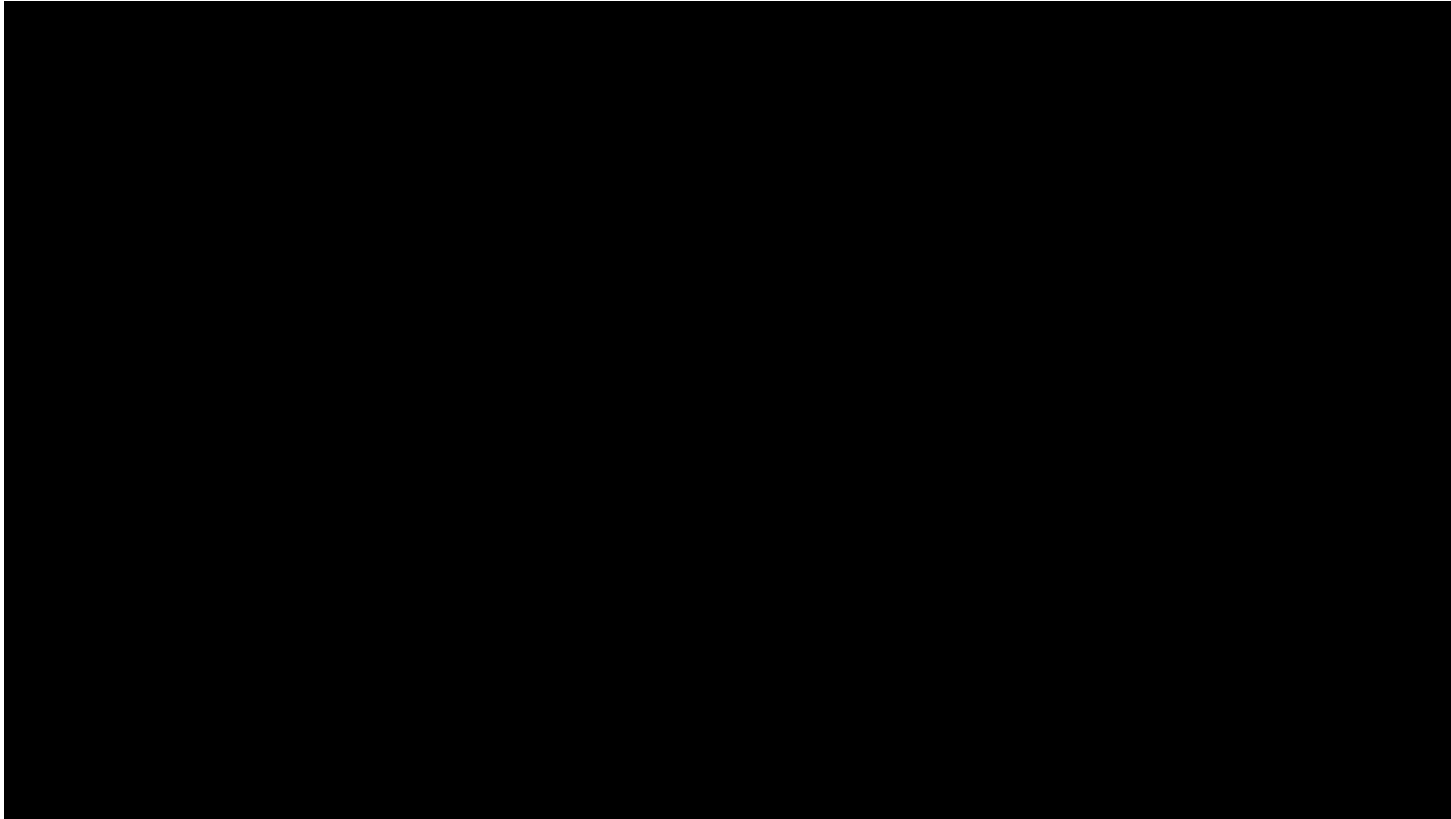
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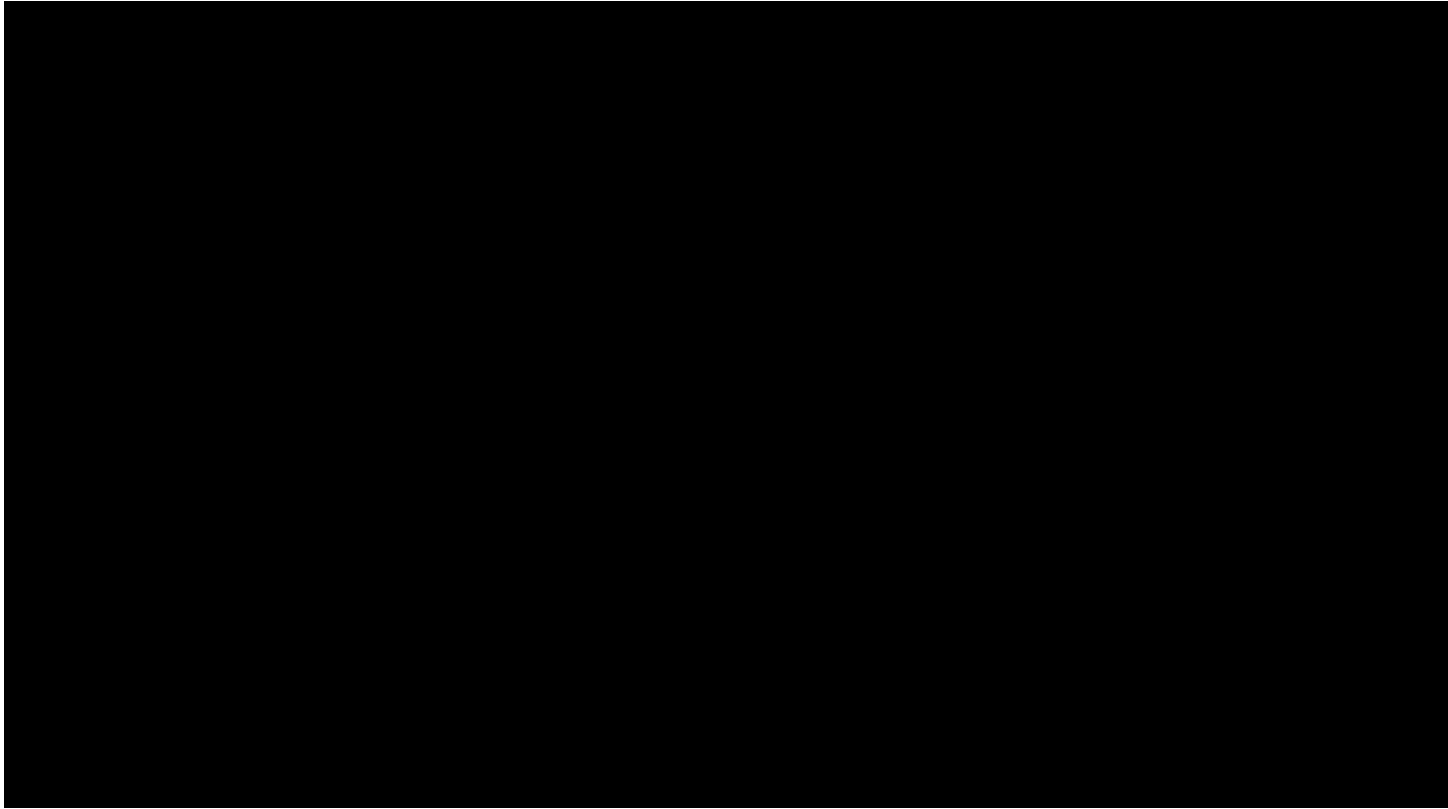
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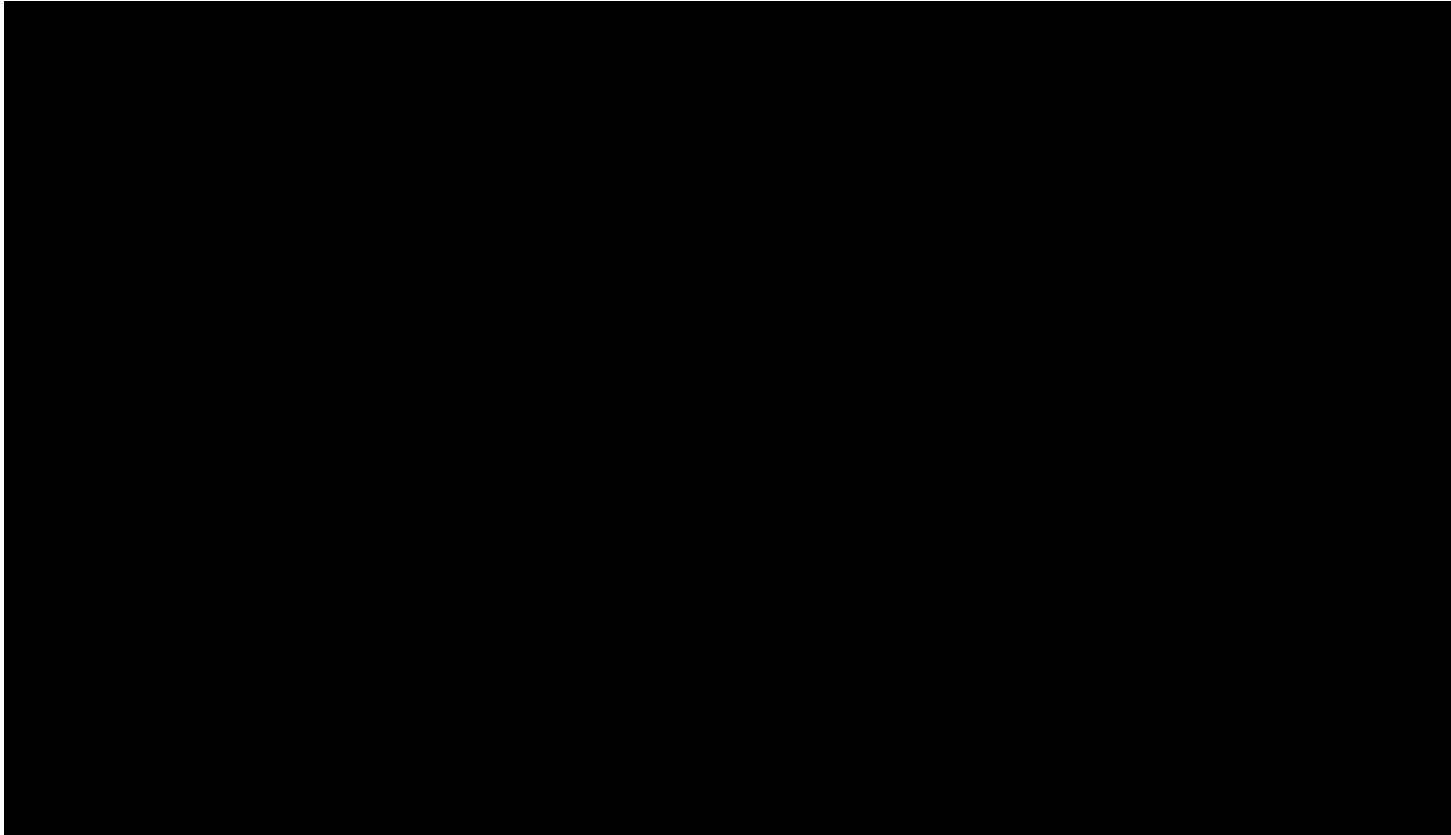
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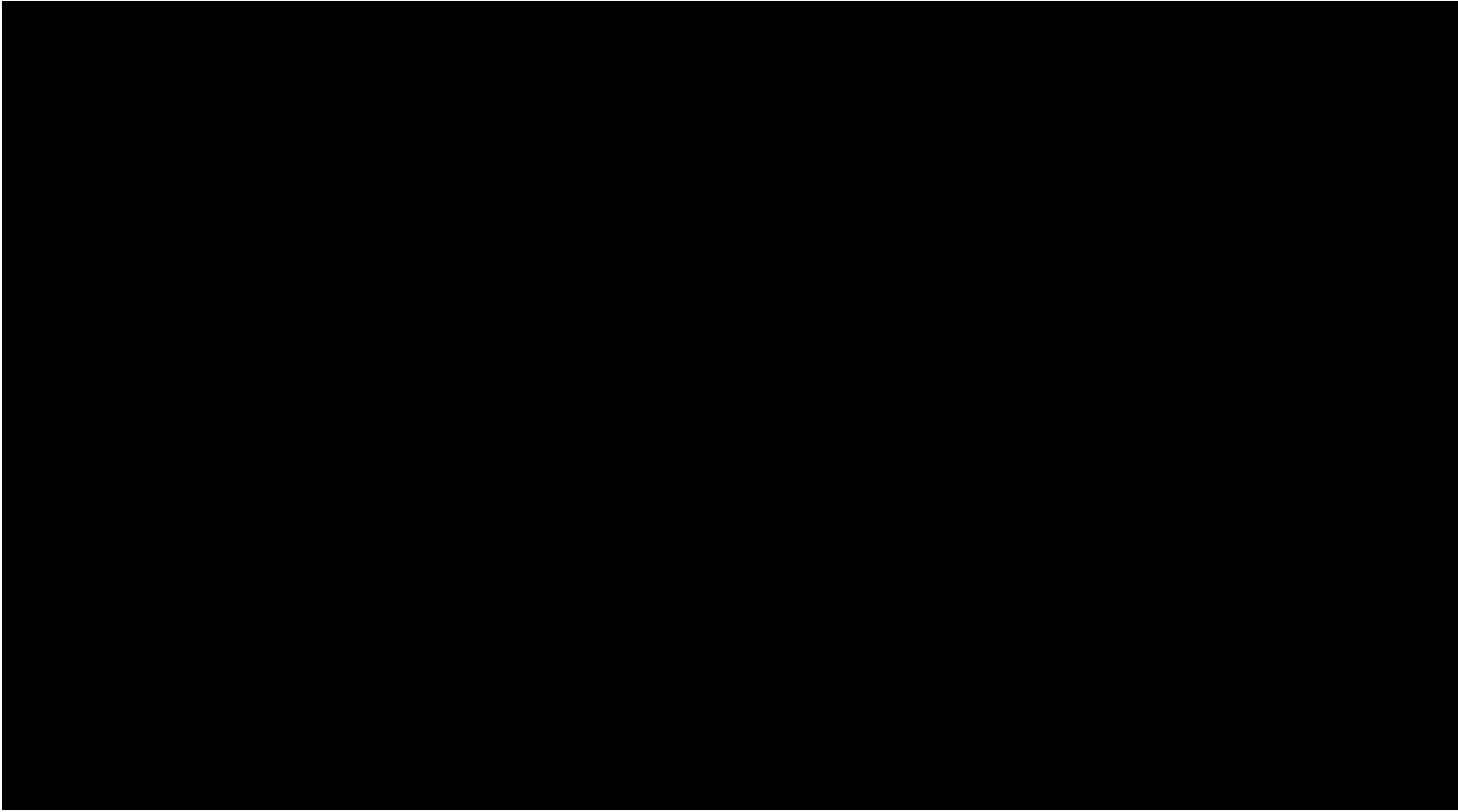
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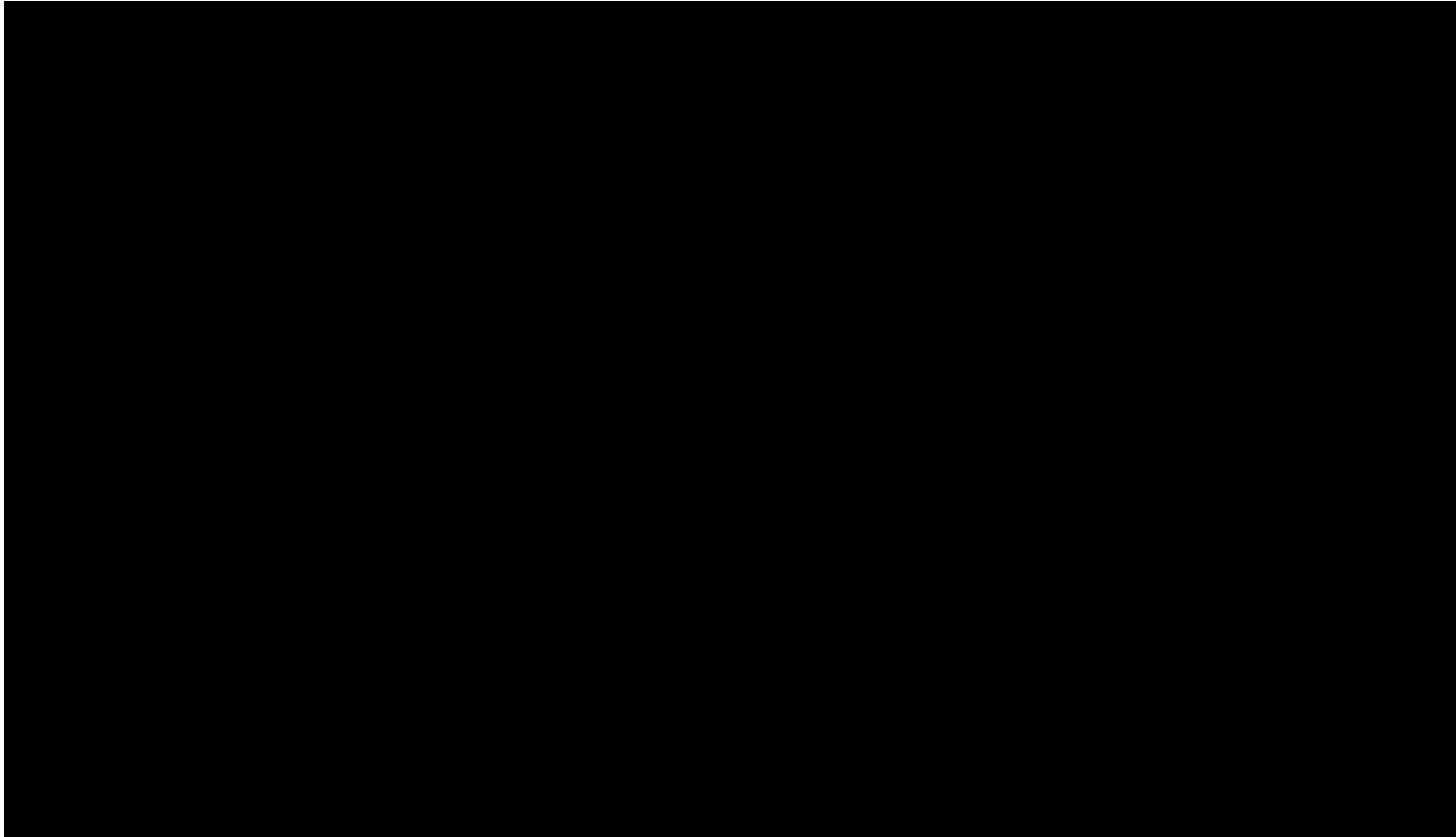
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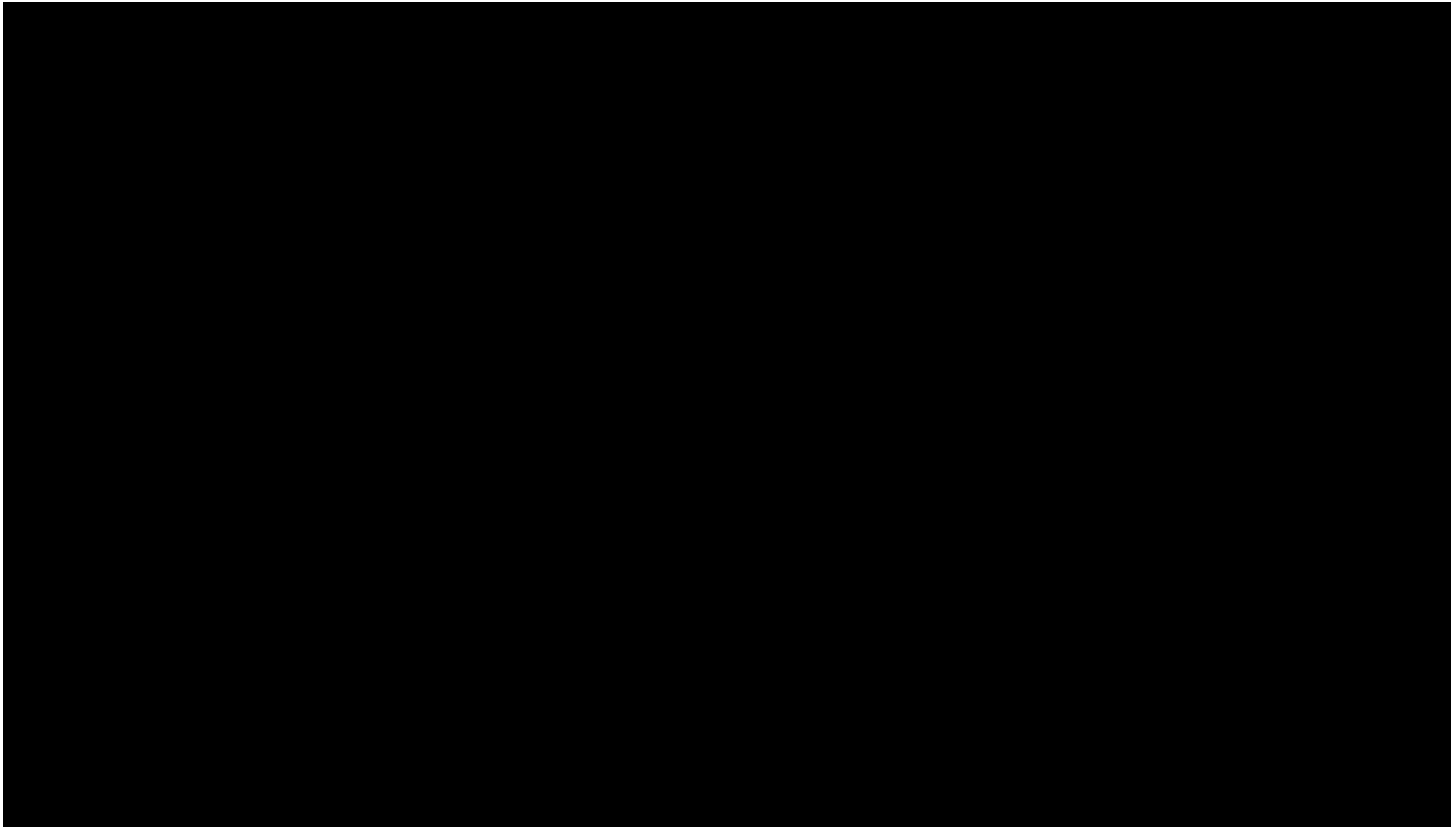
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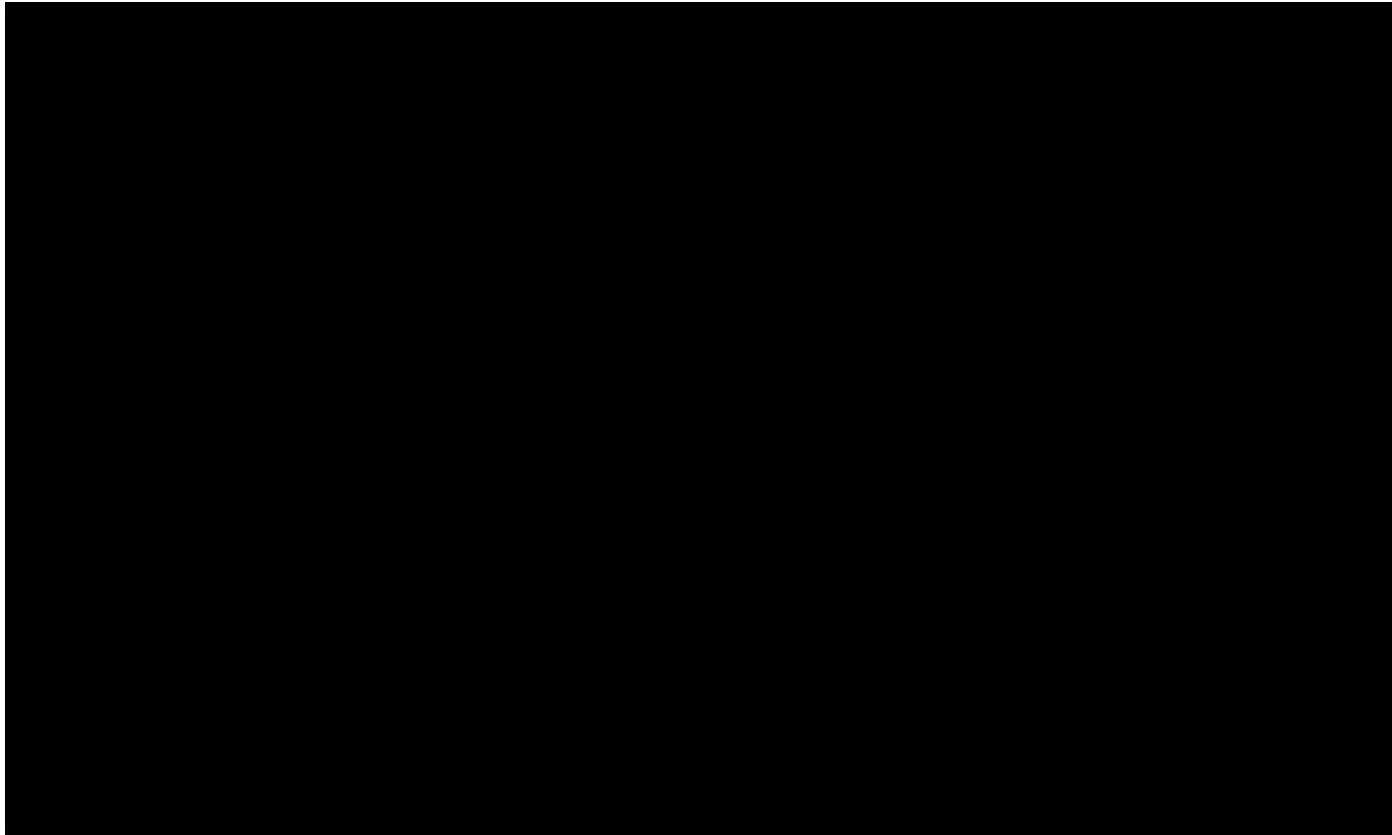
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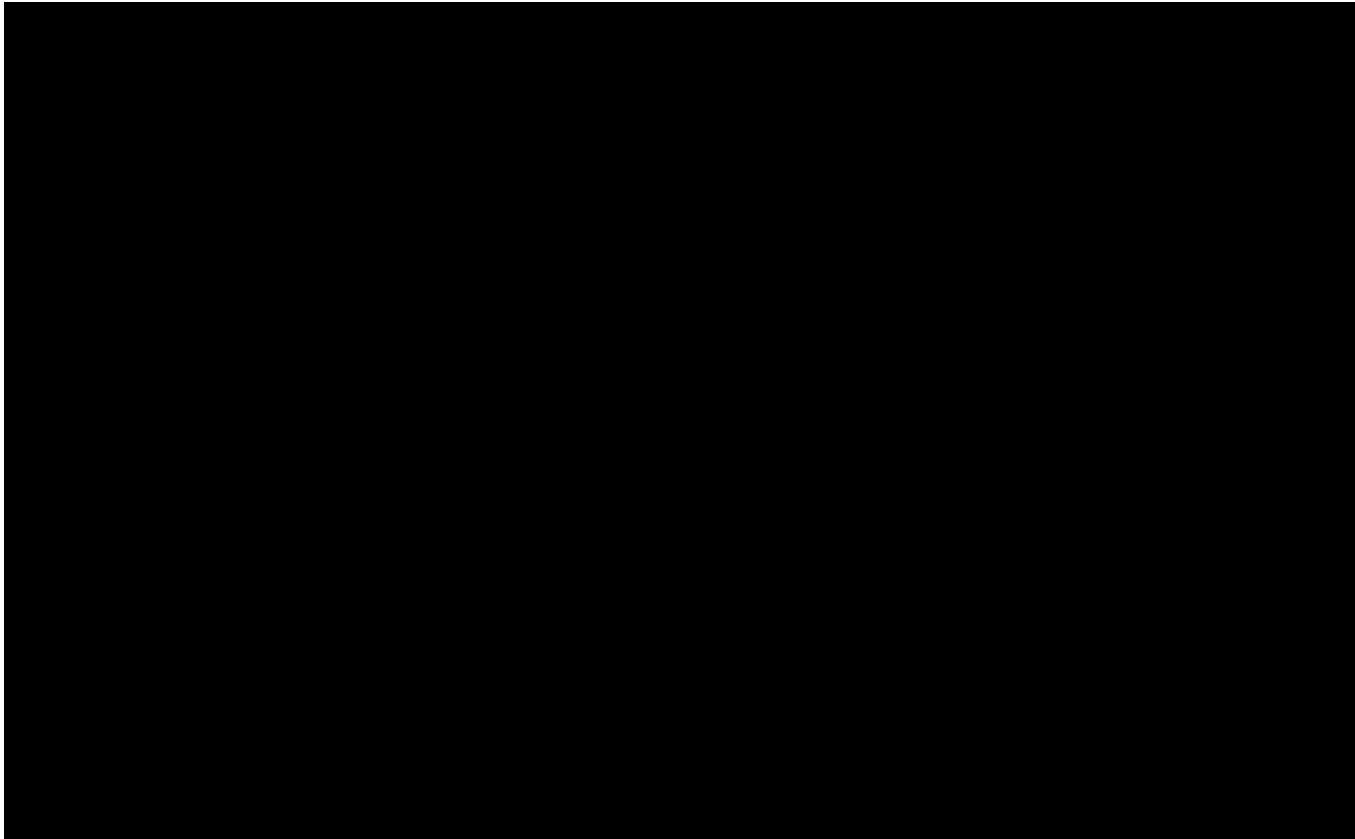
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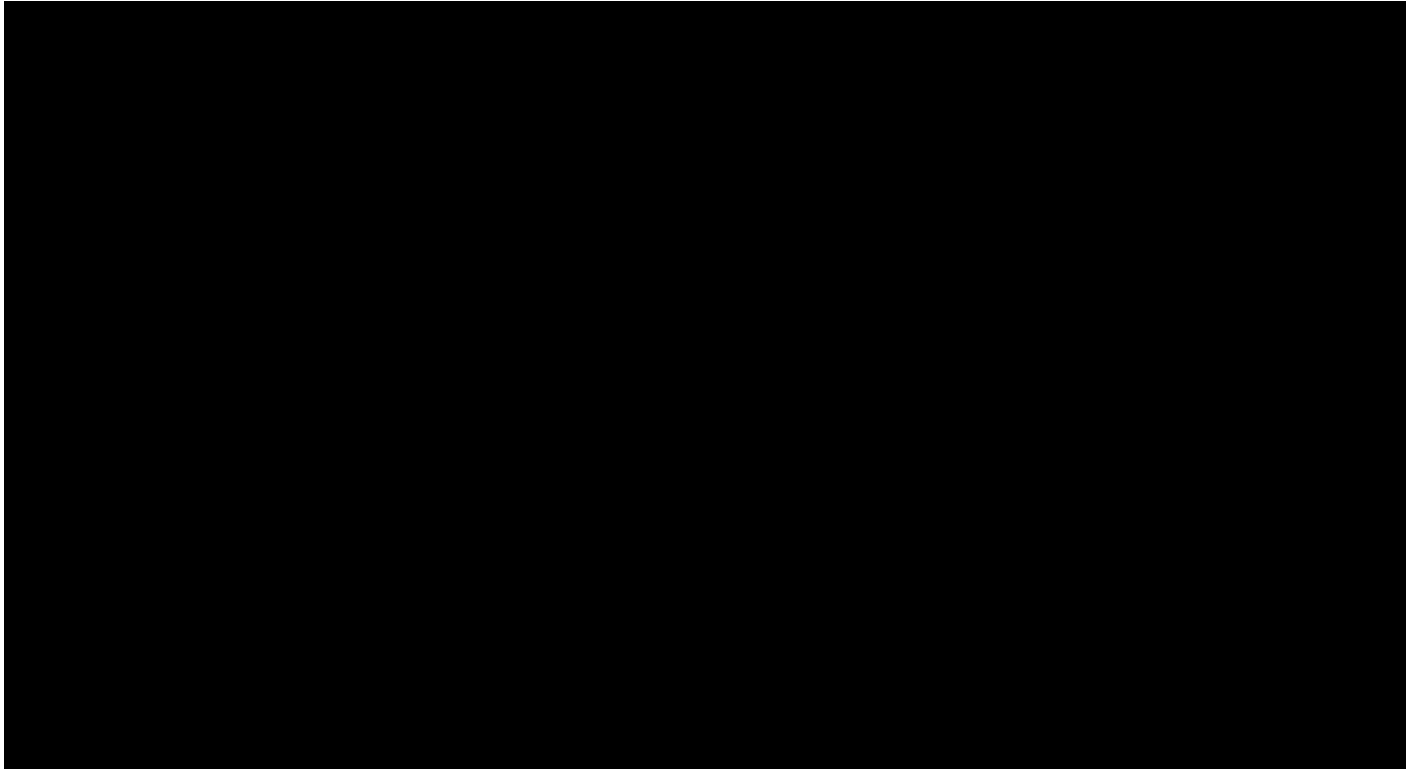
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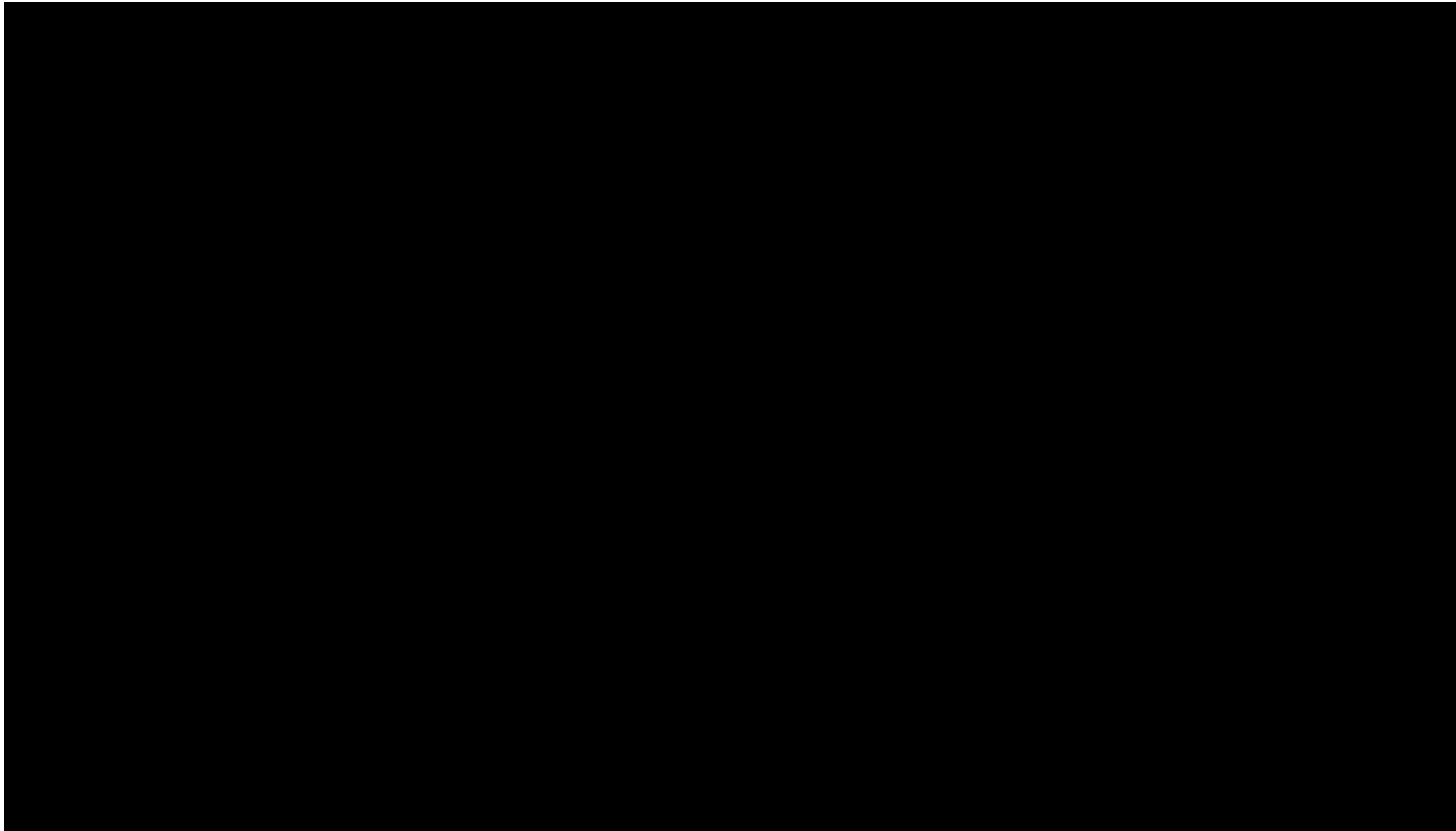
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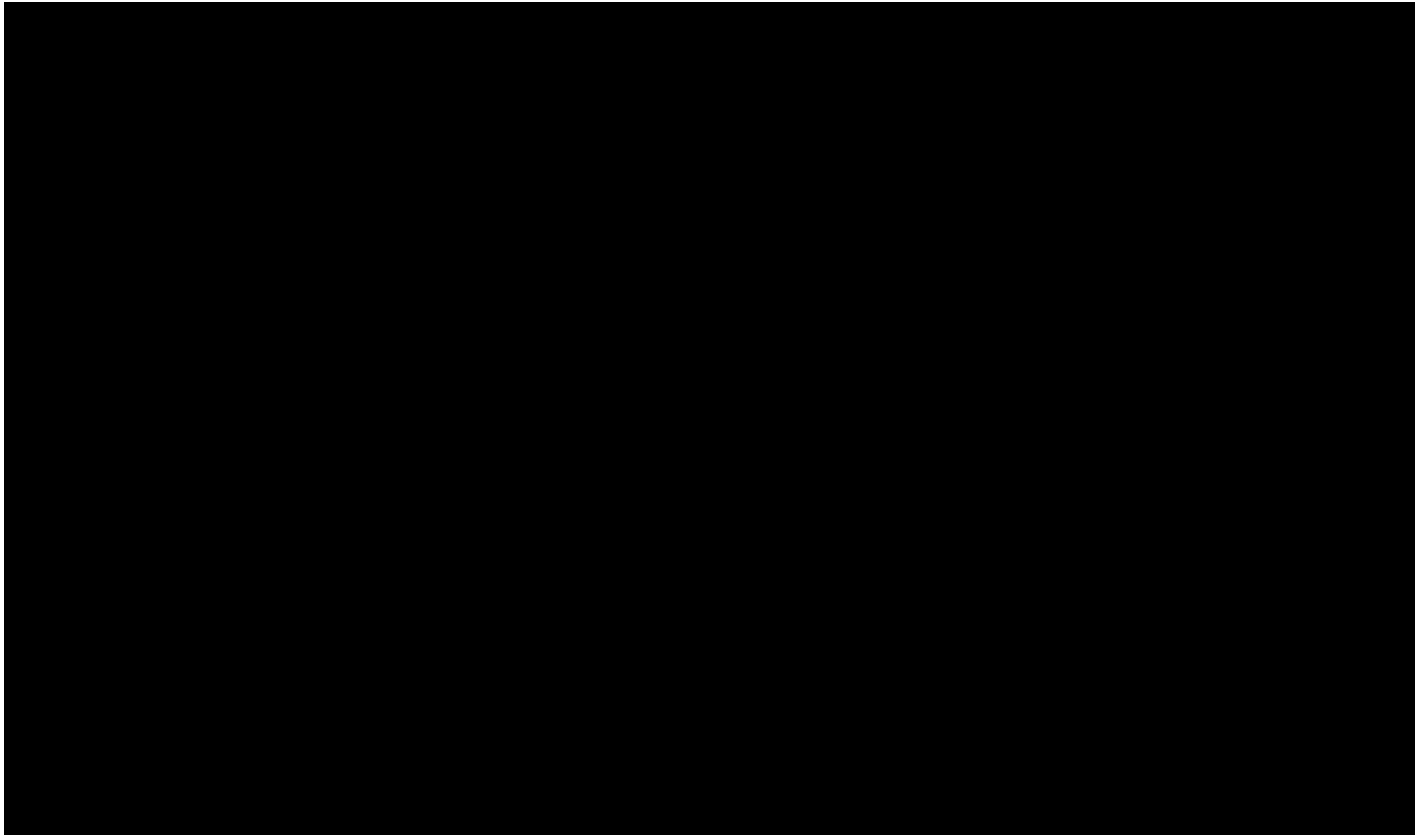
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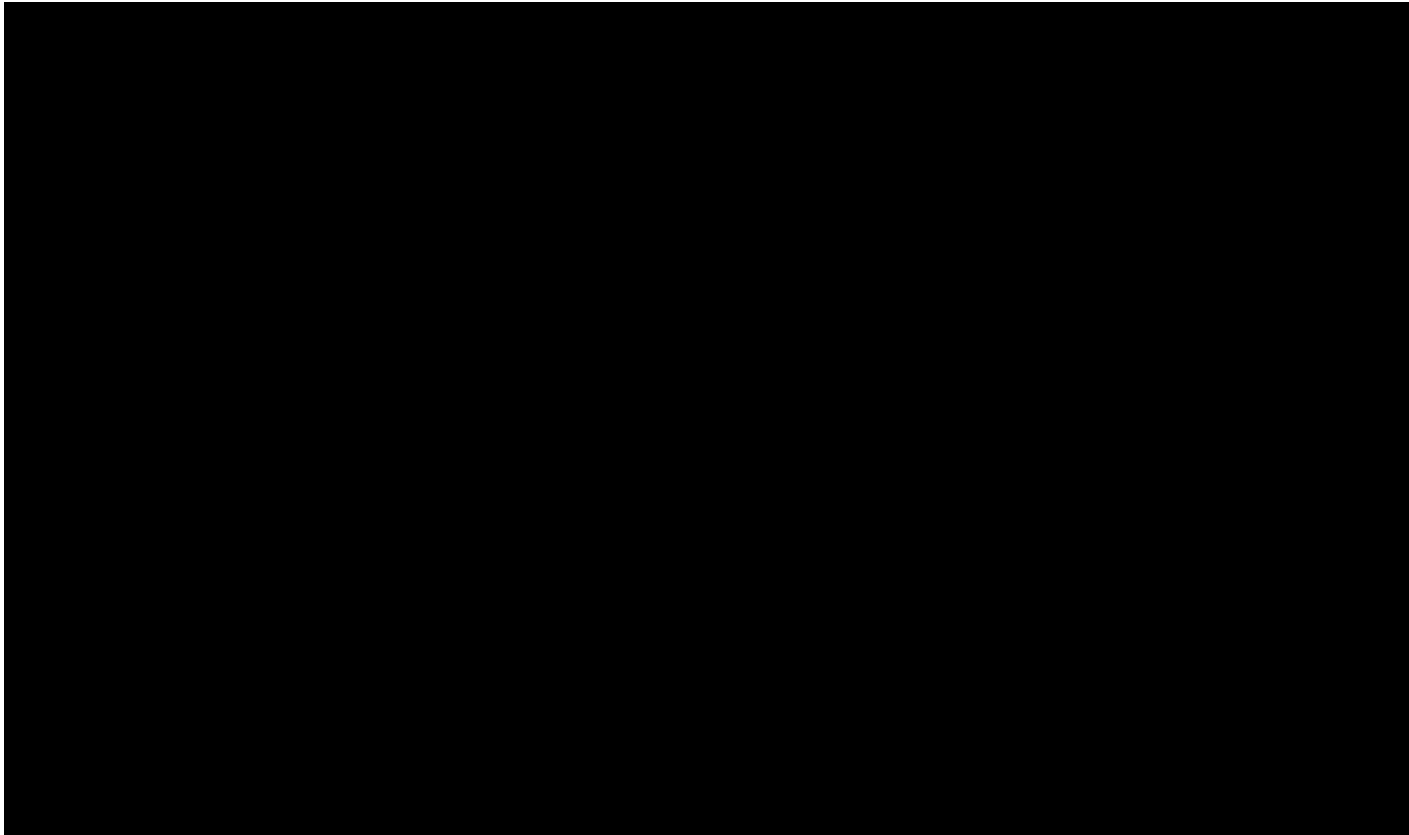
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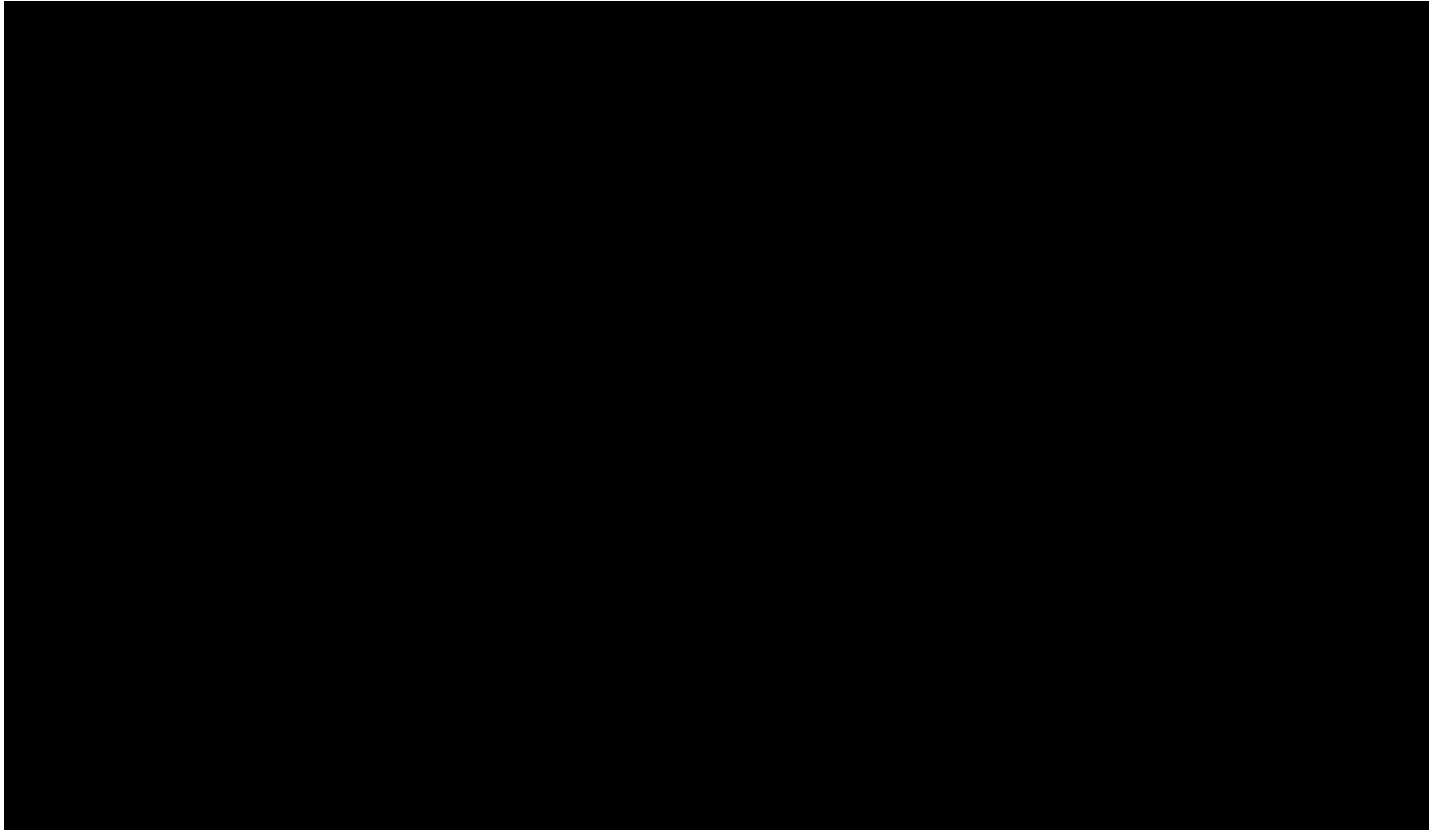
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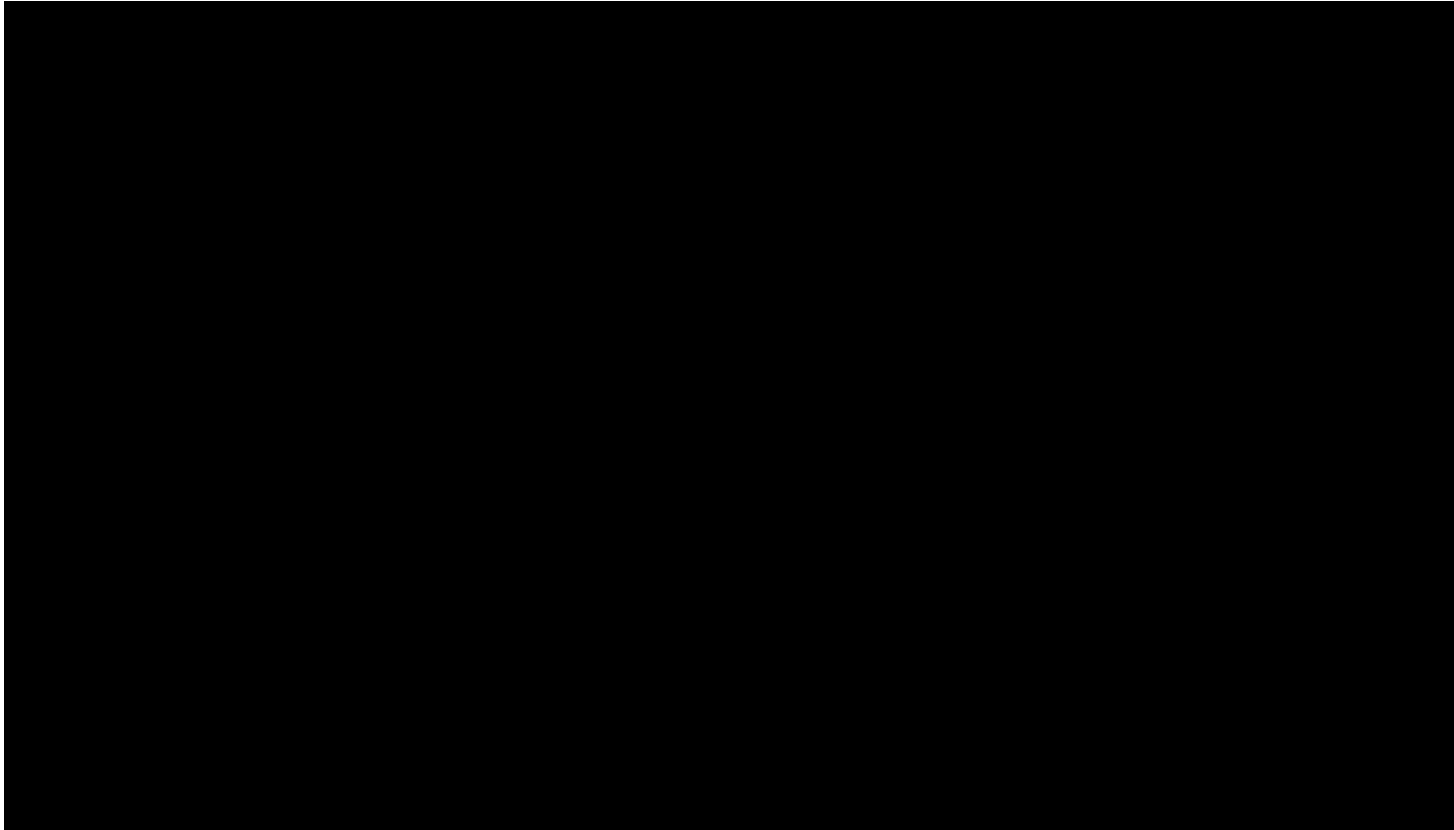
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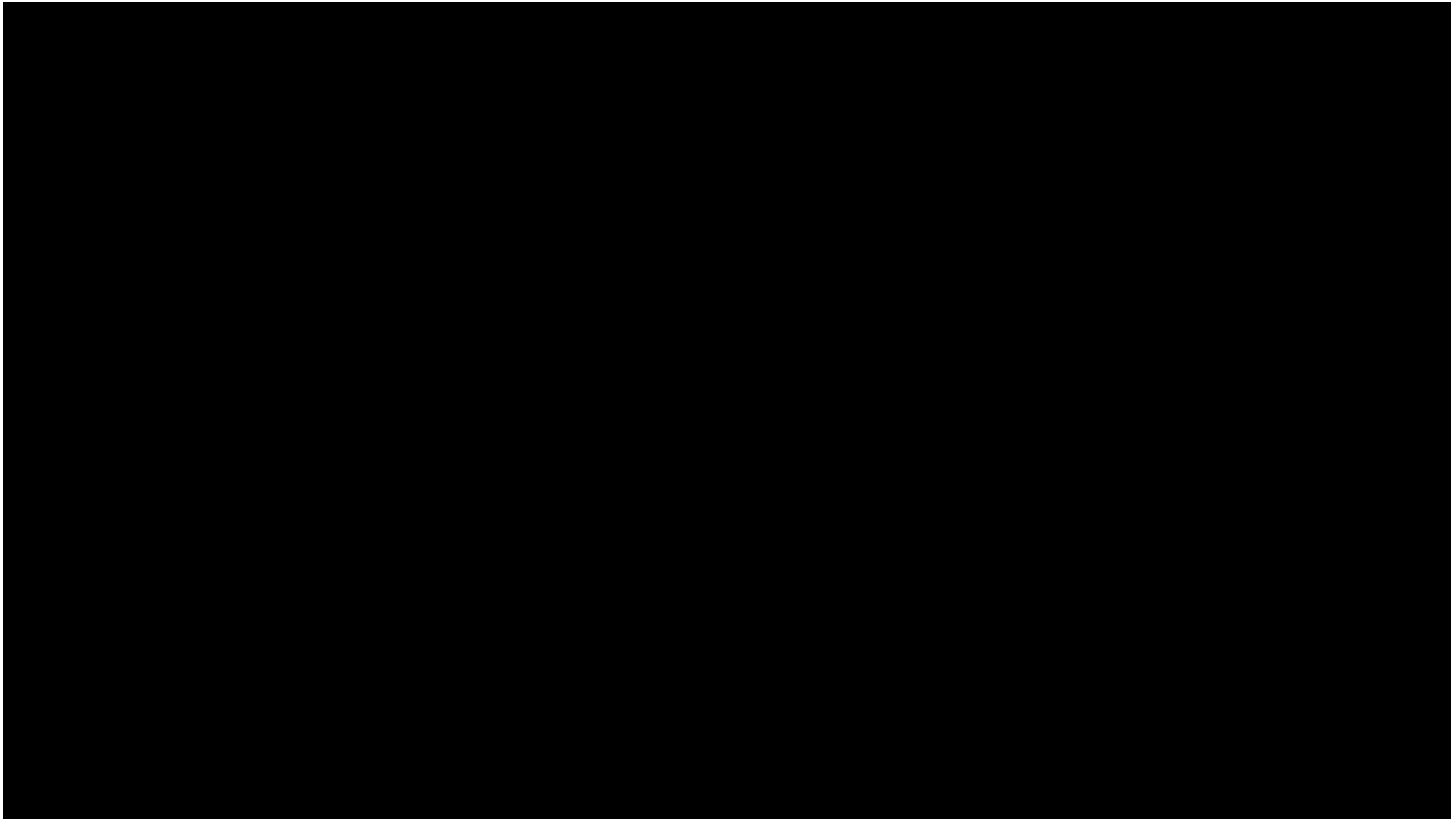
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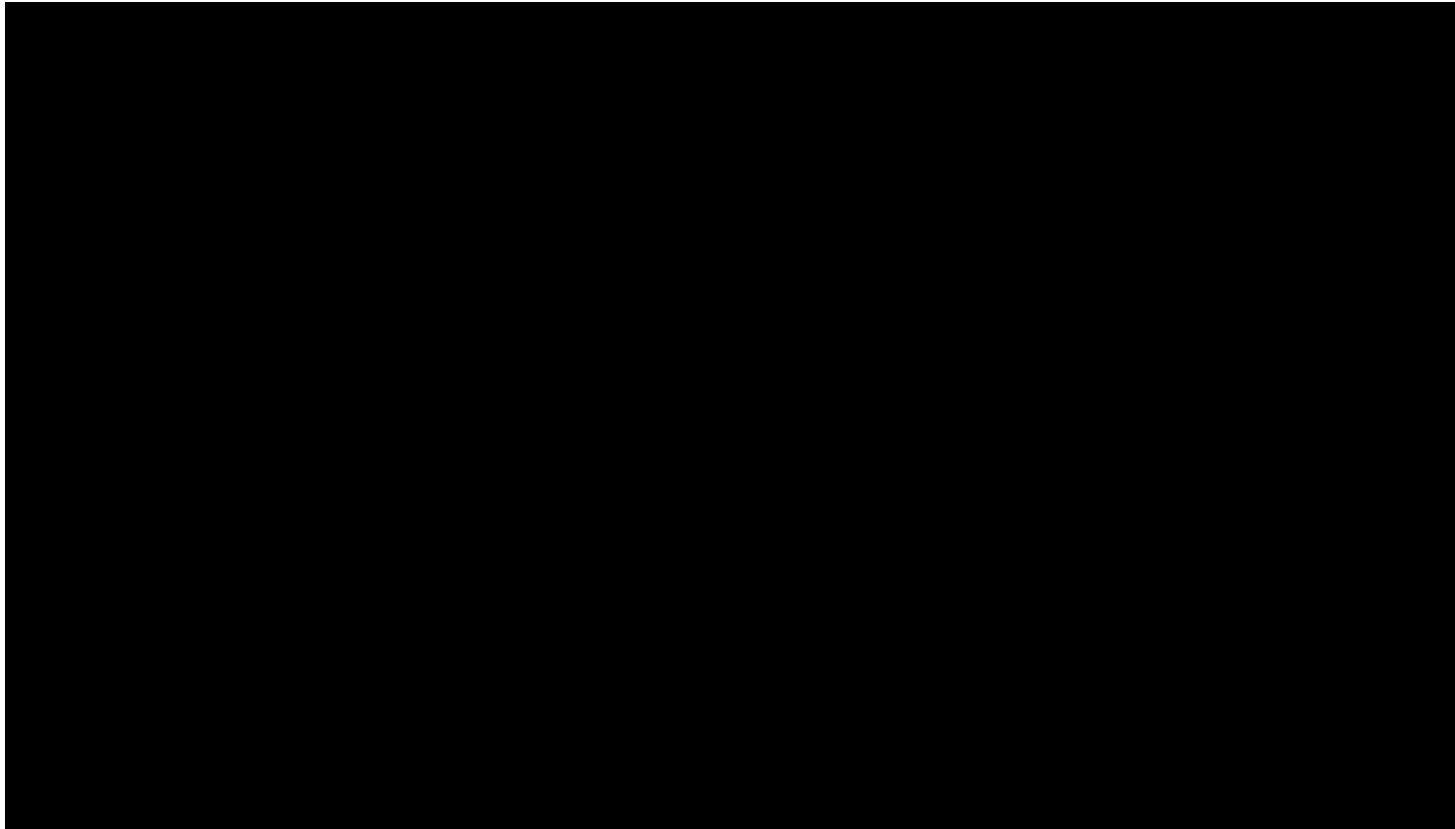
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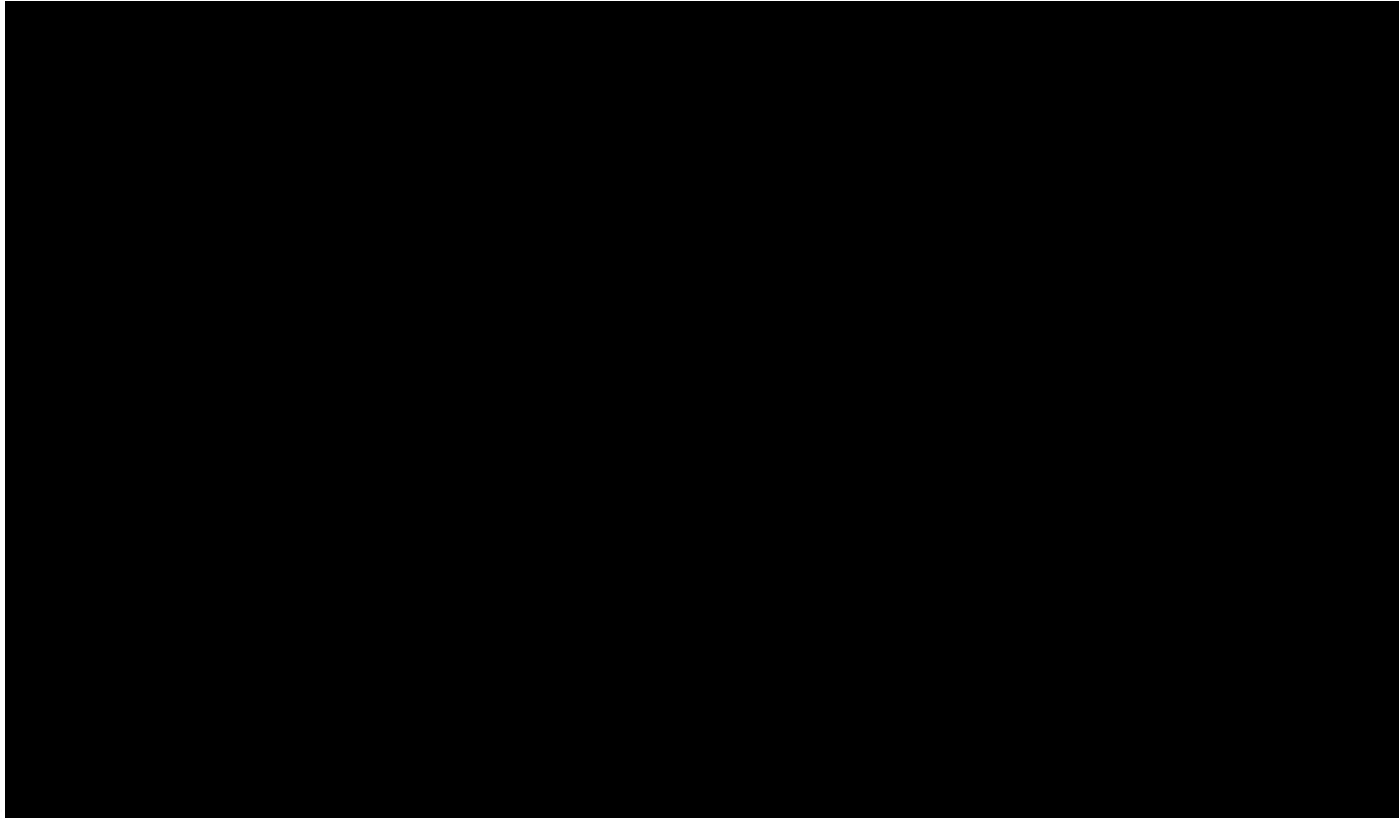
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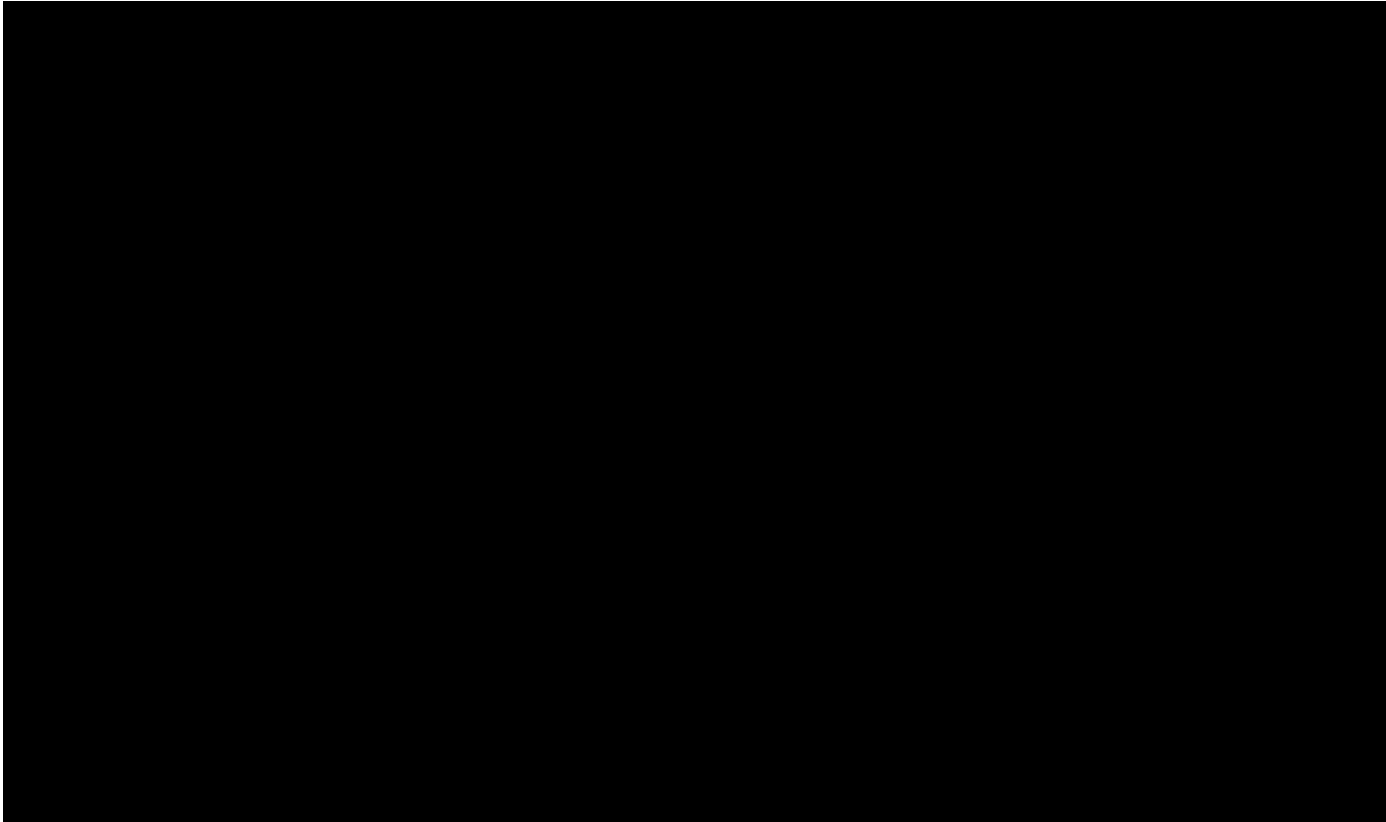
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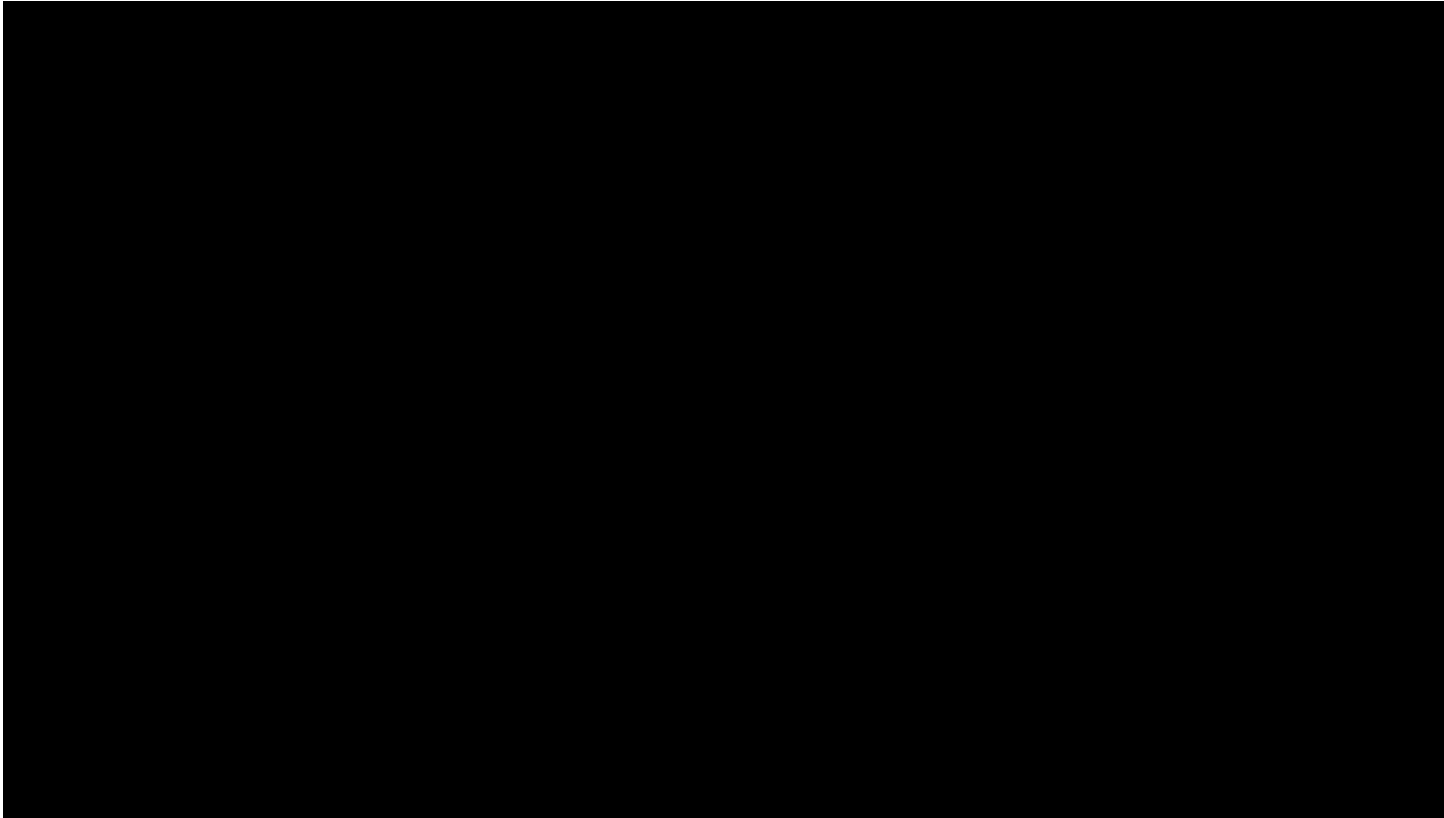
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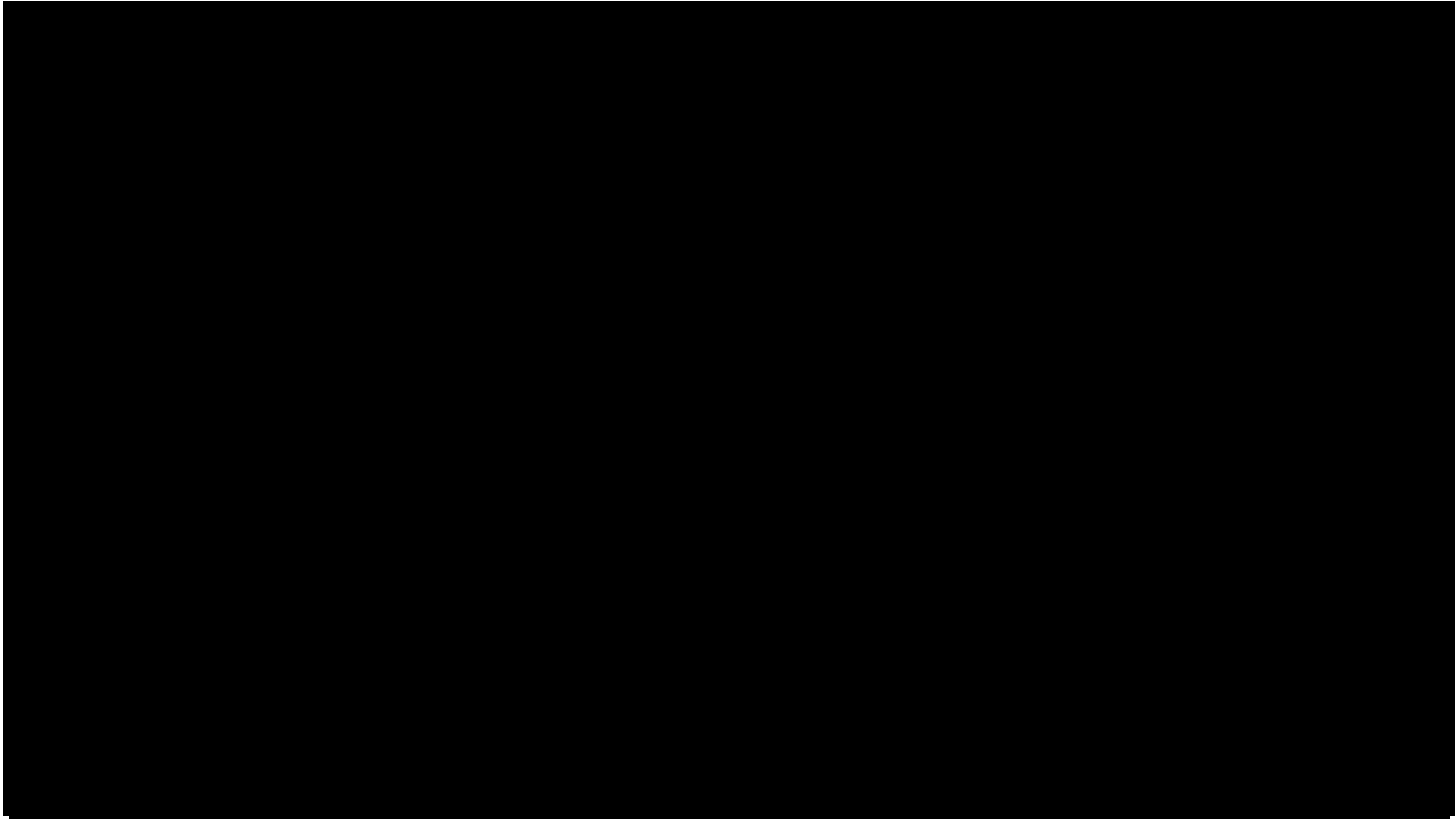
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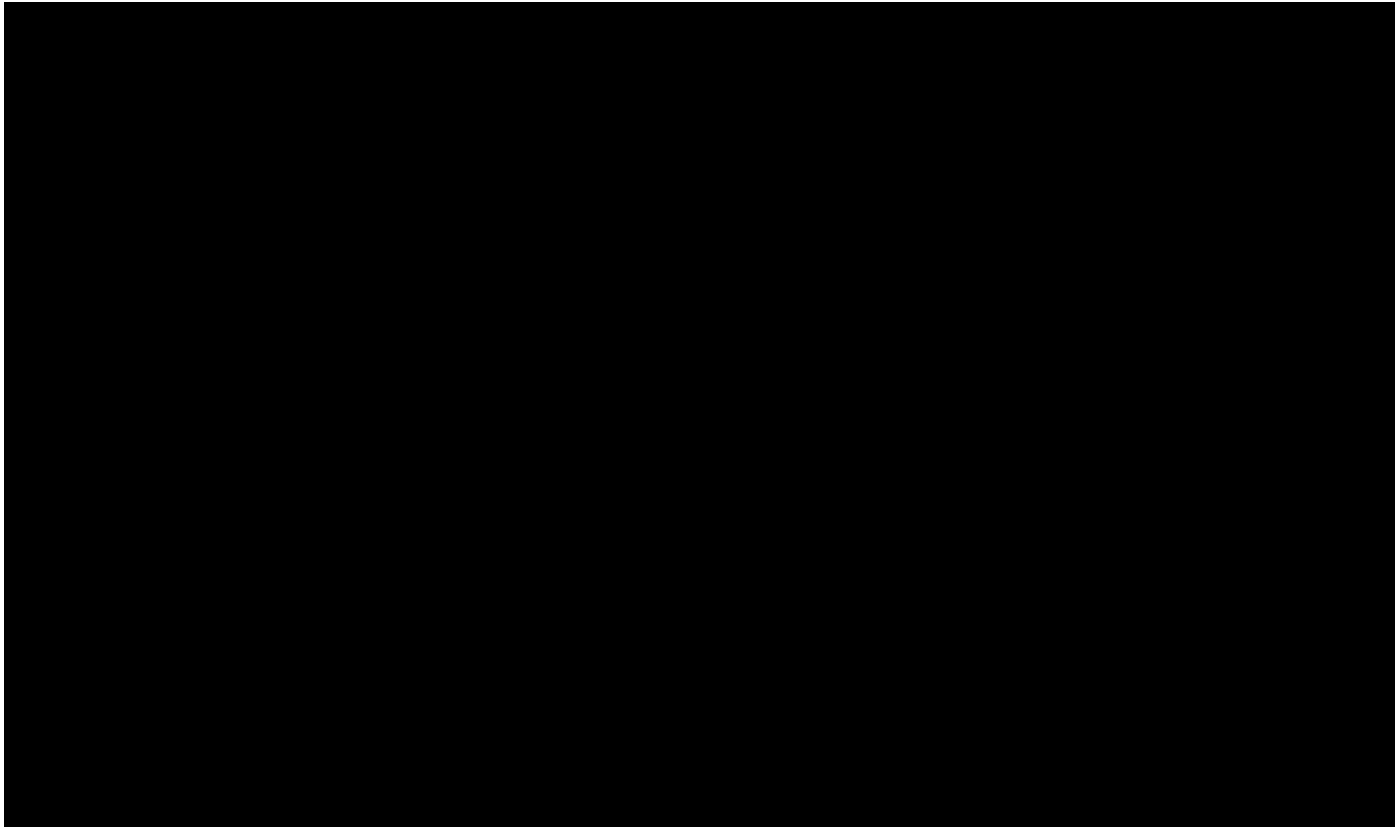
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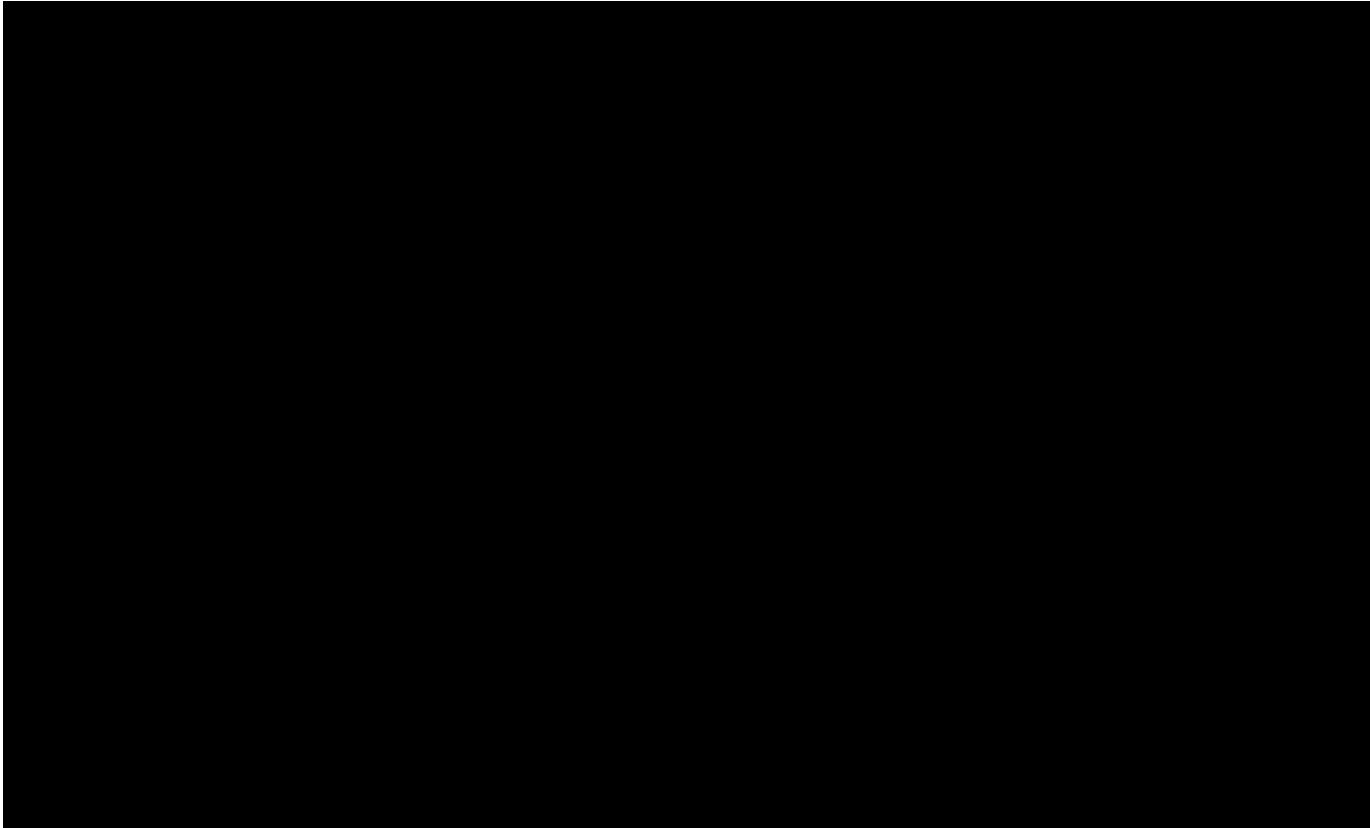
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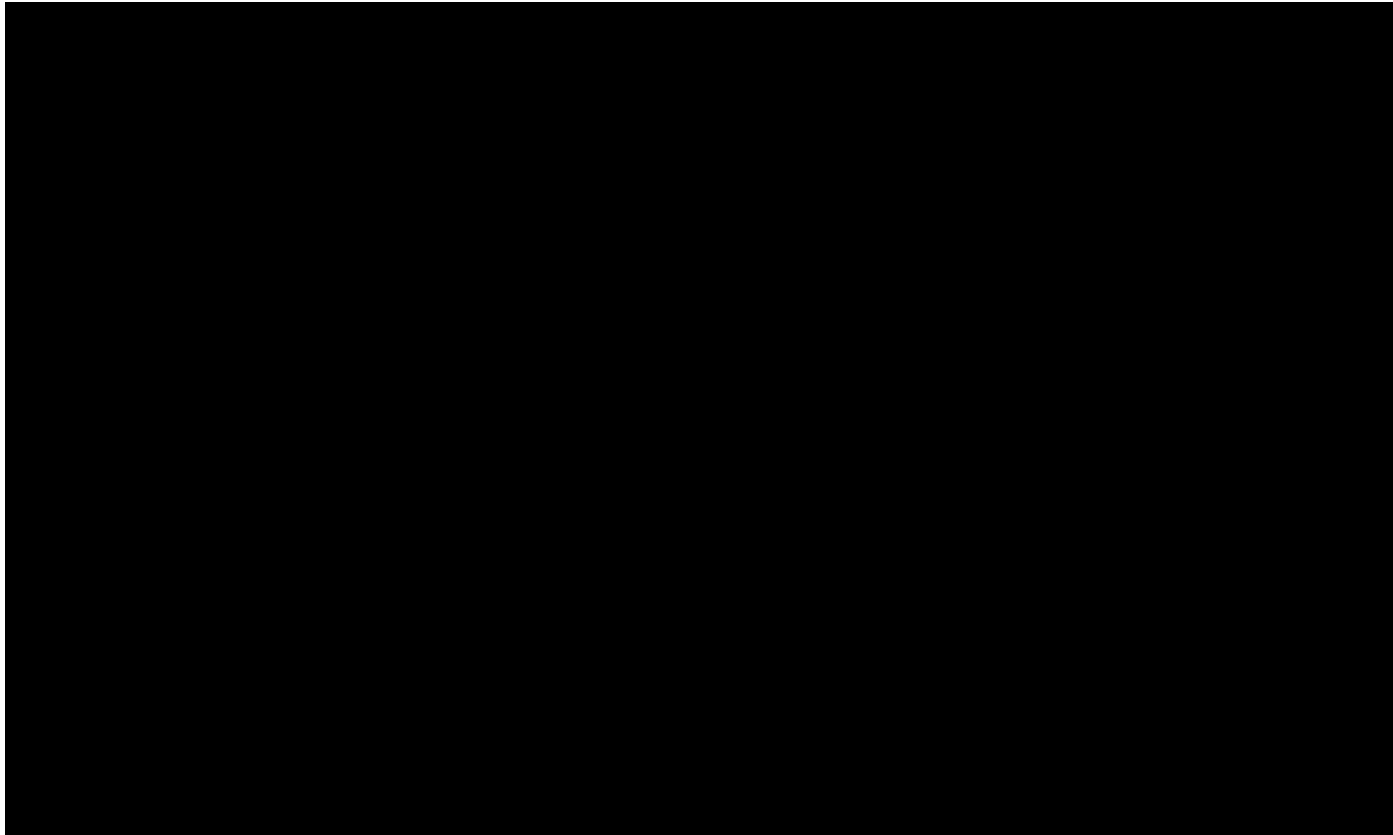
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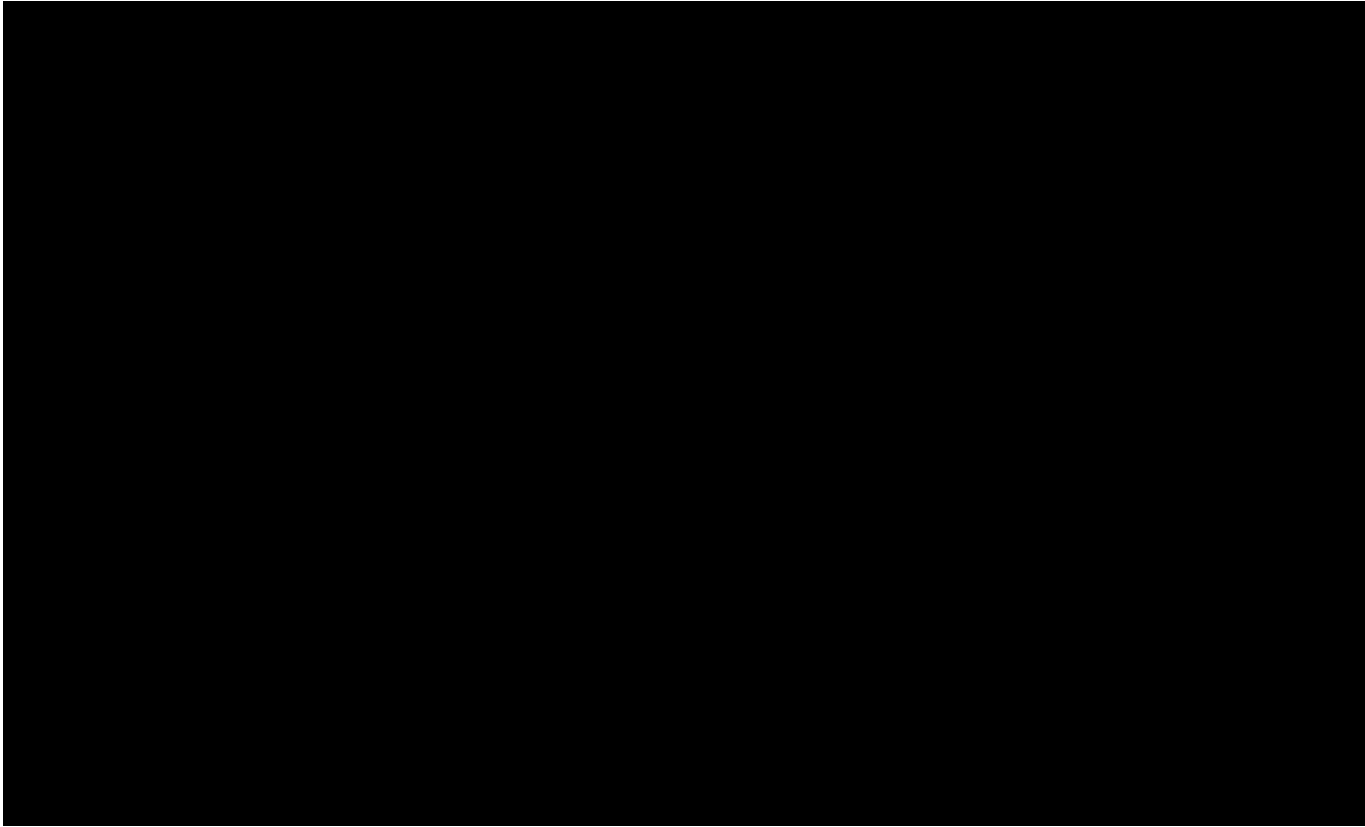
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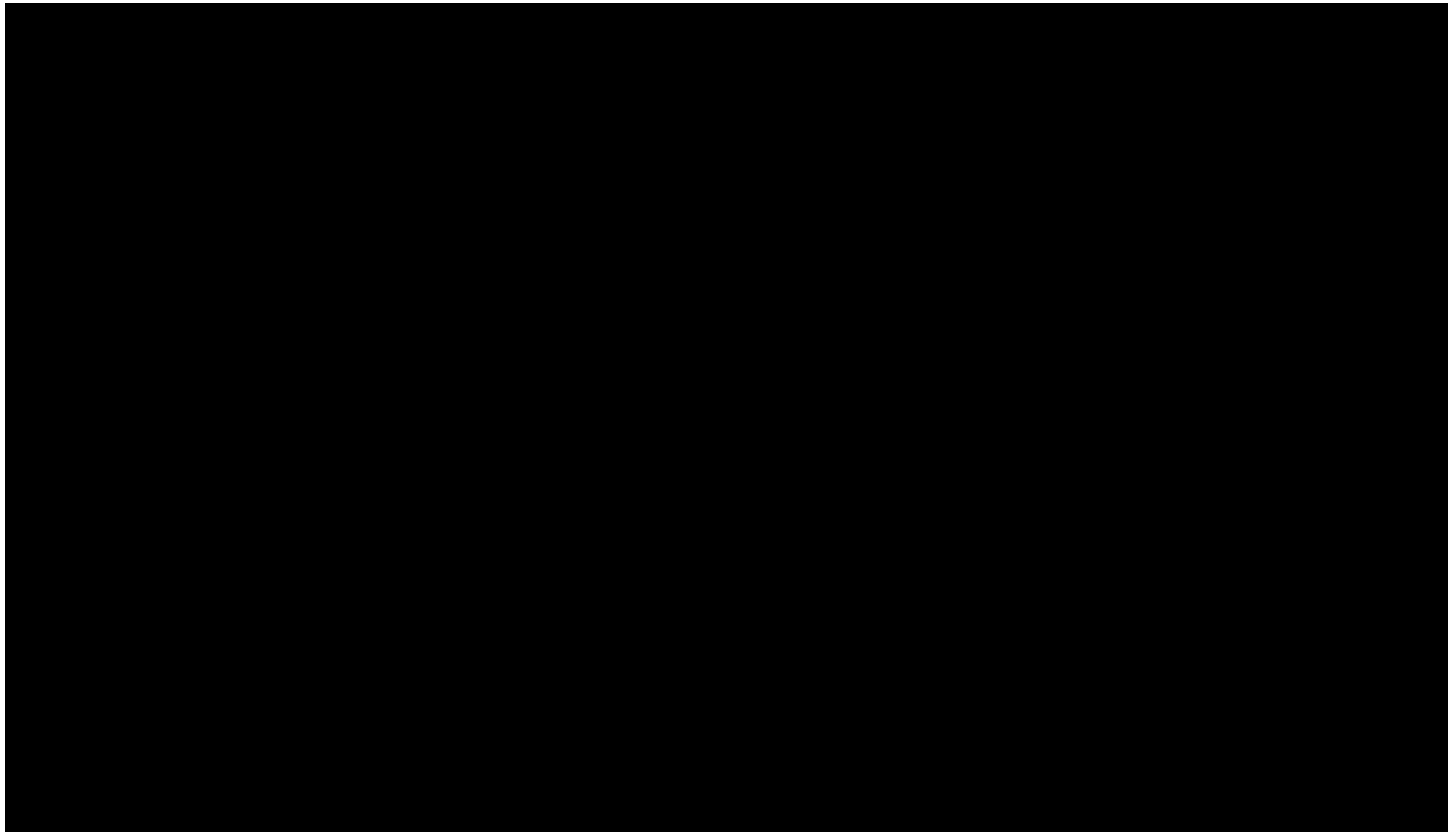
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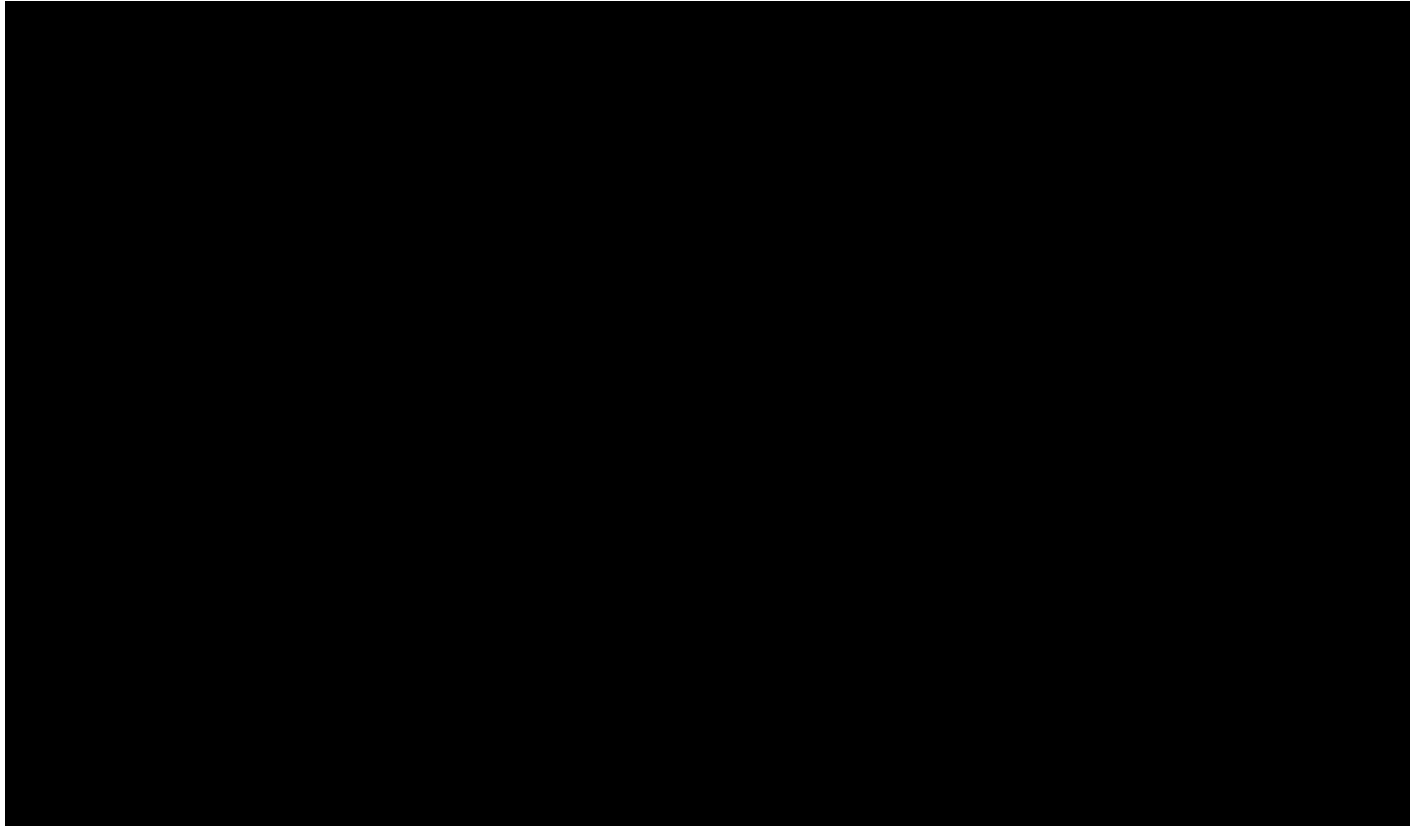
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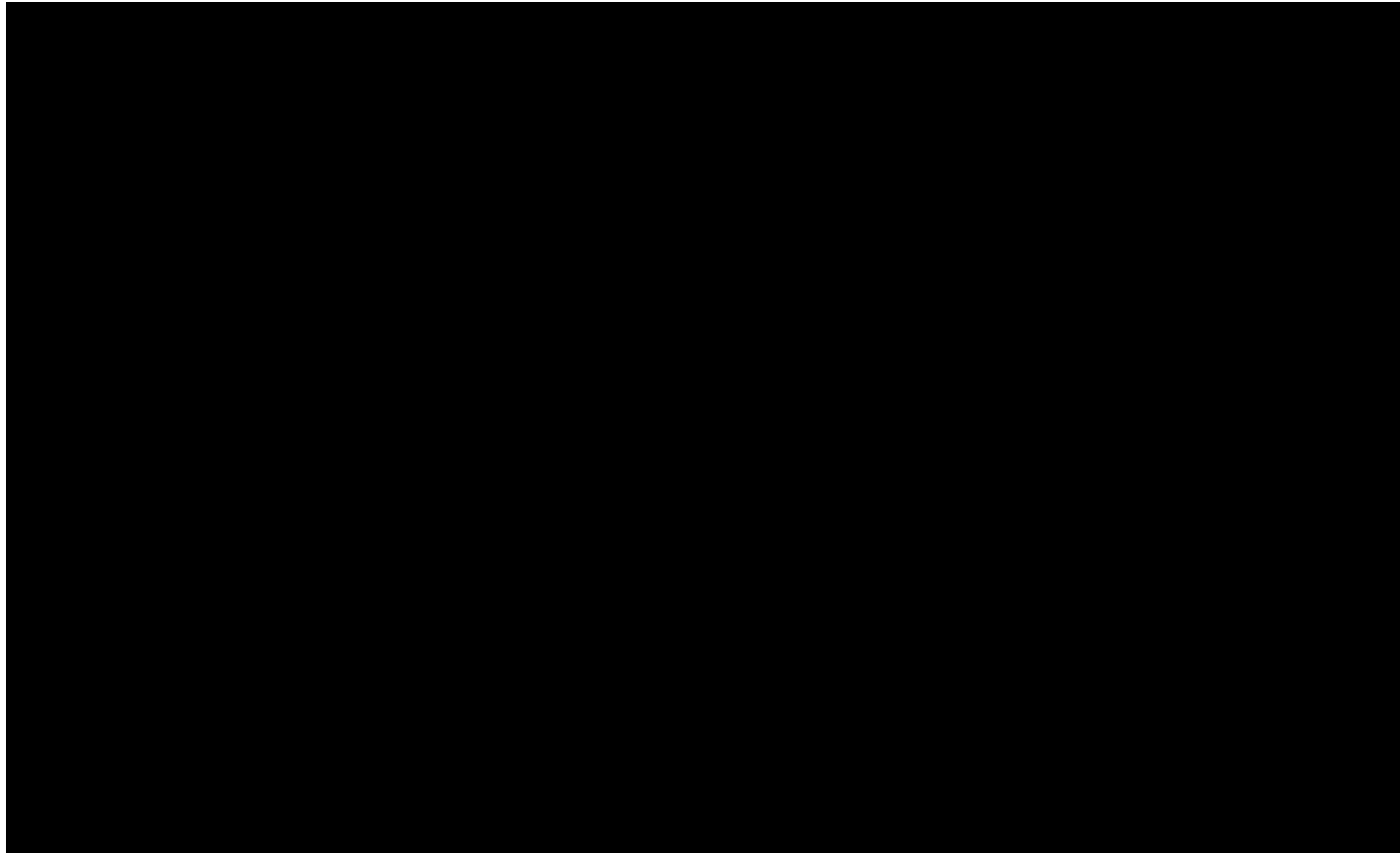
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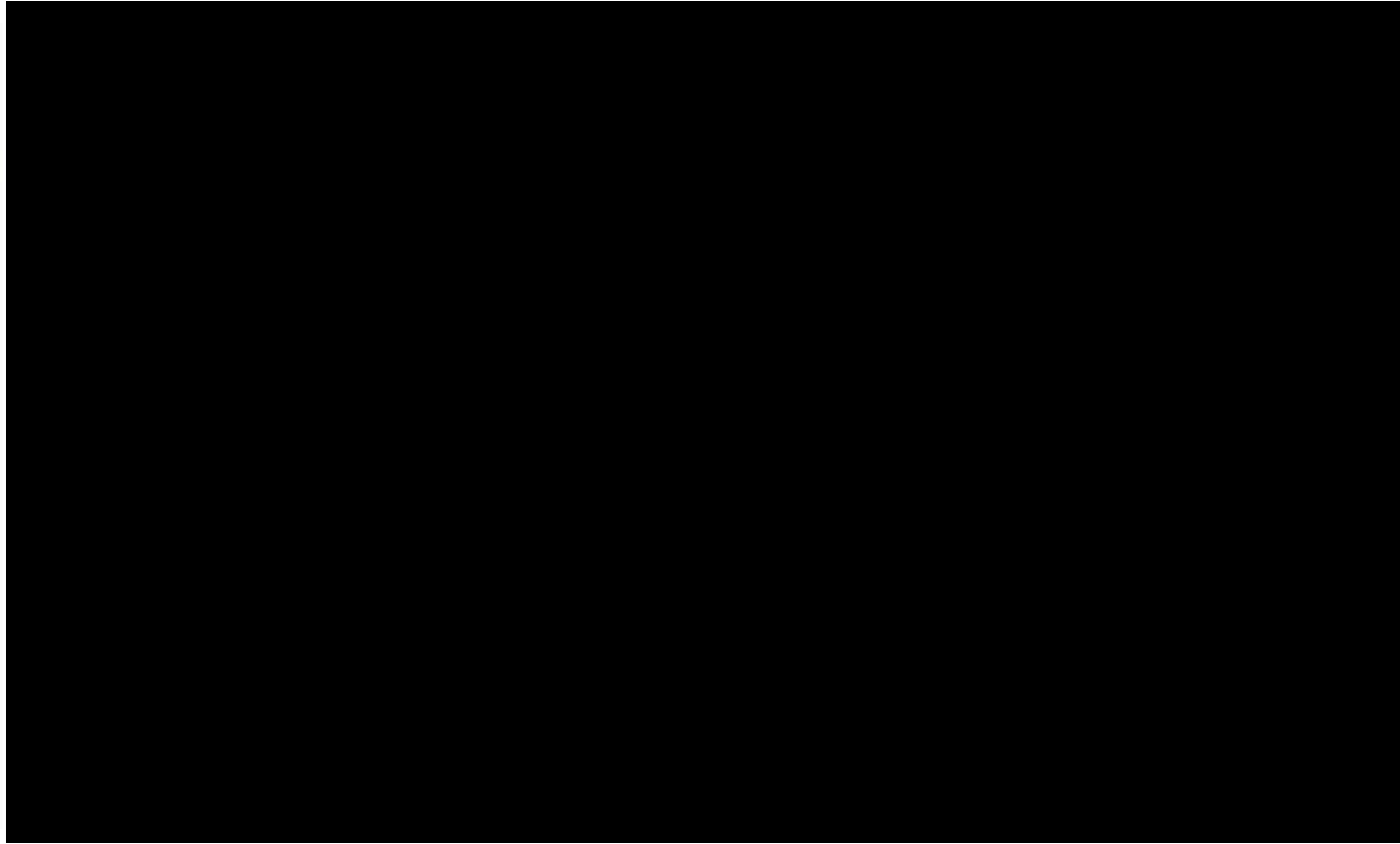
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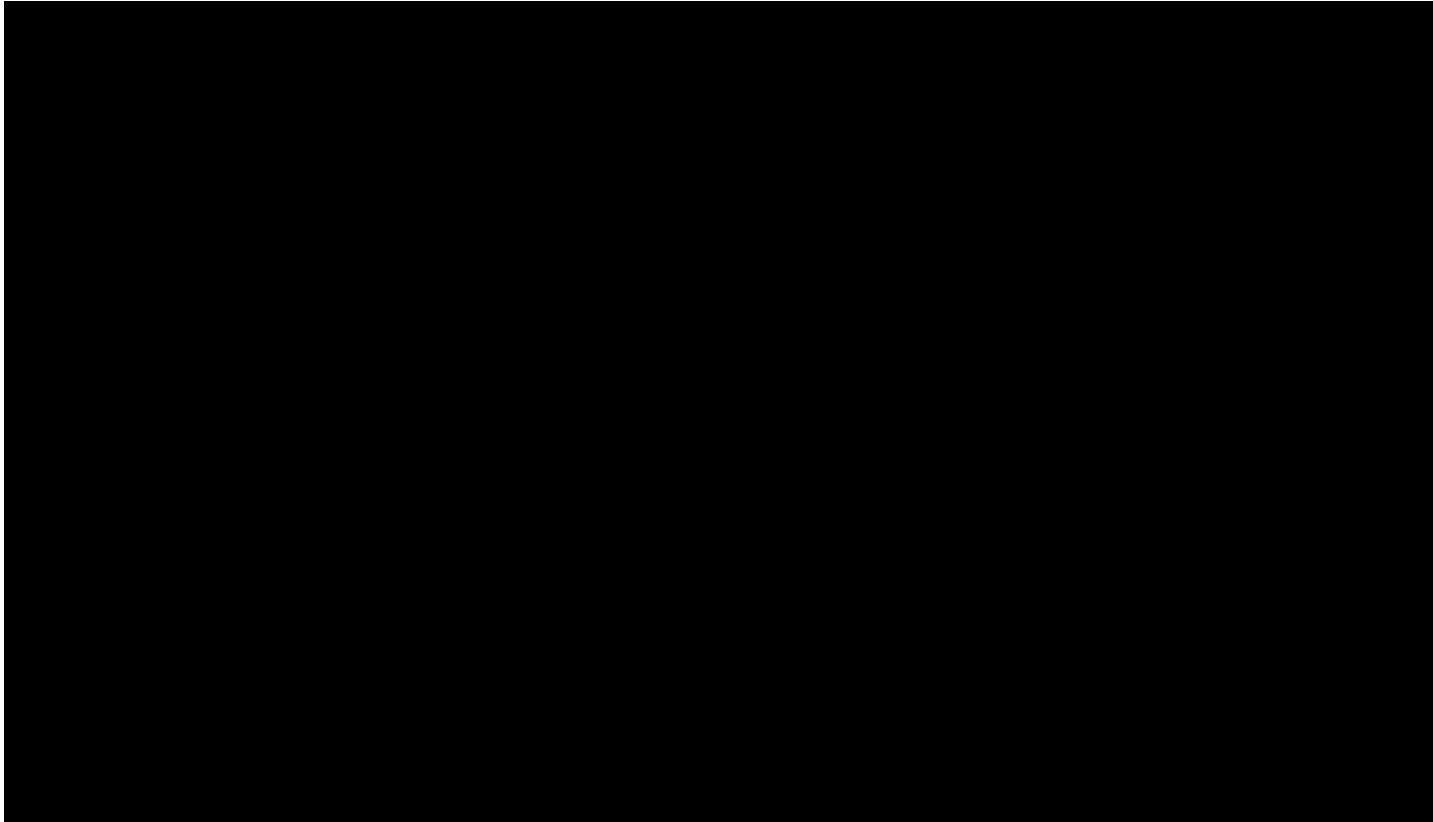
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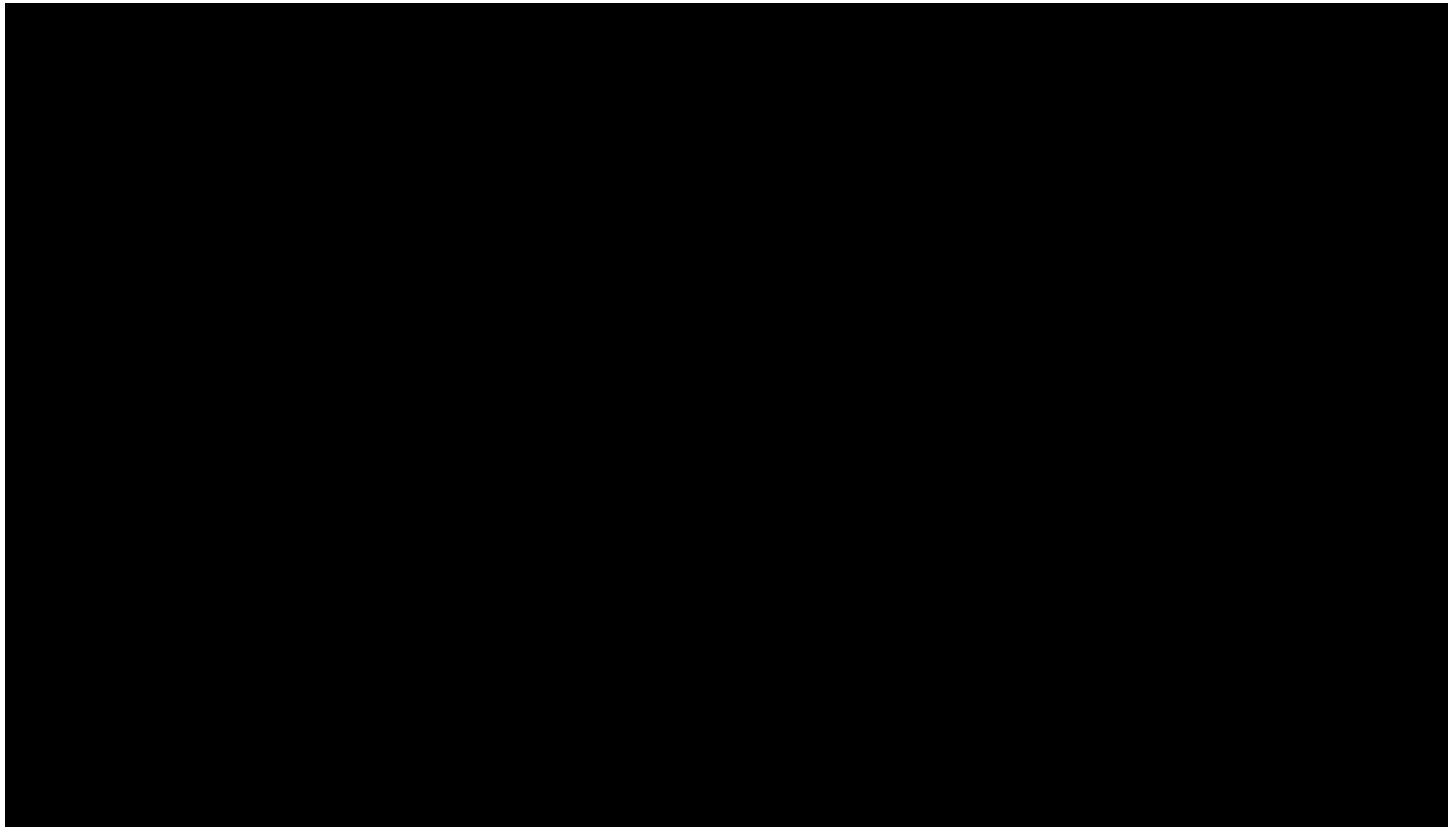
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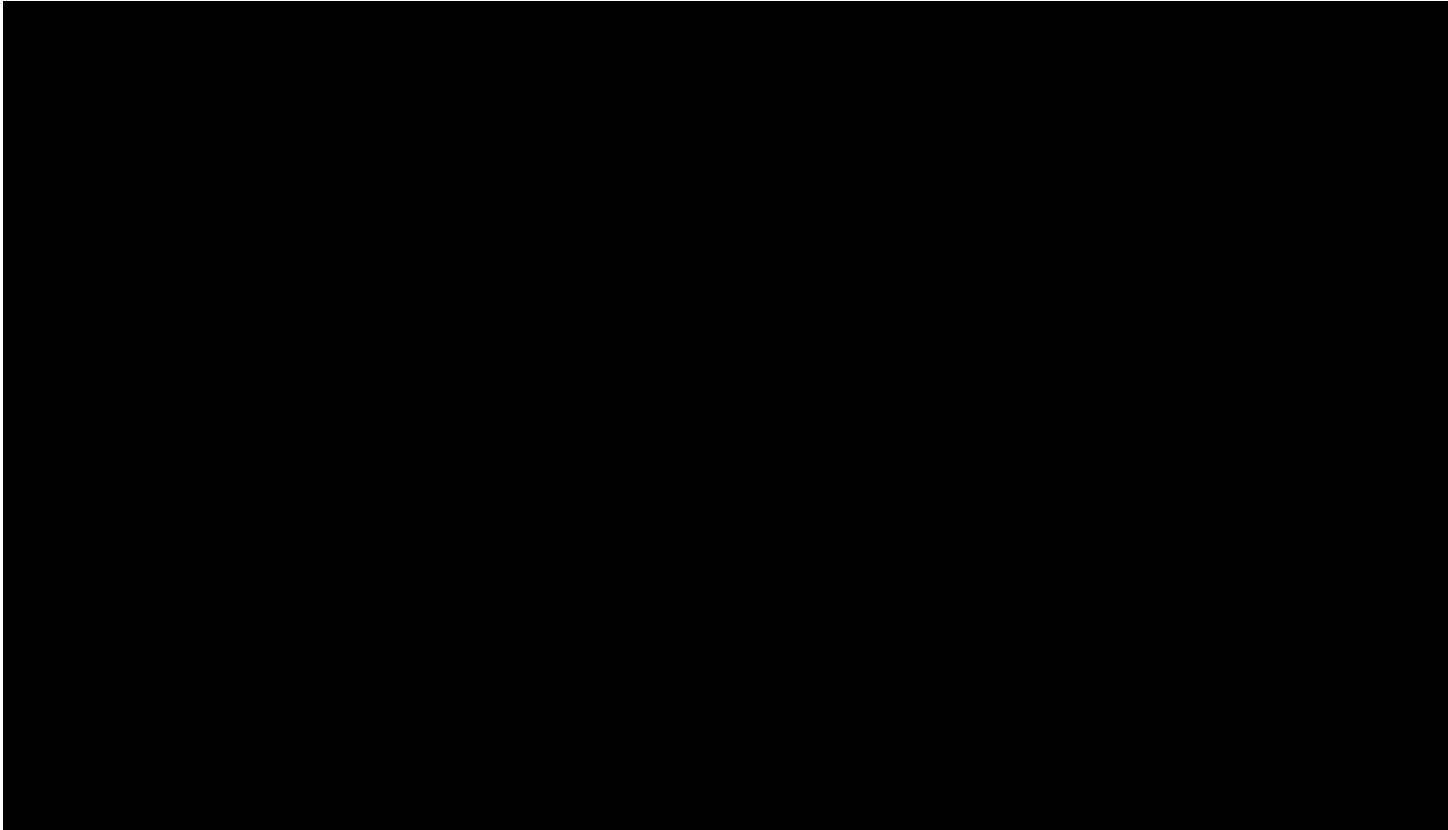
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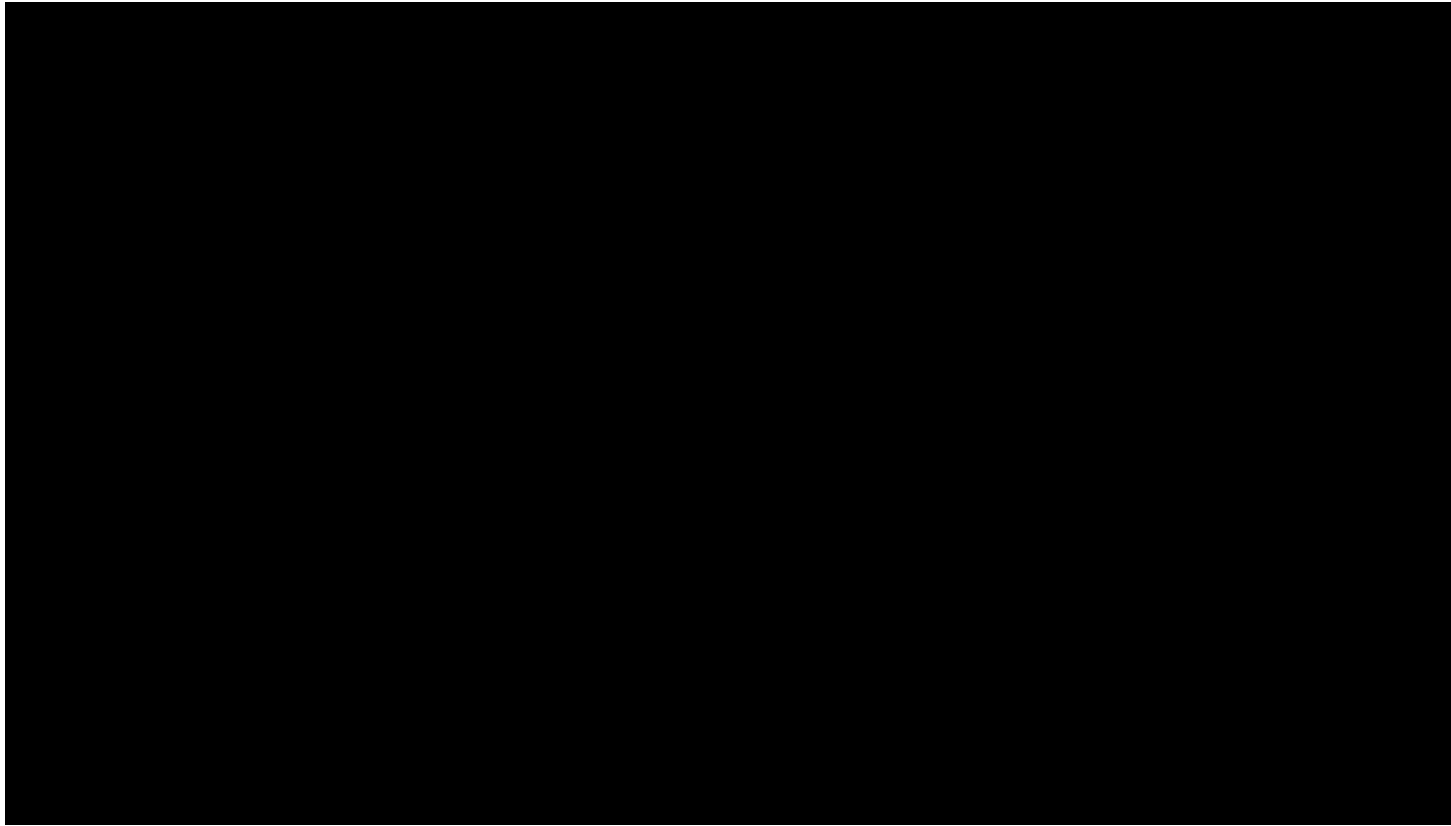
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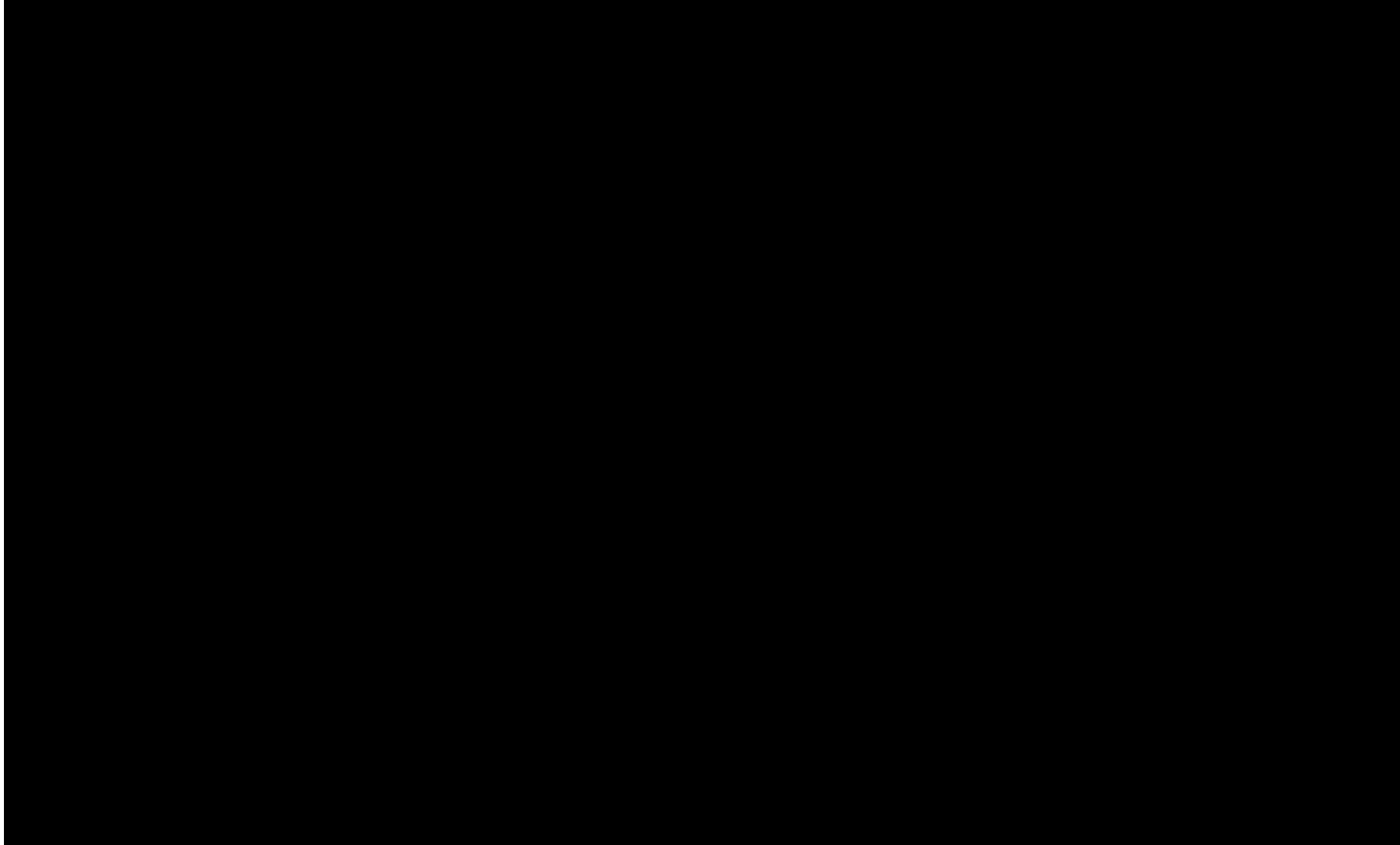
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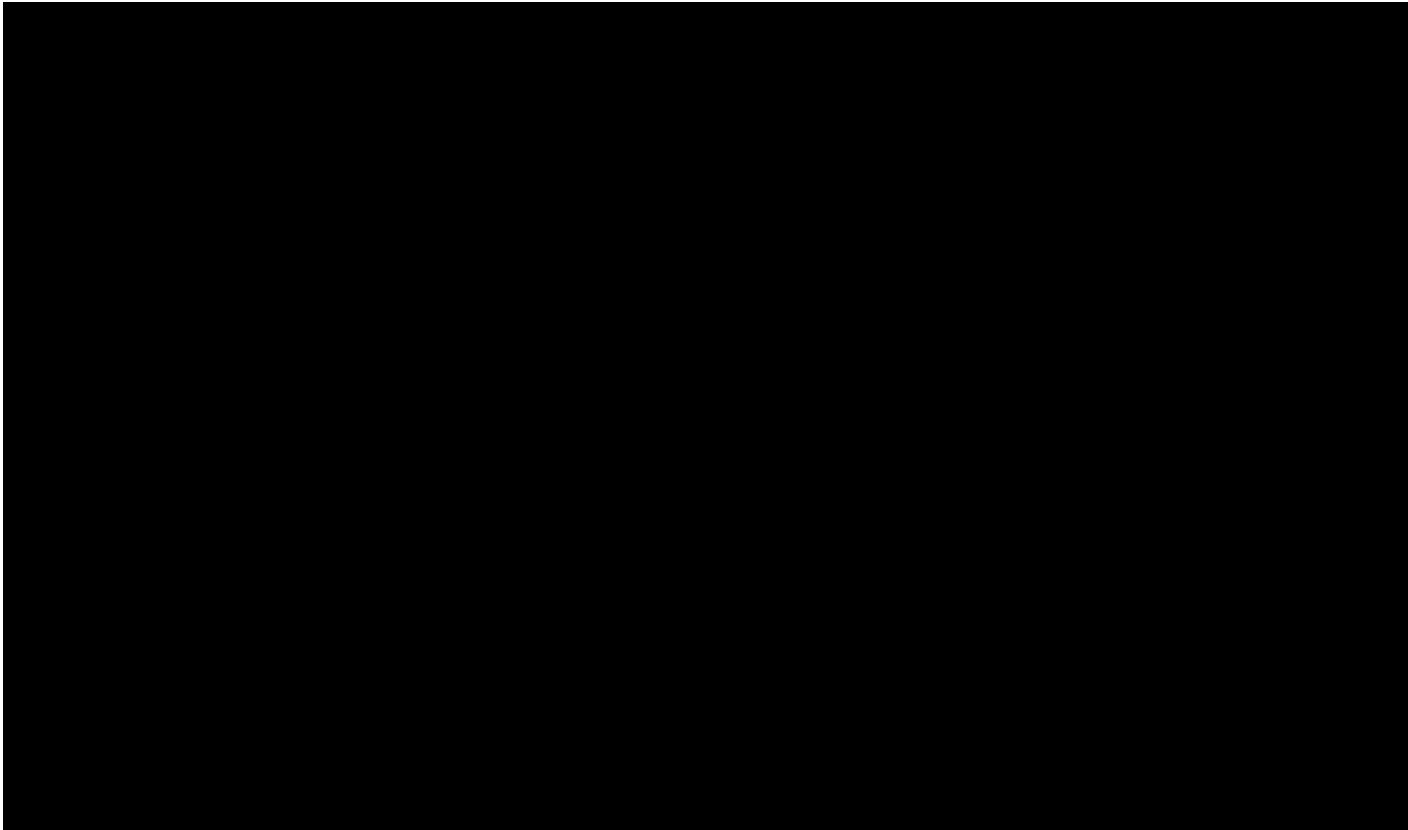
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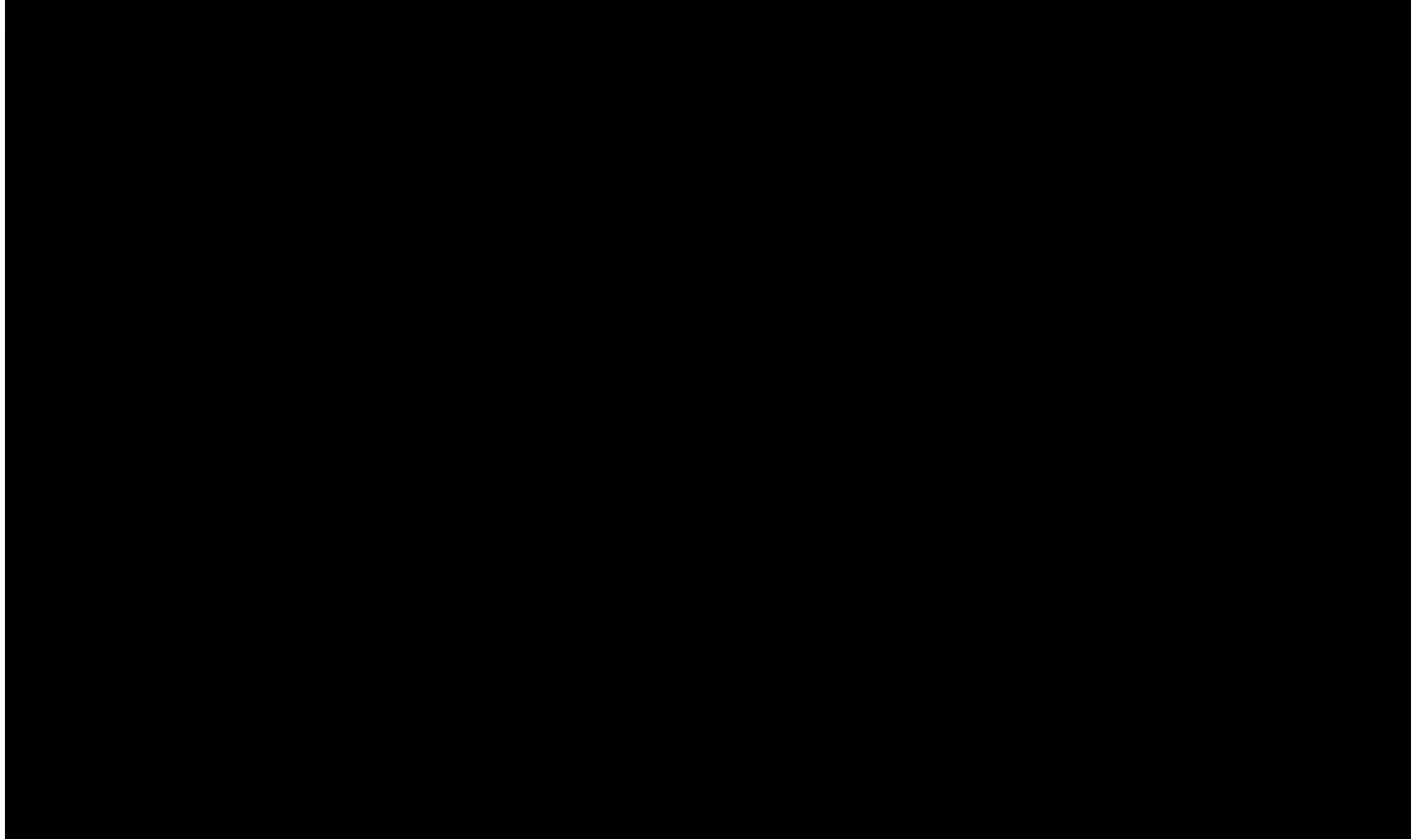
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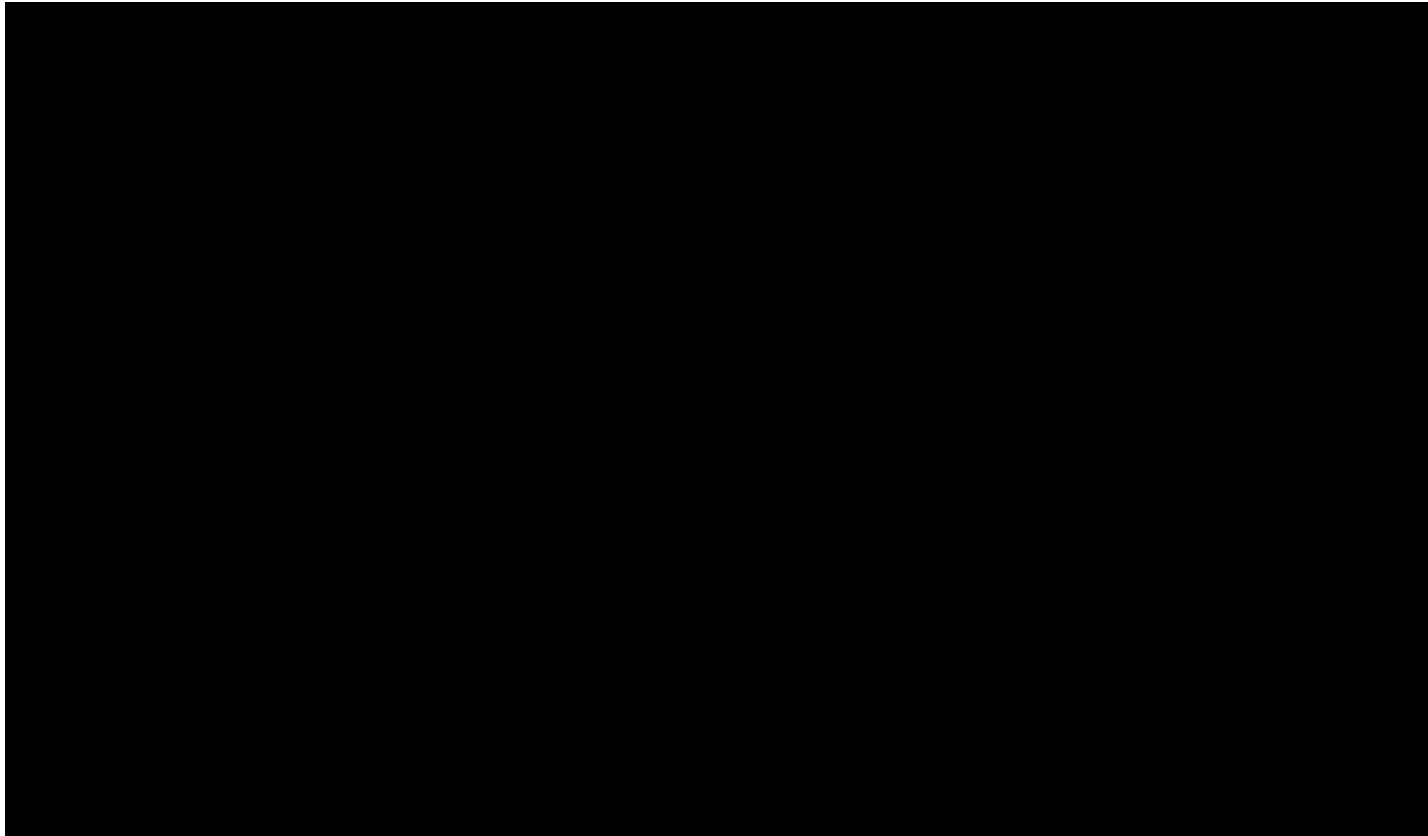
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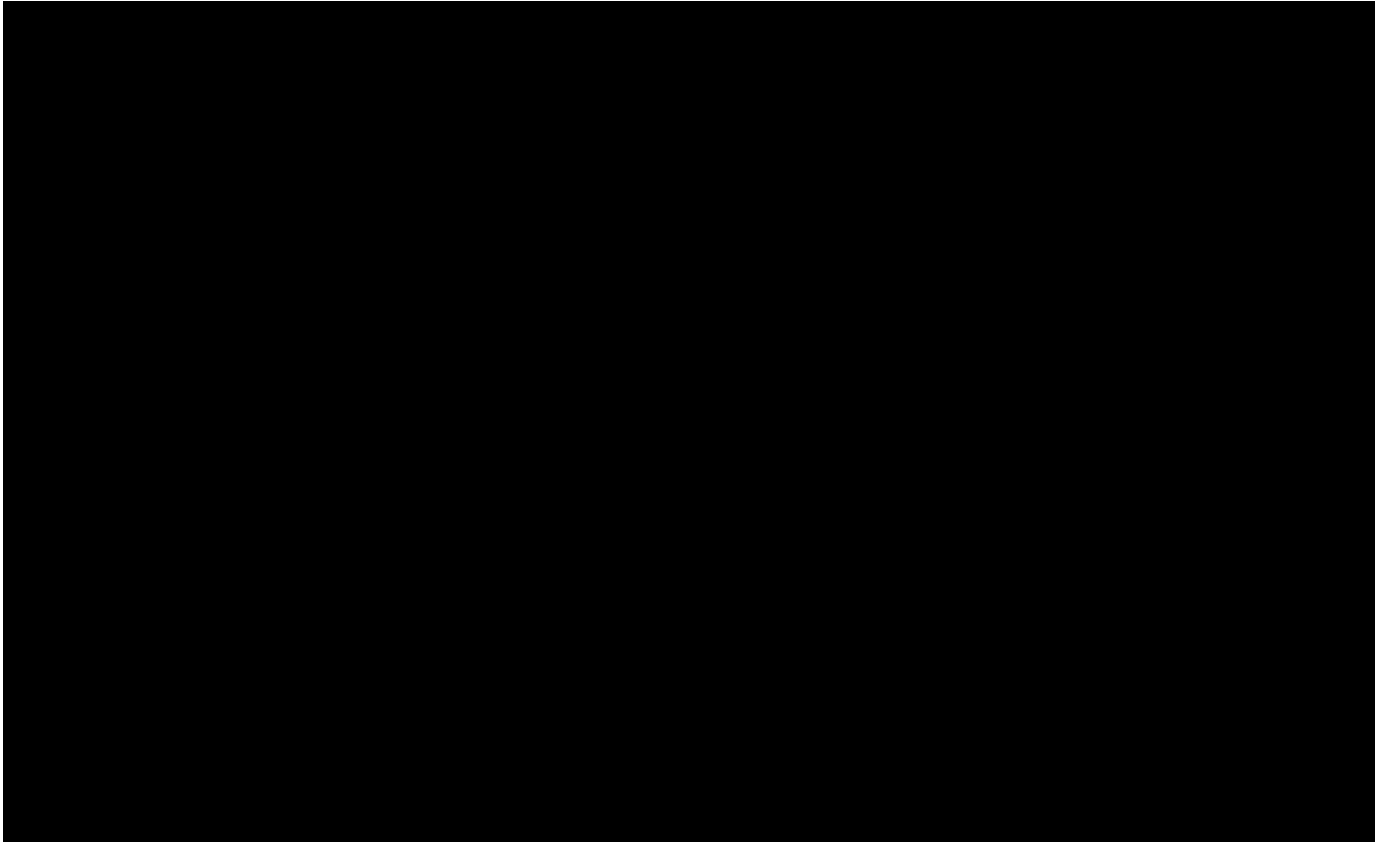
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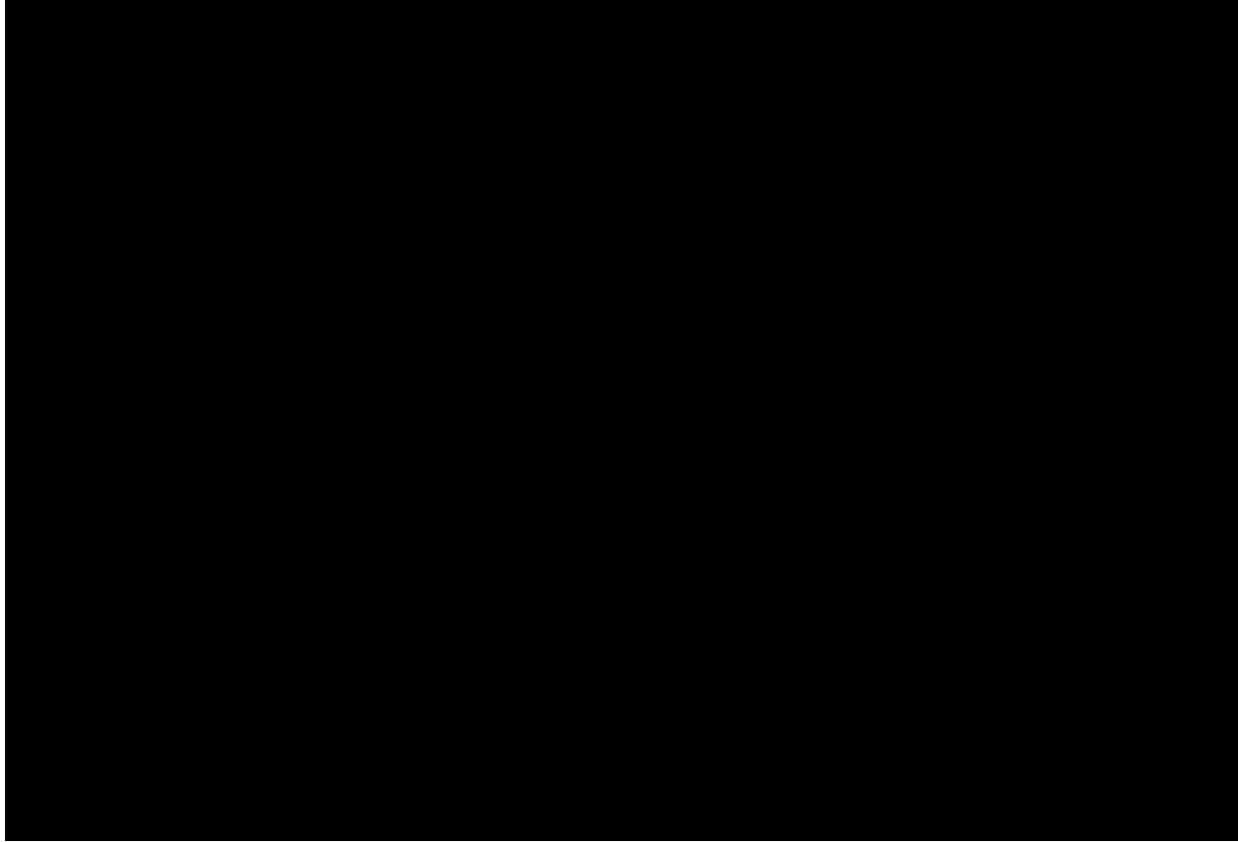
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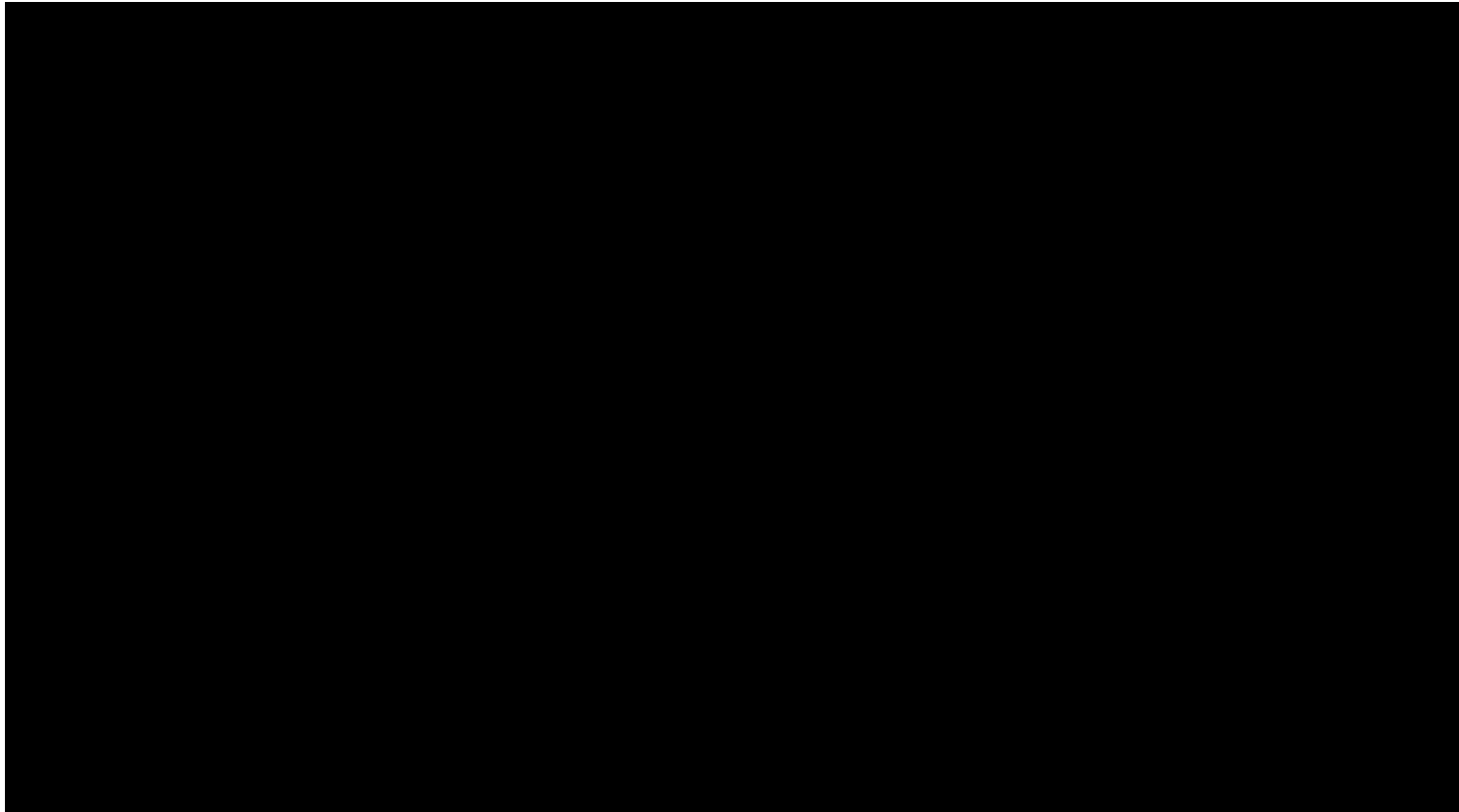
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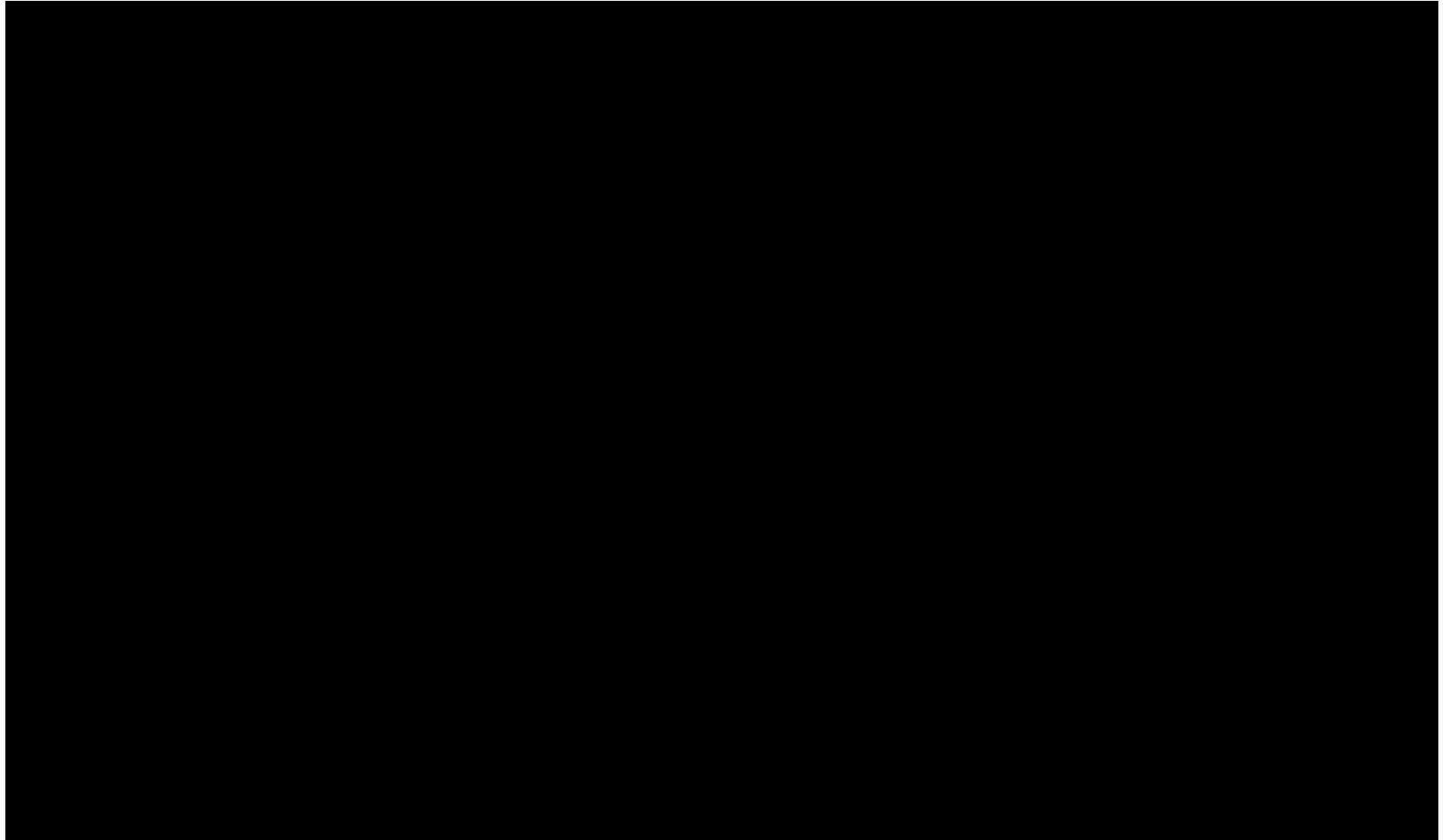
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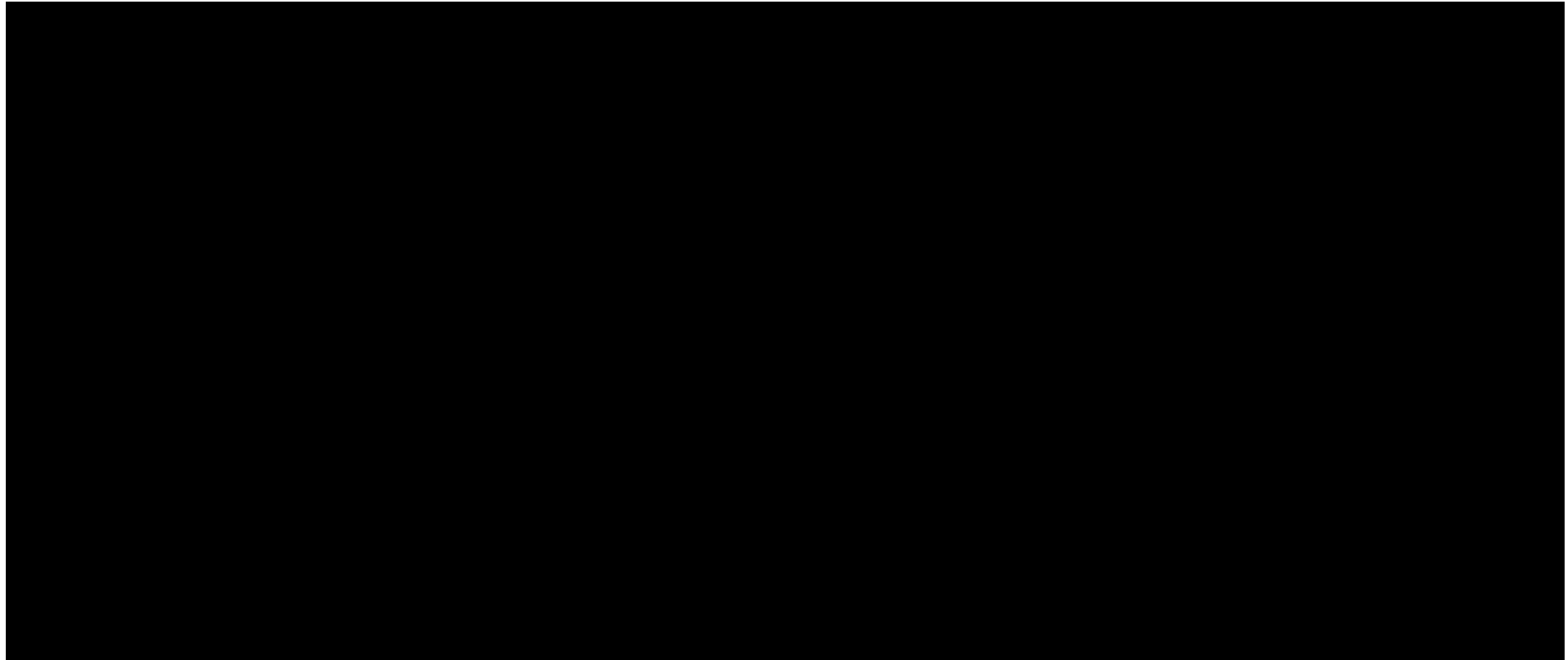
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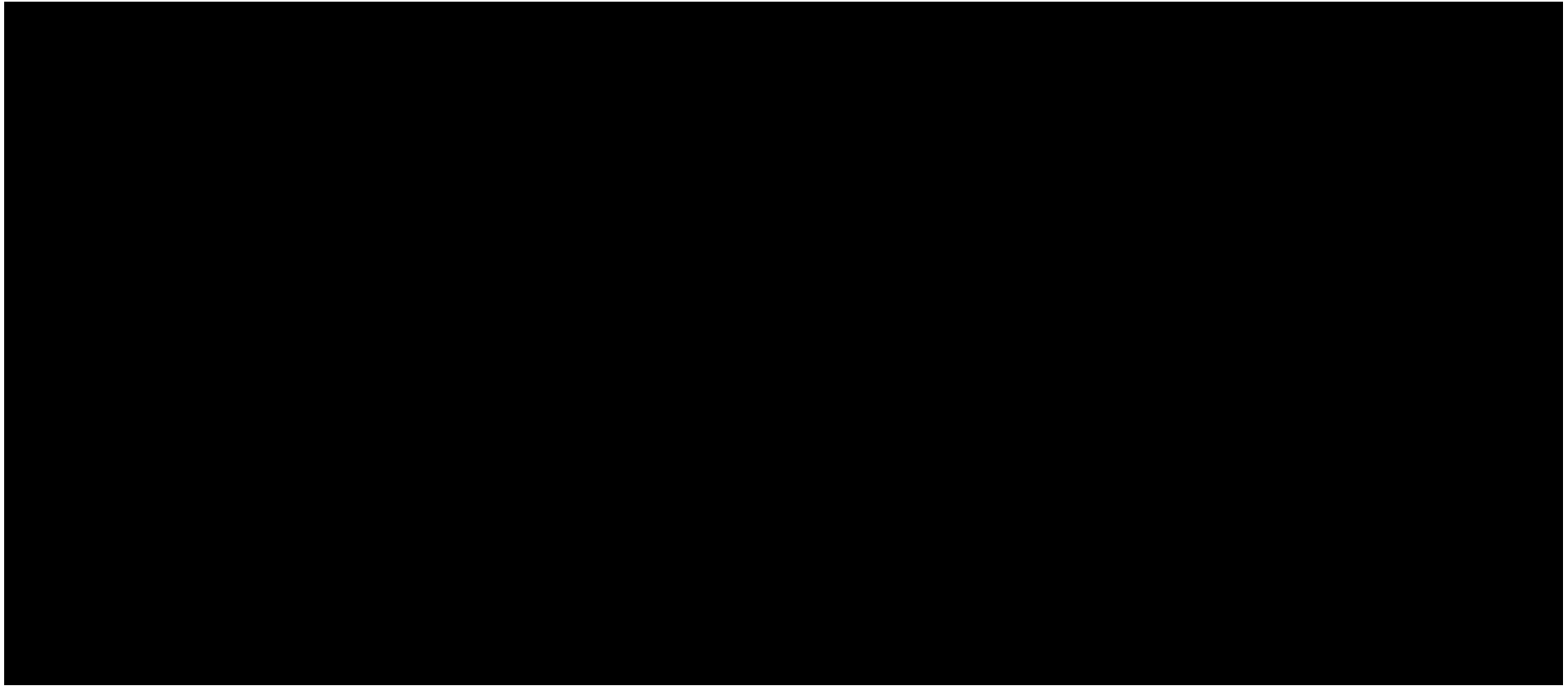
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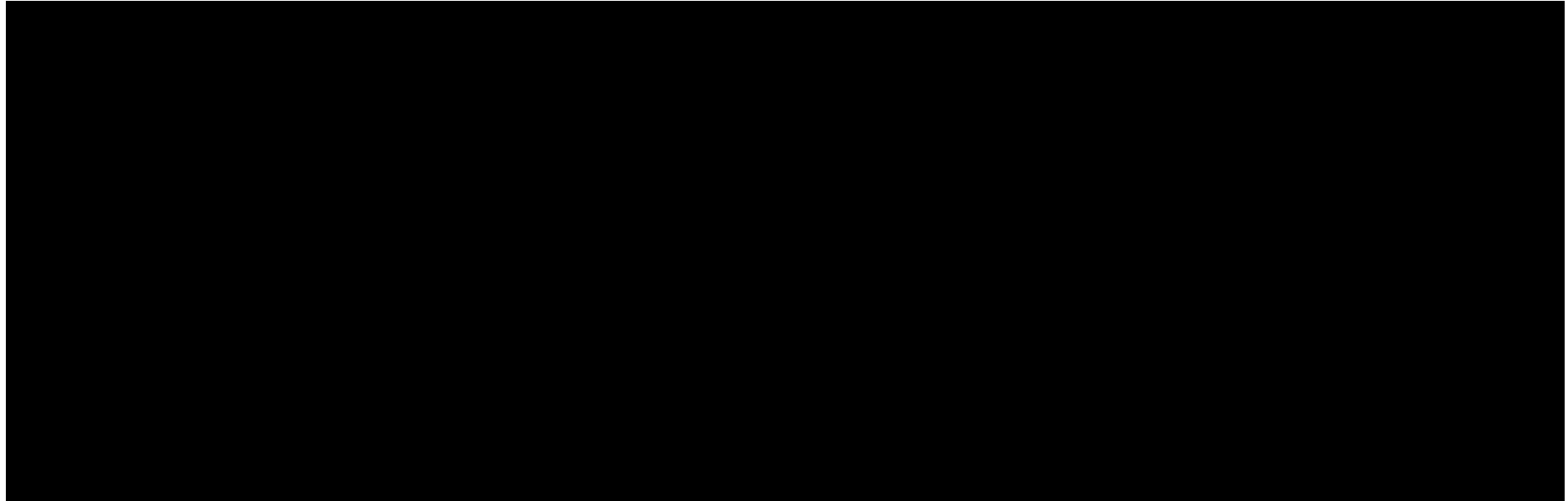
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Call-Off Schedule 5 (Pricing Details and Expenses Policy)

1 Call-Off Contract Charges

1.1 The Supplier shall provide:

- 1.1.1 as part of the Further Competition Procedure, its pricing for the Deliverables is in accordance with the Buyer's Statement of Requirements.
- 1.1.2 for each individual Statement of Work (SOW), the applicable Charges shall be calculated in accordance with the Pricing Mechanisms detailed in the Order Form using all of the following:
 - (a) the agreed rates for Supplier Staff and/or facilities (which are exclusive of any applicable expenses and VAT) incorporated into the Call-Off Contract; and
 - (b) the number of Work Days, or pro rata portion of a Work Day (see Paragraph 2.3.1 of Framework Schedule 3 (Framework Pricing)), that Supplier Staff work solely to provide the Deliverables and/or the provision of facilities solely to be used for the Buyer's stated purposes of providing the Deliverables and to meet the tasks sets out in the SOW between the SOW Start Date and SOW End Date.

1.2 Further to Paragraph 2.2.2 of Framework Schedule 3 (Framework Pricing), the Supplier will provide a detailed breakdown of its Charges for the Deliverables in sufficient detail to enable the Buyer to verify the accuracy of any invoice submitted.

This detailed breakdown will be incorporated into each SOW and include (but will not be limited to):

- a role description of each member of the Supplier Staff;
- a facilities description (if applicable);
- the agreed day rate for each Supplier Staff;
- any expenses charged for each Work Day for each Supplier Staff, which must be in accordance with the Buyer's expenses policy (if applicable);
- the number of Work Days, or pro rata for every part day, they will be actively be engaged in providing the Deliverables between the SOW Start Date and SOW End Date; and
- the total SOW cost for all Supplier Staff role and facilities in providing the Deliverables.

1.3 If a Capped or Fixed Price has been agreed for a particular SOW:

- the Supplier shall continue to work on the Deliverables until they are satisfactorily complete and accepted by the Buyer at its own cost and expense where the Capped or Fixed Price is exceeded; and
- the Buyer will have no obligation or liability to pay any additional Charges or cost of any part of the Deliverables yet to be completed and/or Delivered after the Capped or Fixed Price is exceeded by the Supplier.

1.4 All risks or contingencies will be included in the Charges. The Parties agree that the following assumptions, representations, risks and contingencies will apply in relation to the Charges:

Not applicable.

The total value of this Call-Off Contract shall not exceed £8,250,000.00 excluding VAT.

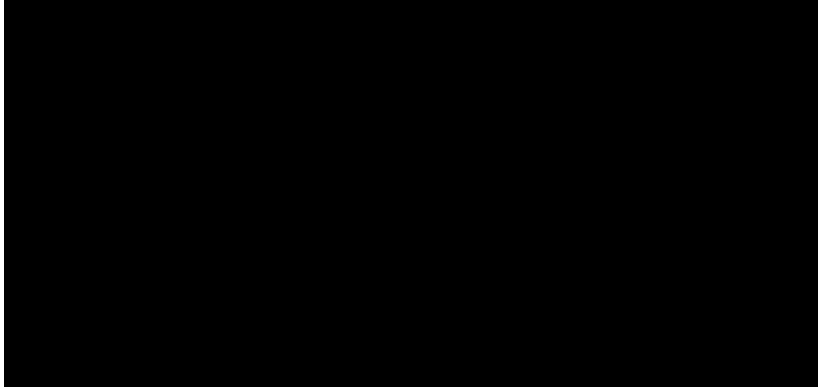
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There is no commitment to spend the total Call-Off Contract value.
The following rate card shall apply to this Call-Off Contract.



Annex 1 (Expenses Policy)



[Home](#) > [UKRI travel, subsistence and expenses policy](#) > **UKRI business expense claims, business travel and subsistence policy**

Policy

UKRI business expense claims, business travel and subsistence policy

From: UKRI
Published: 31 October 2022

Policy statement

This policy covers business travel, associated subsistence rates and general expense claims. It sets out the importance of employee safety and security when travelling in the course of UKRI business and the methodology for how employees should consider their travel needs. The policy confirms that contracted procurement channels (the UKRI travel providers and arranged contracts in place for other items and services) should be used in the first instance and the UKRI Guidance on When and How to Travel outlines the exceptional circumstances when it is appropriate to use an alternative method.

UKRI is funded by the taxpayer and therefore employees should consider the value in money spent and reflect on whether this is an appropriate use of public money and only claim where this is appropriate to do so. Employees should be aware that from time to time UKRI may be required to disclose information on travel bookings, subsistence costs and expense claims.

All those travelling on UKRI business are firstly expected to consider whether the trip is necessary and if so, travel arrangements should consider the 4 key travel factors:

- health and safety, wellbeing and security
- environmental impact
- cost as a public funded organisation
- business needs

UKRI remains committed to the safety and security of its employees. Employees should consult UKRI's Travel Risk Management Provider – [International SOS](#) – for any travel outside of the UK. Employees will not be required to travel to high risk locations against official advice or if they have wider concerns or considerations.

This, and all HR policies, must be read and implemented in conjunction with the associated guidance documents (Guidance on When and How to Travel and Guidance on Travel Standards, Subsistence and General Expenses), in addition to other UKRI policies that may be relevant. This document is available in alternative formats for accessibility purposes – please contact HRpolicy@ukri.org.

Management statement

The travel, subsistence and expenses policy has been agreed with the UKRI Trade Union Side. It complies with both statutory legislation and HM Revenue and Customs requirements. For the purposes of this policy the use of the word 'employee' covers all UKRI employees, including those employed on temporary or fixed term contracts.

It is expected that where UKRI is paying for travel, subsistence and expenses for non-employees the same policy principles and guidance should be applied. For advice on the application of the policy or the associated documents contact the HR Operations team or local HR team in Innovate UK, centres, institutes and units.

This policy is owned by the HR Policy Team and the content has been developed in conjunction with the UKRI Environmental Sustainability Team, UKRI Finance and UKRI Procurement, UKRI Security and UKRI Health & Safety. An equality impact assessment has been completed to ensure that this policy and associated guidance documents do not discriminate against anyone and that they promote where possible equality of opportunity.

1. Approval and review

1.1 This policy is owned by the UKRI HR Policy Team and content is provided across UKRI teams where appropriate including Environmental Sustainability, Finance, Procurement, Security and Health and Safety.

1.2 This policy is formally approved by the UKRI Joint Negotiating and Consultative Committee.

1.3 This Policy (including the rates detailed in Annex B) will be regularly reviewed to incorporate legislative change but otherwise at minimum of 2 years or at the request of the Trade Union Side.

1.4 The next scheduled review is September 2024.

2. Reporting and management requirements

2.1 Council Chief Operating Officers and members of the UKRI People, Finance and Operations committee will be provided with travel booking information

(quarterly from the procurement team) and emissions data (quarterly from the Environmental Sustainability Team) to monitor the impact of the policy.

2.2 UKRI Environmental Sustainability Delivery Group will review business travel emissions data against targets and is responsible for reporting against Greening Government Commitment targets to BEIS on a quarterly basis.

2.3 As noted above, UKRI may be required to report externally on travel bookings and expenses.

3. Purpose

3.1 This policy will allow employees to claim reimbursement of reasonable expenses necessarily incurred when travelling on UKRI business and sets the expectations for such claims. It will also provide information on general employee expenses for items which are unable to be procured through the UKRI procurement processes.

4. Scope

4.1 This policy applies to anyone travelling or claiming reimbursement of expenses incurred as part of UKRI business – this includes all travel associated with our work including for research, engagement, recruitment and operations. UKRI employees should consult the HR Policy Framework. Non-employees who claim travel, subsistence and expenses through UKRI are expected to follow this policy, including consideration for the travel hierarchy, but have a separate claims system in place. For more information on this please discuss with your UKRI contact.

4.2 Business travel is defined as all travel incurred in the course of carrying out your role at UKRI. Normal commuting such as travel between home and your contractual site is excluded from the policy, however, there may be instances where this can be claimed such as on-call claims.

5. Principles

5.1 Employees should neither profit nor suffer a financial loss while undertaking UKRI business.

5.2 Employees should ensure that prior to arranging travel they consider whether the same outcome could be met through virtual attendance (such as dialling in remotely via tele- or video-conferencing).

5.3 When travel is required to meet business needs, employees should consider 4 key travel factors before booking travel:

- Health and safety, wellbeing and security
- Environmental impact, supported by the travel hierarchy
- Cost
- Business need

5.4 Reasonable (sensible and proportionate) travel and subsistence costs necessarily incurred will be reimbursed by UKRI – wherever possible receipts should be provided.

5.5 The typical rates applicable in the UK are included in Annex B, or, in the case of expenses when travelling outside of the UK, this is within the maximum limits set by the HMRC's scale rate expenses payments.

5.6 Employees with additional requirements, for example where there is a disability, wellbeing, safety or security consideration, should request and agree reasonable adjustments with their line manager where necessary to ensure they feel safe and able to perform their duties.

5.7 Claims made outside of the policy and guidance may be investigated. UKRI may not pay such claims and where fraudulent activity is demonstrated the employee may be subject to disciplinary proceedings.

5.8 Employees should follow the latest UKRI procurement Policy and processes when:

- Arranging travel – employees should book through the UKRI Travel Providers
- Procuring items or services – should be procured through the relevant procurement system such as the Science Warehouse or dedicated contract.

5.9 If the supplier/contract is unable to meet the business need approval should be sought to purchase the item through the General Procurement Card (GPC) or employee expenses. In emergency situations this is not required.

5.10 Purchases of gifts for colleagues as part of occasions, including but not limited to retirement, leaving, sickness or parenthood, is specifically exempt. These should be funded through collections/donations with other colleagues. For further information on Gifts and Hospitality such as items required for cultural reasons please refer to the Gifts and Hospitality Policy.

5.11 UKRI is prepared to consider a claim for compensation from an employee who has suffered damage to, or loss, of their personal property, provided the damage or loss occurs on UKRI premises or while on official duty.

5.12 Local council or site policies and expenses rates are not permitted, however, there may be additional guidance available locally to support the operational implementation of the policy, such as local travel approval and booking arrangements (travel bookers).

6. Responsibilities

6.1 Employees are responsible for:

- considering whether travel is necessary
- making sensible, reasonable decisions before and during travel and ensuring their personal safety and security. Concerns should be raised to their line manager/health & safety/security at any point. Personal safety and security of employees remains the key factor in all decision making

- claiming non travel related expense appropriately and in line with procurement policy
- understanding the policy and asking for support when necessary

6.2 Line managers are responsible for:

- discussing and agreeing travel arrangements (including alternatives to travel) with employees in line with local operation procedures referencing the 4 key travel factors
- reviewing the detail of expense claims including checking the receipts provided to ensure they are accurate to the amount claimed and ensuring the costs have been appropriately incurred on UKRI business
- challenging claims where appropriate and approving in a timely manner
- line managers cannot approve claims which include expenses they have personally benefited from (for example, if they were present and part of the employee's claim for a meal)
- seeking further guidance from their own line manager or HR if they are unsure as to the application of this policy and associated guidance

7. Travel booking and approvals

7.1 Before booking any travel, employees and line managers are expected to consider whether an equivalent outcome could be delivered virtually. This could mean attending meetings remotely via video or tele conferencing options or opting to attend webinars and virtual events.

7.2 Normally, travel for UKRI business must be approved by the line manager prior to being booked in line with local operating procedures, unless in exceptional circumstances where travel changes are required at short notice.

7.3 Employees and line managers must give consideration to each of the following factors when considering their travel plans:

7.3.1 Health and safety, wellbeing and security

UKRI expects employees to make travel arrangements which prioritise their safety and security; and to take account of any reasonable adjustments they require. It may also be appropriate to make adjustments to support employee wellbeing. For travel outside of the UK employees must consult the iSOS for travel advice prior to travel, raising any concerns with the Security Hub. A risk assessment should be completed when travelling for work purposes – more information is available in the Guidance on When and How to travel on UKRI Business and through your local health and safety team.

7.3.2 Environmental impact of the travel

Employees are encouraged to follow a 'virtual first' approach unless it can be demonstrated that there is a business need to travel. If travel is required the travel hierarchy below should be followed to consider lower carbon emitting options first:

1. Virtual first and smarter meetings: considering video conference or phone as the first-choice alternative to travelling. Making the most out of meetings e.g.,

- through efficient preparation
- 2. Active travel: travelling by bicycle or walking
- 3. Public transport: travelling by bus or rail etc.
- 4. ULEV/pool vehicles: ultra low emission vehicles including hybrid pool, electric and rental vehicles. Car sharing when you can
- 5. Private car: staff member owned vehicles
- 6. Air: travelling by aircraft

Further information and examples are detailed in the supporting guidance.

Employees who travel by air are required to provide written justification and obtain authorisation from their senior leadership – UKRI Band H or equivalent band (delegated to Band G or equivalent where appropriate) prior to bookings being made. The approval process will vary by site/council and will likely either be by email or travel approval process. Minimum justification requirements are set within local operating procedures.

Operational flights, such as those at NERC which are required to directly undertake or support scientific activity or in the field training can be approved in bulk.

Domestic mainland UK flights are discouraged unless for operational or wellbeing reasons. Where practicable, international rail services (such as Eurostar) should be used for travel to and from European destinations.

Employees are expected to travel in standard or economy class unless there is a justification for an increased class of travel to account for health and wellbeing needs. If employees are required to use a higher class of travel this should be done at the minimum level required to meet their needs for the trip – meaning premium economy should be considered before business class.

7.3.3 Cost

Cost of the travel options is 1 factor but is not considered the primary factor when making travel decisions. Employees are encouraged to ensure that they look at budget options where available through the UKRI approved travel providers and book travel in advance where possible to get best value for money.

7.3.4 Business Needs

Needs such as the need to attend meetings which may fall outside of working hours, meetings for urgent or sensitive matters and door to door travel time considerations.

7.4 The weighting of these factors will vary by employee and on each trip made. Employees and line managers should consult the case studies provided in the supporting guidance and the frequently asked questions for examples of considerations to help further inform and support their decision making.

8. Submitting expense claims

8.1 UKRI employees should submit expenses claims on the system with the relevant supporting documentation within 60 days of the date incurred and have them approved prior to their last date of employment.

8.2 Line managers should review expense claims in a timely manner and discuss concerns with employees prior to approval.

9. Travel and subsistence claims

9.1 Employees may claim for reasonable incidental costs incurred in the course of UKRI business. Examples include non-alcoholic drinks such as tea and coffee when not taken alongside a meal, or for paying for toilet use in stations. Employees should claim for actual spend on a receipted basis where possible, however, it is recognised that sometimes this may not be possible (for example, when using a vending machine or station toilet). Items less than £5 may be authorised without a receipt in these instances provided these are considered reasonable. UKRI will not normally pay for alcohol costs unless as with prior authorisation and as part of an external event.

9.2 In exceptional circumstances, employees who are going on an extended visit can request an advance payment of anticipated travel and subsistence costs.

9.3 Employees travelling outside of the UK should discuss and agree with their line manager how they will claim for subsistence costs – whether this will either be on a receipted actuals basis or if more appropriate, to claim the standard HMRC daily rate for subsistence costs.

9.4 In the exceptional circumstances where employees have been unable to book travel through the UKRI Travel Providers this should be put through the system as receipted actuals. A justification as to why it was not possible to use the travel provider should be included with the claim.

10. Non-travel expense claims

10.1 It is recognised that there may be certain items that employees are unable to order goods or services through the UKRI procurement system. Under these circumstances employees are able to claim expenses through the system when these have been agreed with the line manager in advance and on a receipted basis.

11. Detached duty

11.1 Where employees are required to work in a different location to their contractual base at the request of UKRI, reimbursement can be made for excess travel and subsistence costs for attendance at that site.

12. Information governance

12.1 As a public sector organisation UKRI may be required to publish information relating to expenses claimed. This information will normally be in an aggregate or summary level, however, where individuals may be identified from the data, UKRI will where possible give claimants the opportunity to comment prior to disclosure.

This will not prevent the disclosure of factual information. Receipts and supporting documentation may be disclosed as part of the publication request.

12.2 Information including receipts and supporting documentation will be retained on the system in line with the UKRI data retention schedules.

13. Third party and external provider expenses

13.1 Travel, accommodation, subsistence and expenses may be funded or provided by another organisation. Claimants are still expected to follow the expectations set out within the UKRI policy and supporting documentation.

13.2 Employees should not accept any offer of payment, in cash or otherwise, by another organisation for expenses which have been paid, or are due to be paid, by UKRI.

Annex A: definitions

Travel providers: This refers to the contracted providers who are contracted to provide travel solutions for UKRI. This includes the central UKRI travel contract, car hire companies and the contract for provision of flights to The Antarctic.

The system: For employees within UKRI supported through UKSBS this refers to the Oracle system. Innovate UK employees should use Workday.

ULEV: Ultra low emission vehicles including electric vehicle, less than 50g CO2e/km.

Operational flight: Operational deployment international flights are defined as those required to directly undertake or support scientific activity or 'in the field' training. Non-operational flights include flights for conferences, meetings and non-operational training activities.

Annex B: expense rates

Cars and vans

- Each business mile within the first 10,000 business miles in tax year: 45p
- Each business mile over 10,000 in the tax year: 25p
- Per passenger per business mile for carrying fellow employees in a car or van on journeys which are also work journeys for them: 5p

Motorcycles

Each business mile: 24p

Bicycles

Each business mile: 20p

Flights

Only an economy ticket is permitted unless there are additional requirements as part of a reasonable adjustment or welfare consideration.

Underground and metro fares

These services can be booked through the travel provider as part of a rail journey. When claiming for fares directly such as using a contactless card (including Oyster Card) the actual travel cost per journey will be reimbursed on a receipted basis.

Loyalty points awarded by airlines

Points accrued through official travel for UKRI: these points must be used to offset the costs of future official journeys, and not for personal use. Employees cannot specify a particular supplier to gain air miles or loyalty points.

Fees required as part of a visit outside of the UK

Fees applied for as part of official UKRI business: these will be reimbursed on production of a receipt. This includes items such as:

- visa fees
- vaccination costs
- testing requirements (for example, Covid testing for entry)
- currency fees

Vehicle hire

Claimants should use the UKRI's recommended service for booking a hire car. UKRI pool cars should be utilised first and then UKRI contracts should be utilised before booking a private hire vehicle. Actual cost reimbursed on a receipted basis for a journey made as part of UKRI business.

Taxis

Actual cost reimbursed on a receipted basis.

Parking, congestion charges, ferries

Actual cost reimbursed on a receipted basis for journeys which qualify for mileage allowances.

Fines or costs relating to traffic offences (for example speeding, parking, clamping, congestion charge fine etc.)

No payments will be made under any conditions.

Meals in the UK

- Breakfast meal limit (where not included in accommodation): £7.50 inc. VAT
- Lunch meal limit: £15 including VAT

- Main meal limit: £25 including VAT

Subsistence outside of meals

Reasonable costs on a receipted basis, excluding alcohol costs.

Accommodation rates in the UK

- London and Edinburgh (including breakfast): Maximum £170 including VAT per night
- Elsewhere in the UK (including breakfast): Maximum £120 including VAT per night
- Staying with friends or relatives (only available for employees paid via payroll): Flat rate £25 net per night

Overseas expenses

Scale rate expenses payments: employee travelling outside the UK. Actuals up to the limits set in the HMRC scale rate expenses payments. This is inclusive of additional extras including tips but excludes alcohol costs.

Additional or late attendances at work

Travel between home and contractual place of work. This is the responsibility of the employee and will not normally be reimbursed.

Cancellation charges

If the employee was unable to book through the provider and unavoidably had to cancel. Actual costs when supporting information is provided. The claimant must also support the recovery of costs through the UKRI Group Travel Insurance Scheme.

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<https://www.ukri.org/publications/ukri-travel-subsistence-and-expenses-policy/ukri-business-expense-claims-business-travel-and-subsistence-policy>

Call-Off Schedule 6 (Intellectual Property Rights and Additional Terms on Digital Deliverables)

1 Definitions

1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

Term	Definition
Buyer Property	the property, other than real property and IPR, including the Buyer System, any equipment issued or made available to the Supplier by the Buyer in connection with this Contract;
Buyer Software	any software which is owned by or licensed to the Buyer and which is or will be used by the Supplier for the purposes of providing the Deliverables;
Buyer System	the Buyer's computing environment (consisting of hardware, software and/or telecommunications networks or equipment) used by the Buyer or the Supplier in connection with this Contract which is owned by or licensed to the Buyer by a third party and which interfaces with the Supplier System or which is necessary for the Buyer to receive the Deliverables;
Commercial off the shelf Software or COTS Software	Non-customised software where the IPR may be owned and licensed either by the Supplier or a third party depending on the context, and which is commercially available for purchase and subject to standard licence terms;
Defect	any of the following: (a) any error, damage or defect in the manufacturing of a Deliverable; or (b) any error or failure of code within the Software which causes a Deliverable to malfunction or to produce unintelligible or incorrect results; or (c) any failure of any Deliverable to provide the performance, features and functionality specified in the requirements of the Buyer or the Documentation (including any adverse effect on response times) regardless of whether or not it prevents the relevant Deliverable from passing any Test required under this Call Off Contract; or (d) any failure of any Deliverable to operate in conjunction with or interface with any other Deliverable in order to provide the performance, features and functionality specified in the requirements of the Buyer or the Documentation (including any adverse effect on response times) regardless of whether or not it prevents the relevant Deliverable from passing any Test required under this Contract;
Emergency Maintenance	ad hoc and unplanned maintenance provided by the Supplier where either Party reasonably suspects that the ICT Environment or the Services, or any part of the ICT Environment or the Services, has or may have developed a fault;
ICT Environment	the Buyer System and the Supplier System;
Licensed Software	all and any Software licensed by or through the Supplier, its Sub-

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	Contractors or any third party to the Buyer for the purposes of or pursuant to this Call Off Contract, including any COTS Software;
Maintenance Schedule	has the meaning given to it in Paragraph 8 of this Schedule;
Malicious Software	any software program or code intended to destroy, interfere with, corrupt, or cause undesired effects on program files, data or other information, executable code or application software macros, whether or not its operation is immediate or delayed, and whether the malicious software is introduced wilfully, negligently or without knowledge of its existence;
New Release	an item produced primarily to extend, alter or improve the Software and/or any Deliverable by providing additional functionality or performance enhancement (whether or not defects in the Software and/or Deliverable are also corrected) while still retaining the original designated purpose of that item;
Open Source Software	computer software that has its source code made available subject to an open-source licence under which the owner of the copyright and other IPR in such software provides the rights to use, study, change and distribute the software to any and all persons and for any and all purposes free of charge;
Operating Environment	means the Buyer System and any premises (including the Buyer Premises, the Supplier's premises or third party premises) from, to or at which: (a) the Deliverables are (or are to be) provided; or (b) the Supplier manages, organises or otherwise directs the provision or the use of the Deliverables; or (c) where any part of the Supplier System is situated;
Permitted Maintenance	has the meaning given to it in Paragraph 8.2 of this Schedule;
Quality Plans	has the meaning given to it in Paragraph 6.1 of this Schedule;
Sites	has the meaning given to it in Joint Schedule 1 (Definitions), and for the purposes of this Call-Off Schedule shall also include any premises from, to or at which physical interface with the Buyer System takes place;
Software	Specially Written Software COTS Software and non-COTS Supplier and third party Software;
Software Supporting Materials	has the meaning given to it in Paragraph 9.1 of this Schedule;
Source Code	computer programs and/or data in eye-readable form and in such form that it can be compiled or interpreted into equivalent binary code together with all related design comments, flow charts, technical information and documentation necessary for the use, reproduction, maintenance, modification and enhancement of such software;
Specially Written Software	any software (including database software, linking instructions, test scripts, compilation instructions and test instructions) created by the Supplier (or by a Sub-Contractor or other third party on behalf of the Supplier) specifically for the purposes of this Contract,

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	including any modifications or enhancements to COTS Software. For the avoidance of doubt Specially Written Software does not constitute New IPR; and
Supplier System	the information and communications technology system used by the Supplier in supplying the Deliverables, including the COTS Software, the Supplier Equipment, configuration and management utilities, calibration and testing tools and related cabling (but excluding the Buyer System).

2 When this Schedule should be used

- 2.1 This Schedule is designed to provide additional provisions on Intellectual Property Rights for the Digital Deliverables.

3 Buyer due diligence requirements

- 3.1 The Supplier shall satisfy itself of all relevant details, including but not limited to, details relating to the following;
- 3.1.1 suitability of the existing and (to the extent that it is defined or reasonably foreseeable at the Start Date) future Operating Environment;
 - 3.1.2 operating processes and procedures and the working methods of the Buyer;
 - 3.1.3 ownership, functionality, capacity, condition and suitability for use in the provision of the Deliverables of the Buyer Assets; and
 - 3.1.4 existing contracts (including any licences, support, maintenance and other contracts relating to the Operating Environment) referred to in the Due Diligence Information which may be novated to, assigned to or managed by the Supplier under this Contract and/or which the Supplier will require the benefit of for the provision of the Deliverables.
- 3.2 The Supplier confirms that it has advised the Buyer in writing of:
- 3.2.1 each aspect, if any, of the Operating Environment that is not suitable for the provision of the ICT Services;
 - 3.2.2 the actions needed to remedy each such unsuitable aspect; and
 - 3.2.3 a timetable for and the costs of those actions.
- 3.3 The Supplier undertakes:
- 3.3.1 and represents to the Buyer that Deliverables will meet the Buyer's acceptance criteria as set out in the Call-Off Contract and, if applicable, each Statement of Work; and
 - 3.3.2 to maintain all interface and interoperability between third party software or services, and Specially Written Software required for the performance or supply of the Deliverables.

4 Licensed software warranty

- 4.1 The Supplier represents and warrants that:
- 4.1.1 it has and shall continue to have all necessary rights in and to the Licensed Software made available by the Supplier (and/or any Sub-Contractor) to the Buyer which are necessary for the performance of the Supplier's obligations under this Contract including the receipt of the Deliverables by the Buyer;

- 4.1.2 all components of the Specially Written Software shall:
 - 4.1.2.1 be free from material design and programming errors;
 - 4.1.2.2 perform in all material respects in accordance with the relevant specifications contained in Call Off Schedule 14 (Service Levels and Balanced Scorecard) and Documentation; and
 - 4.1.2.3 not infringe any IPR.

5 Provision of ICT Services

- 5.1 The Supplier shall:
 - 5.1.1 ensure that the release of any new COTS Software in which the Supplier owns the IPR, or upgrade to any Software in which the Supplier owns the IPR complies with the interface requirements of the Buyer and (except in relation to new Software or upgrades which are released to address Malicious Software) shall notify the Buyer three (3) Months before the release of any new COTS Software or Upgrade;
 - 5.1.2 ensure that all Software including upgrades, updates and New Releases used by or on behalf of the Supplier are currently supported versions of that Software and perform in all material respects in accordance with the relevant specification;
 - 5.1.3 ensure that the Supplier System will be free of all encumbrances;
 - 5.1.4 ensure that the Deliverables are fully compatible with any Buyer Software, Buyer System, or otherwise used by the Supplier in connection with this Contract;
 - 5.1.5 minimise any disruption to the Services and the ICT Environment and/or the Buyer's operations when providing the Deliverables.

6 Standards and Quality Requirements

- 6.1 The Supplier shall develop, in the timescales specified in the Order Form, quality plans that ensure that all aspects of the Deliverables are the subject of quality management systems and are consistent with BS EN ISO 9001 or any equivalent standard which is generally recognised as having replaced it ("**Quality Plans**").
- 6.2 The Supplier shall seek Approval from the Buyer (not be unreasonably withheld or delayed) of the Quality Plans before implementing them. Approval shall not act as an endorsement of the Quality Plans and shall not relieve the Supplier of its responsibility for ensuring that the Deliverables are provided to the standard required by this Contract.
- 6.3 Following the approval of the Quality Plans, the Supplier shall provide all Deliverables in accordance with the Quality Plans.
- 6.4 The Supplier shall ensure that the Supplier Personnel shall at all times during the Call-Off Contract Period:
 - 6.4.1 be appropriately experienced, qualified and trained to supply the Deliverables in accordance with this Contract;
 - 6.4.2 apply all due skill, care, diligence in faithfully performing those duties and exercising such powers as necessary in connection with the provision of the Deliverables; and
 - 6.4.3 obey all lawful instructions and reasonable directions of the Buyer (including, if so required by the Buyer, the ICT Policy) and provide the Deliverables to the reasonable satisfaction of the Buyer.

7 ICT Audit

- 7.1 The Supplier shall allow any auditor access to the Supplier premises to:
- 7.1.1 inspect the ICT Environment and the wider service delivery environment (or any part of them);
 - 7.1.2 review any records created during the design and development of the Supplier System and pre-operational environment such as information relating to Testing;
 - 7.1.3 review the Supplier's quality management systems including all relevant Quality Plans.

8 Maintenance of the ICT Environment

- 8.1 If specified by the Buyer in the Order Form, the Supplier shall create and maintain a rolling schedule of planned maintenance to the ICT Environment ("**Maintenance Schedule**") and make it available to the Buyer for Approval in accordance with the timetable and instructions specified by the Buyer.
- 8.2 Once the Maintenance Schedule has been Approved, the Supplier shall only undertake such planned maintenance (which shall be known as "**Permitted Maintenance**") in accordance with the Maintenance Schedule.
- 8.3 The Supplier shall give as much notice as is reasonably practicable to the Buyer prior to carrying out any Emergency Maintenance.
- 8.4 The Supplier shall carry out any necessary maintenance (whether Permitted Maintenance or Emergency Maintenance) where it reasonably suspects that the ICT Environment and/or the Services or any part thereof has or may have developed a fault. Any such maintenance shall be carried out in such a manner and at such times so as to avoid (or where this is not possible so as to minimise) disruption to the ICT Environment and the provision of the Deliverables.

9 Intellectual Property Rights

9.1 Assignments granted by the Supplier: Specially Written Software

- 9.1.1 The Supplier assigns (by present assignment of future rights to take effect immediately on it coming into existence) to the Buyer with full guarantee (or shall procure assignment to the Buyer), title to and all rights and interest in the Specially Written Software together with and including:
 - 9.1.1.1 the Documentation, Source Code and the Object Code of the Specially Written Software; and
 - 9.1.1.2 all build instructions, test instructions, test scripts, test data, operating instructions and other documents and tools necessary for maintaining and supporting the Specially Written Software and the New IPR (together the "**Software Supporting Materials**").
- 9.1.2 The Supplier shall:
 - 9.1.2.1 inform the Buyer of all Specially Written Software or New IPRs that are a modification, customisation, configuration or enhancement to any COTS Software;
 - 9.1.2.2 deliver to the Buyer the Specially Written Software and any computer program elements of the New IPRs in both Source Code and Object Code forms together with relevant Documentation and all related Software Supporting Materials within seven days of completion or, if a relevant Milestone has been identified in an Implementation Plan, Achievement of that Milestone and shall provide updates of

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them promptly following each new release of the Specially Written Software, in each case on media that is reasonably acceptable to the Buyer and the Buyer shall become the owner of such media upon receipt; and

9.1.2.3 without prejudice to Paragraph 9.1.2.2, provide full details to the Buyer of any of the Supplier's Existing IPRs or Third Party IPRs which are embedded or which are an integral part of the Specially Written Software or New IPR and the Supplier hereby grants to the Buyer and shall procure that any relevant third party licensor shall grant to the Buyer a perpetual, irrevocable, non-exclusive, assignable, royalty-free licence to use, sub-license and/or commercially exploit such Supplier's Existing IPRs and Third Party IPRs to the extent that it is necessary to enable the Buyer to obtain the full benefits of ownership of the Specially Written Software and New IPRs.

9.1.3 The Supplier shall promptly execute all such assignments as are required to ensure that any rights in the Specially Written Software and New IPRs are properly transferred to the Buyer.

9.2 Licences for non-COTS IPR from the Supplier and third parties to the Buyer

9.2.1 Unless the Buyer gives its Approval the Supplier must not use any:

- (a) of its own Existing IPR that is not COTS Software;
- (b) third party software that is not COTS Software

9.2.2 Where the Buyer Approves the use of the Supplier's Existing IPR that is not COTS Software the Supplier shall grant to the Buyer a perpetual, royalty-free and non-exclusive licence to use adapt, and sub-license the same for any purpose relating to the Deliverables (or substantially equivalent deliverables) or for any purpose relating to the exercise of the Buyer's (or, if the Buyer is a Central Government Body, any other Central Government Body's) business or function including the right to load, execute, store, transmit, display and copy (for the purposes of archiving, backing-up, loading, execution, storage, transmission or display) for the Call Off Contract Period and after expiry of the Contract to the extent necessary to ensure continuity of service and an effective transition of Services to a Replacement Supplier.

9.2.3 Where the Buyer Approves the use of third party Software that is not COTS Software the Supplier shall procure that the owners or the authorised licensors of any such Software grant a direct licence to the Buyer on terms at least equivalent to those set out in Paragraph 9.2.2. If the Supplier cannot obtain such a licence for the Buyer it shall:

9.2.3.1 notify the Buyer in writing giving details of what licence terms can be obtained and whether there are alternative software providers which the Supplier could seek to use; and

9.2.3.2 only use such third party IPR as referred to at Paragraph 9.2.3.1 if the Buyer Approves the terms of the licence from the relevant third party.

9.2.4 Where the Supplier is unable to provide a license to the Supplier's Existing IPR in accordance with Paragraph 9.2.2 above, it must meet the requirement by making use of COTS Software or Specially Written Software.

9.2.5 The Supplier may terminate a licence granted under Paragraph 9.2.1 by giving at least thirty (30) days' notice in writing if there is an Authority Cause which constitutes a material Default which, if capable of remedy, is not remedied within twenty (20) Working Days after the Supplier gives the Buyer written notice specifying the breach and requiring its remedy.

9.3 Licenses for COTS Software by the Supplier and third parties to the Buyer

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- 9.3.1 The Supplier shall either grant, or procure that the owners or the authorised licensors of any COTS Software grant, a direct licence to the Buyer on terms no less favourable than those standard commercial terms on which such software is usually made commercially available.
- 9.3.2 Where the Supplier owns the COTS Software it shall make available the COTS software to a Replacement Supplier at a price and on terms no less favourable than those standard commercial terms on which such software is usually made commercially available.
- 9.3.3 Where a third party is the owner of COTS Software licensed in accordance with this Paragraph 9.3 the Supplier shall support the Replacement Supplier to make arrangements with the owner or authorised licensee to renew the license at a price and on terms no less favourable than those standard commercial terms on which such software is usually made commercially available.
- 9.3.4 The Supplier shall notify the Buyer within seven (7) days of becoming aware of any COTS Software which in the next thirty-six (36) months:
 - 9.3.4.1 will no longer be maintained or supported by the developer; or
 - 9.3.4.2 will no longer be made commercially available

9.4 Buyer's right to assign/novate licences

- 9.4.1 The Buyer may assign, novate or otherwise transfer its rights and obligations under the licences granted pursuant to Paragraph 9.2 (to:
 - 9.4.1.1 a Central Government Body; or
 - 9.4.1.2 to any body (including any private sector body) which performs or carries on any of the functions and/or activities that previously had been performed and/or carried on by the Buyer.
- 9.4.2 If the Buyer ceases to be a Central Government Body, the successor body to the Buyer shall still be entitled to the benefit of the licences granted in Paragraph 9.2.

9.5 Licence granted by the Buyer

- 9.5.1 The Buyer grants to the Supplier a royalty-free, non-exclusive, non-transferable licence during the Contract Period to use the Buyer Software and the Specially Written Software solely to the extent necessary for providing the Deliverables in accordance with this Contract, including the right to grant sub-licences to Sub-Contractors provided that any relevant Sub-Contractor has entered into a confidentiality undertaking with the Supplier on the same terms as set out in Clause 15 (Confidentiality).

9.6 Open Source Publication

- 9.6.1 Unless the Buyer otherwise agrees in advance in writing (and subject to Paragraph 9.6.3) all Specially Written Software and computer program elements of New IPR shall be created in a format, or able to be converted (in which case the Supplier shall also provide the converted format to the Buyer) into a format, which is:
 - 9.6.1.1 suitable for publication by the Buyer as Open Source; and
 - 9.6.1.2 based on Open Standards (where applicable),
and the Buyer may, at its sole discretion, publish the same as Open Source.
- 9.6.2 The Supplier hereby warrants that the Specially Written Software and the New IPR:
 - 9.6.2.1 are suitable for release as Open Source and that the Supplier has used reasonable endeavours when developing the same to ensure that publication by the Buyer will

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not enable a third party to use them in any way which could reasonably be foreseen to compromise the operation, running or security of the Specially Written Software, New IPRs or the Buyer System;

- 9.6.2.2 have been developed using reasonable endeavours to ensure that their publication by the Buyer shall not cause any harm or damage to any party using them;
- 9.6.2.3 do not contain any material which would bring the Buyer into disrepute;
- 9.6.2.4 can be published as Open Source without breaching the rights of any third party;
- 9.6.2.5 will be supplied in a format suitable for publication as Open Source ("**the Open Source Publication Material**") no later than the date notified by the Buyer to the Supplier; and
- 9.6.2.6 do not contain any Malicious Software.
- 9.6.3 Where the Buyer has Approved a request by the Supplier for any part of the Specially Written Software or New IPRs to be excluded from the requirement to be in an Open Source format due to the intention to embed or integrate Supplier Existing IPRs and/or Third Party IPRs (and where the Parties agree that such IPRs are not intended to be published as Open Source), the Supplier shall:
 - 9.6.3.1 as soon as reasonably practicable, provide written details of the nature of the IPRs and items or Deliverables based on IPRs which are to be excluded from Open Source publication; and
 - 9.6.3.2 include in the written details and information about the impact that inclusion of such IPRs or Deliverables based on such IPRs, will have on any other Specially Written Software and/or New IPRs and the Buyer's ability to publish such other items or Deliverables as Open Source.

9.7 Malicious Software

- 9.7.1 The Supplier shall, throughout the Contract Period, use the latest versions of anti-virus definitions and software available from an industry accepted anti-virus software vendor to check for, contain the spread of, and minimise the impact of Malicious Software.
- 9.7.2 If Malicious Software is found, the Parties shall co-operate to reduce the effect of the Malicious Software and, particularly if Malicious Software causes loss of operational efficiency or loss or corruption of Government Data, assist each other to mitigate any losses and to restore the provision of the Deliverables to its desired operating efficiency.
- 9.7.3 Any cost arising out of the actions of the Parties taken in compliance with the provisions of Paragraph 9.7.2 shall be borne by the Parties as follows:
 - 9.7.3.1 by the Supplier, where the Malicious Software originates from the Supplier Software, the third party Software supplied by the Supplier or the Government Data (whilst the Government Data was under the control of the Supplier) unless the Supplier can demonstrate that such Malicious Software was present and not quarantined or otherwise identified by the Buyer when provided to the Supplier; and
 - 9.7.3.2 by the Buyer, if the Malicious Software originates from the Buyer Software or the Buyer Data (whilst the Buyer Data was under the control of the Buyer).

10 IPR asset management

- 10.1 The Parties shall work together to ensure that there is appropriate IPR asset management under each Call-Off Contract, and:

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10.1.1 where the Supplier is working on the Buyer's System, the Supplier shall comply with the Buyer's IPR asset management approach and procedures.

10.1.2 where the Supplier is working on the Supplier's System, the Buyer will ensure that it maintains its IPR asset management procedures in accordance with Good Industry Practice.

Records and materials associated with IPR asset management shall form part of the Deliverables, including those relating to any Specially Written Software or New IPR.

10.2 The Supplier shall comply with any instructions given by the Buyer as to where it shall store all work in progress Deliverables and finished Deliverables (including all Documentation and Source Code) during the term of the Call-Off Contract and at the stated intervals or frequency specified by the Buyer and upon termination of the Contract or any Statement of Work.

10.3 The Supplier shall ensure that all items it uploads into any repository contain sufficient detail, code annotations and instructions so that a third-party developer (with the relevant technical abilities within the applicable role) would be able to understand how the item was created and how it works together with other items in the repository within a reasonable timeframe.

10.4 The Supplier shall maintain a register of all Open Source Software it has used in the provision of the Deliverables as part of its IPR asset management obligations under this Contract.

Call-Off Schedule 7 (Key Supplier Staff)

1 Key Supplier Staff

- 1.1 The Order Form lists the key roles (“**Key Roles**”) and names of the persons who the Supplier shall appoint to fill those Key Roles at the Start Date and the Statement of Work lists the Key Roles and names of persons who the Supplier shall appoint to fill those Key Roles as of the SOW Start Date.
- 1.2 The Supplier shall ensure that the Key Staff fulfil the Key Roles at all times during the Contract Period.
- 1.3 The Buyer may identify any further roles as being Key Roles and, following agreement to the same by the Supplier, the relevant person selected to fill those Key Roles shall be included on the list of Key Staff.
- 1.4 The Supplier shall not remove or replace and shall procure that any Subcontractor shall not remove or replace any Key Staff unless:
 - 1.4.1 requested to do so by the Buyer or the Buyer Approves such removal or replacement (not to be unreasonably withheld or delayed);
 - 1.4.2 the person concerned resigns, retires or dies or is on maternity or long-term sick leave; or
 - 1.4.3 the person’s employment or contractual arrangement with the Supplier or Subcontractor is terminated for material breach of contract by the employee.
- 1.5 The Supplier shall:
 - 1.5.1 notify the Buyer promptly of the absence of any Key Staff (other than for short-term sickness or holidays of two (2) weeks or less, in which case the Supplier shall ensure appropriate temporary cover for that Key Role);
 - 1.5.2 ensure that any Key Role is not vacant for any longer than ten (10) Working Days;
 - 1.5.3 give as much notice as is reasonably practicable of its intention to remove or replace any member of Key Staff and, except in the cases of death, unexpected ill health or a material breach of the Key Staff’s employment contract, this will mean at least three (3) Months’ notice;
 - 1.5.4 ensure that all arrangements for planned changes in Key Staff provide adequate periods during which incoming and outgoing staff work together to transfer responsibilities and ensure that such change does not have an adverse impact on the provision of the Deliverables;
 - 1.5.5 ensure that any replacement for a Key Role has a level of qualifications and experience appropriate to the relevant Key Role and is fully competent to carry out the tasks assigned to the Key Staff whom he or she has replaced;
 - 1.5.6 on written request from the Buyer, provide a copy of the contract of employment or engagement (between the Supplier and Supplier Staff) for every member of the Supplier Staff made available to the Buyer under the Call-Off Contract when providing Deliverables under any Statement of Work;
 - 1.5.7 on written request from the Buyer, provide details of start and end dates of engagement for all Key Staff filling Key Roles under any Statement of Work.
- 1.6 The Buyer may require the Supplier to remove or procure that any Subcontractor shall remove any Key Staff that the Buyer considers in any respect unsatisfactory. The Buyer shall not be liable for the cost of replacing any Key Staff.

Annex 1 - UKRI Personnel Security Policy

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UKRI Personnel Security Policy

Contents:

- Policy Statement
- Management Statement
- References
- Version Control, Document Review & Approval
- Document Circulation/Readership

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Policy Statement
This Policy describes the UKRI CEO’s expectations of how UKRI and third parties providing services will apply protective security measures through the personnel vetting process to ensure UKRI can function effectively, efficiently and securely.
This Policy is closely aligned to the [Government Security Standard 007: Security](#).

Management Statement
The UKRI Personnel Vetting Policy has been agreed with the Personnel Security Assurance Working Group, UKRI Security Forum, and the People, Finance and Operations Committee (PFO).


References
[UKRI National Security Vetting Guidance](#)
[UKRI ROSA Guidance](#)
[Government Functional Standard GovS 007: Security](#)
[Prevention of Illegal Working Policy](#)

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[Recruitment Policy](#)
[UKRI Acceptable Use Policy](#)
[UKRI Counter Fraud and Bribery Policy](#)
[UKRI Information Security Incident and Data Breach Handling Policy](#)
[UKRI Information Security Policy Framework](#)
[UKRI Mobile and Remote Working Policy](#)
[UKRI Overseas IT Equipment Travel Policy](#)
[UKRI Password Policy](#)
[UKRI Retention Schedule](#)
[UKRI Risk Management Policy](#)
[UKRI Security Classification Policy](#)
[UKRI Whistleblowing Policy – 'Freedom to Speak Up'](#)

Version Number	Status	Revision Date	Summary of Changes

Document Review & Approval

Name	Version	Signature/Email Confirmation	Date
Personnel Security Assurance Working Group	Draft		24/02/2022
Security Forum	Draft		20/06/2022
Personnel Security Assurance Working Group	V1		25/07/2022

Document Circulation/Readership

The intended circulation/readership for this document are as follows:

- All UKRI staff, contractors and visitors
- Other stakeholders as necessary

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1. Background

1.1 Personnel security is a system of policies, guidance, standards, procedures and technical measures which combine to reduce the risk of legitimate access to UKRI assets¹ being exploited for unauthorised purposes. Specifically, but not limited to, it seeks to:

- 1.1.1. Reduce the risk of recruiting staff (including contractors) who are likely to present a security concern and harm the organisations assets (including its staff).
- 1.1.2. Minimise the likelihood of existing staff becoming a security concern.
- 1.1.3. Reduce the risk of and protect UKRI assets from insider activity².
- 1.1.4. Implement security controls in a way that is proportionate to the risk.

2. Purpose

- 2.1. This policy seeks to reduce the risk of a wide range of external threats from utilising, pressuring, persuading, or exploiting UKRI staff to misuse their access to UKRI assets and privileged information for nefarious purposes. These threats may be related to Hostile State activities (e.g., espionage, Intellectual property theft), Terrorism, Investigative journalists and Single-issue activists (e.g., Extinction Rebellion).
- 2.2. This policy also seeks to reduce the risk from the insiders who could seek to exploit their level of access for personal reasons such as: financial gain, revenge, or ideology.
- 2.3. The purpose of this policy is to define the Organisation's requirement for Personnel Security Controls and where they should be applied, and in doing so reduce the potential misuse of UKRI's People, Information and Assets for unauthorised purposes.

3. Scope

- 3.1. This Policy applies to all UKRI staff, agents, contractors, consultants and third party suppliers with access to UKRI information, systems, premises or services. They will be referred to collectively as individuals during the course of this document.

4. Accountabilities

- 4.1. The UKRI CEO, as the Senior Officer Accountable for Security is the accountable owner of this policy. The UKRI Senior Security Advisor responsible for the policy's maintenance and review.
- 4.2. Accountability for compliance with the behavioural aspects of this policy lies with all individuals in scope. In other words, personnel security is the responsibility of everyone.
- 4.3. Line managers are responsible for monitoring personnel security controls, where these have been introduced, including National Security Vetting (where applicable).

5. Supporting policies

- 5.1. All individuals must comply with the procedures established under this policy and must also ensure compliance with associated policies, standards and procedures, including but not exclusively those noted under the References section of this policy.

¹ UKRI's people, property (e.g., buildings, technological systems, scientific equipment, and the infrastructure that underpins each of these); data, information and services.

² Insider is defined as a person who exploits, or has the intention to exploit, their legitimate access to an organisation's assets for unauthorised purposes. An insider could be a member of staff, a contractor or even a business partner.

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5.2. The [UKRI National Security Vetting Guidance](#) describes the UKRI CEO's expectations of how UKRI and third party suppliers will apply protective security measures through the personnel vetting process to ensure UKRI can function effectively, efficiently and securely.

6. The Government Functional Standard

6.1. The [Government Functional Standard \(GFS\) GovS007 Security](#) sets the expectations for protecting the government's assets (people, property and information); visitors to government property, and third party suppliers whilst engaged on government business; and citizen data.

6.2. In respect of personnel security, it states that government organisations shall risk assess all its roles to identify the most appropriate personnel security controls (safeguards and countermeasures) for each position. Personnel security controls which include a combination of:

- Recruitment checks.
- National Security Vetting.
- On-going personnel security.
- Security education of staff.
- Security reporting.
- Personnel security policies.
- Formal sanctions.
- Travel advice and processes.
- Exit Procedures.

7. Security Awareness

7.1.1. To facilitate awareness and compliance with this policy, supporting security guidance (published, [here](#)) and the government standards (e.g. [GovS 007: Security](#)), UKRI will maintain a security awareness programme the key principles of which are:

7.1.2. All individuals must undergo a security induction³ upon commencement of their employment.

7.1.3. Line managers will be provided with support, and education on their responsibility for monitoring compliance with personnel security controls.

8. Storage

8.1. This document will be retained in-line with [UKRI Retention Schedule](#).

9. Policy Review

³ Presently, this is conducted to a limited extent via local site inductions for new employees and Cyber Security training. Personnel Security induction training is currently in development.

OFFICIAL SENSITIVE

9.1. This policy will be reviewed annually, or in line with a valid request from key stakeholders.

10. Further Information

10.1. Additional guidance about this Policy or its application in specific circumstances is available from the [Security Hub](#), or by contacting the [Head of Personnel Security](#) and the [Senior Security Adviser](#), directly.

Call-Off Schedule 8 (Business Continuity and Disaster Recovery)

1 Definitions

1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

Term	Definition
BCDR Plan	has the meaning given to it in Paragraph 2.2 of this Schedule;
Business Continuity Plan	has the meaning given to it in Paragraph 2.3.2 of this Schedule;
Disaster	the occurrence of one or more events which, either separately or cumulatively, mean that the Deliverables, or a material part thereof will be unavailable (or could reasonably be anticipated to be unavailable);
Disaster Recovery Deliverables	the Deliverables embodied in the processes and procedures for restoring the provision of Deliverables following the occurrence of a Disaster;
Disaster Recovery Plan	has the meaning given to it in Paragraph 2.3.3 of this Schedule;
Disaster Recovery System	the system embodied in the processes and procedures for restoring the provision of Deliverables following the occurrence of a Disaster;
Related Supplier	any person who provides Deliverables to the Buyer which are related to the Deliverables from time to time;
Review Report	has the meaning given to it in Paragraph 6.3 of this Schedule; and
Supplier's Proposals	has the meaning given to it in Paragraph 6.3 of this Schedule.

2 BCDR Plan

2.1 The Buyer and the Supplier recognise that, where specified in Framework Schedule 4 (Framework Management), CCS shall have the right to enforce the Buyer's rights under this Schedule.

2.2 At least ninety (90) Working Days after the Start Date the Supplier shall prepare and deliver to the Buyer for the Buyer's written approval a plan (a "**BCDR Plan**"), which shall detail the processes and arrangements that the Supplier shall follow to:

2.2.1 ensure continuity of the business processes and operations supported by the Services following any failure or disruption of any element of the Deliverables; and

2.2.2 the recovery of the Deliverables in the event of a Disaster

2.3 The BCDR Plan shall be divided into three sections:

2.3.1 Section 1 which shall set out general principles applicable to the BCDR Plan;

2.3.2 Section 2 which shall relate to business continuity (the "**Business Continuity Plan**"); and

2.3.3 Section 3 which shall relate to disaster recovery (the "**Disaster Recovery Plan**").

2.4 Following receipt of the draft BCDR Plan from the Supplier, the Parties shall use reasonable endeavours to agree the contents of the BCDR Plan. If the Parties are unable to agree the contents of the BCDR Plan within twenty (20) Working Days of its

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submission, then such Dispute shall be resolved in accordance with the Dispute Resolution Procedure.

3 General Principles of the BCDR Plan (Section 1)

3.1 Section 1 of the BCDR Plan shall:

- 3.1.1 set out how the business continuity and disaster recovery elements of the BCDR Plan link to each other;
 - 3.1.2 provide details of how the invocation of any element of the BCDR Plan may impact upon the provision of the Deliverables and any goods and/or services provided to the Buyer by a Related Supplier;
 - 3.1.3 contain an obligation upon the Supplier to liaise with the Buyer and any Related Suppliers with respect to business continuity and disaster recovery;
 - 3.1.4 detail how the BCDR Plan interoperates with any overarching disaster recovery or business continuity plan of the Buyer and any of its other Related Supplier in each case as notified to the Supplier by the Buyer from time to time;
 - 3.1.5 contain a communication strategy including details of an incident and problem management service and advice and help desk facility which can be accessed via multiple channels;
 - 3.1.6 contain a risk analysis, including:
 - (a) failure or disruption scenarios and assessments of likely frequency of occurrence;
 - (b) identification of any single points of failure within the provision of Deliverables and processes for managing those risks;
 - (c) identification of risks arising from the interaction of the provision of Deliverables with the goods and/or services provided by a Related Supplier; and
 - (d) a business impact analysis of different anticipated failures or disruptions;
 - 3.1.7 provide for documentation of processes, including business processes, and procedures;
 - 3.1.8 set out key contact details for the Supplier (and any Subcontractors) and for the Buyer;
 - 3.1.9 identify the procedures for reverting to "normal service";
 - 3.1.10 set out method(s) of recovering or updating data collected (or which ought to have been collected) during a failure or disruption to minimise data loss;
 - 3.1.11 identify the responsibilities (if any) that the Buyer has agreed it will assume in the event of the invocation of the BCDR Plan; and
 - 3.1.12 provide for the provision of technical assistance to key contacts at the Buyer as required by the Buyer to inform decisions in support of the Buyer's business continuity plans.
- #### **3.2 The BCDR Plan shall be designed so as to ensure that:**
- 3.2.1 the Deliverables are provided in accordance with this Contract at all times during and after the invocation of the BCDR Plan;
 - 3.2.2 the adverse impact of any Disaster is minimised as far as reasonably possible;
 - 3.2.3 it complies with the relevant provisions of ISO/IEC 27002; ISO22301/ISO22313 and all other industry standards from time to time in force; and

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- 3.2.4 It details a process for the management of disaster recovery testing.
- 3.3 The BCDR Plan shall be upgradeable and sufficiently flexible to support any changes to the Deliverables and the business operations supported by the provision of Deliverables.
- 3.4 The Supplier shall not be entitled to any relief from its obligations under the Performance Indicators (PI's) or Service levels, or to any increase in the Charges to the extent that a Disaster occurs as a consequence of any breach by the Supplier of this Contract.

4 Business Continuity (Section 2)

- 4.1 The Business Continuity Plan shall set out the arrangements that are to be invoked to ensure that the business processes facilitated by the provision of Deliverables remain supported and to ensure continuity of the business operations supported by the Services including:
 - 4.1.1 the alternative processes, options and responsibilities that may be adopted in the event of a failure in or disruption to the provision of Deliverables; and
 - 4.1.2 the steps to be taken by the Supplier upon resumption of the provision of Deliverables in order to address the effect of the failure or disruption.
- 4.2 The Business Continuity Plan shall:
 - 4.2.1 address the various possible levels of failures of or disruptions to the provision of Deliverables;
 - 4.2.2 set out the goods and/or services to be provided and the steps to be taken to remedy the different levels of failures of and disruption to the Deliverables;
 - 4.2.3 specify any applicable Performance Indicators with respect to the provision of the Business Continuity Services and details of any agreed relaxation to the Performance Indicators (PI's) or Service Levels in respect of the provision of other Deliverables during any period of invocation of the Business Continuity Plan; and
 - 4.2.4 set out the circumstances in which the Business Continuity Plan is invoked.

5 Disaster Recovery (Section 3)

- 5.1 The Disaster Recovery Plan (which shall be invoked only upon the occurrence of a Disaster) shall be designed to ensure that upon the occurrence of a Disaster the Supplier ensures continuity of the business operations of the Buyer supported by the Services following any Disaster or during any period of service failure or disruption with, as far as reasonably possible, minimal adverse impact.
- 5.2 The Supplier's BCDR Plan shall include an approach to business continuity and disaster recovery that addresses the following:
 - 5.2.1 loss of access to the Buyer Premises;
 - 5.2.2 loss of utilities to the Buyer Premises;
 - 5.2.3 loss of the Supplier's helpdesk or CAFM system;
 - 5.2.4 loss of a Subcontractor;
 - 5.2.5 emergency notification and escalation process;
 - 5.2.6 contact lists;
 - 5.2.7 staff training and awareness;

- 5.2.8 BCDR Plan testing;
- 5.2.9 post implementation review process;
- 5.2.10 any applicable Performance Indicators (PI's) with respect to the provision of the disaster recovery services and details of any agreed relaxation to the Performance Indicators (PI's) or Service Levels in respect of the provision of other Deliverables during any period of invocation of the Disaster Recovery Plan;
- 5.2.11 details of how the Supplier shall ensure compliance with security standards ensuring that compliance is maintained for any period during which the Disaster Recovery Plan is invoked;
- 5.2.12 access controls to any disaster recovery sites used by the Supplier in relation to its obligations pursuant to this Schedule; and
- 5.2.13 testing and management arrangements.

6 Review and changing the BCDR Plan

- 6.1 The Supplier shall review the BCDR Plan:
 - 6.1.1 on a regular basis and as a minimum once every six (6) Months;
 - 6.1.2 within three (3) calendar Months of the BCDR Plan (or any part) having been invoked pursuant to Paragraph 7; and
 - 6.1.3 where the Buyer requests in writing any additional reviews (over and above those provided for in Paragraphs 6.1.1 and 6.1.2 of this Schedule) whereupon the Supplier shall conduct such reviews in accordance with the Buyer's written requirements. Prior to starting its review, the Supplier shall provide an accurate written estimate of the total costs payable by the Buyer for the Buyer's approval. The costs of both Parties of any such additional reviews shall be met by the Buyer except that the Supplier shall not be entitled to charge the Buyer for any costs that it may incur above any estimate without the Buyer's prior written approval.
- 6.2 Each review of the BCDR Plan pursuant to Paragraph 6.1 shall assess its suitability having regard to any change to the Deliverables or any underlying business processes and operations facilitated by or supported by the Services which have taken place since the later of the original approval of the BCDR Plan or the last review of the BCDR Plan, and shall also have regard to any occurrence of any event since that date (or the likelihood of any such event taking place in the foreseeable future) which may increase the likelihood of the need to invoke the BCDR Plan. The review shall be completed by the Supplier within such period as the Buyer shall reasonably require.
- 6.3 The Supplier shall, within twenty (20) Working Days of the conclusion of each such review of the BCDR Plan, provide to the Buyer a report (a "**Review Report**") setting out the Supplier's proposals (the "**Supplier's Proposals**") for addressing any changes in the risk profile and its proposals for amendments to the BCDR Plan.
- 6.4 Following receipt of the Review Report and the Supplier's Proposals, the Parties shall use reasonable endeavours to agree the Review Report and the Supplier's Proposals. If the Parties are unable to agree Review Report and the Supplier's Proposals within twenty (20) Working Days of its submission, then such Dispute shall be resolved in accordance with the Dispute Resolution Procedure.
- 6.5 The Supplier shall as soon as is reasonably practicable after receiving the approval of the Supplier's Proposals effect any change in its practices or procedures necessary so as to give effect to the Supplier's Proposals. Any such change shall be at the Supplier's expense unless it can be reasonably shown that the changes are required because of a material change to the risk profile of the Deliverables.

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7 Testing the BCDR Plan

- 7.1 The Supplier shall test the BCDR Plan:
- 7.1.1 regularly and in any event not less than once in every Contract Year;
 - 7.1.2 in the event of any major reconfiguration of the Deliverables;
 - 7.1.3 at any time where the Buyer considers it necessary (acting in its sole discretion).
- 7.2 If the Buyer requires an additional test of the BCDR Plan, it shall give the Supplier written notice and the Supplier shall conduct the test in accordance with the Buyer's requirements and the relevant provisions of the BCDR Plan. The Supplier's costs of the additional test shall be borne by the Buyer unless the BCDR Plan fails the additional test in which case the Supplier's costs of that failed test shall be borne by the Supplier.
- 7.3 The Supplier shall undertake and manage testing of the BCDR Plan in full consultation with and under the supervision of the Buyer and shall liaise with the Buyer in respect of the planning, performance, and review, of each test, and shall comply with the reasonable requirements of the Buyer.
- 7.4 The Supplier shall ensure that any use by it or any Subcontractor of "live" data in such testing is first approved with the Buyer. Copies of live test data used in any such testing shall be (if so required by the Buyer) destroyed or returned to the Buyer on completion of the test.
- 7.5 The Supplier shall, within twenty (20) Working Days of the conclusion of each test, provide to the Buyer a report setting out:
- 7.5.1 the outcome of the test;
 - 7.5.2 any failures in the BCDR Plan (including the BCDR Plan's procedures) revealed by the test; and
 - 7.5.3 the Supplier's proposals for remedying any such failures.
- 7.6 Following each test, the Supplier shall take all measures requested by the Buyer to remedy any failures in the BCDR Plan and such remedial activity and re-testing shall be completed by the Supplier, at its own cost, by the date reasonably required by the Buyer.

8 Invoking the BCDR Plan

- 8.1 In the event of a complete loss of service or in the event of a Disaster, the Supplier shall immediately invoke the BCDR Plan (and shall inform the Buyer promptly of such invocation). In all other instances the Supplier shall invoke or test the BCDR Plan only with the prior consent of the Buyer.

9 Circumstances beyond your control

The Supplier shall not be entitled to relief under Clause 20 (Circumstances beyond your control) if it would not have been impacted by the Force Majeure Event had it not failed to comply with its obligations under this Schedule.

Call-Off Schedule 9 (Security)

Part A: Short Form Security Requirements

1 Definitions

- 1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

Term	Definition
Breach of Security	the occurrence of: (a) any unauthorised access to or use of the Deliverables, the Sites and/or any Information and Communication Technology ("ICT"), information or data (including the Confidential Information and the Government Data) used by the Buyer and/or the Supplier in connection with this Contract; and/or (b) the loss and/or unauthorised disclosure of any information or data (including the Confidential Information and the Government Data), including any copies of such information or data, used by the Buyer and/or the Supplier in connection with this Contract, in either case as more particularly set out in the Security Policy where the Buyer has required compliance therewith in accordance with Paragraph 2.2; and
Security Management Plan	the Supplier's security management plan prepared pursuant to this Schedule, a draft of which has been provided by the Supplier to the Buyer and as updated from time to time.

2 Complying with security requirements and updates to them

- 2.1 The Buyer and the Supplier recognise that, where specified in Framework Schedule 4 (Framework Management), CCS shall have the right to enforce the Buyer's rights under this Schedule.
- 2.2 The Supplier shall comply with the requirements in this Schedule in respect of the Security Management Plan. Where specified by a Buyer that has undertaken a Further Competition it shall also comply with the Security Policy and shall ensure that the Security Management Plan produced by the Supplier fully complies with the Security Policy.
- 2.3 Where the Security Policy applies the Buyer shall notify the Supplier of any changes or proposed changes to the Security Policy.
- 2.4 If the Supplier believes that a change or proposed change to the Security Policy will have a material and unavoidable cost implication to the provision of the Deliverables it may propose a Variation to the Buyer. In doing so, the Supplier must support its request by providing evidence of the cause of any increased costs and the steps that it has taken to mitigate those costs. Any change to the Charges shall be subject to the Variation Procedure.
- 2.5 Until and/or unless a change to the Charges is agreed by the Buyer pursuant to the Variation Procedure the Supplier shall continue to provide the Deliverables in accordance with its existing obligations.

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3 Security Standards

- 3.1 The Supplier acknowledges that the Buyer places great emphasis on the reliability of the performance of the Deliverables, confidentiality, integrity and availability of information and consequently on security.
- 3.2 The Supplier shall be responsible for the effective performance of its security obligations and shall at all times provide a level of security which:
 - 3.2.1 is in accordance with the Law and this Contract;
 - 3.2.2 as a minimum demonstrates Good Industry Practice;
 - 3.2.3 meets any specific security threats of immediate relevance to the Deliverables and/or the Government Data; and
 - 3.2.4 where specified by the Buyer in accordance with Paragraph 2.2 complies with the Security Policy and the ICT Policy.
- 3.3 The references to standards, guidance and policies contained or set out in Paragraph 3.2 shall be deemed to be references to such items as developed and updated and to any successor to or replacement for such standards, guidance and policies, as notified to the Supplier from time to time.
- 3.4 In the event of any inconsistency in the provisions of the above standards, guidance and policies, the Supplier should notify the Buyer's Representative of such inconsistency immediately upon becoming aware of the same, and the Buyer's Representative shall, as soon as practicable, advise the Supplier which provision the Supplier shall be required to comply with.

4 Security Management Plan

4.1 Introduction

- 4.1.1 The Supplier shall develop and maintain a Security Management Plan in accordance with this Schedule. The Supplier shall thereafter comply with its obligations set out in the Security Management Plan.

4.2 Content of the Security Management Plan

- 4.2.1 The Security Management Plan shall:
 - (a) comply with the principles of security set out in Paragraph 3 and any other provisions of this Contract relevant to security;
 - (b) identify the necessary delegated organisational roles for those responsible for ensuring it is complied with by the Supplier;
 - (c) detail the process for managing any security risks from Subcontractors and third parties authorised by the Buyer with access to the Deliverables, processes associated with the provision of the Deliverables, the Buyer Premises, the Sites and any ICT, Information and data (including the Buyer's Confidential Information and the Government Data) and any system that could directly or indirectly have an impact on that Information, data and/or the Deliverables;
 - (d) be developed to protect all aspects of the Deliverables and all processes associated with the provision of the Deliverables, including the Buyer Premises, the Sites, and any ICT, Information and data (including the Buyer's Confidential Information and the Government Data) to the extent used by the Buyer or the Supplier in connection with this Contract or in connection with any system that

could directly or indirectly have an impact on that Information, data and/or the Deliverables;

- (e) set out the security measures to be implemented and maintained by the Supplier in relation to all aspects of the Deliverables and all processes associated with the provision of the Goods and/or Services and shall at all times comply with and specify security measures and procedures which are sufficient to ensure that the Deliverables comply with the provisions of this Contract;
- (f) set out the plans for transitioning all security arrangements and responsibilities for the Supplier to meet the full obligations of the security requirements set out in this Contract and, where necessary in accordance with Paragraph 2.2 the Security Policy; and
- (g) be written in plain English in language which is readily comprehensible to the staff of the Supplier and the Buyer engaged in the provision of the Deliverables and shall only reference documents which are in the possession of the Parties or whose location is otherwise specified in this Schedule.

4.3 Development of the Security Management Plan

- 4.3.1 Within twenty (20) Working Days after the Start Date and in accordance with Paragraph 4.4, the Supplier shall prepare and deliver to the Buyer for Approval a fully complete and up to date Security Management Plan which will be based on the draft Security Management Plan.
- 4.3.2 If the Security Management Plan submitted to the Buyer in accordance with Paragraph 4.3.1, or any subsequent revision to it in accordance with Paragraph 4.4, is Approved it will be adopted immediately and will replace the previous version of the Security Management Plan and thereafter operated and maintained in accordance with this Schedule. If the Security Management Plan is not Approved, the Supplier shall amend it within ten (10) Working Days of a notice of non-approval from the Buyer and re-submit to the Buyer for Approval. The Parties will use all reasonable endeavours to ensure that the approval process takes as little time as possible and in any event no longer than fifteen (15) Working Days from the date of its first submission to the Buyer. If the Buyer does not approve the Security Management Plan following its resubmission, the matter will be resolved in accordance with the Dispute Resolution Procedure.
- 4.3.3 The Buyer shall not unreasonably withhold or delay its decision to Approve or not the Security Management Plan pursuant to Paragraph 4.3.2. However a refusal by the Buyer to Approve the Security Management Plan on the grounds that it does not comply with the requirements set out in Paragraph 4.2 shall be deemed to be reasonable.
- 4.3.4 Approval by the Buyer of the Security Management Plan pursuant to Paragraph 4.3.2 or of any change to the Security Management Plan in accordance with Paragraph 4.4 shall not relieve the Supplier of its obligations under this Schedule.

4.4 Amendment of the Security Management Plan

- 4.4.1 The Security Management Plan shall be fully reviewed and updated by the Supplier at least annually to reflect:
 - (a) emerging changes in Good Industry Practice;
 - (b) any change or proposed change to the Deliverables and/or associated processes;
 - (c) where necessary in accordance with Paragraph 2.2, any change to the Security Policy;

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- (d) any new perceived or changed security threats; and
 - (e) any reasonable change in requirements requested by the Buyer.
- 4.4.2 The Supplier shall provide the Buyer with the results of such reviews as soon as reasonably practicable after their completion and amendment of the Security Management Plan at no additional cost to the Buyer. The results of the review shall include, without limitation:
- (a) suggested improvements to the effectiveness of the Security Management Plan;
 - (b) updates to the risk assessments; and
 - (c) suggested improvements in measuring the effectiveness of controls.
- 4.4.3 Subject to Paragraph 4.4.4, any change or amendment which the Supplier proposes to make to the Security Management Plan (as a result of a review carried out in accordance with Paragraph 4.4.1, a request by the Buyer or otherwise) shall be subject to the Variation Procedure.
- 4.4.4 The Buyer may, acting reasonably, Approve and require changes or amendments to the Security Management Plan to be implemented on timescales faster than set out in the Variation Procedure but, without prejudice to their effectiveness, all such changes and amendments shall thereafter be subject to the Variation Procedure for the purposes of formalising and documenting the relevant change or amendment.

5 Security breach

- 5.1 Either Party shall notify the other in accordance with the agreed security incident management process (as detailed in the Security Management Plan) upon becoming aware of any Breach of Security or any potential or attempted Breach of Security.
- 5.2 Without prejudice to the security incident management process, upon becoming aware of any of the circumstances referred to in Paragraph 5.1, the Supplier shall:
- 5.2.1 immediately take all reasonable steps (which shall include any action or changes reasonably required by the Buyer) necessary to:
- (a) minimise the extent of actual or potential harm caused by any Breach of Security;
 - (b) remedy such Breach of Security to the extent possible and protect the integrity of the Buyer and the provision of the Goods and/or Services to the extent within its control against any such Breach of Security or attempted Breach of Security;
 - (c) prevent an equivalent breach in the future exploiting the same cause failure; and
 - (d) as soon as reasonably practicable provide to the Buyer, where the Buyer so requests, full details (using the reporting mechanism defined by the Security Management Plan) of the Breach of Security or attempted Breach of Security, including a cause analysis where required by the Buyer.
- 5.3 In the event that any action is taken in response to a Breach of Security or potential or attempted Breach of Security that demonstrates non-compliance of the Security Management Plan with the Security Policy (where relevant in accordance with Paragraph 2.2) or the requirements of this Schedule, then any required change to the Security Management Plan shall be at no cost to the Buyer.

6 Data security

- 6.1 The Supplier will ensure that any system on which the Supplier holds any Government Data will be accredited or assured as specific to the Buyer and will comply with:

- the Government Security Policy Framework (see: <https://www.gov.uk/government/publications/security-policy-framework>);
- the Government Functional Standard GovS 007: Security (see: <https://www.gov.uk/government/publications/government-functional-standard-govs-007-security>); and
- guidance issued by the National Cyber Security Centre (NCSC) for:
 - risk management: <https://www.ncsc.gov.uk/collection/risk-management-collection>;
 - cloud security: <https://www.ncsc.gov.uk/collection/cloud-security/implementing-the-cloud-security-principles>; and
 - 10 steps to cyber security: <https://www.ncsc.gov.uk/collection/10-steps>.

6.2 Where the duration of a Call-Off Contract exceeds one (1) year, the Supplier will review the accreditation or assurance status at least once each year to assess whether material changes have occurred which could alter the original accreditation decision in relation to Government Data. If any changes have occurred then the Supplier agrees to promptly re-submit such system for re-accreditation.

Buyer’s Security Policy



Information Security Policy Framework

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Policy Statement

This Framework describes the UKRI CEO’s expectations of how UKRI and third parties handling information and other assets will apply protective security to ensure UKRI can function effectively, efficiently and securely.

This Framework is closely aligned to the [HMG Security Policy Framework](#).

References

[UKRI Data Protection Policy](#)

[UKRI Freedom of Information and Environmental Information Regulations Policy](#)

[UKRI Acceptable Use Policy](#)

[NCSC Cyber Security](#)

[HMG GOVS007: Security](#)

Information Security Policy Framework

Version Number	Status	Revision Date	Summary of Changes
0.1		21 November 2017	Draft document created
0.2		26 November 2017	Formatting changes
0.3		30 November 2017	Post consultation comments
0.4		06 December 2017	Post project board amendments
1.0		13 December 2017	Approved by D&T Project Board
1.1		20 March 2018	UKRI IT Help Desk updated
1.2		03 January 2020	Head of Information Security update
1.3		29 February 2020	Stakeholder Review
1.4	Complete	03 April 2020	Rebranded as UKRI
2.1		15 February 2023	Minor edits to roles

Document Review & Approval

Name	Version	Signature/Email Confirmation	Date
WS3 Project Board	0.4	See Meeting minutes	05/12/2017
D&T Project Board	1.0	See meeting minutes	13/12/2017
Trade Union review	1.4	Email Confirmation	15/5/2020
UKRI Security Committee	2.0	See Minutes	5/6/2020

Document Circulation/Readership

The intended circulation/readership for this document are as follows:

- All UKRI staff, contractors and visitors
- Other stakeholders as necessary

Information Security Policy Framework

1. Purpose

- 1.1 To protect UKRI, its stakeholders and staff from all security threats, whether internal or external, deliberate or accidental.
- 1.2 To ensure that UKRI's data, information and systems are kept and shared securely, following the three principles of information security: Confidentiality, Integrity, Availability.
 - 1.2.1.1 Confidentiality: ensuring that information is accessible only to those authorised to have access.
 - 1.2.1.2 Integrity: safeguarding the accuracy and completeness of information and processing methods.
 - 1.2.1.3 Availability: ensuring that authorised users have access to information and associated assets when required.
- 1.3 To ensure that UKRI meets its regulatory and legislative requirements.
- 1.4 It establishes the framework for a set of Policies, Standards and guidance that describes how to achieve this.
- 1.5 This Policy and arrangements comply with the [UK Governments GovS007: Security Standards](#), which sets the minimum requirements placed on all non-Departmental Public Bodies (NDPBs), such as UKRI.

2. Scope

- 2.1 This Framework applies to:
 - 2.1.1 Data, information, information systems and software in all forms independent of the medium on which they are held (e.g. physical, electronic, paper, etc.) or the form which they take (e.g. text, pictures, software, programs, databases, information systems, audio, video, etc.);
 - 2.1.2 All stages of the lifecycle of information and information systems from creation, through storage and use to disposal;
 - 2.1.3 The transmission of information independent of means (e.g. by post, electronically and orally (if recorded), including telephone and voicemail etc.);
 - 2.1.4 All authorised users of UKRI information and information systems, both those who are members of UKRI staff and those who are not (e.g UKRI employees, contractors, facility users, collaborators, temporary staff and secondees);
 - 2.1.5 With regard to electronic systems, it applies to use of UKRI owned facilities and private/externally owned systems when connected to the UKRI networks directly or indirectly. ('Owned' is deemed to include leased, rented or on-loan.);



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- 2.1.6 All UKRI owned/licensed data and software, be they loaned on UKRI or privately/externally owned systems, and to all data and software provided to UKRI by sponsors or external collaborators;
- 2.1.7 All UKRI activities, worldwide.
- 2.1.8 Where applicable, this policy will complement and support separate UKRI policies on physical security and personnel security. Should there be a conflict between these policies and this one, the physical security and personal security policies will take precedence.
- 2.1.9 Specific considerations relating to scientific data, be it produced through publicly funded research or research community funded, are dealt with through other Policies.

3. Definitions

- 3.1 The term **information system** describes any system used to organise and hold information. This could be an electronic/ICT system, or it could be a physical system such as a paper file/note.
- 3.2 The term **information asset** or **assets** refers collectively to the information and information systems that are used to process information.
- 3.3 The **Senior Officer Accountable for Security (SOAS)** is the UKRI Accounting Officer and UKRI Chief Executive Officer (CEO) and is accountable for the implementation and maintenance of security standards across the organisation and for ensuring correct procedures and delegations are in place to respond to security incidents.
- 3.4 The **Senior Officer Responsible for Security Information (SORS)** (formerly the Senior Information Risk Owner (SIRO)) is accountable to the SOAS for the security in an organisation, advising the Executive Board on security matters and developing and maintaining strategy, architecture and policies.
- 3.5 The **Chief Information Security Officer (CISO)** is responsible for the security of the organisation's information and the systems on which it resides.
- 3.6 The **Senior Security Adviser (SSA)** leads on physical, personnel and cyber security and is responsible for managing security risks, providing assurance and advice on security matters.
- 3.7 The **Security Adviser (SA)** is responsible for articulating the security needs of their organisation, overseeing and reporting on the delivery of services to agreed standards, including being the responsible owner for local security policies. UKRI have 3 SAs covering Cyber, Personnel and Physical Security.
- 3.8 **Protective security** is a general term used to describe ways to protect personnel, information and assets such as building etc. from harm. The harm could be caused by external sources e.g. criminals or could come from internal sources e.g. accidents.

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4. Key Principles

- 4.1 Protective security is an essential enabler to making government work better. Security risks must be managed effectively, collectively and proportionately to achieve a secure and confident working environment.
- 4.2 Information and information systems are recognised as valuable assets that underpin the strategic goal of facilitating research, innovation, training and knowledge transfer.
- 4.3 UKRI must appropriately secure and protect its information assets against confidentiality breaches, loss of integrity and interruptions to availability.
- 4.4 Failure to protect information assets may lead to costly, time-consuming and damaging incidents which may harm the reputation of UKRI, its staff, third parties and UKRI's business.
- 4.5 This Framework outlines the minimum IT security principles that UKRI must comply with when creating, using, storing, sharing, exchanging or disposing of data, information, information systems and software in all forms.
- 4.6 This Framework and associated policies, standards, guidelines and procedures are the minimum baseline measures and controls for UKRI to operate. Any establishment not achieving the baseline shall be regarded as "untrusted".
- 4.7 UKRI is committed to implementing industry best practice for the management of information security where appropriate and where it meets its [risk appetite](#).
- 4.8 UKRI is committed to complying with the principles behind "[10 Steps to Cyber Security](#)".
- 4.9 UKRI will commit to gaining a minimum of Cyber Essentials certification; being re-certified on an annual basis.

5. Framework

- 5.1 Real or suspected breaches of this Policy Framework, including near misses, will be reported to the UKRI Information Security Team in accordance with the handling process.
- 5.2 Authorised users shall be aware of information security threats and concerns, their responsibility and liabilities. They should follow UKRI's Information Security Policies and Standards and apply security measures in the course of their normal work.
- 5.3 Appropriate training will be provided to all individuals with specific information security responsibilities. Clear guidance will be provided for general use.
- 5.4 Responsibilities will be clearly defined in Policy and where appropriate, formally laid out in letters of appointment and delegation (or equivalent).



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- 5.5 Access to UKRI information systems and assets will be appropriately controlled and monitored through a defined access control policy, covering user identification and authentication. This applies to users, networks, operating systems and applications. Access is granted on a genuine "need to know" basis. This will ensure that only authorised individuals have access and where appropriate, auditable records of access will be maintained and in order to protect the systems from threats, interception, disruption and damage.
- 5.6 Development, test and production environments shall be separated.
- 5.7 Duties and responsibilities shall be segregated.
- 5.8 Changes to processing facilities and systems shall be controlled.
- 5.9 Information assets must not be used for inappropriate or illegal purposes or contrary to their licences.
- 5.10 Only appropriately licensed information assets will be used.
- 5.11 UKRI will comply with relevant legislation.
- 5.12 Information assets will be risk-assessed to determine the degree of protection required. Sensitive information will be identified, marked and special arrangements made to ensure its confidentiality, integrity and availability.
- 5.13 Ownership of information assets will be clearly defined and respected.
- 5.14 Where appropriate, multiple copies of data/information will be kept protecting against loss. These backups will be tested regularly.
- 5.15 Where UKRI contracts with, or grants access to, third parties, clear and contractually binding requirements will be agreed to ensure appropriate use of information assets. Where this is not possible, the UKRI may deny access to some or all of the shared information or information systems by informing the SSA. Formal exchange Policies, procedures and controls shall be in place to protect the exchange of information and/or software.
- 5.16 Use of UKRI systems are logged and monitored and will be used for audit/investigation purposes. Monitoring shall take place to:
 - 5.16.1 ensure that only authorised individuals have access
 - 5.16.2 ensure that UKRI's IT systems are not used for inappropriate or illegal activity. This includes knowingly viewing, accessing, producing, storing, processing and/or distributing illegal/offensive materials.
- 5.17 All staff are subject to UKRI vetting processes.

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- 5.18 UKRI will classify information in accordance with the [Government Security Classification Scheme](#). Sensitive information will be identified, marked and special arrangements made to ensure its confidentiality, integrity and availability. Information will be handled in line with legal requirements under Freedom of Information and the Data Protection Act and within the [UKRI Data Protection Policy](#) and [UKRI Freedom of Information and Environmental Information Regulations Policy](#).
- 5.19 An information asset register will be set up to identify all important assets and assets containing personally identifiable data. Information asset owners will be identified, and acceptable use of such assets will be documented and developed. A "risk appetite" for these assets will also be identified and documented.
- 5.20 Security measures will be put in place to control the installation of software on operating systems.
- 5.21 Information assets will be protected by appropriate business continuity mechanisms, covering incident management and resilience configuration. Cause and impact assessment and restore plans (with timescales) will be developed, tested and maintained.
- 5.22 Information assets will be disposed of according to the UKRI Records Management Policy and Government approved asset disposal mechanisms. Certificates of destruction must be obtained for hardware assets, certifying that the assets have been securely wiped/destroyed, and the certificates kept on record.
- 5.23 Specific control measures need to be applied to moveable media, eg laptops, mobile phones, memory sticks and external hard drives. Only those devices that are supplied or approved by UKRI via a BYOD Policy and are encrypted can be used for storing UKRI data.
- 5.24 Where digital services are provided by third party suppliers, security controls and resilience must be defined, implemented, operated and maintained by the third party. Reports and records shall be regularly reviewed, and audits carried out. A basic/minimum question set has been developed regarding the use of external resources hosting UKRI data/information and can be obtained from the [UKRI Information Security Team](#). Security implications in any service transition should be considered as a priority and a risk assessment carried out.
- 5.25 Ownership of information assets will be clearly defined and respected.
- 5.26 UKRI will establish and maintain appropriate contact with other organisations, law enforcement authorities, regulatory bodies (including the Department for Business, Energy and Industrial Strategy (BEIS)) network and telecommunications operators (not exhaustive list) in respect of this Framework.
- 5.27 Audits will be carried out to determine compliance with the Framework and associated Policies. Additional audits on any IT-related matter can be commissioned and carried out by UKRI's Internal Audit Agency, suppliers (such as software providers) and UKRI Information Security Team.



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- 5.28 Compliance with this Framework and its effectiveness will be reviewed and tested independent of those charged with its implementation.
- 5.29 Breaches of this Framework will be dealt with under UKRI's disciplinary and/or criminal proceedings, as appropriate, or by equivalent sanction in the case of third parties.
- 5.30 Exceptions to this Framework require approval by the UKRI SSA and can be made via the UKRI Information Security Team.
- 5.31 The User Provisioning processes shall ensure that all access rights are revoked, and all assets returned on the termination of employment, contract or agreement.

6. Responsibilities

6.1 Everyone

- 6.1.1 All individuals who use UKRI information or information systems have a legal duty of care to protect the confidentiality, integrity and availability of information that is entrusted to them. The principal information security responsibilities for all are:

- 6.1.1.1 Only use information and information systems that you have authorisation to use.
- 6.1.1.2 Follow all relevant Policies, Standards, instructions, procedures, guidelines and codes of practice.
- 6.1.1.3 Any real or suspected breaches of information security must be reported following the UKRI Information Security Event Incident & Data Breach Handling Process.
- 6.1.1.4 Are required to comply with the [UKRI Acceptable Use Policy](#).

6.2 Senior Officer Accountable for Security (SOAS) / UKRI Chief Executive Officer (CEO)

- 6.2.1 UKRI's CEO is the Accountable Officer and SOAS and has overall accountability and responsibility for ensuring that information risks are assessed and mitigated to an acceptable level within UKRI. Information risks will be handled in a similar manner to other major risks such as financial, legal and reputational risks.
- 6.2.2 The CEO will ensure that arrangements to fulfil this responsibility are established, operated effectively, monitored and reviewed, and continually improved in light of internal and external best practice. The CEO is also responsible for ensuring the provision of adequate resources to implement the Information Security Framework.
- 6.2.3 The CEO shall appoint a Senior Officer Responsible for Security Information (SORS).
- 6.2.4 As the Accounting Officer, the CEO will provide BEIS with an annual statement on SPF compliance information.

6.3 Senior Officer Responsible for Security Information (SORS)

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- 6.3.1 Has ultimate responsibility for security.
- 6.3.2 Is a Director familiar with general protective security and information risks. The SORS acts as the champion for all security issues and factors information security into the organisation's business planning. This is a mandatory role.
- 6.3.3 The SORS will assure the CEO that UKRI has the appropriate information security measures in place by:
 - 6.3.3.1 Establishing appropriate responsibilities, boundaries and structures.
 - 6.3.3.2 Presenting and promoting security policy to the Board and highlighting security risks.
 - 6.3.3.3 Securing resource for protective security across UKRI.
 - 6.3.3.4 Confirming that any significant security control weaknesses have been reflected in the annual statement of internal control.
 - 6.3.3.5 Leading and fostering a culture that values, protects and uses information for the public good.
 - 6.3.3.6 Monitoring the implementation of this Framework Policy including the effectiveness of local procedures.
 - 6.3.3.7 Bringing to the CEO's attention the need for any action to improve information security.
 - 6.3.3.8 Reporting annually to the CEO on the adequacy of information security arrangements and any issues and incidents which have occurred during the year.
 - 6.3.3.9 Overseeing the development of a [Risk Management Policy](#) and a strategy for implementing the Policy.
 - 6.3.3.10 Taking ownership of the risk assessment process for information risk, including review of the annual information risk assessment.
 - 6.3.3.11 Reviewing and agreeing an action plan in respect of identified information risks.
 - 6.3.3.12 Communicating UKRI's approach to information risk to all staff and the approach is effective in terms of resource, commitment and execution.
 - 6.3.3.13 Providing a focal point for the resolution and/or discussion of information risk issues.
 - 6.3.3.14 Briefing UKRI on information risk issues.
 - 6.3.3.15 Advising the CEO on information risk management strategies and provide regular report and briefings on progress.



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6.4 Chief Information Security Officer (CISO)

- 6.4.1 Advises the organisation on how to exploit technology to best enable the fulfilment of the organisation's strategic objectives and provides strong strategic and operational focus for the effective management of the organisation's information security risk.
- 6.4.2 Understand the current and evolving threat to UKRI's information and IT/OT systems and articulate this to all areas of the organisation.
- 6.4.3 Work in close partnership with the UKRI Senior Security Advisor (SSA) on information security risks/ events/ issues/ incidents/ and other activities. Consult with the SSA on cross domain security. Support the SSA in the realisation of the UKRI security vision.
- 6.4.4 Be the lead adviser to UKRI on information security risks and issues.
- 6.4.5 Responsible for the UKRI overarching information security strategy and works across the federated structure to support the appropriate adoption/ adaptation for local use.

6.5 Senior Security Advisor (SSA)

- 6.5.1 Leads on physical, personnel and cyber security and is responsible for managing security risks, providing assurance and advice on security matters.
- 6.5.2 Working collaboratively with the Senior Advisers (SAs), the SSA is expected to:
 - 6.5.2.1 Act as a critical friend and carry out a challenge function.
 - 6.5.2.2 Lead authority to security initiatives.
 - 6.5.2.3 Provide support through appropriate resourcing.
 - 6.5.2.4 Offer a strategic perspective and highlight issues and decisions that will impact on the SA and protective security in general.
 - 6.5.2.5 Initiate internal investigations.

6.6 Head of Risk and Assurance

- 6.6.1 To support the organisation to have a clear overall structure for decision-making, within the legal framework of the Higher Education and Research Act.
- 6.6.2 Oversight of the use and application of policies across the organisation.
- 6.6.3 To give sufficient, continuous and reliable assurance on organisational stewardship and the management of the major risks to organisational success.
- 6.6.4 To develop the UKRI Assurance Framework to provide a structured approach to identifying, planning and mapping the key sources of assurance and coordinating them to best effect.



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- 6.6.5 To enhance UKRI's ability to deliver through effective risk management.
- 6.6.6 To provide advice and guidance on information rights, and knowledge and information management, including:
 - 6.6.6.1 Freedom of Information
 - 6.6.6.2 Data Protection
 - 6.6.6.3 Collaboration
 - 6.6.6.4 Information Management
 - 6.6.6.5 Records Management
- 6.7 Data Protection Officer (DPO)
 - 6.7.1 Overseeing the data protection strategy.
 - 6.7.2 Monitoring compliance with General Data Protection Regulations (GDPR) 2018 and Data Protection Act 2018.
 - 6.7.3 Educating the UKRI staff on important compliance requirements.
 - 6.7.4 Training staff involved in data processing.
 - 6.7.5 Conducting audits to ensure compliance and address potential issues proactively.
 - 6.7.6 Serving as the point of contact between UKRI and the Information Commissioner's Office.
 - 6.7.7 Monitoring performance and providing advice on the impact of data protection efforts.
 - 6.7.8 Maintaining comprehensive records of all data processing activities conducted by UKRI, including the purpose of all processing activities, which must be made public on request.
 - 6.7.9 Interfacing with data subjects to inform them about how their data is being used, their rights to have their personal data erased, and what measures UKRI has put in place to protect their personal information.
- 6.8 UKRI Head of Information Security
 - 6.8.1 Responsible for developing and implementing the Information Security Framework, Policies, Standards, Guidance and Procedures in accordance with the SPF. This must be undertaken in conjunction with the other SA's, CISO, SSA and those responsible for IT Service Delivery (including any outsourced service providers).
- 6.9 Senior Advisers (SA)
 - 6.9.1 UKRI has SAs for Information Security, Personnel Security and Physical Security.

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- 6.9.2 The SA provides advice and guidance to the CISO and SSA.
- 6.9.3 The SA has overarching responsibility for the development of their specific area of security across the whole of UKRI.
- 6.9.4 The SA develops and implements the Framework, Policies, Standards, Guidance and Procedures for their respective security areas.
- 6.10 Information Asset Owners (IAO)
- 6.10.1 The Information Asset Owner (IAO) is a mandated role that was created following the Government's Data Handling Review in June 2008
 - 6.10.1.1 Each information asset in the IAR is assigned to an IAO
 - 6.10.1.2 The IAO role is to protect and manage information held in the IAR and assigned to them, ensuring that its value to the organisation is fully realised
 - 6.10.1.3 An IAO may be responsible for one or more assets
 - 6.10.1.4 The IAO role is performed alongside existing duties. IAOs are supported by one or more Information Asset Administrators (IAAs)
 - 6.10.2 Their role is to understand what information is held, what is added and what is removed, how information is moved and who has access and why. As a result, they are able to understand and address risks to the information and ensure that information is fully used within the law for the public good and provide written input to the SORS annually on the security and use of their assets(s).
 - 6.10.3 The IAO is a mandatory role under SPF and IAOs are responsible to the SORS for managing risks to the corporate information assets.
 - 6.10.4 IAOs are responsible for knowing the value of their information assets and ensuring that they are protected and shared appropriately.
 - 6.10.5 To understand and address risk to the information assets they own and provide assurance to the SORS on the security and use of these assets. Therefore, they must:
 - 6.10.5.1 Know what information the asset holds and understand the nature and justification of information flows to and from the assets, minimising information transfers whilst achieving business purposes.
 - 6.10.5.2 Know who has access and why and ensure their use is monitored and in compliance with Policy.
 - 6.10.5.3 Aim to ensure the confidentiality, integrity and availability of all information that their system creates, receives, maintains or transmits and protect against any reasonable anticipated threats or hazard to the security or integrity of such information.



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- 6.10.5.4 Ensure data privacy impact assessments are carried out.
- 6.10.5.5 Understand and address risks to the asset and provide assurance to the SORS.
- 6.10.5.6 Collate their information asset register.
- 6.10.5.7 Ensure the asset is fully used to the benefit of the organisation within resources.
- 6.10.5.8 Approve and oversee the disposal mechanisms for the information asset when no longer needed.

6.11 Information Asset Administrator

- 6.11.1 The Information Asset Owner (IAO) is a mandated role that was created following the Government's Data Handling Review in June 2008.
- 6.11.2 Each information asset in the IAR is assigned to an IAO.
- 6.11.3 The IAO role is to protect and manage information held in the IAR and assigned to them, ensuring that its value to the organisation is fully realised.
- 6.11.4 An IAO may be responsible for one or more assets.
- 6.11.5 The IAO role is performed alongside existing duties. IAOs are supported by one or more Information Asset Administrators (IAAs).

7. Risk Management

- 7.1 UKRI will utilise its corporate risk systems to manage, monitor and reports on its information risks.
- 7.2 UKRI will assess its information risk annually, with internal reviews that assess the level of protection afforded to its information.
- 7.3 On the commencement of a project or programme, a risk assessment must be carried out which considers security, privacy and other risks.
- 7.4 A threat and impact assessment must be carried out to identify the impacts to the business if information risks are realised.

8. Policy Review

- 8.1 This Policy document is subject to periodic review and re-affirmation by the CEO with a frequency determined by organisational change, legislation or other significant factors recommended by the SORS.
- 8.2 This Policy will be reviewed every 2 years or as required and endorsed by the relevant UKRI Governance Committee.

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9. Further Information

9.1 Additional guidance about this Policy Framework or its application in specific circumstances is available from the UKRI Information Security Team.

Call-Off Schedule 10 (Exit Management)

1 Definitions

1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

Term	Definition
Exclusive Assets	Supplier Assets used exclusively by the Supplier or a Key Subcontractor in the provision of the Deliverables;
Exit Information	has the meaning given to it in Paragraph 3.1 of this Schedule;
Exit Manager	the person appointed by each Party to manage their respective obligations under this Schedule;
Exit Plan	the plan produced and updated by the Supplier during the Initial Period in accordance with Paragraph 4 of this Schedule;
Net Book Value	the current net book value of the relevant Supplier Asset(s) calculated in accordance with the Framework Tender or Call-Off Tender (if stated) or (if not stated) the depreciation policy of the Supplier (which the Supplier shall ensure is in accordance with Good Industry Practice);
Non- Exclusive Assets	those Supplier Assets used by the Supplier or a Key Subcontractor in connection with the Deliverables but which are also used by the Supplier or Key Subcontractor for other purposes;
Registers	the register and configuration database referred to in Paragraph 2.2 of this Schedule;
Replacement Goods	any goods which are substantially similar to any of the Goods and which the Buyer receives in substitution for any of the Goods following the End Date, whether those goods are provided by the Buyer internally and/or by any third party;
Replacement Services	any services which are substantially similar to any of the Services and which the Buyer receives in substitution for any of the Services following the End Date, whether those goods are provided by the Buyer internally and/or by any third party;
Termination Assistance	the activities to be performed by the Supplier pursuant to the Exit Plan, and other assistance required by the Buyer pursuant to the Termination Assistance Notice;
Termination Assistance Notice	has the meaning given to it in Paragraph 5.1 of this Schedule;
Termination Assistance Period	the period specified in a Termination Assistance Notice for which the Supplier is required to provide the Termination Assistance as such period may be extended pursuant to Paragraph 5.2 of this Schedule;
Transferable Assets	Exclusive Assets which are capable of legal transfer to the Buyer;

Transferable Contracts	Sub- Contracts, licences for Supplier's Software, licences for Third Party Software or other agreements which are necessary to enable the Buyer or any Replacement Supplier to provide the Deliverables or the Replacement Goods and/or Replacement Services, including in relation to licences all relevant Documentation;
Transferring Assets	has the meaning given to it in Paragraph 8.2.1 of this Schedule; and
Transferring Contracts	has the meaning given to it in Paragraph 8.2.3 of this Schedule.

2 Supplier must always be prepared for Contract exit and SOW exit

- 2.1 The Supplier shall within 30 days from the Call-Off Contract Start Date provide to the Buyer a copy of its depreciation policy to be used for the purposes of calculating Net Book Value.
- 2.2 During the Contract Period, the Supplier shall promptly:
- 2.2.1 create and maintain a detailed register of all Supplier Assets (including description, condition, location and details of ownership and status as either Exclusive Assets or Non-Exclusive Assets and Net Book Value) and Sub-contracts and other relevant agreements required in connection with the Deliverables; and
- 2.2.2 create and maintain a configuration database detailing the technical infrastructure and operating procedures through which the Supplier provides the Deliverables which will be stored in the Deliverables IPR asset management system which includes all Document and Source Code repositories.
- ("Registers").
- 2.3 The Supplier shall:
- 2.3.1 ensure that all Exclusive Assets listed in the Registers are clearly physically identified as such; and
- 2.3.2 procure that all licences for Third Party Software and all Sub-Contracts shall be assignable and/or capable of novation (at no cost or restriction to the Buyer) at the request of the Buyer to the Buyer (and/or its nominee) and/or any Replacement Supplier upon the Supplier ceasing to provide the Deliverables (or part of them) and if the Supplier is unable to do so then the Supplier shall promptly notify the Buyer and the Buyer may require the Supplier to procure an alternative Subcontractor or provider of Deliverables.
- 2.4 Each Party shall appoint an Exit Manager within three (3) Months of the Call-Off Contract Start Date. The Parties' Exit Managers will liaise with one another in relation to all issues relevant to the expiry or termination of each SOW and this Contract.

3 Assisting re-competition for Deliverables

- 3.1 The Supplier shall, on reasonable notice, provide to the Buyer and/or its potential Replacement Suppliers (subject to the potential Replacement Suppliers entering into reasonable written confidentiality undertakings), such information (including any access) as the Buyer shall reasonably require in order to facilitate the preparation by the Buyer of any invitation to tender and/or to facilitate any potential Replacement Suppliers undertaking due diligence whether this is in relation to one or more SOWs or the Call-Off Contract. (the "**Exit Information**").

- 3.2 The Supplier acknowledges that the Buyer may disclose the Supplier's Confidential Information (excluding the Supplier's or its Subcontractors' prices or costs) to an actual or prospective Replacement Supplier to the extent that such disclosure is necessary in connection with such engagement.
- 3.3 The Supplier shall provide complete updates of the Exit Information on an as-requested basis as soon as reasonably practicable and notify the Buyer within five (5) Working Days of any material change to the Exit Information which may adversely impact upon the provision of any Deliverables (and shall consult the Buyer in relation to any such changes).
- 3.4 The Exit Information shall be accurate and complete in all material respects and shall be sufficient to enable a third party to prepare an informed offer for those Deliverables; and not be disadvantaged in any procurement process compared to the Supplier.

4 Exit Plan

- 4.1 The Supplier shall, within three (3) Months after the Start Date, deliver to the Buyer a Call-Off Contract and SOW Exit Plan which complies with the requirements set out in Paragraph 4.3 of this Schedule and is otherwise reasonably satisfactory to the Buyer.
- 4.2 The Parties shall use reasonable endeavours to agree the contents of the Exit Plan. If the Parties are unable to agree the contents of the Exit Plan within twenty (20) Working Days of the latest date for its submission pursuant to Paragraph 4.1, then such Dispute shall be resolved in accordance with the Dispute Resolution Procedure.
- 4.3 The Exit Plan shall set out, as a minimum:
 - 4.3.1 a detailed description of both the transfer and cessation processes, including a timetable (this may require modification to take into account the need to facilitate individual SOW Exit Plan provisions which shall be updated and incorporated as part of the SOW;
 - 4.3.2 how the Deliverables will transfer to the Replacement Supplier and/or the Buyer;
 - 4.3.3 details of any contracts which will be available for transfer to the Buyer and/or the Replacement Supplier upon the Expiry Date together with any reasonable costs required to effect such transfer;
 - 4.3.4 proposals for the training of key members of the Replacement Supplier's staff in connection with the continuation of the provision of the Deliverables following the Expiry Date;
 - 4.3.5 proposals for providing the Buyer or a Replacement Supplier copies of all documentation relating to the use and operation of the Deliverables and required for their continued use;
 - 4.3.6 proposals for the assignment or novation of all services utilised by the Supplier in connection with the supply of the Deliverables;
 - 4.3.7 proposals for the identification and return of all Buyer Property in the possession of and/or control of the Supplier or any third party;
 - 4.3.8 proposals for the disposal of any redundant Deliverables and materials;
 - 4.3.9 how the Supplier will ensure that there is no disruption to or degradation of the Deliverables during the Termination Assistance Period; and
 - 4.3.10 any other information or assistance reasonably required by the Buyer or a Replacement Supplier.
- 4.4 The Supplier shall:

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- 4.4.1 maintain and update the Exit Plan (and risk management plan) no less frequently than:
 - (a) prior to each SOW and no less than every six (6) Months throughout the Contract Period; and
 - (b) no later than twenty (20) Working Days after a request from the Buyer for an up-to-date copy of the Exit Plan;
 - (c) as soon as reasonably possible following a Termination Assistance Notice, and in any event no later than ten (10) Working Days after the date of the Termination Assistance Notice;
 - (d) as soon as reasonably possible following, and in any event no later than twenty (20) Working Days following, any material change to the Deliverables (including all changes under the Variation Procedure); and
- 4.4.2 jointly review and verify the Exit Plan if required by the Buyer and promptly correct any identified failures.
- 4.5 Only if (by notification to the Supplier in writing) the Buyer agrees with a draft Exit Plan provided by the Supplier under Paragraph 4.2 or 4.4 (as the context requires), shall that draft become the Exit Plan for this Contract.
- 4.6 A version of an Exit Plan agreed between the parties shall not be superseded by any draft submitted by the Supplier.

5 Termination Assistance

- 5.1 The Buyer shall be entitled to require the provision of Termination Assistance at any time during the Contract Period by giving written notice to the Supplier (a "**Termination Assistance Notice**") at least four (4) Months prior to the Expiry Date or, as soon as reasonably practicable, in the case of the Call-Off Contract and each SOW (but in any event, not later than one (1) Month) following the service by either Party of a Termination Notice. The Termination Assistance Notice shall specify:
 - 5.1.1 the nature of the Termination Assistance required; and
 - 5.1.2 the start date and initial period during which it is anticipated that Termination Assistance will be required, which shall continue no longer than twelve (12) Months after the End Date.
- 5.2 The Buyer shall have an option to extend the Termination Assistance Period beyond the initial period specified in the Termination Assistance Notice in one or more extensions, in each case provided that:
 - 5.2.1 no such extension shall extend the Termination Assistance Period beyond the date twelve (12) Months after the End Date; and
 - 5.2.2 the Buyer shall notify the Supplier of any such extension no later than twenty (20) Working Days prior to the date on which the Termination Assistance Period is otherwise due to expire.
- 5.3 The Buyer shall have the right to terminate its requirement for Termination Assistance by serving not less than (20) Working Days' written notice upon the Supplier.
- 5.4 In the event that Termination Assistance is required by the Buyer but at the relevant time the parties are still agreeing an update to the Exit Plan pursuant to Paragraph 4, the Supplier will provide the Termination Assistance in good faith and in accordance with the principles in this Schedule and the last Buyer approved version of the Exit Plan (insofar as it still applies).

6 Termination Assistance Period

- 6.1 Throughout the Termination Assistance Period the Supplier shall:
- 6.1.1 continue to provide the Deliverables (as applicable) and otherwise perform its obligations under this Contract and, if required by the Buyer, provide the Termination Assistance;
 - 6.1.2 provide to the Buyer and/or its Replacement Supplier any reasonable assistance and/or access requested by the Buyer and/or its Replacement Supplier including assistance and/or access to facilitate the orderly transfer of responsibility for and conduct of the Deliverables to the Buyer and/or its Replacement Supplier;
 - 6.1.3 use all reasonable endeavours to reallocate resources to provide such assistance without additional costs to the Buyer;
 - 6.1.4 subject to Paragraph 6.3, provide the Deliverables and the Termination Assistance at no detriment to the Performance Indicators (PI's) or Service Levels or KPIs, the provision of the Management Information or any other reports or to any other of the Supplier's obligations under this Contract;
 - 6.1.5 at the Buyer's request and on reasonable notice, deliver up-to-date Registers to the Buyer;
 - 6.1.6 seek the Buyer's prior written consent to access any Buyer Premises from which the de-installation or removal of Supplier Assets is required.
- 6.2 If it is not possible for the Supplier to reallocate resources to provide such assistance as is referred to in Paragraph 6.1.2 without additional costs to the Buyer, any additional costs incurred by the Supplier in providing such reasonable assistance shall be subject to the Variation Procedure.
- 6.3 If the Supplier demonstrates to the Buyer's reasonable satisfaction that the provision of the Termination Assistance will have a material, unavoidable adverse effect on the Supplier's ability to meet one or more particular Service Levels or KPIs, the Parties shall vary the relevant KPIs, Service Levels and/or the applicable Service Credits accordingly.

7 Obligations when the contract is terminated

- 7.1 The Supplier shall comply with all of its obligations contained in the Exit Plan.
- 7.2 Upon termination or expiry or at the end of the Termination Assistance Period (or earlier if this does not adversely affect the Supplier's performance of the Deliverables and the Termination Assistance), the Supplier shall:
- 7.2.1 vacate any Buyer Premises;
 - 7.2.2 remove the Supplier Equipment together with any other materials used by the Supplier to supply the Deliverables and shall leave the Sites in a clean, safe and tidy condition. The Supplier is solely responsible for making good any damage to the Sites or any objects contained thereon, other than fair wear and tear, which is caused by the Supplier;
 - 7.2.3 provide access during normal working hours to the Buyer and/or the Replacement Supplier for up to twelve (12) Months after expiry or termination to:
 - (a) such information relating to the Deliverables as remains in the possession or control of the Supplier; and

- (b) such members of the Supplier Staff as have been involved in the design, development and provision of the Deliverables and who are still employed by the Supplier, provided that the Buyer and/or the Replacement Supplier shall pay the reasonable costs of the Supplier actually incurred in responding to such requests for access.

7.3 Except where this Contract provides otherwise, all licences, leases and authorisations granted by the Buyer to the Supplier in relation to the Deliverables shall be terminated with effect from the end of the Termination Assistance Period.

8 Assets, Sub-contracts and Software

8.1 Following notice of termination of this Contract and during the Termination Assistance Period, the Supplier shall not, without the Buyer's prior written consent:

- 8.1.1 terminate, enter into or vary any Sub-contract or licence for any software in connection with the Deliverables; or
- 8.1.2 (subject to normal maintenance requirements) make material modifications to, or dispose of, any existing Supplier Assets or acquire any new Supplier Assets.

8.2 Within twenty (20) Working Days of receipt of the up-to-date Registers provided by the Supplier, the Buyer shall notify the Supplier setting out:

8.2.1 which, if any, of the Transferable Assets the Buyer requires to be transferred to the Buyer and/or the Replacement Supplier ("**Transferring Assets**");

8.2.2 which, if any, of:

(a) the Exclusive Assets that are not Transferable Assets; and

(b) the Non-Exclusive Assets,

the Buyer and/or the Replacement Supplier requires the continued use of; and

8.2.3 which, if any, of Transferable Contracts the Buyer requires to be assigned or novated to the Buyer and/or the Replacement Supplier (the "**Transferring Contracts**"), in order for the Buyer and/or its Replacement Supplier to provide the Deliverables from the expiry of the Termination Assistance Period. The Supplier shall provide all reasonable assistance required by the Buyer and/or its Replacement Supplier to enable it to determine which Transferable Assets and Transferable Contracts are required to provide the Deliverables or the Replacement Goods and/or Replacement Services.

8.3 With effect from the expiry of the Termination Assistance Period, the Supplier shall sell the Transferring Assets to the Buyer and/or the Replacement Supplier for their Net Book Value less any amount already paid for them through the Charges.

8.4 Risk in the Transferring Assets shall pass to the Buyer or the Replacement Supplier (as appropriate) at the end of the Termination Assistance Period and title shall pass on payment for them.

8.5 Where the Buyer and/or the Replacement Supplier requires continued use of any Exclusive Assets that are not Transferable Assets or any Non-Exclusive Assets, the Supplier shall as soon as reasonably practicable:

8.5.1 procure a non-exclusive, perpetual, royalty-free licence for the Buyer and/or the Replacement Supplier to use such assets (with a right of sub-licence or assignment on the same terms); or failing which

- 8.5.2 procure a suitable alternative to such assets, the Buyer or the Replacement Supplier to bear the reasonable proven costs of procuring the same.
- 8.6 The Supplier shall as soon as reasonably practicable assign or procure the novation of the Transferring Contracts to the Buyer and/or the Replacement Supplier. The Supplier shall execute such documents and provide such other assistance as the Buyer reasonably requires to effect this novation or assignment.
- 8.7 The Buyer shall:
- 8.7.1 accept assignments from the Supplier or join with the Supplier in procuring a novation of each Transferring Contract; and
- 8.7.2 once a Transferring Contract is novated or assigned to the Buyer and/or the Replacement Supplier, discharge all the obligations and liabilities created by or arising under that Transferring Contract and exercise its rights arising under that Transferring Contract, or as applicable, procure that the Replacement Supplier does the same.
- 8.8 The Supplier shall hold any Transferring Contracts on trust for the Buyer until the transfer of the relevant Transferring Contract to the Buyer and/or the Replacement Supplier has taken place.
- 8.9 The Supplier shall indemnify the Buyer (and/or the Replacement Supplier, as applicable) against each loss, liability and cost arising out of any claims made by a counterparty to a Transferring Contract which is assigned or novated to the Buyer (and/or Replacement Supplier) pursuant to Paragraph 8.6 in relation to any matters arising prior to the date of assignment or novation of such Transferring Contract. Clause 19 (Other people's rights in this contract) shall not apply to this Paragraph 8.9 which is intended to be enforceable by Third Parties Beneficiaries by virtue of the CRTPA.

9 No charges

- 9.1 Unless otherwise stated, the Buyer shall not be obliged to pay for costs incurred by the Supplier in relation to its compliance with this Schedule.

10 Dividing the bills

- 10.1 All outgoings, expenses, rents, royalties and other periodical payments receivable in respect of the Transferring Assets and Transferring Contracts shall be apportioned between the Buyer and/or the Replacement and the Supplier as follows:
- 10.1.1 the amounts shall be annualised and divided by 365 to reach a daily rate;
- 10.1.2 the Buyer or Replacement Supplier (as applicable) shall be responsible for or entitled to (as the case may be) that part of the value of the invoice pro rata to the number of complete days following the transfer, multiplied by the daily rate; and
- 10.1.3 the Supplier shall be responsible for or entitled to (as the case may be) the rest of the invoice.

Call-Off Schedule 13 (Implementation Plan and Testing)

Part A: Implementation

1 Definitions

- 1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

Term	Definition
Delay	(a) a delay in the Achievement of a Milestone by its Milestone Date; or (b) a delay in the design, development, testing or implementation of a Deliverable by the relevant date set out in the Implementation Plan;
Deliverable Item	an item or feature in the supply of the Deliverables delivered or to be delivered by the Supplier at or before a Milestone Date listed in the Implementation Plan;
Milestone Payment	a payment identified in the Implementation Plan to be made following the issue of a Satisfaction Certificate in respect of Achievement of the relevant Milestone; and
Implementation Period	has the meaning given to it in Paragraph 7.1.

2 Agreeing and following the Implementation Plan

- 2.1 A draft of the Implementation Plan is set out in the Annex to this Schedule. The Supplier shall provide a further draft Implementation Plan 3 days after the Call-Off Contract Start Date.
- 2.2 The draft Implementation Plan:
- 2.2.1 must contain information at the level of detail necessary to manage the implementation stage effectively for the whole Call-Off Contract and each Statement of Work issued under it for the supply of Deliverables and as the Buyer may otherwise require;
- 2.2.2 shall provide details on how the required Social Value commitments will be delivered through the Call-Off Contract; and
- 2.2.3 it shall take account of all dependencies known to, or which should reasonably be known to, the Supplier.
- 2.3 Following receipt of the draft Implementation Plan from the Supplier, the Parties shall use reasonable endeavours to agree the contents of the Implementation Plan. If the Parties are unable to agree the contents of the Implementation Plan within twenty (20) Working Days of its submission, then such Dispute shall be resolved in accordance with the Dispute Resolution Procedure.
- 2.4 The Supplier shall provide each of the Deliverable Items identified in the Implementation Plan by the date assigned to that Deliverable Item in the Implementation Plan so as to ensure that each Milestone identified in the Implementation Plan is achieved on or before its Milestone Date.
- 2.5 The Supplier shall also provide as required or requested reports to the Buyer concerning activities and impacts arising from Social Value including in the Implementation Plan.
- 2.6 The Supplier shall monitor its performance against the Implementation Plan and Milestones (if any) and report to the Buyer on such performance.

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- 2.7 The Supplier shall, in relation to each SOW, incorporate within it all Implementation Plan and Testing requirements for the satisfactory completion of each Deliverable Item to be provided under that SOW.

3 Reviewing and changing the Implementation Plan

- 3.1 Subject to Paragraph 4.3, the Supplier shall keep the Implementation Plan under review in accordance with the Buyer's instructions and ensure that it is updated on a regular basis.
- 3.2 The Buyer shall have the right to require the Supplier to include any reasonable changes or provisions in each version of the Implementation Plan.
- 3.3 Changes to any Milestones, Milestone Payments and Delay Payments shall only be made in accordance with the Variation Procedure.
- 3.4 Time in relation to compliance with the Implementation Plan shall be of the essence and failure of the Supplier to comply with the Implementation Plan shall be a material Default.

4 Security requirements before the Start Date

- 4.1 The Supplier shall note that it is incumbent upon them to understand the lead-in period for security clearances and ensure that all Supplier Staff have the necessary security clearance in place before the Call-Off Start Date. The Supplier shall ensure that this is reflected in their Implementation Plans.
- 4.2 The Supplier shall ensure that all Supplier Staff and Subcontractors do not access the Buyer's IT systems, or any IT systems linked to the Buyer, unless they have satisfied the Buyer's security requirements.
- 4.3 The Supplier shall be responsible for providing all necessary information to the Buyer to facilitate security clearances for Supplier Staff and Subcontractors in accordance with the Buyer's requirements.
- 4.4 The Supplier shall provide the names of all Supplier Staff and Subcontractors and inform the Buyer of any alterations and additions as they take place throughout the Call-Off Contract.
- 4.5 The Supplier shall ensure that all Supplier Staff and Subcontractors requiring access to the Buyer Premises have the appropriate security clearance. It is the Supplier's responsibility to establish whether or not the level of clearance will be sufficient for access. Unless prior approval has been received from the Buyer, the Supplier shall be responsible for meeting the costs associated with the provision of security cleared escort services.
- 4.6 If a property requires Supplier Staff or Subcontractors to be accompanied by the Buyer's Authorised Representative, the Buyer must be given reasonable notice of such a requirement, except in the case of emergency access.

5 What to do if there is a Delay

- 5.1 If the Supplier becomes aware that there is, or there is reasonably likely to be, a Delay under this Contract it shall:
- 5.1.1 notify the Buyer as soon as practically possible and no later than within two (2) Working Days from becoming aware of the Delay or anticipated Delay;
- 5.1.2 include in its notification an explanation of the actual or anticipated impact of the Delay;

- 5.1.3 comply with the Buyer's instructions in order to address the impact of the Delay or anticipated Delay; and
- 5.1.4 use all reasonable endeavours to eliminate or mitigate the consequences of any Delay or anticipated Delay.

6 Compensation for a Delay

- 6.1 If Delay Payments have been included in the Implementation Plan and a Milestone has not been achieved by the relevant Milestone Date, the Supplier shall pay to the Buyer such Delay Payments (calculated as set out by the Buyer in the Implementation Plan) and the following provisions shall apply:
 - 6.1.1 the Supplier acknowledges and agrees that any Delay Payment is a price adjustment and not an estimate of the Loss that may be suffered by the Buyer as a result of the Supplier's failure to Achieve the corresponding Milestone;
 - 6.1.2 Delay Payments shall be the Buyer's exclusive financial remedy for the Supplier's failure to Achieve a Milestone by its Milestone Date except where:
 - (a) the Buyer is entitled to or does terminate this Contract pursuant to Clause 10.4 (When CCS or the Buyer can end this contract); or
 - (b) the delay exceeds the number of days (the "**Delay Period Limit**") specified in the Implementation Plan commencing on the relevant Milestone Date;
 - 6.1.3 the Delay Payments will accrue on a daily basis from the relevant Milestone Date until the date when the Milestone is Achieved;
 - 6.1.4 no payment or other act or omission of the Buyer shall in any way affect the rights of the Buyer to recover the Delay Payments or be deemed to be a waiver of the right of the Buyer to recover any such damages; and
 - 6.1.5 Delay Payments shall not be subject to or count towards any limitation on liability set out in Clause 11 (How much you can be held responsible for).

7 Implementation Plan

- 7.1 The Implementation Period will be a six (6) Month period for the Call-Off Contract and for the duration of each SOW.
- 7.2 During the Implementation Period, the incumbent supplier shall retain full responsibility for all existing services until the Call-Off Start Date or as otherwise formally agreed with the Buyer in each SOW. The Supplier's full service obligations shall formally be assumed on the Call-Off Start Date as set out in Order Form.
- 7.3 In accordance with the Implementation Plan, the Supplier shall:
 - 7.3.1 work cooperatively and in partnership with the Buyer, incumbent supplier, and other Framework Supplier(s), where applicable, to understand the scope of Services to ensure a mutually beneficial handover of the Services;
 - 7.3.2 work with the incumbent supplier and Buyer to assess the scope of the Services and prepare a plan which demonstrates how they will mobilise the Services;
 - 7.3.3 liaise with the incumbent Supplier to enable the full completion of the Implementation Period activities; and
 - 7.3.4 produce a Implementation Plan, to be agreed by the Buyer, for carrying out the requirements within the Implementation Period including, key Milestones and dependencies.

7.4 The Implementation Plan will include detail stating:

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- 7.4.1 how the Supplier will work with the incumbent Supplier and the Buyer Authorised Representative to capture and load up information such as asset data; and
- 7.4.2 a communications plan, to be produced and implemented by the Supplier, but to be agreed with the Buyer, including the frequency, responsibility for and nature of communication with the Buyer and end users of the Services.
- 7.5 In addition, the Supplier shall:
 - 7.5.1 appoint a Supplier Authorised Representative who shall be responsible for the management of the Implementation Period, to ensure that the Implementation Period is planned and resourced adequately, and who will act as a point of contact for the Buyer;
 - 7.5.2 mobilise all the Services specified in the Specification within the Call-Off Contract and each SOW;
 - 7.5.3 produce a Implementation Plan report for each Buyer Premises to encompass programmes that will fulfil all the Buyer's obligations to landlords and other tenants:
 - (a) the format of reports and programmes shall be in accordance with the Buyer's requirements and particular attention shall be paid to establishing the operating requirements of the occupiers when preparing these programmes which are subject to the Buyer's approval; and
 - (b) the Parties shall use reasonable endeavours to agree the contents of the report but if the Parties are unable to agree the contents within twenty (20) Working Days of its submission by the Supplier to the Buyer, then such Dispute shall be resolved in accordance with the Dispute Resolution Procedure.
 - 7.5.4 manage and report progress against the Implementation Plan both at a Call-Off Contract level (which shall include an update on costings) and SOW level;
 - 7.5.5 construct and maintain a Implementation risk and issue register in conjunction with the Buyer detailing how risks and issues will be effectively communicated to the Buyer in order to mitigate them;
 - 7.5.6 attend progress meetings (frequency of such meetings shall be as set out in the Order Form and each SOW) in accordance with the Buyer's requirements during the Implementation Period. Implementation meetings shall be chaired by the Buyer and all meeting minutes shall be kept and published by the Supplier; and
 - 7.5.7 ensure that all risks associated with the Implementation Period are minimised to ensure a seamless change of control between incumbent provider and the Supplier.

Annex 1: Implementation Plan

A.1 The Supplier shall provide a:

- (a) high level Implementation Plan for the Call-Off Contract as part of the Further Competition Procedure; and
- (b) a detailed Implementation Plan for each SOW.

A.2 The Implementation Plan is set out below and the Milestones to be Achieved are identified below:

The Delivery Partner must deliver:

1. Public Beta iteration of TFS that allows all 7 UKRI Research Councils to run **all** their Opportunities on TSF by 31-December 2023 (the Minimum Viable Service for Opportunities).

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2. Public Beta iteration of TFS that allows all 7 Research Councils to run **all** their Grants / Awards on TFS by April 2024 (the Minimum Viable Service for Grants / Awards).
3. A sustainable solution to break UKRI's dependency on all legacy Grants services (JeS / Siebel) once and for all and enable all data required from legacy Grants services to be ingested into TFS by Q4 2023/24.
4. Live iteration of TFS that allows Research England (RE) & Innovate UK (IUK) Opportunities & Grants to run on TFS by 31-March 2025.
5. Enable UKRI to take full, sustainable internal end-to-end ownership of TFS by March 2025 (with no ongoing dependence on external Suppliers / Contractors).

Timeline:

Outcome 1.	TFS must Pass CDDO Public Beta Assessment. <ul style="list-style-type: none"> TFS must be deemed compliant with the (old) 18 Service Standard. 	Q2 23/24
Outcome 2.	TFS Public Beta phase must commence: <ul style="list-style-type: none"> All 7 Research Councils able to run all Opportunities at BAU scale & volume on TFS by December 2023. Deliver the full MVS for Opportunities by December 2023. 	Q3 23/24
Outcome 3.	TFS must Pass IPA Gate 4 Readiness for Service .	Q3 23/24
Outcome 4.	All 7 Research Councils able to run all Opportunities & Grants / Awards at BAU scale & volume on TFS by April 2024. <ul style="list-style-type: none"> Deliver the full MVS for Grants by December April 2024. 	Q4 23/24
Outcome 5.	TFS must Pass CDDO Live Assessment. <ul style="list-style-type: none"> TFS must be deemed compliant with the (old) 18 Service Standard. 	Q4 23/24
Outcome 6.	All Opportunity & Grants data migrated off legacy Grants Service and onto TFS and other systems (for example, ERM / DataBank) by December 2024.	Q3 24/25
Outcome 7.	TFS Live phase must commence: <ul style="list-style-type: none"> Innovate UK (IUK) and Research England (RE) able to run all Grants at BAU scale & volume on TFS by March 2025. 	Q1 to Q4 24/25

In order to deliver the above Outcomes, we expect the DP to provide the following capabilities:

- Manage Agile delivery to time (Delivery Management).
- Deliver the functional features to allow all UKRI Grants to run in TFS (Technical Leadership, Business Analysis, Software Development, Environment Management, Release Management).
- Deliver the non-functional features to allow TFS to operate reliably at high volumes (Technical Leadership, Business Analysis, Software Development, Environment Management, Release Management).
- Harden the service, eliminate technical debt (Technical Leadership, Business Analysis, Software Development).
- Offer Continuous Improvement & User Support capability (Delivery Management, Business Analysis, Software Development).

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- Oversee all Testing of TFS (Test Leadership, Test Management, QA).
- Support Data Migration off legacy platforms (Business Analysis, Software Development, Data Engineering).

Work with other Major Programmes (such as ERM / SHARP / DataBank) to enable seamless System and Data Integration and System Integration Testing (SIT) (Technical Leadership, Business Analysis, Data Engineering).

The Milestones will be Achieved in accordance with this Call-Off Schedule 13: (Implementation Plan and Testing)

For the purposes of Paragraph 6.1.2 the Delay Period Limit shall be:

Not Applicable

Part B: Testing

1 Definitions

- 1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

Term	Definition
Component	any constituent parts of the Deliverables;
Material Test Issue	a Test Issue of Severity Level 1 or Severity Level 2;
Satisfaction Certificate	a certificate materially in the form of the document contained in Annex 2 issued by the Buyer when a Deliverable and/or Milestone has satisfied its relevant Test Success Criteria;
Severity Level	the level of severity of a Test Issue, the criteria for which are described in Annex 1;
Test Issue Management Log	a log for the recording of Test Issues as described further in Paragraph 8.1 of this Schedule;
Test Issue Threshold	in relation to the Tests applicable to a Milestone, a maximum number of Severity Level 3, Severity Level 4 and Severity Level 5 Test Issues as set out in the relevant Test Plan;
Test Reports	the reports to be produced by the Supplier setting out the results of Tests;
Test Specification	the specification that sets out how Tests will demonstrate that the Test Success Criteria have been satisfied, as described in more detail in Paragraph 6.2 of this Schedule;
Test Strategy	a strategy for the conduct of Testing as described further in Paragraph 3.2 of this Schedule;
Test Success Criteria	in relation to a Test, the test success criteria for that Test as referred to in Paragraph 5 of this Schedule;
Test Witness	any person appointed by the Buyer pursuant to Paragraph 9 of this Schedule; and
Testing Procedures	the applicable testing procedures and Test Success Criteria set out in this Schedule.

2 How testing should work

- 2.1 All Tests conducted by the Supplier shall be conducted in accordance with the Test Strategy, Test Specification and the Test Plan.
- 2.2 The Supplier shall not submit any Deliverable for Testing:
- 2.2.1 unless the Supplier is reasonably confident that it will satisfy the relevant Test Success Criteria;
 - 2.2.2 until the Buyer has issued a Satisfaction Certificate in respect of any prior, dependant Deliverable(s); and
 - 2.2.3 until the Parties have agreed the Test Plan and the Test Specification relating to the relevant Deliverable(s).

- 2.3 The Supplier shall use reasonable endeavours to submit each Deliverable for Testing or re-Testing by or before the date set out in the Implementation Plan for the commencement of Testing in respect of the relevant Deliverable.
- 2.4 Prior to the issue of a Satisfaction Certificate, the Buyer shall be entitled to review the relevant Test Reports and the Test Issue Management Log.

3 Planning for testing

- 3.1 The Supplier shall develop the final Test Strategy as soon as practicable after the Start Date but in any case no later than twenty (20) Working Days after the Start Date.
- 3.2 The final Test Strategy shall include:
 - 3.2.1 an overview of how Testing will be conducted in relation to the Implementation Plan;
 - 3.2.2 the process to be used to capture and record Test results and the categorisation of Test Issues;
 - 3.2.3 the procedure to be followed should a Deliverable fail a Test, fail to satisfy the Test Success Criteria or where the Testing of a Deliverable produces unexpected results, including a procedure for the resolution of Test Issues;
 - 3.2.4 the procedure to be followed to sign off each Test;
 - 3.2.5 the process for the production and maintenance of Test Reports and a sample plan for the resolution of Test Issues;
 - 3.2.6 the names and contact details of the Buyer and the Supplier's Test representatives;
 - 3.2.7 a high level identification of the resources required for Testing including Buyer and/or third party involvement in the conduct of the Tests;
 - 3.2.8 the technical environments required to support the Tests; and
 - 3.2.9 the procedure for managing the configuration of the Test environments.

4 Preparing for Testing

- 4.1 The Supplier shall develop Test Plans and submit these for Approval as soon as practicable but in any case no later than twenty (20) Working Days prior to the start date for the relevant Testing as specified in the Implementation Plan.
- 4.2 Each Test Plan shall include as a minimum:
 - 4.2.1 the relevant Test definition and the purpose of the Test, the Milestone to which it relates, the requirements being Tested and, for each Test, the specific Test Success Criteria to be satisfied; and
 - 4.2.2 a detailed procedure for the Tests to be carried out.
- 4.3 The Buyer shall not unreasonably withhold or delay its approval of the Test Plan provided that the Supplier shall implement any reasonable requirements of the Buyer in the Test Plan.

5 Passing Testing

- 5.1 The Test Success Criteria for all Tests shall be agreed between the Parties as part of the relevant Test Plan pursuant to Paragraph 4.

6 How Deliverables will be tested

- 6.1 Following approval of a Test Plan, the Supplier shall develop the Test Specification for the relevant Deliverables as soon as reasonably practicable and in any event at least 10 Working Days prior to the start of the relevant Testing (as specified in the Implementation Plan).
- 6.2 Each Test Specification shall include as a minimum:
 - 6.2.1 the specification of the Test data, including its source, scope, volume and management, a request (if applicable) for relevant Test data to be provided by the Buyer and the extent to which it is equivalent to live operational data;
 - 6.2.2 a plan to make the resources available for Testing;
 - 6.2.3 Test scripts;
 - 6.2.4 Test pre-requisites and the mechanism for measuring them; and
 - 6.2.5 expected Test results, including:
 - (a) a mechanism to be used to capture and record Test results; and
 - (b) a method to process the Test results to establish their content.

7 Performing the tests

- 7.1 Before submitting any Deliverables for Testing the Supplier shall subject the relevant Deliverables to its own internal quality control measures.
- 7.2 The Supplier shall manage the progress of Testing in accordance with the relevant Test Plan and shall carry out the Tests in accordance with the relevant Test Specification. Tests may be witnessed by the Test Witnesses in accordance with Paragraph 9.3.
- 7.3 The Supplier shall notify the Buyer at least 10 Working Days in advance of the date, time and location of the relevant Tests and the Buyer shall ensure that the Test Witnesses attend the Tests.
- 7.4 The Buyer may raise and close Test Issues during the Test witnessing process.
- 7.5 The Supplier shall provide to the Buyer in relation to each Test:
 - 7.5.1 a draft Test Report not less than 2 Working Days prior to the date on which the Test is planned to end; and
 - 7.5.2 the final Test Report within 5 Working Days of completion of Testing.
- 7.6 Each Test Report shall provide a full report on the Testing conducted in respect of the relevant Deliverables, including:
 - 7.6.1 an overview of the Testing conducted;
 - 7.6.2 identification of the relevant Test Success Criteria that have/have not been satisfied together with the Supplier's explanation of why any criteria have not been met;
 - 7.6.3 the Tests that were not completed together with the Supplier's explanation of why those Tests were not completed;
 - 7.6.4 the Test Success Criteria that were satisfied, not satisfied or which were not tested, and any other relevant categories, in each case grouped by Severity Level in accordance with Paragraph 8.1; and
 - 7.6.5 the specification for any hardware and software used throughout Testing and any changes that were applied to that hardware and/or software during Testing.

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- 7.7 When the Supplier has completed a Milestone it shall submit any Deliverables relating to that Milestone for Testing.
- 7.8 Each party shall bear its own costs in respect of the Testing. However, if a Milestone is not Achieved the Buyer shall be entitled to recover from the Supplier, any reasonable additional costs it may incur as a direct result of further review or re-Testing of a Milestone.
- 7.9 If the Supplier successfully completes the requisite Tests, the Buyer shall issue a Satisfaction Certificate as soon as reasonably practical following such successful completion. Notwithstanding the issuing of any Satisfaction Certificate, the Supplier shall remain solely responsible for ensuring that the Deliverables are implemented in accordance with this Contract.

8 Discovering Problems

- 8.1 Where a Test Report identifies a Test Issue, the Parties shall agree the classification of the Test Issue using the criteria specified in Annex 1 and the Test Issue Management Log maintained by the Supplier shall log Test Issues reflecting the Severity Level allocated to each Test Issue.
- 8.2 The Supplier shall be responsible for maintaining the Test Issue Management Log and for ensuring that its contents accurately represent the current status of each Test Issue at all relevant times. The Supplier shall make the Test Issue Management Log available to the Buyer upon request.
- 8.3 The Buyer shall confirm the classification of any Test Issue unresolved at the end of a Test in consultation with the Supplier. If the Parties are unable to agree the classification of any unresolved Test Issue, the Dispute shall be dealt with in accordance with the Dispute Resolution Procedure using the Expedited Dispute Timetable.

9 Test witnessing

- 9.1 The Buyer may, in its sole discretion, require the attendance at any Test of one or more Test Witnesses selected by the Buyer, each of whom shall have appropriate skills to fulfil the role of a Test Witness.
- 9.2 The Supplier shall give the Test Witnesses access to any documentation and Testing environments reasonably necessary and requested by the Test Witnesses to perform their role as a Test Witness in respect of the relevant Tests.
- 9.3 The Test Witnesses:
 - 9.3.1 shall actively review the Test documentation;
 - 9.3.2 will attend and engage in the performance of the Tests on behalf of the Buyer so as to enable the Buyer to gain an informed view of whether a Test Issue may be closed or whether the relevant element of the Test should be re-Tested;
 - 9.3.3 shall not be involved in the execution of any Test;
 - 9.3.4 shall be required to verify that the Supplier conducted the Tests in accordance with the Test Success Criteria and the relevant Test Plan and Test Specification;
 - 9.3.5 may produce and deliver their own, independent reports on Testing, which may be used by the Buyer to assess whether the Tests have been Achieved;
 - 9.3.6 may raise Test Issues on the Test Issue Management Log in respect of any Testing; and

- 9.4 may require the Supplier to demonstrate the modifications made to any defective Deliverable before a Test Issue is closed.

10 Auditing the quality of the test

- 10.1 The Buyer or an agent or contractor appointed by the Buyer may perform on-going quality audits in respect of any part of the Testing (each a "**Testing Quality Audit**") subject to the provisions set out in the agreed Quality Plan.
- 10.2 The Supplier shall allow sufficient time in the Test Plan to ensure that adequate responses to a Testing Quality Audit can be provided.
- 10.3 The Buyer will give the Supplier at least 5 Working Days' written notice of the Buyer's intention to undertake a Testing Quality Audit.
- 10.4 The Supplier shall provide all reasonable necessary assistance and access to all relevant documentation required by the Buyer to enable it to carry out the Testing Quality Audit.
- 10.5 If the Testing Quality Audit gives the Buyer concern in respect of the Testing Procedures or any Test, the Buyer shall prepare a written report for the Supplier detailing its concerns and the Supplier shall, within a reasonable timeframe, respond in writing to the Buyer's report.
- 10.6 In the event of an inadequate response to the written report from the Supplier, the Buyer (acting reasonably) may withhold a Satisfaction Certificate until the issues in the report have been addressed to the reasonable satisfaction of the Buyer.

11 Outcome of the testing

- 11.1 The Buyer will issue a Satisfaction Certificate when the Deliverables satisfy the Test Success Criteria in respect of that Test without any Test Issues.
- 11.2 If the Deliverables (or any relevant part) do not satisfy the Test Success Criteria then the Buyer shall notify the Supplier and:
- 11.2.1 the Buyer may issue a Satisfaction Certificate conditional upon the remediation of the Test Issues;
- 11.2.2 the Buyer may extend the Test Plan by such reasonable period or periods as the Parties may reasonably agree and require the Supplier to rectify the cause of the Test Issue and re-submit the Deliverables (or the relevant part) to Testing; or
- 11.2.3 where the failure to satisfy the Test Success Criteria results, or is likely to result, in the failure (in whole or in part) by the Supplier to meet a Milestone, then without prejudice to the Buyer's other rights and remedies, such failure shall constitute a material Default.
- 11.3 The Buyer shall be entitled, without prejudice to any other rights and remedies that it has under this Contract, to recover from the Supplier any reasonable additional costs it may incur as a direct result of further review or re-Testing which is required for the Test Success Criteria for that Deliverable to be satisfied.
- 11.4 The Buyer shall issue a Satisfaction Certificate in respect of a given Milestone as soon as is reasonably practicable following:
- 11.4.1 the issuing by the Buyer of Satisfaction Certificates and/or conditional Satisfaction Certificates in respect of all Deliverables related to that Milestone which are due to be Tested; and

- 11.4.2 performance by the Supplier to the reasonable satisfaction of the Buyer of any other tasks identified in the Implementation Plan as associated with that Milestone.
- 11.5 The grant of a Satisfaction Certificate shall entitle the Supplier to the receipt of a payment in respect of that Milestone in accordance with the provisions of any Implementation Plan and Clause 4 (Pricing and payments).
- 11.6 If a Milestone is not Achieved, the Buyer shall promptly issue a report to the Supplier setting out the applicable Test Issues and any other reasons for the relevant Milestone not being Achieved.
- 11.7 If there are Test Issues but these do not exceed the Test Issues Threshold, then provided there are no Material Test Issues, the Buyer shall issue a Satisfaction Certificate.
- 11.8 If there is one or more Material Test Issue(s), the Buyer shall refuse to issue a Satisfaction Certificate and, without prejudice to the Buyer's other rights and remedies, such failure shall constitute a material Default.
- 11.9 If there are Test Issues which exceed the Test Issues Threshold but there are no Material Test Issues, the Buyer may at its discretion (without waiving any rights in relation to the other options) choose to issue a Satisfaction Certificate conditional on the remediation of the Test Issues in accordance with an agreed Rectification Plan provided that:
 - 11.9.1 any Rectification Plan shall be agreed before the issue of a conditional Satisfaction Certificate unless the Buyer agrees otherwise (in which case the Supplier shall submit a Rectification Plan for approval by the Buyer within 10 Working Days of receipt of the Buyer's report pursuant to Paragraph 10.5); and
 - 11.9.2 where the Buyer issues a conditional Satisfaction Certificate, it may (but shall not be obliged to) revise the failed Milestone Date and any subsequent Milestone Date.

12 Risk

- 12.1 The issue of a Satisfaction Certificate and/or a conditional Satisfaction Certificate shall not:
 - 12.1.1 operate to transfer any risk that the relevant Deliverable or Milestone is complete or will meet and/or satisfy the Buyer's requirements for that Deliverable or Milestone; or
 - 12.1.2 affect the Buyer's right subsequently to reject all or any element of the Deliverables and/or any Milestone to which a Satisfaction Certificate relates.

Annex 1: Test Issues, Severity Levels

1 Severity 1 Error

- 1.1 This is an error that causes non-recoverable conditions, e.g. it is not possible to continue using a Component.

2 Severity 2 Error

- 2.1 This is an error for which, as reasonably determined by the Buyer, there is no practicable workaround available, and which:
 - 2.1.1 causes a Component to become unusable;
 - 2.1.2 causes a lack of functionality, or unexpected functionality, that has an impact on the current Test; or
 - 2.1.3 has an adverse impact on any other Component(s) or any other area of the Deliverables;

3 Severity 3 Error

- 3.1 This is an error which:
 - 3.1.1 causes a Component to become unusable;
 - 3.1.2 causes a lack of functionality, or unexpected functionality, but which does not impact on the current Test; or
 - 3.1.3 has an impact on any other Component(s) or any other area of the Deliverables; but for which, as reasonably determined by the Buyer, there is a practicable workaround available;

4 Severity 4 Error

- 4.1 This is an error which causes incorrect functionality of a Component or process, but for which there is a simple, Component based, workaround, and which has no impact on the current Test, or other areas of the Deliverables.

5 Severity 5 Error

- 5.1 This is an error that causes a minor problem, for which no workaround is required, and which has no impact on the current Test, or other areas of the Deliverables.

Annex 2: Satisfaction Certificate

To: [insert name of Supplier]

From: [insert name of Buyer]

[insert Date dd/mm/yyyy]

Dear Sirs,

Satisfaction Certificate

Deliverable/Milestone(s): **[Insert relevant description of the agreed Deliverables/Milestones]**.

We refer to the agreement ("**Call-Off Contract**") **[insert Call-Off Contract reference number and any applicable SOW reference]** relating to the provision of the **[insert description of the Deliverables]** between the **[insert Buyer name]** ("**Buyer**") and **[insert Supplier name]** ("**Supplier**") dated **[insert Call-Off Start Date dd/mm/yyyy]**.

The definitions for any capitalised terms in this certificate are as set out in the Call-Off Contract.

[We confirm that all the Deliverables relating to **[insert relevant description of Deliverables/agreed Milestones and/or reference number(s) from the Implementation Plan]** have been tested successfully in accordance with the Test Plan [or that a conditional Satisfaction Certificate has been issued in respect of those Deliverables that have not satisfied the relevant Test Success Criteria].

[OR]

[This Satisfaction Certificate is granted on the condition that any Test Issues are remedied in accordance with the Rectification Plan attached to this certificate.]

[You may now issue an invoice in respect of the Milestone Payment associated with this Milestone in accordance with Clause 4 (Pricing and payments)].

Yours faithfully

[insert Name]

[insert Position]

acting on behalf of **[insert name of Buyer]**

Call-Off Schedule 14 (Service Levels and Balanced Scorecard)

SECTION 1: SERVICE LEVELS

1 Definitions

- 1.1 In this Section 1 of this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

Term	Definition
Critical Service Level Failure	has the meaning given to it in the Order Form;
Service Credits	any service credits specified in the Annex to Part A of this Schedule being payable by the Supplier to the Buyer in respect of any failure by the Supplier to meet one or more Service Levels;
Service Credit Cap	has the meaning given to it in the Order Form;
Service Level Failure	means a failure to meet the Service Level Performance Measure in respect of a Service Level;
Service Level Performance Measure	shall be as set out against the relevant Service Level in the Annex to Part A of this Schedule; and
Service Level Threshold	shall be as set out against the relevant Service Level in the Annex to Part A of this Schedule.

2 What happens if you do not meet the Service Levels

- 2.1 The Supplier shall at all times provide the Deliverables to meet or exceed the Service Level Performance Measure for each Service Level.
- 2.2 The Supplier acknowledges that any Service Level Failure shall entitle the Buyer to the rights set out in Part A of this Schedule, including the right to any Service Credits and that any Service Credit is a price adjustment and not an estimate of the Loss that may be suffered by the Buyer as a result of the Supplier's failure to meet any Service Level Performance Measure.
- 2.3 The Supplier shall send Performance Monitoring Reports to the Buyer detailing the level of service which was achieved in accordance with the provisions of Part B (Performance Monitoring) of this Schedule.
- 2.4 A Service Credit shall be the Buyer's exclusive financial remedy for a Service Level Failure except where:
- 2.4.1 the Supplier has over the previous (twelve) 12 Month period exceeded the Service Credit Cap; and/or
- 2.4.2 the Service Level Failure:
- (a) exceeds the relevant Service Level Threshold;
 - (b) has arisen due to a Prohibited Act or wilful Default by the Supplier;
 - (c) results in the corruption or loss of any Government Data; and/or
 - (d) results in the Buyer being required to make a compensation payment to one or more third parties; and/or
- 2.4.3 the Buyer is entitled to or does terminate this Contract pursuant to Clause 10.4 (CCS and Buyer Termination Rights).

- 2.5 Not more than once in each Contract Year, the Buyer may, on giving the Supplier at least three (3) Months' notice, change the weighting of Service Level Performance Measure in respect of one or more Service Levels and the Supplier shall not be entitled to object to, or increase the Charges as a result of such changes, provided that:
- 2.5.1 the total number of Service Levels for which the weighting is to be changed does not exceed the number applicable as at the Start Date;
 - 2.5.2 the principal purpose of the change is to reflect changes in the Buyer's business requirements and/or priorities or to reflect changing industry standards; and
 - 2.5.3 there is no change to the Service Credit Cap.

3 Critical Service Level Failure

On the occurrence of a Critical Service Level Failure:

- 3.1 any Service Credits that would otherwise have accrued during the relevant Service Period shall not accrue; and
- 3.2 the Buyer shall (subject to the Service Credit Cap) be entitled to withhold and retain as compensation a sum equal to any Charges which would otherwise have been due to the Supplier in respect of that Service Period ("**Compensation for Critical Service Level Failure**"),

provided that the operation of this Paragraph 3 shall be without prejudice to the right of the Buyer to terminate this Contract and/or to claim damages from the Supplier for material Default.

Part A: Service Levels and Service Credits

1 Service Levels

If the level of performance of the Supplier:

- 1.1 is likely to or fails to meet any Service Level Performance Measure; or
- 1.2 is likely to cause or causes a Critical Service Failure to occur,

the Supplier shall immediately notify the Buyer in writing and the Buyer, in its absolute discretion and without limiting any other of its rights, may:

- 1.2.1 require the Supplier to immediately take all remedial action that is reasonable to mitigate the impact on the Buyer and to rectify or prevent a Service Level Failure or Critical Service Level Failure from taking place or recurring;
- 1.2.2 instruct the Supplier to comply with the Rectification Plan Process;
- 1.2.3 if a Service Level Failure has occurred, deduct the applicable Service Level Credits payable by the Supplier to the Buyer; and/or
- 1.2.4 if a Critical Service Level Failure has occurred, exercise its right to Compensation for Critical Service Level Failure (including the right to terminate for material Default).

2 Service Credits

- 2.1 The Buyer shall use the Performance Monitoring Reports supplied by the Supplier to verify the calculation and accuracy of the Service Credits, if any, applicable to each Service Period.
- 2.2 Service Credits are a reduction of the amounts payable in respect of the Deliverables and do not include VAT. The Supplier shall set-off the value of any Service Credits

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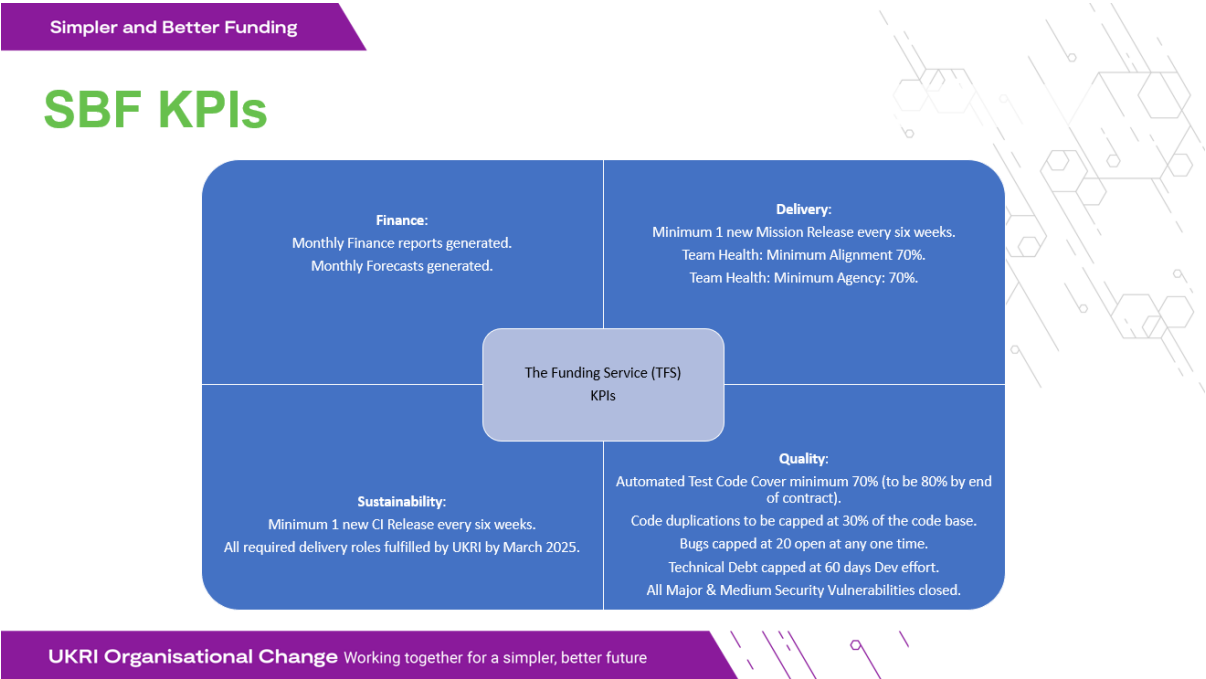
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against the appropriate invoice in accordance with calculation formula in the Annex to Part A of this Schedule.

3 Buyer redress for failure to provide Services at or above Service Levels

- 3.1 The Buyer may ask for a Rectification Plan if the Supplier fails to meet any of the Service Levels (“Default”) within Section 1 (Service Levels) in any 12-Month rolling period.
- 3.2 This Rectification Plan must clearly detail the improvements and associated timeframes within which the Supplier shall meet and achieve the Service Levels. The Rectification Plan must be provided in accordance with Clause 10.3 of the Core Terms and any failure to correct a Default in line with an accepted Rectification Plan, or failure to provide a Rectification Plan within 10 days of the request may result in the Buyer exercising its right to terminate the Contract in accordance with Clause 10.4 of the Core Terms.

Annex A to Part A: Services Levels and Service Credits Table



Part B: Performance Monitoring

1 Performance Monitoring and Performance Review

- 1.1 Within twenty (20) Working Days of the Start Date the Supplier shall provide the Buyer with details of how the process in respect of the monitoring and reporting of Service Levels will operate between the Parties and the Parties will endeavour to agree such process as soon as reasonably possible.
- 1.2 The Supplier shall provide the Buyer with performance monitoring reports ("**Performance Monitoring Reports**") in accordance with the process and timescales agreed pursuant to Paragraph 1.1 of Part B of this Schedule which shall contain, as a minimum, the following information in respect of the relevant Service Period just ended:
 - 1.2.1 for each Service Level, the actual performance achieved over the Service Level for the relevant Service Period;
 - 1.2.2 a summary of all failures to achieve Service Levels that occurred during that Service Period;
 - 1.2.3 details of any Critical Service Level Failures;
 - 1.2.4 for any repeat failures, actions taken to resolve the underlying cause and prevent recurrence;
 - 1.2.5 the Service Credits to be applied in respect of the relevant period indicating the failures and Service Levels to which the Service Credits relate; and
 - 1.2.6 such other details as the Buyer may reasonably require from time to time.
- 1.3 The Parties shall attend meetings to discuss Performance Monitoring Reports ("**Performance Review Meetings**") on a Monthly basis. The Performance Review Meetings will be the forum for the review by the Supplier and the Buyer of the Performance Monitoring Reports. The Performance Review Meetings shall:
 - 1.3.1 take place within one (1) week of the Performance Monitoring Reports being issued by the Supplier at such location, format and time (within normal business hours) as the Buyer shall reasonably require;
 - 1.3.2 be attended by the Supplier's Representative and the Buyer's Representative; and
 - 1.3.3 be fully minuted by the Supplier and the minutes will be circulated by the Supplier to all attendees at the relevant meeting and also to the Buyer's Representative and any other recipients agreed at the relevant meeting.
- 1.4 The minutes of the preceding Month's Performance Review Meeting will be agreed and signed by both the Supplier's Representative and the Buyer's Representative at each meeting.
- 1.5 The Supplier shall provide to the Buyer such documentation as the Buyer may reasonably require in order to verify the level of the performance by the Supplier for any specified Service Period.

2 Satisfaction Surveys

- 2.1 The Buyer may undertake satisfaction surveys in respect of the Supplier's provision of the Deliverables. The Buyer shall be entitled to notify the Supplier of any aspects of their performance of the provision of the Deliverables which the responses to the Satisfaction Surveys reasonably suggest are not in accordance with this Contract.

SECTION 2: BALANCED SCORECARD

1 Balanced Scorecard

1.1 As an alternative to or in addition to Service Levels (under Section 1 above) and the Supplier's performance management obligations under the Framework Contract, the Buyer and Supplier may agree to follow the Balanced Scorecard and key performance indicators ("KPIs") for a Call-Off Contract and one or more of its Statements of Work.

A. KPI: Performance to pay process

In accordance with an agreed performance to pay process, the Supplier shall submit the following 'inputs':

- accurate and complete timesheets in a timely manner
- accurate and complete acceptance certificates in a timely manner
- accurate and complete supplier reports in a timely manner
- accurate and complete invoices in a timely manner

Measurement

Met	Partially met	Not met
All of the inputs are submitted in accordance with the performance to pay process timescales and contain accurate and complete information	Inputs are later than prescribed in the performance to pay process but within 5 Working Days of the prescribed dates <ul style="list-style-type: none"> • Inputs are incomplete or inaccurate 	Inputs are later than 5 Working Days in the prescribed performance to pay process Inputs contain significant errors

Source: Supplier Reports/Invoices

Owner: To be agreed

B. KPI: People (resourcing)

Successful recruitment and placement of key resources or provision of facilities meets the planned deliverables and contractual obligations. The Supplier pro-actively manages their resource skills or state of facilities by identifying issues early, and in a timely fashion, addressing any deficits.

Measurement

Met	Partially met	Not met
Targets met for all resources or facilities	Targets met for most (50%+) resources or facilities through no fault of the Buyer	Targets missed for most resources or facilities requested through no fault of the Buyer

Source: Project Managers and wider Buyer team's verification

Owner: To be agreed

C. KPI: Partnering behaviours and added value

Supplier promotes positive collaborative working relationships, within and across team, by acting in a transparent manner. Supplier shows commitment to Buyer goals through adding value over and above the provision of compensated skilled Supplier Staff and/or facilities.

Measurement

Met	Partially met	Not met
• No behavioural	• Some minor behavioural	• Significant behavioural

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problems identified <ul style="list-style-type: none"> • Buyer workshops attended and positive contributions made • Added value recognised by the programme above provision of compensated skilled resource/facilities 	problems <ul style="list-style-type: none"> • Supplier only attends some workshops or provides minor contributions • Supplier adds some value above provision of compensated resource and facilities, but this is not regarded as significant 	problems <ul style="list-style-type: none"> • Supplier contributions are rare or insignificant and shows little interest in working with other suppliers • No added value contributions recognised by the programme
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Source: Collective feedback on Supplier from both Buyer and other Supplier Staff

Owner: To be agreed

D. KPI: People in place (Delivery)

All Supplier resources delivering Services for the Contract are performing to the expected standard for the skill-set supplied and all facilities are to the expected standard.

Measurement

Met	Partially met	Not met
<ul style="list-style-type: none"> • No resources are swapped out due to deficiency in skill-set and/or no change of facilities is required • No problems identified with quality of work or state of facility • Supplier is making positive team contributions • Supplier skills or facilities meet the standards expected 	<ul style="list-style-type: none"> • Minor issues noted with quality of work or standard of facilities • Few contributions made within team 	<ul style="list-style-type: none"> • Resource is swapped out from project due to deficiency in skill-set or change of facility is required • Persistent issues with quality of work or facilities noted (may be minor ones which have persisted from one Month to another) • Significant issue with quality of work or facility noted in a Month

Source: Project manager and wider Buyer team

Owner: To be agreed

1.2 The purpose of the Balanced Scorecard is to promote contract management activity through measurement of the Supplier's performance against KPIs. The Buyer and Supplier shall agree the content of the Scorecard before the Call-Off Contract Start Date including the Material KPIs as defined in Framework Schedule 4 (Framework Management). Targets and measures to be listed in the Scorecard (example above for guidance only) should be tailored to meet the Buyer's needs and the Supplier's competences.

1.3 The recommended process for using the Balanced Scorecard is as follows:

- the Buyer and Supplier agree a template Balanced Scorecard together with a performance management plan which clearly outlines the responsibilities and actions that will be taken if agreed performance levels are not achieved.

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- on a pre-agreed schedule (for example, Monthly) both the Buyer and the Supplier provide a rating on the Supplier's performance
- following the initial rating, both Parties meet to review the scores and agree an overall final score for each KPI
- following agreement of final scores, the process is repeating as per the agreed schedule

2 Buyer redress for failure to provide Services at or above Service Levels

2.1 The Buyer may ask for a Rectification Plan if the Supplier:

- 2.1.1 fails to meet any of the key performance indicators ("KPIs") listed within Section 2 (Balanced Scorecard) ("a Default") on at least 3 occasions within a 12-Month rolling period
- 2.1.2 demonstrates poor performance of a Call-Off Contract or any Statement of Work, evidenced through Buyer feedback to CCS that the Supplier has scored a 'red' status on any one of the 4 KPI targets listed on the Balanced Scorecard, on at least 2 occasions within a Call-Off Contract duration, or within a period of 3 Months (whichever is the earlier)
- 2.2 This Rectification Plan must clearly detail the improvements and associated timeframes within which the Supplier shall meet and achieve the KPI targets. The Rectification Plan must be provided in accordance with Clause 10.3 of the Core Terms and any failure to correct a Default in line with an accepted Rectification Plan, or failure to provide a Rectification Plan within 10 days of the request may result in the Buyer exercising its right to terminate the Contract in accordance with Clause 10.4 of the Core Terms.

3 Performance Monitoring and Performance Review

- 3.1 Within twenty (20) Working Days of the Start Date the Supplier shall provide the Buyer with details of how the process in respect of the monitoring and reporting of KPIs in the Balanced Scorecard will operate between the Parties and the Parties will endeavour to agree such process as soon as reasonably possible.
- 3.2 The Supplier shall provide the Buyer with performance monitoring reports ("**Performance Monitoring Reports**") in accordance with the process and timescales agreed which shall contain, as a minimum, the following information in respect of the relevant KPIs just ended:
 - 3.2.1 for each KPI, the actual performance achieved over the relevant period;
 - 3.2.2 a summary of all failures to achieve KPIs that occurred during that period;
 - 3.2.3 details of any failures of KPIs across the Call-Off Contract and, if applicable, one or more SOW;
 - 3.2.4 for any repeat failures, actions taken to resolve the underlying cause and prevent recurrence; and
 - 3.2.5 such other details as the Buyer may reasonably require from time to time.
- 3.3 The Parties shall attend meetings to discuss Performance Monitoring Reports ("**Performance Review Meetings**") on a Monthly basis. The Performance Review Meetings will be the forum for the review by the Supplier and the Buyer of the Performance Monitoring Reports. The Performance Review Meetings shall:

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- 3.3.1 take place within one (1) week of the Performance Monitoring Reports being issued by the Supplier at such location, format and time (within normal business hours) as the Buyer shall reasonably require;
- 3.3.2 be attended by the Supplier's Representative and the Buyer's Representative; and
- 3.3.3 be fully minuted by the Supplier and the minutes will be circulated by the Supplier to all attendees at the relevant meeting and also to the Buyer's Representative and any other recipients agreed at the relevant meeting.
- 3.4 The minutes of the preceding Month's Performance Review Meeting will be agreed and signed by both the Supplier's Representative and the Buyer's Representative at each meeting.
- 3.5 The Supplier shall provide to the Buyer such documentation as the Buyer may reasonably require in order to verify the level of the performance by the Supplier for any specified period.

Call-Off Schedule 15 (Call-Off Contract Management)

1 Definitions

- 1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

Term	Definition
Operational Board	the board established in accordance with Paragraph 4.1 of this Schedule; and
Project Manager	the manager appointed in accordance with Paragraph 2.1 of this Schedule.

2 Project Management

- 2.1 The Supplier and the Buyer shall each appoint a Project Manager for the purposes of this Contract through whom the provision of the Services and the Deliverables shall be managed day-to-day.
- 2.2 The Parties shall ensure that appropriate resource is made available on a regular basis such that the aims, objectives and specific provisions of this Contract can be fully realised.
- 2.3 Without prejudice to Paragraph 4 below, the Parties agree to operate the boards specified as set out in the Annex to this Schedule.

3 Role of the Supplier Contract Manager

- 3.1 The Supplier's Contract Manager's shall be:
- 3.1.1 the primary point of contact to receive communication from the Buyer and will also be the person primarily responsible for providing information to the Buyer;
- 3.1.2 able to delegate his position to another person at the Supplier but must inform the Buyer before proceeding with the delegation and it will be delegated person's responsibility to fulfil the Contract Manager's responsibilities and obligations;
- 3.1.3 able to cancel any delegation and recommence the position himself; and
- 3.1.4 replaced only after the Buyer has received notification of the proposed change.
- 3.2 The Buyer may provide revised instructions to the Supplier's Contract Manager's in regards to the Contract and it will be the Supplier's Contract Manager's responsibility to ensure the information is provided to the Supplier and the actions implemented.
- 3.3 Receipt of communication from the Supplier's Contract Manager's by the Buyer does not absolve the Supplier from its responsibilities, obligations or liabilities under the Contract.

4 Role of the Operational Board

- 4.1 The Operational Board shall be established by the Buyer for the purposes of this Contract on which the Supplier and the Buyer shall be represented.
- 4.2 The Operational Board members, frequency and location of board meetings and planned start date by which the board shall be established are set out in the Order Form.
- 4.3 In the event that either Party wishes to replace any of its appointed board members, that Party shall notify the other in writing for approval by the other Party (such approval

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not to be unreasonably withheld or delayed). Each Buyer board member shall have at all times a counterpart Supplier board member of equivalent seniority and expertise.

- 4.4 Each Party shall ensure that its board members shall make all reasonable efforts to attend board meetings at which that board member's attendance is required. If any board member is not able to attend a board meeting, that person shall use all reasonable endeavours to ensure that a delegate attends the Operational Board meeting in his/her place (wherever possible) and that the delegate is properly briefed and prepared and that he/she is debriefed by such delegate after the board meeting.
- 4.5 The purpose of the Operational Board meetings will be to review the Supplier's performance under this Contract. The agenda for each meeting shall be set by the Buyer and communicated to the Supplier in advance of that meeting.

5 Contract Risk Management

- 5.1 Both Parties shall pro-actively manage risks attributed to them under the terms of this Call-Off Contract.
- 5.2 The Supplier shall develop, operate, maintain and amend, as agreed with the Buyer, processes for:
 - 5.2.1 the identification and management of risks;
 - 5.2.2 the identification and management of issues; and
 - 5.2.3 monitoring and controlling project plans.
- 5.3 The Supplier allows the Buyer to inspect at any time within working hours the accounts and records which the Supplier is required to keep.
- 5.4 The Supplier will maintain a risk register of the risks relating to the Call-Off Contract which the Buyer's and the Supplier have identified.

Annex: Contract Boards

The Parties agree to operate the following boards at the locations and at the frequencies set out below:

Not Applicable

Call-Off Schedule 16 (Benchmarking)

1 Definitions

1.1 In this Schedule, the following expressions shall have the following meanings and they shall supplement those in Joint Schedule 1 (Definitions):

Term	Definition
Benchmark Review	a review of the Deliverables carried out in accordance with this Schedule to determine whether those Deliverables represent Good Value;
Benchmarked Deliverables	any Deliverables included within the scope of a Benchmark Review pursuant to this Schedule;
Comparable Rates	the Charges for Comparable Deliverables;
Comparable Deliverables	deliverables that are identical or materially similar to the Benchmark Deliverables (including in terms of scope, specification, volume and quality of performance) provided that if no identical or materially similar Deliverables exist in the market, the Supplier shall propose an approach for developing a comparable Deliverables benchmark;
Comparison Group	a sample group of organisations providing Comparable Deliverables which consists of organisations which are either of similar size to the Supplier or which are similarly structured in terms of their business and their service offering so as to be fair comparators with the Supplier or which, are best practice organisations;
Equivalent Data	data derived from an analysis of the Comparable Rates and/or the Comparable Deliverables (as applicable) provided by the Comparison Group;
Good Value	that the Benchmark Rates are within the Upper Quartile; and
Upper Quartile	in respect of Benchmark Rates, that based on an analysis of Equivalent Data, the Benchmark Rates, as compared to the range of prices for Comparable Deliverables, are within the top 25% in terms of best value for money for the recipients of Comparable Deliverables.

2 When you should use this Schedule

- 2.1 The Supplier acknowledges that the Buyer wishes to ensure that the Deliverables, represent value for money to the taxpayer throughout the Contract Period.
- 2.2 This Schedule sets to ensure the Contracts represent value for money throughout and that the Buyer may terminate the Contract by issuing a Termination Notice to the Supplier if the Supplier refuses or fails to comply with its obligations as set out in Paragraphs 3 of this Schedule.
- 2.3 Amounts payable under this Schedule shall not fall with the definition of a Cost.

3 Benchmarking

3.1 How benchmarking works

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- 3.1.1 The Buyer and the Supplier recognise that, where specified in Framework Schedule 4 (Framework Management), the Buyer may give CCS the right to enforce the Buyer's rights under this Schedule.
- 3.1.2 The Buyer may, by written notice to the Supplier, require a Benchmark Review of any or all of the Deliverables.
- 3.1.3 The Buyer shall not be entitled to request a Benchmark Review during the first six (6) Month period from the Contract Commencement Date or at intervals of less than twelve (12) Months after any previous Benchmark Review.
- 3.1.4 The purpose of a Benchmark Review will be to establish whether the Benchmarked Deliverables are, individually and/or as a whole, Good Value.
- 3.1.5 The Deliverables that are to be the Benchmarked Deliverables will be identified by the Buyer in writing.
- 3.1.6 Upon its request for a Benchmark Review the Buyer shall nominate a benchmarker. The Supplier must approve the nomination within ten (10) Working Days unless the Supplier provides a reasonable explanation for rejecting the appointment. If the appointment is rejected then the Buyer may propose an alternative benchmarker. If the Parties cannot agree the appointment within twenty (20) days of the initial request for Benchmark review then a benchmarker shall be selected by the Chartered Institute of Financial Accountants.
- 3.1.7 The cost of a benchmarker shall be borne by the Buyer (provided that each Party shall bear its own internal costs of the Benchmark Review) except where the Benchmark Review demonstrates that the Benchmarked Service and/or the Benchmarked Deliverables are not Good Value, in which case the Parties shall share the cost of the benchmarker in such proportions as the Parties agree (acting reasonably). Invoices by the benchmarker shall be raised against the Supplier and the relevant portion shall be reimbursed by the Buyer.

3.2 Benchmarking Process

- 3.2.1 The benchmarker shall produce and send to the Buyer, for Approval, a draft plan for the Benchmark Review which must include:
 - (a) a proposed cost and timetable for the Benchmark Review;
 - (b) a description of the benchmarking methodology to be used which must demonstrate that the methodology to be used is capable of fulfilling the benchmarking purpose; and
 - (c) a description of how the benchmarker will scope and identify the Comparison Group.
- 3.2.2 The benchmarker, acting reasonably, shall be entitled to use any model to determine the achievement of value for money and to carry out the benchmarking.
- 3.2.3 The Buyer must give notice in writing to the Supplier within ten (10) Working Days after receiving the draft plan, advising the benchmarker and the Supplier whether it Approves the draft plan, or, if it does not approve the draft plan, suggesting amendments to that plan (which must be reasonable). If amendments are suggested then the benchmarker must produce an amended draft plan and this Paragraph 3.2.3 shall apply to any amended draft plan.
- 3.2.4 Once both Parties have approved the draft plan then they will notify the benchmarker. No Party may unreasonably withhold or delay its Approval of the draft plan.
- 3.2.5 Once it has received the Approval of the draft plan, the benchmarker shall:

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- (a) finalise the Comparison Group and collect data relating to Comparable Rates. The selection of the Comparable Rates (both in terms of number and identity) shall be a matter for the Supplier's professional judgment using:
 - (i) market intelligence;
 - (ii) the benchmarker's own data and experience;
 - (iii) relevant published information; and
 - (iv) pursuant to Paragraph 3.2.6 below, information from other suppliers or purchasers on Comparable Rates;
 - (b) by applying the adjustment factors listed in Paragraph 3.2.7 and from an analysis of the Comparable Rates, derive the Equivalent Data;
 - (c) using the Equivalent Data, calculate the Upper Quartile;
 - (d) determine whether or not each Benchmarked Rate is, and/or the Benchmarked Rates as a whole are, Good Value.
- 3.2.6 The Supplier shall use all reasonable endeavours and act in good faith to supply information required by the benchmarker in order to undertake the benchmarking. The Supplier agrees to use its reasonable endeavours to obtain information from other suppliers or purchasers on Comparable Rates.
- 3.2.7 In carrying out the benchmarking analysis the benchmarker may have regard to the following matters when performing a comparative assessment of the Benchmarked Rates and the Comparable Rates in order to derive Equivalent Data:
- (a) the contractual terms and business environment under which the Comparable Rates are being provided (including the scale and geographical spread of the customers);
 - (b) exchange rates;
 - (c) any other factors reasonably identified by the Supplier, which, if not taken into consideration, could unfairly cause the Supplier's pricing to appear non-competitive.

3.3 Benchmarking Report

- 3.3.1 For the purposes of this Schedule "Benchmarking Report" shall mean the report produced by the benchmarker following the Benchmark Review and as further described in this Schedule;
- 3.3.2 The benchmarker shall prepare a Benchmarking Report and deliver it to the Buyer, at the time specified in the plan Approved pursuant to Paragraph 3.2.3, setting out its findings. Those findings shall be required to:
- (a) include a finding as to whether or not a Benchmarked Service and/or whether the Benchmarked Deliverables as a whole are, Good Value;
 - (b) if any of the Benchmarked Deliverables are, individually or as a whole, not Good Value, specify the changes that would be required to make that Benchmarked Service or the Benchmarked Deliverables as a whole Good Value; and
 - (c) include sufficient detail and transparency so that the Party requesting the Benchmarking can interpret and understand how the Supplier has calculated whether or not the Benchmarked Deliverables are, individually or as a whole, Good Value.

- 3.3.3 The Parties agree that any changes required to this Contract identified in the Benchmarking Report shall be implemented at the direction of the Buyer in accordance with Clause 24 (Changing the contract).

Call-Off Schedule 20 (Call-Off Specification)

This Schedule sets out the characteristics of the Deliverables that the Supplier will be required to make to the Buyers under this Call-Off Contract.

Glossary

Term / Acronym	Description
UKRI	UK Research & innovation (UKRI) – the name of our organisation.
SBF	Simpler & Better Funding (SBF) – the name of the Programme.
TFS	The Funding Service (TFS) – the name of the digital Grants Funding service that we are delivering.
Public Beta	Public Beta – the specific phase of the Service delivery where a digital service is deemed compliant with the Government Digital Service Standard Beta Phase.
Live	Live – the specific phase of Service delivery where a digital service is deemed compliant with the Government Digital Service Standard Live Phase.
CSF	Critical Success Factor (CSF) – a key measure of delivery success.
DP	Delivery Partner (DP) – we assume that the winning Supplier will act as a principal Delivery Partner, ensuring the delivery of SBF Outcomes on time.
FBC	Full Business Case (FBC) – a written document that drives the purpose of the programme, described the approach and budget and forecasts the benefits.
VfM	Value for Money (VfM) – the most advantageous combination of time, cost, quality and sustainability to meet requirements.
BAU	Business As Usual (BAU) – the expected standard operating capacity & capability.
CDDO	Central Digital and Data Office (CDDO) – the Government Body accountable for Digital practices & standards across Gov.
IPA	Infrastructure and Projects Authority (IPA) – an Assurance framework that SBF is subject to.

ERM	Enterprise Resource Management (ERM) – a separate project within the Data Programme, which itself is a separate Major Programme within UKRI. ERM will provide Customer Relationship Management (CRM) capability, a key dependency for TFS.
DB	DataBank (DB) – a separate project within the Data Programme, which itself is a separate Major Programme within UKRI. DB will enable an enterprise information repository service with analytics capability, a key dependency for TFS.
SHARP	Services for HR, Accounting, Reporting and Procurement (SHARP) – a separate Major Programme within UKRI that will provision a new Cloud-based Oracle suite to enable Grants payment capability (along with other UKRI enterprise pay and HR functionality not relevant to SBF), a key dependency for TFS.
RE	Research England (RE) – a member of the UKRI Group responsible for funding and engaging with English Higher Education providers and within scope to onboard to TFS.
IUK	Innovate UK (IUK) – a member of the UKRI Group responsible for funding business-led innovation in all sectors, technologies and UK regions and within scope to onboard to TFS.
UK SBS	UK Shared Business Services (UK SBS) – the 3rd Party Shared Services Directorate the currently supports the legacy Grants Service (Jes, Siebel and associated systems) and the Grants Finance Service (GFS), a critical interface that rests between the old and the new Grants services and the Oracle payment system.
MVS	Minimum Viable Service (MVS) – the defined minimum amount of functionality required in TFS to allow each of the 7 Research Councils to run all their Grants Opportunities end to end on TFS

Overview

Off-payroll (IR35) determination	Contracted out service: the off-payroll rules do not apply
Summary of the	The Simpler & Better Funding (SBF) Programme in UKRI is

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work	<p>building a new Cloud-based digital Service (The Funding Service – TFS) to simplify and harmonise the funding process for its 9 Research Councils (including Research England – RE and Innovate UK – IUK) to support research and innovation in the UK.</p> <p>The transformation includes major simplification and standardisation of Grants Funding Opportunities & Funding Types and the Business Operations and Processes clustered around them, as UKRI grows to support the needs of its stakeholders and UK Gov.</p> <p>At the time of writing this specification, TFS is in Private Beta with a small number of Pilot Grants Opportunities (less than 20) presently running through the new Service.</p> <p>We are seeking a Delivery Partner (DP) to roll out Public Beta at high volume throughout the remainder of 2023 (300+ Grants Opportunities and 9000+ Grant Applications). This will see all 7 Research Councils run their Grants on the new TFS service by the end of 2023.</p> <p>Throughout 2024-25 we will broaden TFS to onboard the remaining UKRI Grants types (those Grants sponsored by RE & IUK) and move from Public Beta into Live (Business As Usual – BAU) phase.</p> <p>One of our Critical Success factors (CSFs) is to be able to decommission the old legacy Grants Funding service by 31-December 2023. Enabling decommissioning of legacy services through ensuring that all Grants can run on TSF is an essential milestone.</p> <p>The DP will augment the programme in the areas of technical digital delivery, using an iterative or agile approach.</p>
Latest start date	27-06-2023
Expected contract length	1 years, 9 months, 5 days Not Specified
Location	<ul style="list-style-type: none"> • South West England • No specific location (for example they can work remotely)
Organisation the work is for	UK Research & innovation (UKRI)

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Is there an indicative budget?	Yes
Indicative Minimum Budget £	Not Specified
Indicative Maximum Budget £	8250000
Additional information on Budget	<p>We anticipate a per calendar month (pcm) rate no higher than £450k.</p> <p>We expect the pcm rate to reduce as we move through Beta and into Live / BAU.</p> <p>We reserve the right to review the budget for FY 2024/25 based on UKRI Finance approval of our overall Programme budget and reduce the overall budget accordingly.</p>

About the work

Why the work is being done	<p>UKRI & SBF are building TFS to respond to Government drivers to make Grants Funding processes more transparent, less bureaucratic and easier navigate (see Tickell Review).</p> <p>UKRI was formed from nine independent organisations, with different funding systems, services and processes. With the creation of UKRI as a single entity, there is an urgent need to deliver standardisation, consistency and predictability through our funding service, to the benefit of internal and external users.</p> <p>Furthermore, the existing UKRI Grants Funding Service is out of date, not user centric, expensive to run and difficult to maintain & improve. There is a great deal of duplicative and non-value add processes and too many different ways whereby Grants are launched, assessed and awarded.</p>
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	<p>The SBF Programme was created to streamline and simplify this. A new digital Grants service (TFS) is being built in line with Government Best Practice from a 'Green Field' to ensure the new service meets both user and UKRI needs, is cheaper to run and can be regularly & easily improved.</p> <p>SBF is underpinned by a Full Business Case (FBC). This describes in detail what the Programme will achieve internally and externally. At a high level SBF is looking for a technical DP to deliver the following FBC Outcomes through the delivery of the new Digital Service:</p> <p>Internal Outcomes:</p> <ul style="list-style-type: none"> • Streamline & simplify Grants Funding business processes. • Digitise the Grants Funding Service (to allow all UKRI Grants to run end to end on TFS). • Enable the retirement of legacy Grants Funding services (in part by migrating all legacy Grants Data off this service). • Improve the overall quality of Grants Funding data. <p>External Outcomes:</p> <ul style="list-style-type: none"> • Make it easier for external applicants to apply for Grants Funding. • Make it quicker for external applicants to receive Grants Funding. <p>The legacy Grants Service will be unavailable to run new Grants from 31-December 2023. So TFS must encompass the functional capability and non-functional capacity (inc. User Support capability & capacity) to run all Research Council Grants at BAU volumes by that date.</p> <p>The DP will be accountable for delivering the technical / digital elements of the SBF programme, while working with business specialists using a 'one team' mindset.</p>
Problem to be solved	<p>The DP must provide the technical capability to deliver:</p> <ol style="list-style-type: none"> 1. Public Beta iteration of TFS that allows all 7 UKRI Research Councils to run all their Grants by 31-December 2023.

	<p>2. Live iteration of TFS that allows Research England (RE) & Innovate UK (IUK) Grants to run by 31-March 2025.</p> <p>Timeline:</p> <p>Outcome 1. Q1 23/24</p> <p>TFS must Pass CDDO Public Beta Assessment.</p> <ul style="list-style-type: none"> • TFS must be deemed compliant with the (old) 18 Service Standard: https://www.gov.uk/service-manual/service-assessments/pre-july-2019-digital-service-standard. • Note that this contract may be awarded after we have passed the Beta Assessment or have recommendations to address. <p>Outcome 2. Q1 23/24</p> <p>TFS Public Beta phase must commence:</p> <ul style="list-style-type: none"> • All 7 Research Councils able to run all Grants at BAU scale & volume on TFS by December 2023. • Note that this contract may be awarded after we have commenced the Public Beta phase. <p>Outcome 3. Q3 23/24</p> <p>TFS must Pass IPA Gate 4 Readiness for Service: https://www.gov.uk/government/publications/ogc-gateway-review-4-readiness-for-service-guidance-and-templates.</p> <p>Outcome 4. Q3 23/24</p> <p>All Grants data migrated off legacy Grants Service and onto TFS and other systems (for example, ERM / DataBank).</p> <p>Outcome 5. Q4 23/24</p> <p>TFS must Pass CDDO Live Assessment.</p> <ul style="list-style-type: none"> • TFS must be deemed compliant with the (old) 18
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	<p>Service Standard: https://www.gov.uk/service-manual/service-assessments/pre-july-2019-digital-service-standard.</p> <p>Outcome 5. Q1 to Q4 24/25</p> <p>TFS Live phase must commence:</p> <ul style="list-style-type: none"> • Innovate UK (IUK) and Research England (RE) able to run all Grants at BAU scale & volume on TFS by March 2025. <p>In order to deliver the above Outcomes, we expect the DP to provide the following capabilities:</p> <ul style="list-style-type: none"> • Manage Agile delivery to time (Delivery Management). • Deliver the functional features to allow all UKRI Grants to run in TFS (Technical Leadership, Business Analysis, Software Development, Environment Management, Release Management). • Deliver the non-functional features to allow TFS to operate reliably at high volumes (Technical Leadership, Business Analysis, Software Development, Environment Management, Release Management). • Harden the service, eliminate technical debt (Technical Leadership, Business Analysis, Software Development). • Offer Continuous Improvement & User Support capability (Delivery Management, Business Analysis, Software Development). • Oversee all Testing of TFS (Test Leadership, Test Management, QA). • Support Data Migration off legacy platforms (Business Analysis, Software Development, Data Engineering). • Work with other Major Programmes (such as ERM / SHARP / DataBank) to enable seamless System and Data Integration and System Integration Testing (SIT) (Technical Leadership, Business Analysis, Data Engineering). <p>Capabilities to enable the above Outcomes not required from the DP because they will be met by the SBF Programme include:</p> <ul style="list-style-type: none"> • Service Ownership. • Product Management. • User Centred Design (UCD). • Service Design (SD).
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	<ul style="list-style-type: none"> • User Research (UR). • Interaction Design (IX). • Programme Management. • Business Change. • Policy Change. • Communications. • Training. • Discovery. <p>Risks Include:</p> <ul style="list-style-type: none"> • Dependencies on other Major Programmes (e.g. ERM / SHARP / DataBank). • Complex SIT between systems (e.g. TFS > GFS > SHARP). • Challenging timelines to deliver. • Must provide Service Support capacity while we continue to scale Beta. • Appropriate scalability is in place to allow Grants to run at volume. <p>Please find attached to this specification a Statement of Work, which covers the next 6 months' digital build. Suppliers that have been successful to the award stage will be asked to price against this Statement of Work (SoW) during the second stage of this procurement. Suppliers are encouraged to ask as many questions as possible during the permitted clarification period in order to fully understand the requirement and cost accurately for the SoW. Cost provided for this SoW will be used for the price evaluation of this procurement.</p> <p>The successful supplier will need to sign a non-disclosure agreement at contract award stage.</p> <p>Suppliers must provide proof of GDPR compliance. Necessary DP accreditation is required or evidence that you are "working towards" attaining official accreditation.</p> <p>Suppliers must adhere to UKRI's information security and GDPR policies.</p>
Early market engagement	We have not conducted any pre-tender market engagement.
Any work that's	TFS is in Private Beta with less than 20 Research Council Grants Opportunities presently running in various stages

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<p>already been done</p>	<p>of completion.</p> <p>TFS completed a CDDO Alpha Assessment against the old 18-point Service Standard in 2019. The only remaining Alpha recommendations we have not yet mitigated are:</p> <p>Recommendation 1</p> <p>Focus more research on users who are not already familiar with UKRI and the funding service. There should be more work into how people who aren't familiar with UKRI funding are finding the grants platform. This could point to additional needs outside of the digital service such as comms and marketing</p> <p>Update 1</p> <p>This is being fulfilled by another DP through ongoing User Research (UR).</p> <p>Recommendation 2</p> <p>Carry out research into any need for two factor Authentication for external users.</p> <p>Update 2</p> <p>Was not raised in the last external Security (Penetration) Test. We will keep this under review.</p> <p>As we prepare to commence Public Beta, we have broken down the remaining functionality required to enable all 7 Research Councils to run all their Grants on TFS into a Minimum Viable Service (MVS). We have further decomposed the MVS into smaller Missions each of which is underpinned by a series of Milestones.</p> <p>Delivery of each of these Missions will enable our Outcomes (a full breakdown of each of the Missions defined to date is included in the attachments to this specification).</p> <p>Mission 1: We have a proven end to end MVP:</p> <ul style="list-style-type: none"> Milestone 1: Implement TFS Minimum Viable Product (MVP), from Application to Award by 31-March 2023 (this
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	<p>Mission will be achieved before this contract is awarded).</p> <p>Mission 2: AHRC/EPSRC & ESRC responsive mode opportunities:</p> <ul style="list-style-type: none"> • Milestone 1: Onboard a high-volume opportunity with a reduction in administrative effort required by both councils and research office users. Needed by May 2023 (this Milestone will be achieved before this contract is awarded). • Milestone 2: Review a high-volume opportunity with a reduction in administrative effort required by both councils and research office users. Needed by September 2023. • Milestone 3: Award a high-volume opportunity with a reduction in administrative effort required by both councils and research office users. Needed by 30-November 2023. <p>The dates above are ‘needed by’ dates, i.e. the required TFS functionality can be delivered earlier but no later than the above date.</p> <p>We recognise that it may not be possible to develop all required Service functionality digitally (through TFS) in time to meet Grant Opportunity demand (i.e. when Grants must run on TFS rather than on the legacy service) and we will work with Research Councils to support interim processes when digital functionality cannot be provisioned in time.</p> <p>The product team are working to determine the Missions & Milestones that address the user needs to complete the Minimum Viable Service. The current scope is focused on the mitigation of the of licencing expiration and to move the service into ‘LIVE’ state, including:</p> <ul style="list-style-type: none"> • Mission 3: Managing maturing awards > comprising of the ability to manage an award over the lifecycle (from payment to closure) and the migration of awards data from the burning platform (currently in Discovery via another Supplier-led statement of work). • Mission 4: Ability to cater for all research opportunity types including flexible payment mechanism, studentship data needs and digital data capture of all application information.
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	<p>The Programme is seeking a Digital Delivery Partner to provide delivery teams to produce deliverable increments in a buyer-led agile development.</p> <p>Therefore, clarity on the future missions and milestones will drive more defined statements of work be managed in collaboration with the supplier.</p>
Existing team	<p>UKRI is currently providing the following Agile Delivery roles:</p> <ul style="list-style-type: none"> • 1 x Service Owner (SBF Programme Director). • 1 x Product Lead. • 4 x Product Managers. • 1 x Delivery Manager. • 1 x Technical Lead (Enterprise Architect). • 2 x Solution Architect. • 1 x Lead Service Designer. • 2 x Service Design. • 4 x Interaction Designer. • 3 x User Researcher. • 4 x Software Developers. • 1 x Tester. • 2 x Content Designer. • 1 x Performance Analyst. <p>We also have 2 x Discovery Teams (each comprising of 1 x Product Manager, 1 x BA, 1 x Service Design 1 x UR).</p> <p>There is a Helpdesk Function within UKRI that acts as First Line Support for TFS.</p> <p>A separate Data Migration team is onboard but we expect our DP to support and help to enable this work.</p> <p>We also have 4 x Council Business Partners who work directly with Research Councils to understand their Grant Opportunity demand to help us shape the schedule of Grants coming on to TFS.</p> <p>Roles currently fulfilled by our incumbent DP:</p> <ul style="list-style-type: none"> • 1 x Delivery Manager. • 3 x Tech Lead. • 20 x Software Developer (front and back end).

	<ul style="list-style-type: none"> • 3 x Business Analyst. • 3 x Test. • 3 x DevOps. <p>It's important to state that we are not wedded to the existing resource profile, ways of working or balance of skills. We are keen for bidders to propose the optimal composition of capability to deliver the required Outcomes to high levels of quality and just as crucially within time & budget. The above complement is the current resourcing structure with the incumbent DP. We expect the successful bidder to offer flexibility in the number/balance of resource profile needed, depending on what we need to deliver the stated outcomes.</p> <p>The SBF Programme has the following workstreams to support the delivery of Outcomes:</p> <p>Digital: Lead by the Product Lead and Technical Lead, who are both members of the SBF Senior Leadership Team (SLT), this workstream oversees digital delivery of TFS, defines Service Missions & Milestones and assigns priority to all digital work. It also steers and assures the overall technical direction of the work.</p> <p>Policy: Lead by the Head of Policy, who is a member of the SBF Senior Leadership Team (SLT), this workstream ensures that UKRI Grants Policy is up to date with the transformational objectives of the Programme.</p> <p>Business Transformation: Lead by the Head of Business Transformation, who is a member of the SBF SLT, this workstream works closely with Research Councils through a network of Business Partners to understand their Grants demand (i.e. when Grants must run on TFS). It also works to understand the impact of limited digital or non-digital capability on Research Councils business processes and Operations.</p> <p>Communications and Training: Lead by the Head of Communications & Training, who is a member of the SLT, this workstream works closely with Research Councils to ensure they are receiving the right messages from the Programme, that we are receiving the right messages from Councils and that Training is in place to support their onboarding to TFS.</p>
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	<p>Programme Management Office (PMO): Lead by the Programme Delivery Manager, who is a member of the SLT, this workstream tracks the delivery of the SBF Programme (inc. the delivery of TFS), manages budgets, tracks risks & issues, manages Assurance activities.</p> <p>All SBF workstreams report to the Service Owner / Programme Director Anne Sofield.</p> <p>The Senior Responsible Office (SRO) is Professor Sir Duncan Wingham.</p> <p>The total SBF Programme staff complement, including the incumbent DP is some 90 FTE. The resource complement is comprised of UKRI staff, independent contractors, the incumbent and one other DP.</p>
Current phase	Beta

Who the users are and what they need to do

Key User	Key User Definition
As an external applicant, I need to:	<ul style="list-style-type: none"> • Apply for and manage my grant funding. • Have a single, simplified gateway to all UKRI funding.
As an external Research Office user, I need to:	<ul style="list-style-type: none"> • Oversee, approve, and manage the grant applications submitted by applicants. • Have a single, simplified gateway to all UKRI funding.
As an external Reviewer or panellist, I need to:	<ul style="list-style-type: none"> • Review, score, and submit feedback on applications.
As an Internal User, I need to:	<ul style="list-style-type: none"> • Create and manage an opportunity. • Manage applications, peer review, award offers, project setup. • Pay funding and claims. • Manage project assurance. • Evaluate impact of the funding.
As UKRI, we need:	<ul style="list-style-type: none"> • A future proof, secure, fully tested, integrated digital Grants funding service delivered on time that enables all UKRI Grants to run, can be easily iterated and improved, and represents

	<p>good Value for Money (VfM).</p> <ul style="list-style-type: none"> • A new Funding service that enables internal efficiencies through delivery of this service (for example, an overall reduction in the internal staff time needed to operate TFS).
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Work setup

Address where the work will take place	<p>UKRI Polaris House Swindon Wiltshire SN2 1FL</p> <p>The office is 2 mins walk from Swindon train station.</p> <p>We offer a hybrid working environment, so home working or supplier office working is also expected.</p>
Working arrangements	<p>In order to succeed and deliver Outcomes to challenging timelines, we expect to forge a strong, open and collaborative partnership with the successful DP founded upon transparency, visibility of progress, swift discussion of barriers, mutual respect and trust. We expect to work in lockstep to achieve success. The programme operates with a 'one team' mindset and we expect the DP to work with us in this way too.</p> <p>While we make extensive use of video conferencing to collaborate, we do have access to a large open-plan Agile space at Swindon and we expect to make regular and proactive use of this collaborative workspace.</p> <p>As stated above, we expect our DP to bring people to our Swindon HQ at least once a week (usually Tuesdays) and sometimes more often as need arises.</p> <p>A formal Contract Management Plan will be agreed as part of the onboarding process, which will contain further clarity on how all the relevant resources work together, clear delivery risk responsibilities and how success will be measured</p>
Security clearance	<ul style="list-style-type: none"> • Baseline Personnel Security Standard (BPSS) <p>Onsite attendance at Polaris House requires basic security disclosure (BPSS).</p>

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	It is government policy that individuals should not be expected to hold an existing security clearance in order to apply for posts that require vetting, except where such posts are short term and need to be filled urgently. UKRI is willing to organise security clearance and sponsor the successful supplier through this process if they are successfully awarded a contract and need the BPSS.
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Additional information

Special Term or Condition
Not applicable

Call-Off Schedule 26 (Cyber Essentials Scheme)

Definitions

1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

Term	Definition
Cyber Essentials Scheme	the Cyber Essentials Scheme developed by the Government which provides a clear statement of the basic controls all organisations should implement to mitigate the risk from common internet based threats (as may be amended from time to time). Details of the Cyber Essentials Scheme are at: https://www.cyberessentials.ncsc.gov.uk/ ;
Cyber Essentials Basic Certificate	the certificate awarded on the basis of self-assessment, verified by an independent certification body, under the Cyber Essentials Scheme and is the basic level of assurance;
Cyber Essentials Certificate	Cyber Essentials Basic Certificate or the Cyber Essentials Plus Certificate to be provided by the Supplier as set out in the Order Form;
Cyber Essential Scheme Data	sensitive and personal information and other relevant information as referred to in the Cyber Essentials Scheme; and
Cyber Essentials Plus Certificate	the certification awarded on the basis of external testing by an independent certification body of the Supplier's cyber security approach under the Cyber Essentials Scheme and is a more advanced level of assurance.

1 What Certification do you need

- 1.1 Where the Order Form requires that the Supplier provide a Cyber Essentials Certificate or Cyber Essentials Plus Certificate prior to commencing the provision of Deliverables under the Call-Off Contract the Supplier shall provide a valid Cyber Essentials Certificate or Cyber Essentials Plus Certificate to the Buyer. Where the Supplier fails to comply with this Paragraph it shall be prohibited from commencing the provision of Deliverables under the Call-Off Contract until such time as the Supplier has evidenced to the Buyer its compliance with this Paragraph 2.1.
- 1.2 Where the Supplier continues to process data during the Call-Off Contract Period the Supplier shall deliver to the Buyer evidence of renewal of the Cyber Essentials Certificate or Cyber Essentials Plus Certificate on each anniversary of the first applicable certificate obtained by the Supplier under Paragraph 2.1.
- 1.3 In the event that the Supplier fails to comply with Paragraph 2.1 or 2.2, the Buyer reserves the right to terminate the Call-Off Contract for material Default.
- 1.4 The Supplier shall ensure that all Sub-Contracts with Subcontractors who Process Cyber Essentials Data contain provisions no less onerous on the Subcontractors than those imposed on the Supplier under the Call-Off Contract in respect of the Cyber Essentials Scheme under Paragraph 2.1 of this Schedule.
- 1.5 This Schedule shall survive termination of each and any Call-Off Contract.