

**DATED** [dd/mm/yyyy]

**CROWN COMMERCIAL SERVICE**

**and**

**[SUPPLIER NAME]**

**CORPORATE FINANCE SERVICES FRAMEWORK AGREEMENT**

**Agreement Ref: RM3719**

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This Agreement is made on **[insert Framework Commencement Date dd/mm/yyyy]**

**BETWEEN:**

- (1) the Minister for the Cabinet Office ("**Cabinet Office**") as represented by Crown Commercial Service, a trading fund of the Cabinet Office, whose offices are located at 9th Floor, The Capital, Old Hall Street, Liverpool L3 9PP (the "**Authority**");
- (2) **[insert COMPANY'S NAME]** which is a company registered in **[England and Wales]** under company number **[insert company no.]** and whose registered office is at **[insert address]** (the "**Supplier**").

**RECITALS:**

- A The Authority placed a contract notice **[insert the OJEU reference number]** on **[insert date of issue of OJEU dd/mm/yyyy]** (the "**OJEU Notice**") in the Official Journal of the European Union seeking tenders from providers of Corporate Finance Services interested in entering into a framework arrangement for the supply of such Services to Contracting Bodies.
- B On **[insert date of issue of ITT dd/mm/yyyy]** the Authority issued an invitation to tender (the "Invitation to Tender") for the provision of **Corporate Finance Services**.
- C In response to the Invitation to Tender, the Supplier submitted a tender to the Authority on **[insert date dd/mm/yyyy]** (set out in Framework Schedule 20 (Tender)) (the "**Tender**") through which it represented to the Authority that it is capable of delivering the Services in accordance with the Authority's requirements as set out in the Invitation to Tender and, in particular, the Supplier made representations to the Authority in the Tender in relation to its competence, professionalism and ability to provide the Services in an efficient and cost effective manner.
- D On the basis of the Tender, the Authority selected the Supplier to enter into a framework agreement **[for Lot(s)] [along with a number of other suppliers appointed to the Framework]** to provide the Services to Contracting Bodies from time to time on a call off basis in accordance with this Framework Agreement.
- E This Framework Agreement sets out the award and calling-off ordering procedure for purchasing the Services which may be required by Contracting Bodies, the template terms and conditions for any Call Off Agreement which Contracting Bodies may enter into and the obligations of the Supplier during and after the Framework Period.
- F It is the Parties' intention that there will be no obligation for any Contracting Body to award any Call Off Agreements under this Framework Agreement during the Framework Period.

**A. PRELIMINARIES**

**1. DEFINITIONS AND INTERPRETATION**

**1.1 Definitions**

- 1.1.1 In this Framework Agreement, unless the context otherwise requires, capitalised expressions shall have the meanings set out in Framework

Schedule 1 (Definitions) or the relevant Framework Schedule in which that capitalised expression appears.

- 1.1.2 If a capitalised expression does not have an interpretation in Framework Schedule 1 (Definitions) or the relevant Framework Schedule, it shall have the meaning given to it in this Framework Agreement. If no meaning is given to it in this Framework Agreement, 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.

## 1.2 Interpretation

- 1.2.1 In this Framework Agreement, unless the context otherwise requires:

- (a) the singular includes the plural and vice versa;
- (b) reference to a gender includes the other gender and the neuter;
- (c) references to a person include an individual, company, body corporate, corporation, unincorporated association, firm, partnership or other legal entity or Crown Body;
- (d) a reference to any Law includes a reference to that Law as amended, extended, consolidated or re-enacted from time to time;
- (e) 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";
- (f) 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;
- (g) 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 this Framework Agreement;
- (h) references to "**Clauses**" and "**Framework Schedules**" are, unless otherwise provided, references to the clauses and schedules of this Framework Agreement and references in any Framework Schedule to paragraphs, parts, annexes and tables are, unless otherwise provided, references to the paragraphs, parts, annexes and tables of the Framework Schedule or the part of the Framework Schedule in which the references appear;
- (i) any reference to this Framework Agreement includes Framework Schedule 1 (Definitions) and the Framework Schedules; and

- (j) the headings in this Framework Agreement are for ease of reference only and shall not affect the interpretation or construction of this Framework Agreement.

1.2.2 Subject to Clause 1.2.3, in the event and to the extent only of a conflict between any of the provisions of this Framework Agreement, the conflict shall be resolved, in accordance with the following descending order of precedence:

- (a) the Clauses and Framework Schedule 1 (Definitions);
- (b) Framework Schedules 2 to 19 inclusive;
- (c) Framework Schedule 20 (Tender).

1.2.3 If there is any conflict between the provisions of this Framework Agreement and provisions of any Call Off Agreement, the provisions of this Framework Agreement shall prevail over those of the Call Off Agreement save that:

- (a) any refinement to the Template Pro Forma Letter of Appointment and Template Call Off Terms permitted for the purposes of a Call Off Agreement under Clause 4 and Framework Schedule 5 (Call Off Procedure) shall prevail over Framework Schedule 4 (Template Pro Forma Letter of Appointment and Template Call-Off Terms); and
- (b) the Call Off Agreement shall prevail over Framework Schedule 20 (Tender).

## **2. DUE DILIGENCE**

2.1 The Supplier acknowledges that:

- 2.1.1 the Authority has delivered or made available to the Supplier all of the information and documents that the Supplier considers necessary or relevant for the performance or its obligations under this Framework Agreement;
- 2.1.2 it shall not be excused from the performance of any of its obligations under this Framework Agreement on the grounds of, nor shall the Supplier be entitled to recover any additional costs or charges, arising as a result of any:
  - (a) misinterpretation of the requirements of the Authority in the Invitation to Tender or elsewhere; and/or
  - (b) failure by the Supplier to satisfy itself as to the accuracy and/or adequacy of the Due Diligence Information.

## **3. SUPPLIER'S APPOINTMENT**

3.1 The Authority hereby appoints the Supplier as a potential provider of the Services and the Supplier shall be eligible to be considered for the award of Call Off

Agreements by the Authority and Other Contracting Bodies during the Framework Period.

- 3.2 In consideration of the Supplier agreeing to enter into this Framework Agreement and to perform its obligations under it the Authority agrees to pay and the Supplier agrees to accept on the signing of this Framework Agreement the sum of one pound (£1.00) sterling (receipt of which is hereby acknowledged by the Supplier).

#### **4. SCOPE OF FRAMEWORK AGREEMENT**

- 4.1 Without prejudice to Clause 45 (Third Party Rights), this Framework Agreement governs the relationship between the Authority and the Supplier in respect of the provision of the Services by the Supplier.

- 4.2 The Supplier acknowledges and agrees that:

- 4.2.1 there is no obligation whatsoever on the Authority or on any Other Contracting Body to invite or select the Supplier to provide any Services and/or to purchase any Services under this Framework Agreement; and
- 4.2.2 in entering into this Framework Agreement no form of exclusivity has been conferred on the Supplier nor volume or value guarantee granted by the Authority and/or Other Contracting Bodies in relation to the provision of the Services by the Supplier; and
- 4.2.3 the Authority and Other Contracting Bodies are at all times entitled to enter into other contracts and agreements with other suppliers for the provision of any or all goods and/or services which are the same as or similar to the Services.

- 4.3 In the event that any Other Contracting Body makes an approach to the Supplier with a request for the supply of Equivalent Services, the Supplier shall promptly and in any event within five (5) Working Days of the request by the Other Contracting Body, and before any supply of Equivalent Services is made, inform such Other Contracting Body of the existence of this Framework and the Other Contracting Body's ability to award Call Off Agreements for Services pursuant to this Framework Agreement.

#### **5. CALL OFF PROCEDURE**

- 5.1 If the Authority or any Other Contracting Body decides to source any of the Services through this Framework Agreement, then it shall be entitled at any time in its absolute and sole discretion during the Framework Period to award Call Off Agreements for the Services from the Supplier by following Framework Schedule 5 (Call Off Procedure).
- 5.2 The Supplier shall comply with the relevant provisions in Framework Schedule 5 (Call Off Procedure).

#### **6. NOT USED**

#### **7. REPRESENTATIONS AND WARRANTIES**

- 7.1 Each Party represents and warrants that:



- 7.1.1 it has full capacity and authority to enter into and to perform this Framework Agreement;
- 7.1.2 this Framework Agreement is executed by its duly authorised representative;
- 7.1.3 there are no actions, suits or proceedings or regulatory investigations before any court or administrative body or arbitration tribunal pending or, to its knowledge, threatened against it that might affect its ability to perform its obligations under this Framework Agreement; and
- 7.1.4 its obligations under this Framework Agreement constitute its legal, valid and binding obligations, enforceable in accordance with their respective terms subject to applicable (as the case may be for each Party) bankruptcy, reorganisation, insolvency, moratorium or similar Laws affecting creditors' rights generally and subject, as to enforceability, to equitable principles of general application (regardless of whether enforcement is sought in a proceeding in equity or law).

7.2 The Supplier represents and warrants that:

- 7.2.1 it is validly incorporated, organised and subsisting in accordance with the Laws of its place of incorporation;
- 7.2.2 it has obtained and will maintain all licences, authorisations, permits, necessary consents (including, where its procedures so require, the consent of its Parent Company) and regulatory approvals to enter into and perform its obligations under this Framework Agreement;
- 7.2.3 it has not committed or agreed to commit a Prohibited Act and has no knowledge that an agreement has been reached involving the committal by it of a Prohibited Act, save where details of any such arrangement have been disclosed in writing to the Authority before the Framework Commencement Date;
- 7.2.4 its execution, delivery and performance of its obligations under this Framework Agreement does not and will not constitute a breach of any Law or obligation applicable to it and does not and will not cause or result in a breach of any agreement by which it is bound;
- 7.2.5 as at the Framework Commencement Date, all written statements and representations in any written submissions made by the Supplier as part of the procurement process, including without limitation to its Tender, and any other documents submitted remain true and accurate except to the extent that such statements and representations have been superseded or varied by this Framework Agreement;
- 7.2.6 as at the Framework Commencement Date, it has notified the Authority in writing of any Occasions of Tax Non-Compliance or any litigation that it is involved in connection with any Occasions of Tax Non Compliance;
- 7.2.7 it has and shall continue to have all necessary Intellectual Property Rights including in and to any materials made available by the Supplier

(and/or any Sub-Contractor) to the Authority which are necessary for the performance of the Supplier's obligations under this Framework Agreement;

- 7.2.8 it shall take all steps, in accordance with Good Industry Practice, to prevent the introduction, creation or propagation of any disruptive elements (including any virus, worms and/or Trojans, spyware or other malware) into systems, data, software or the Authority's Confidential Information (held in electronic form) owned by or under the control of, or used by, the Authority and/or Other Contracting Bodies;
- 7.2.9 it is not subject to any contractual obligation, compliance with which is likely to have a material adverse effect on its ability to perform its obligations under this Framework Agreement;
- 7.2.10 it is not affected by an Insolvency Event and no proceedings or other steps have been taken and not discharged (nor, to the best of its knowledge, have been or are threatened) for the winding up of the Supplier or for its dissolution or for the appointment of a receiver, administrative receiver, liquidator, manager, administrator or similar officer in relation to any of the Supplier's assets or revenue;
- 7.2.11 for the duration of this Framework Agreement and any Call-Off Agreements and for a period of twelve (12) Months after the termination or expiry of this Framework Agreement or, if later, any Call Off Agreements, the Supplier shall not employ or offer employment to any staff of the Authority or the staff of any Contracting Body who has been associated with the procurement and/or provision of the Services without Approval or the prior written consent of the relevant Contracting Body which shall not be unreasonably withheld Provided That this Clause 7.2.11 shall not preclude the Supplier's rights to: (i) make generalised searches for employees by the use of advertisements in the media (including by any recruitment agency), (ii) hire any employee of the Authority or the staff of any Contracting Body who approaches the Supplier on an unsolicited basis; or (iii) solicit for employment or hire any such employee (after their employment by the Authority or Contracting Body has been terminated) who ceases to be employed by the Authority or the staff of any Contracting Body; and
- 7.2.12 in performing its obligations under this Framework Agreement and any Call Off Agreement, the Supplier shall not (to the extent possible in the circumstances) discriminate between Contracting Bodies on the basis of their respective sizes.

7.3 Each of the representations and warranties set out in Clauses 7.1 and 7.2 shall be construed as a separate representation and warranty and shall not be limited or restricted by reference to, or inference from, the terms of any other representation, warranty or any undertaking in this Framework Agreement.

7.4 If at any time a Party becomes aware that a representation or warranty given by it under Clauses 7.1 and 7.2 has been breached, is untrue or is misleading, it shall immediately notify the other Party of the relevant occurrence in sufficient detail to enable the other Party to make an accurate assessment of the situation.

7.5 For the avoidance of doubt, the fact that any provision within this Framework Agreement is expressed as a warranty shall not preclude any right of termination the Authority may have in respect of the breach of that provision by the Supplier which constitutes a material Default of this Framework Agreement.

7.6 Each time that a Call Off Agreement is entered into, the warranties and representations in Clauses 7.1 and 7.2 shall be deemed to be repeated by the Supplier with reference to the circumstances existing at the time.

## **8. NOT USED**

## **9. CYBER ESSENTIALS SCHEME CONDITION**

9.1 Where the Authority notifies the Supplier that prior to the execution of the first Call Off Agreement the Supplier shall provide a valid Cyber Essentials Scheme Certificate or equivalent, then on or prior to the execution of the first Call Off Agreement the Supplier shall deliver to the Authority evidence of a valid Cyber Essentials Scheme Certificate or equivalent;

9.2 Where the Supplier continues to Process Cyber Essentials Data during the Framework Period or the term of any Call Off Agreement the Supplier shall deliver to the Authority evidence of renewal of a valid Cyber Essentials Scheme Certificate or equivalent on each anniversary of the first Cyber Essentials Scheme Certificate obtained by the Supplier under Clause 9.1;

9.3 Where the Supplier is due to Process Cyber Essentials Data after the commencement date of the first Call Off Agreement but before the end of the Framework Period or term of the last Call Off Agreement, the Supplier shall deliver to the Authority evidence of:

9.3.1 a valid Cyber Essentials Scheme Certificate or equivalent (before the Supplier Processes any such Cyber Essentials Data); and

9.3.2 renewal of a valid Cyber Essentials Scheme Certificate or equivalent on each anniversary of the first Cyber Essentials Scheme Certificate obtained by the Supplier under Clause 9.3.1.

9.4 In the event that the Supplier fails to comply with Clauses 9.2 or 9.3 (as applicable), the Authority reserves the right to terminate this Framework Agreement for material Default.

## **B. DURATION OF FRAMEWORK AGREEMENT**

### **10. FRAMEWORK PERIOD**

10.1 This Framework Agreement shall take effect on the Framework Commencement Date and shall expire either:

10.1.1 at the end of the Initial Framework Period; or

10.1.2 where the Authority elects to extend the Initial Framework Period in accordance with Clause 10.2 below, at the end of the Extension Framework Period, unless it is terminated earlier in accordance with the terms of this Framework Agreement or otherwise by operation of Law.

- 10.2 The Authority may extend the duration of this Framework Agreement for any period or periods up to a maximum of one (1) year in total from the expiry of the Initial Framework Period by giving the Supplier no less than three (3) Months' written notice.

## **C. FRAMEWORK AGREEMENT PERFORMANCE**

### **11. FRAMEWORK AGREEMENT PERFORMANCE**

- 11.1 The Supplier shall perform its obligations under this Framework Agreement in accordance with:

- 11.1.1 The requirements of this Framework Agreement, including Framework Schedule 8 (Framework Management);
- 11.1.2 the terms and conditions of the respective Call Off Agreements;
- 11.1.3 Good Industry Practice;
- 11.1.4 all applicable Standards; and
- 11.1.5 in compliance with all applicable Law.

- 11.2 The Supplier shall bring to the attention of the Authority, any conflict between any of the requirements of Clause 11.1 and shall comply with the Authority's decision on the resolution of any such conflict.

### **12. KEY PERFORMANCE INDICATORS**

- 12.1 The Supplier shall at all times during the Framework Period comply with the Key Performance Indicators and achieve the KPI Targets set out in Part B of Framework Schedule 2 (Services and Key Performance Indicators).

### **13. STANDARDS**

- 13.1 The Supplier shall comply with the Standards at all times during the performance by the Supplier of the Framework Agreement and any Call Off Agreement, including the Standards set out in Part A of Framework Schedule 2 (Services and Key Performance Indicators).
- 13.2 Throughout the Framework Period, the Parties shall notify each other of any new or emergent standards which could affect the Supplier's provision, or the receipt by a Contracting Body under a Call Off Agreement, of the Services. The adoption of any such new or emergent standard, or changes to existing Standards, shall be agreed in accordance with the Variation Procedure.
- 13.3 Where a new or emergent standard is to be developed or introduced by the Authority, the Supplier shall be responsible for ensuring that the potential impact on the Supplier's provision, or a Contracting Body's receipt under a Call Off Agreement, of the Goods and/or Services is explained to the Authority and the Contracting Body (within a reasonable timeframe), prior to the implementation of the new or emergent Standard.

13.4 Where Standards referenced conflict with each other or with best professional or industry practice adopted after the Framework Commencement Date, then the later Standard or best practice shall be adopted by the Supplier. Any such alteration to any Standard(s) shall require Approval and shall be implemented within an agreed timescale.

13.5 Where a standard, policy or document is referred to in Framework Schedule 2 (Services and Key Performance Indicators) by reference to a hyperlink, then if the hyperlink is changed or no longer provides access to the relevant standard, policy or document, the Supplier shall notify the Authority and the Parties shall agree the impact of such change.

**14. NOT USED**

**15. NOT USED**

**16. CALL OFF PERFORMANCE UNDER FRAMEWORK AGREEMENT**

16.1 The Supplier shall perform all its obligations under all Call Off Agreements entered into with the Authority or any Other Contracting Body:

16.1.1 in accordance with the requirements of this Framework Agreement;

16.1.2 in accordance with the terms and conditions of the respective Call Off Agreements.

16.2 The Supplier shall draw any conflict in the application of any of the requirements of Clauses 16.1.1 and 16.1.2 to the attention of the Authority and shall comply with the Authority's decision on the resolution of any such conflict.

## **D. FRAMEWORK AGREEMENT GOVERNANCE**

**17. FRAMEWORK AGREEMENT MANAGEMENT**

17.1 The Parties shall manage this Framework Agreement in accordance with Framework Schedule 8 (Framework Management).

**18. RECORDS AND AUDIT ACCESS**

18.1 The Supplier shall keep and maintain, until the later of:

18.1.1 seven (7) years after the date of termination or expiry of this Framework Agreement; or

18.1.2 seven (7) years after the date of termination or expiry of the last Call-Off Agreement to expire or terminate; or

18.1.3 such other date as may be agreed between the Parties, full and accurate records and accounts of the operation of this Framework Agreement, including the Call-Off Agreements entered into with Contracting Bodies, the Services provided pursuant to the Call-Off Agreements, and the amounts paid by each Contracting Body under the Call-Off Agreements.

18.2 The Supplier shall keep the records and accounts referred to in Clause 18.1 in accordance with Good Industry Practice and Law.

18.3 The Supplier shall afford any Auditor access to the records and accounts referred to in Clause 18.1 at the Supplier's premises and/or provide such records and accounts or copies of the same, as may be required and agreed with any of the Auditors from time to time, in order that the Auditor may carry out an inspection to assess compliance by the Supplier and/or its Sub-Contractors of any of the Supplier's obligations under this Framework Agreement, including for the following purposes to:

18.3.1 verify the accuracy of the Charges and any other amounts payable by a Contracting Body under a Call Off Agreement (including proposed or actual variations to them in accordance with this Framework Agreement);

18.3.2 verify the costs of the Supplier (including the costs of all Sub-Contractors and any third party suppliers) in connection with the provision of the Services;

18.3.3 verify the Supplier's and each Sub-Contractor's compliance with the applicable Law;

18.3.4 identify or investigate actual or suspected Prohibited Acts, impropriety or accounting mistakes or any breach or threatened breach of security and in these circumstances the Authority shall have no obligation to inform the Supplier of the purpose or objective of its investigations;

18.3.5 obtain such information as is necessary to fulfil the Authority's obligations to supply information for parliamentary, ministerial, judicial or administrative purposes including the supply of information to the Comptroller and Auditor General;

18.3.6 carry out the Authority's internal and statutory audits and to prepare, examine and/or certify the Authority's annual and interim reports and accounts;

18.3.7 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 Authority has used its resources;

18.3.8 verify the accuracy and completeness of any Management Information delivered or required by this Framework Agreement;

18.3.9 review any MI Reports and/or other records relating to the Supplier's performance of the Services and to verify that these reflect the Supplier's own internal reports and records; and/or

18.3.10 review the integrity, confidentiality and security of the Authority Personal Data.

18.4 The Authority shall use reasonable endeavours to ensure that the conduct of each Audit does not unreasonably disrupt the Supplier or delay the provision of the Services pursuant to the Call Off Agreements, save insofar as the Supplier accepts

and acknowledges that control over the conduct of Audits carried out by the Auditors is outside of the control of the Authority.

18.5 Subject to the Authority's obligations of confidentiality, the Supplier shall on demand provide the Auditors with all reasonable co-operation and assistance in relation to each Audit, including by providing:

18.5.1 all information within the scope of the Audit requested by the Auditor;  
and

18.5.2 access to the Supplier Personnel.

18.6 If an Audit reveals that the Supplier has underpaid an amount equal to or greater than one per cent (1%) of the Management Charge due in respect of any one Contract Year or year of any Call Off Agreements then, without prejudice to the Authority's other rights under this Framework Agreement, the Supplier shall reimburse the Authority its reasonable costs incurred in relation to the Audit.

18.7 If an Audit reveals that:

18.7.1 that the Supplier has underpaid an amount equal to or greater than five per cent (5%) of the Management Charge due during any Contract Year of this Framework Agreement and any Call Off Agreement; and/or

18.7.2 a material Default has been committed by the Supplier;

then the Authority shall be entitled to terminate this Framework Agreement.

18.8 The Parties agree that they shall bear their own respective costs and expenses incurred in respect of compliance with their obligations under this Clause, save as specified in Clause 18.6.

## **19. CHANGE**

### **19.1 Variation Procedure**

19.1.1 Subject to the provisions of this Clause 19 and, in respect of any change to the Framework Prices, subject to the provisions of Framework Schedule 3 (Framework Prices and Charging Structure), the Authority may at its own instance or where in its sole and absolute discretion it decides to having been requested to do so by the Supplier request a variation to this Framework Agreement provided always that such variation does not amount to a material change of this Framework Agreement within the meaning of the Regulations and the Law. Such a change once implemented is hereinafter called a "**Variation**".

19.1.2 The Authority may request a Variation by completing and sending the Variation Form as set out in Framework Schedule 19 (Variation Form) to the Supplier giving sufficient information for the Supplier to assess the extent of the proposed Variation and any additional cost that may be incurred.

19.1.3 The Supplier shall respond to the Authority's request pursuant to Clause 19.1.2 within the time limits specified in the Variation Form. Such time

limits shall be reasonable and ultimately at the discretion of the Authority having regard to the nature of the proposed Variation.

19.1.4 In the event that:

- (a) the Supplier is unable to agree to or provide the Variation; and/or
- (b) the Parties are unable to agree a change to the Framework Prices that may be included in a request for a Variation or response to it as a consequence thereof,
- (c) the Authority may:
  - (i) agree to continue to perform its obligations under this Framework Agreement without the Variation; or
  - (ii) terminate this Framework Agreement with immediate effect.

## 19.2 Legislative Change

19.2.1 The Supplier shall neither be relieved of its obligations under this Framework Agreement nor be entitled to increase the Framework Prices as the result of:

- (a) a General Change in Law; or
- (b) a Specific Change in Law where the effect of that Specific Change in Law on the Services is reasonably foreseeable at the Framework Commencement Date.

19.2.2 If a Specific Change in Law occurs or will occur during the Framework Period (other than as referred to in Clause 19.2.1(b)), the Supplier shall:

- (a) notify the Authority as soon as reasonably practicable of the likely effects of that change including whether any Variation is required to the Services, the Framework Prices or this Framework Agreement; and
- (b) provide the Authority with evidence:
  - (i) that the Supplier has minimised any increase in costs or maximised any reduction in costs, including in respect of the costs of its Sub-Contractors;
  - (ii) as to how the Specific Change in Law has affected the cost of providing the Services; and
  - (iii) demonstrating that any expenditure that has been avoided, has been taken into account in amending the Framework Prices.

19.2.3 Any change in the Framework Prices or relief from the Supplier's obligations resulting from a Specific Change in Law (other than as



referred to in Clause 19.2.1(b) shall be implemented in accordance with Clause 19.1(Variation Procedure).

## **E. MANAGEMENT CHARGE, TAXATION AND VALUE FOR MONEY PROVISIONS**

### **20. MANAGEMENT CHARGE**

- 20.1 In consideration of the establishment and award of this Framework Agreement and the management and administration by the Authority of the same, the Supplier agrees to pay to the Authority the Management Charge in accordance with this Clause 20.
- 20.2 The Authority shall be entitled to submit invoices to the Supplier in respect of the Management Charge due each Month based on the Management Information provided pursuant to Framework Schedule 9 (Management Information), and adjusted:
- 20.2.1 in accordance with paragraphs 5.4 to 5.7 of Framework Schedule 9 (Management Information) to take into account of any Admin Fee(s) that may have accrued in respect of the late provision of Management Information; and
  - 20.2.2 in accordance with paragraph 6 of Framework Schedule 9 (Management Information) to take into account of any underpayment or overpayment as a result of the application of the Default Management Charge.
- 20.3 Unless otherwise agreed in writing, the Supplier shall pay by BACS (or by such other means as the Authority may from time to time reasonably require) the amount stated in any invoice submitted under Clause 20.2 to such account as shall be stated in the invoice (or otherwise notified from time to time by the Authority to the Supplier) within thirty (30) calendar days of the date of issue of the invoice.
- 20.4 The Management Charge shall apply to the full Charges as specified in each and every Call Off Agreement and shall not be varied as a result of any discount or any reduction in the Charges due to the application of any Service Credits (as defined in Annex 2 of Framework Schedule 4 (Template Pro Forma Letter of Appointment and Template Call Off terms)) and/or any other deductions made under any Call Off Agreement.
- 20.5 The Supplier shall not pass through or recharge to, or otherwise recover from any Contracting Body the cost of the Management Charge in addition to the Charges. The Management Charge shall be exclusive of VAT. In addition to the Management Charge, the Supplier shall pay the VAT on the Management Charge at the rate and in the manner prescribed by Law from time to time.
- 20.6 Interest shall be payable on any late payments of the Management Charge under this Framework Agreement in accordance with the Late Payment of Commercial Debts (Interest) Act 1998.

### **21. PROMOTING TAX COMPLIANCE**

- 21.1 If, at any point during the Framework Period, an Occasion of Tax Non-Compliance occurs, the Supplier shall:

21.1.1 notify the Authority in writing of such fact within five (5) Working Days of its occurrence; and

21.1.2 promptly provide to the Authority:

- (a) details of the steps that the Supplier is taking to address the Occasion of Tax Non-Compliance, together with any mitigating factors that it considers relevant; and
- (b) such other information in relation to the Occasion of Tax Non-Compliance as the Authority may reasonable requires.

21.2 In the event that the Supplier fails to comply with this Clause 21 and/or does not provide details of proposed mitigating factors which in the reasonable opinion of the Authority are acceptable, then the Authority reserves the right to terminate this Framework Agreement for material Default.

**22. NOT USED**

**23. NOT USED**

## **F. SUPPLIER PERSONNEL AND SUPPLY CHAIN MATTERS**

**24. NOT USED**

**25. SUPPLY CHAIN RIGHTS AND PROTECTION**

### **25.1 Appointment of Key Sub-Contractors**

25.1.1 The Authority has consented to the engagement of the Key Sub-Contractors listed in Framework Schedule 7 (Key Sub-Contractors).

25.1.2 Where during the Framework Period the Supplier wishes to enter into a new Key Sub-Contract or replace a Key Sub-Contractor, it must obtain the prior written consent of the Contracting Body with whom it has entered into a Call Off Agreement and shall at the time of requesting such consent, provide the Authority with the information detailed in Clause 25.1.3. The Contracting Body may reasonably withhold its consent to the appointment of a Key Sub-Contractor if it considers that:

- (a) the appointment of a proposed Key Sub-Contractor may prejudice the provision of the Services or may be contrary to its interests;
- (b) the proposed Key Sub-Contractor is unreliable and/or has not provided reasonable services to its other customers; and/or
- (c) the proposed Key Sub-Contractor employs unfit persons.

25.1.3 The Supplier shall provide the Authority and the Contracting Body with whom the Supplier has entered into a Call Off Agreement with the following information in respect of the proposed Key Sub-Contractor:

- (a) the proposed Key Sub-Contractor's name, registered office and company registration number;
- (b) the scope/description of any Services to be provided by the proposed Key Sub-Contractor;
- (c) where the proposed Key Sub-Contractor is an Affiliate of the Supplier, evidence that demonstrates to the reasonable satisfaction of the Authority that the proposed Key Sub-Contract has been agreed on "arm's-length" terms; and
- (d) Key Sub-Contract price expressed as a percentage of the total projected Framework Price over the Framework Period.

25.1.4 If requested by the Authority and/or the Contracting Body with whom the Supplier has entered into a Call Off Agreement, within ten (10) Working Days of receipt of the information provided by the Supplier pursuant to Clause 25.1.3, the Supplier shall also provide:

- (a) a copy of the proposed Key Sub-Contract; and
- (b) any further information reasonably requested by the Authority and/or the Contracting Body with whom the Supplier has entered into a Call Off Agreement.

25.1.5 The Supplier shall ensure that each new or replacement Key Sub-Contract shall include:

- (a) provisions which will enable the Supplier to discharge its obligations under this Framework Agreement;
- (b) a right under CRTPA for the Authority to enforce any provisions under the Key Sub-Contract which confer a benefit upon the Authority;
- (c) a provision enabling the Authority to enforce the Key Sub-Contract as if it were the Supplier;
- (d) a provision enabling the Supplier to assign, novate or otherwise transfer any of its rights and/or obligations under the Key Sub-Contract to the Authority;
- (e) obligations no less onerous on the Sub-Contractor than those imposed on the Supplier under this Framework Agreement in respect of:
  - (i) the data protection requirements set out in Clause 27.5 (Protection of Personal Data);
  - (ii) the FOIA requirements set out in Clause 27.4 (Freedom of Information);

- (iii) the obligation not to embarrass the Authority or otherwise bring the Authority into disrepute set out in Clause 28 (Publicity and Branding);
- (iv) the keeping of records in respect of the services being provided under the Key Sub-Contract; and
- (v) the conduct of audits set out in Clause 18 (Records and Audit Access);
- (f) provisions enabling the Supplier to terminate the Key Sub-Contract on notice on terms no more onerous on the Supplier than those imposed on the Authority under Clauses 33 (Authority Termination Rights) and 35 (Consequences of Expiry or Termination) of this Framework Agreement;
- (g) a provision restricting the ability of the Key Sub-Contractor to Sub-Contract all or any part of the provision of the Services provided to the Supplier under the Key Sub-Contract without first seeking the written consent of the Authority.

## **25.2 Supply Chain Protection**

25.2.1 The Supplier shall ensure that all Sub-Contracts contain a provision:

- (a) requiring the Supplier to pay any undisputed sums which are due from the Supplier to the Sub-Contractor within a specified period not exceeding thirty (30) days from the receipt of a valid invoice; and
- (b) a right for the Authority and any Contracting Body with whom the Supplier has entered a Call Off Agreement to publish the Supplier's compliance with its obligation to pay undisputed invoices within the specified payment period.

25.2.2 The Supplier shall pay any undisputed sums which are due from the Supplier to a Sub-Contractor within thirty (30) days from the receipt of a valid invoice;

25.2.3 Notwithstanding any provision of Clauses 27.2 (Confidentiality) and 28 (Publicity and Branding) if the Supplier notifies the Authority that the Supplier has failed to pay an undisputed Sub-Contractor's invoice within thirty (30) days of receipt, or the Authority otherwise discovers the same, the Authority shall be entitled to publish the details of the late payment or non-payment (including on government websites and in the press).

## **25.3 Cyber Essentials Scheme Certification**

25.3.1 The Supplier shall ensure that all Sub-Contracts with Sub-Contractors who Process Cyber Essentials Data contain provisions no less onerous on the Sub-Contractors than those imposed on the Supplier under this Framework Agreement in respect of the Cyber Essentials Scheme under Clause 9.

## **25.4 Termination of Sub-Contracts**

25.4.1 The Authority may require the Supplier to terminate:

- (a) a Sub-Contract where:
  - (i) the acts or omissions of the relevant Sub-Contractor have caused or materially contributed to the Authority's right of termination pursuant to any of the termination events in Clause 33 (Authority Termination Rights) except Clause 33.6 (Termination Without Cause); and/or
  - (ii) the relevant Sub-Contractor embarrassed the Authority or otherwise brought the Authority into disrepute by engaging in any act or omission which is reasonably likely to diminish the trust that the public places in the Authority, regardless of whether or not such act or omission is related to the Sub-Contractor's obligations in relation to the Services or otherwise; and/or
- (b) a Key Sub-Contract where there is a Change of Control of the relevant Key Sub-contractor, unless:
  - (i) the Authority has given its prior written consent to the particular Change of Control, which subsequently takes place as proposed; or
  - (ii) the Authority has not served its notice of objection within six (6) months of the later of the date the Change of Control took place or the date on which the Authority was given notice of the Change of Control.

25.4.2 Where the Authority requires the Supplier to terminate a Sub-Contract or a Key Sub-Contract pursuant to Clause 25.4.1 above, the Supplier shall remain responsible for fulfilling all its obligations under this Framework Agreement including the provision of the Services.

## **25.5 NOT USED**

## **25.6 Retention of Legal Obligations**

25.6.1 Notwithstanding the Supplier's right to sub-contract pursuant to this Clause 25, the Supplier shall remain responsible for all acts and omissions of its Sub-Contractors and the acts and omissions of those employed or engaged by the Sub-Contractors as if they were its own.

## **G. INFORMATION**

### **26. INTELLECTUAL PROPERTY RIGHTS**

#### **26.1 Allocation of title to IPR**

- 26.1.1 Save as granted under this Framework Agreement, neither Party shall acquire any right, title or interest in or to the Intellectual Property Rights of the other Party.
- 26.1.2 Where either Party acquires, by operation of Law, title to Intellectual Property Rights that is inconsistent with the allocation of title set out in Clause 26.1.1, it shall assign in writing such Intellectual Property Rights as it has acquired to the other Party on the request of the other Party (whenever made).
- 26.1.3 Subject to Clauses 26.1.4, neither Party shall have any right to use any of the other Party's names, logos or trademarks on any of its products or services without the other Party's prior written consent.
- 26.1.4 Subject to full compliance with the Branding Guidance, the Supplier shall be entitled to use the Authority's logo exclusively in connection with the provision of the Goods and/or Services during the Framework Period and for no other purpose.

## **26.2 IPR Indemnity**

- 26.2.1 The Supplier shall ensure and procure that the availability, provision and use of the Goods and/or Services and the performance of the Supplier's responsibilities and obligations hereunder shall not infringe any Intellectual Property Rights of any third party.
- 26.2.2 The Supplier shall at all times during and after the Framework Period indemnify the Authority against all Losses incurred by, awarded against or agreed to be paid by the Authority (whether before or after the making of the demand pursuant to the indemnity hereunder) arising from an IPR Claim.
- 26.2.3 If an IPR Claim is made, or the Supplier anticipates that an IPR Claim might be made, the Supplier may, at its own expense and sole option, either:
- (a) procure for the Authority the right to continue using the relevant item which is subject to the IPR Claim; or
  - (b) replace or modify the relevant item with non-infringing substitutes provided that:
    - (i) the performance and functionality of the replaced or modified item is at least equivalent to the performance and functionality of the original item;
    - (ii) the replaced or modified item does not have an adverse effect on any other Goods and/or Services;
    - (iii) there is no additional cost to the Authority; and
    - (iv) the terms and conditions of this Framework Agreement shall apply to the replaced or modified Goods and/or Services.

26.2.4 If the Supplier elects to procure a licence in accordance with Clause 26.2.3(a) or to modify or replace an item pursuant to Clause 26.2.3(b), but this has not avoided or resolved the IPR Claim, then:

- (a) the Authority may terminate this Framework Agreement by written notice with immediate effect; and
- (b) without prejudice to the indemnity set out in Clause 26.2.2, the Supplier shall be liable for all reasonable and unavoidable costs of the substitute items and/or services including the additional costs of procuring, implementing and maintaining the substitute items.

## **27. PROVISION AND PROTECTION OF INFORMATION**

### **27.1 Provision of Management Information**

27.1.1 The Supplier shall, at no charge to the Authority, submit to the Authority complete and accurate Management Information in accordance with the provisions of Framework Schedule 9 (Management Information).

27.1.2 The Supplier grants the Authority a non-exclusive, transferable, perpetual, irrevocable, royalty free licence to:

- (a) use and to share with any Other Contracting Body and Relevant Person; and/or
- (b) publish (subject to any information that is exempt from disclosure in accordance with the provisions of FOIA being redacted), any Management Information supplied to the Authority for the Authority's normal operational activities including but not limited to administering this Framework Agreement and/or all Call Off Agreements, monitoring public sector expenditure, identifying savings or potential savings and planning future procurement activity.

27.1.3 The Authority, in consultation with the relevant Contracting Body shall in its absolute and sole discretion determine whether any Management Information is exempt from disclosure in accordance with the provisions of the FOIA.

27.1.4 The Authority may consult with the Supplier to help with its decision regarding any exemptions under Clause 27.1.3 but, for the purpose of this Framework Agreement, the Authority shall have the final decision in its absolute and sole discretion.

### **27.2 Confidentiality**

27.2.1 For the purposes of this Clause 27.2, the term “**Disclosing Party**” shall mean a Party which discloses or makes available directly or indirectly its Confidential Information and “**Recipient**” shall mean the Party which receives or obtains directly or indirectly Confidential Information.

27.2.2 Except to the extent set out in this Clause 27.2 or where disclosure is expressly permitted elsewhere in this Framework Agreement, the Recipient shall:

- (a) treat the Disclosing Party's Confidential Information as confidential and keep it in secure custody (which is appropriate depending upon the form in which such materials are stored and the nature of the Confidential Information contained in those materials); and
- (b) not disclose the Disclosing Party's Confidential Information to any other person except as expressly set out in this Framework Agreement or without obtaining the Disclosing Party's prior written consent;
- (c) not use or exploit the Disclosing Party's Confidential Information in any way except for the purposes anticipated under this Framework Agreement; and
- (d) immediately notify the Disclosing Party if it suspects or becomes aware of any unauthorised access, copying, use or disclosure in any form of any of the Disclosing Party's Confidential Information.

27.2.3 The Recipient shall be entitled to disclose the Confidential Information of the Disclosing Party where:

- (a) the Recipient is required to disclose the Confidential Information by Law, provided that Clause 27.4 (Freedom of Information) shall apply to disclosures required under the FOIA or the EIRs;
- (b) the need for such disclosure arises out of or in connection with:
  - (i) any legal challenge or potential legal challenge against the Authority arising out of or in connection with this Framework Agreement;
  - (ii) the examination and certification of the Authority's accounts (provided that the disclosure is made on a confidential basis) or for any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Authority is making use of its resources; or
  - (iii) the conduct of a Central Government Body review in respect of this Framework Agreement; or
- (c) the Recipient has reasonable grounds to believe that the Disclosing Party is involved in activity that may constitute a criminal offence under the Bribery Act 2010 and the disclosure is being made to the Serious Fraud Office.

27.2.4 If the Recipient is required by Law to make a disclosure of Confidential Information, the Recipient shall as soon as reasonably practicable and



to the extent permitted by Law notify the Disclosing Party of the full circumstances of the required disclosure including the relevant Law and/or regulatory body requiring such disclosure and the Confidential Information to which such disclosure would apply.

27.2.5 Subject to Clauses 27.2.2 and 27.2.3, the Supplier may only disclose the Confidential Information of the Authority on a confidential basis to:

- (a) Supplier Personnel who are directly involved in the provision of the Services and need to know the Confidential Information to enable the performance of the Supplier's obligations under this Framework Agreement; and
- (b) its professional advisers for the purposes of obtaining advice in relation to this Framework Agreement.

27.2.6 Where the Supplier discloses the Confidential Information of the Authority pursuant to Clause 27.2.5, it shall remain responsible at all times for compliance with the confidentiality obligations set out in this Framework Agreement by the persons to whom disclosure has been made.

27.2.7 The Authority may disclose the Confidential Information of the Supplier:

- (a) to any Central Government Body or Other Contracting Body on the basis that the information is confidential and is not to be disclosed to a third party which is not part of the Crown Body;
- (b) to the British Parliament and any committees of the British Parliament or if required by any British Parliamentary reporting requirement;
- (c) on a confidential basis to a professional adviser, consultant, supplier or other person engaged by any of the entities described in Clause 27.2.7(a) for any purpose relating to or connected with this Framework Agreement;
- (d) on a confidential basis for the purpose of the exercise of its rights under this Framework Agreement; or
- (e) to a proposed transferee, assignee or novatee of, or successor in title to the Authority,
- (f) and for the purposes of the foregoing, references to disclosure on a confidential basis shall mean disclosure subject to a confidentiality agreement or arrangement containing terms no less stringent than those placed on the Authority under this Clause 27.2.7.

27.2.8 For the avoidance of doubt, the Confidential Information that the Authority may disclose under Clause 27.2.7 shall include information relating to Call Off Agreements, including service levels, pricing information (which includes information on prices tendered in a Further Competition Procedure, even where such a Further Competition

Procedure does not result in the award of a Call Off Agreement) and the terms of any Call Off Agreement may be shared with any Central Government Body or Other Contracting Body from time to time.

27.2.9 Nothing in this Clause 27.2 shall prevent a Recipient from using any techniques, ideas or Know-How which the Recipient has gained during the performance of this Framework Agreement in the course of its normal business to the extent that this use does not result in a disclosure of the Disclosing Party's Confidential Information or an infringement of Intellectual Property Rights.

27.2.10 In the event that the Supplier fails to comply with Clauses 27.2.2 to 27.2.5, the Authority reserves the right to terminate this Framework Agreement for material Default.

### **27.3 Transparency**

27.3.1 The Parties acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of this Framework Agreement is not Confidential Information. The Authority shall determine whether any of the content of this Framework Agreement is exempt from disclosure in accordance with the provisions of the FOIA. The Authority may consult with the Supplier to inform its decision regarding any redactions but shall have the final decision in its absolute discretion.

27.3.2 Notwithstanding any other provision of this Framework Agreement, the Supplier hereby gives its consent for the Authority to publish this Framework Agreement in its entirety (but with any information which is exempt from disclosure in accordance with the provisions of the FOIA redacted), including any changes to this Framework Agreement agreed from time to time.

27.3.3 The Supplier acknowledges that publication of this Framework Agreement will include the publication of the name and contact details of the Supplier Representative. Such details will not be redacted. By executing this Framework Agreement, the Supplier confirms that it has ensured that the Supplier Representative has given their consent to the publication of their name and contact details or otherwise taken steps to ensure that publication will not breach the Data Protection Act 1998. The name and contact details of any subsequent Supplier Representative details will also be published and in every such case the Supplier will ensure that consent is obtained or otherwise takes steps to ensure that publication of those details will not amount to a breach of the Data Protection Act 1998.

27.3.4 The Supplier shall assist and cooperate with the Authority to enable the Authority to publish this Framework Agreement.

### **27.4 Freedom of Information**

27.4.1 The Supplier acknowledges that the Authority is subject to the requirements of the FOIA and the EIRs. The Supplier shall:

- (a) provide all necessary assistance and cooperation as reasonably requested by the Authority to enable the Authority to comply with its Information disclosure obligations under the FOIA and EIRs;
- (b) transfer to the Authority all Requests for Information relating to this Framework Agreement that it receives as soon as practicable and in any event within two (2) Working Days of receipt;
- (c) provide the Authority with a copy of all Information belonging to the Authority requested in the Request for Information which is in the Supplier's possession or control in the form that the Authority requires within five (5) Working Days (or such other period as the Authority may reasonably specify) of the Authority's request for such Information; and
- (d) not respond directly to a Request for Information unless authorised in writing to do so by the Authority.

27.4.2 The Supplier acknowledges that the Authority may be required under the FOIA and EIRs to disclose Information (including Commercially Sensitive Information) without consulting or obtaining consent from the Supplier. The Authority shall take reasonable steps to notify the Supplier of a Request for Information (in accordance with the Secretary of State's Section 45 Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the FOIA) to the extent that it is permissible and reasonably practical for it to do so but (notwithstanding any other provision in this Framework Agreement) for the purpose of this Framework Agreement, the Authority shall be responsible for determining in its absolute discretion whether any Commercially Sensitive Information and/or any other information is exempt from disclosure in accordance with the FOIA and/or the EIRs.

## **27.5 Protection of Personal Data**

27.5.1 Where any Personal Data are Processed in connection with the exercise of the Parties' rights and obligations under this Framework Agreement, the Parties acknowledge that the Authority is the Data Controller and that the Supplier is the Data Processor.

27.5.2 The Supplier shall:

- (a) Process the Personal Data only in accordance with instructions from the Authority to perform its obligations under this Framework Agreement;
- (b) ensure that at all times it has in place appropriate technical and organisational measures to guard against unauthorised or unlawful Processing of the Personal Data and/or accidental loss, destruction, or damage to the Personal Data;

- (c) not disclose or transfer the Personal Data to any third party or Supplier Personnel unless necessary for the provision of the Services and, for any disclosure or transfer of Personal Data to any third party, obtain the prior written consent of the Authority (save where such disclosure or transfer is specifically authorised under this Framework Agreement);
- (d) take reasonable steps to ensure the reliability and integrity of any Supplier Personnel who have access to the Personal Data and ensure that the Supplier Personnel:
  - (i) are aware of and comply with the Supplier's duties under this Clause 27.5.2 and Clause 27.2 (Confidentiality);
  - (ii) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Authority or as otherwise permitted by this Framework Agreement; and
  - (iii) have undergone adequate training in the use, care, protection and handling of personal data (as defined in the DPA);
- (e) notify the Authority within five (5) Working Days if it receives:
  - (i) from a Data Subject (or third party on their behalf) a Data Subject Access Request (or purported Data Subject Access Request), a request to rectify, block or erase any Personal Data or any other request, complaint or communication relating to the Authority's obligations under the DPA;
  - (ii) any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data; or
  - (iii) 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;
- (f) provide the Authority with full cooperation and assistance (within the timescales reasonably required by the Authority) in relation to any complaint, communication or request made (as referred to at Clause 27.5.2(e), including by promptly providing:
  - (i) the Authority with full details and copies of the complaint, communication or request;
  - (ii) where applicable, such assistance as is reasonably requested by the Authority to enable the Authority to comply with the Data Subject Access Request within the relevant timescales set out in the DPA; and

- (iii) the Authority, on request by the Authority, with any Personal Data it holds in relation to a Data Subject; and
- (g) if requested by the Authority, provide a written description of the measures that the Supplier has taken and technical and organisational security measures in place, for the purpose of compliance with its obligations pursuant to this Clause 27.5.2 and provide to the Authority copies of all documentation relevant to such compliance including, protocols, procedures, guidance, training and manuals.

27.5.3 The Supplier shall not Process or otherwise transfer any Personal Data in or to any country outside the European Economic Area or any country which is not determined to be adequate by the European Commission pursuant to Article 25(6) of Directive 95/46/EC (together “**Restricted Countries**”). If, after the Framework Commencement Date, the Supplier or any Sub-Contractor wishes to Process and/or transfer any Personal Data in or to anywhere outside the European Economic Area, the following provisions shall apply:

- (a) the Supplier shall propose a variation to the Authority which, if it is agreed by the Authority, shall be dealt with in accordance with Clause 19.1 (Variation Procedure) and Clauses 27.5.3(b) to 27.5.3(d);
- (b) the Supplier shall set out in its proposal to the Authority for a Variation, details of the following:
  - (i) the Personal Data which will be transferred to and/or Processed in or to any Restricted Countries;
  - (ii) the Restricted Countries to which the Personal Data will be transferred and/or Processed; and
  - (iii) any Sub-Contractors or other third parties who will be Processing and/or receiving Personal Data in Restricted Countries;
  - (iv) how the Supplier will ensure an adequate level of protection and adequate safeguards in respect of the Personal Data that will be Processed in and/or transferred to Restricted Countries so as to ensure the Authority’s compliance with the DPA;
- (c) in providing and evaluating the Variation, the Parties shall ensure that they have regard to and comply with the Authority, Central Government Bodies and Information Commissioner Office policies, procedures, guidance and codes of practice on, and any approvals processes in connection with, the Processing in and/or transfers of Personal Data to any Restricted Countries; and

- (d) the Supplier shall comply with such other instructions and shall carry out such other actions as the Authority may notify in writing, including:
  - (i) incorporating standard and/or model clauses (which are approved by the European Commission as offering adequate safeguards under the DPA) into this Framework Agreement or a separate data processing agreement between the Parties; and
  - (ii) procuring that any Sub-Contractor or other third party who will be Processing and/or receiving or accessing the Personal Data in any Restricted Countries either enters into:
    - (A) a direct data processing agreement with the Authority on such terms as may be required by the Authority; or
    - (B) a data processing agreement with the Supplier on terms which are equivalent to those agreed between the Authority and the Supplier relating to the relevant Personal Data transfer, and the Supplier acknowledges that in each case, this may include the incorporation of model contract provisions (which are approved by the European Commission as offering adequate safeguards under the DPA) and technical and organisation measures which the Authority deems necessary for the purpose of protecting Personal Data.

27.5.4 The Supplier shall use its reasonable endeavours to assist the Authority to comply with any obligations under the DPA and shall not perform its obligations under this Framework Agreement in such a way as to cause the Authority to breach any of the Authority's obligations under the DPA to the extent the Supplier is aware, or ought reasonably to have been aware, that the same would be a breach of such obligations.

## **28. PUBLICITY AND BRANDING**

28.1 Subject to Clause 29 (Marketing), the Supplier shall not:

- 28.1.1 make any press announcements or publicise this Framework Agreement in any way; or
- 28.1.2 use the Authority's name or brand in any promotion or marketing or announcement of Orders, without Approval (the decision of the Authority to Approve or not shall not be unreasonably withheld or delayed).

28.2 Each Party acknowledges to the other that nothing in this Framework Agreement either expressly or by implication constitutes an approval and/or endorsement of any products or services of the other Party (including the Services) and each Party agrees not to conduct itself in such a way as to imply or express any such approval and/or endorsement.

28.3 The Authority shall be entitled to publicise this Framework Agreement in accordance with any legal obligation upon the Authority, including any examination of this Framework Agreement by the National Audit Office pursuant to the National Audit Act 1983 or otherwise.

## **29. MARKETING**

29.1 The Supplier shall undertake marketing of this Framework Agreement and the Services on behalf of the Authority to Other Contracting Bodies in accordance with the provisions of Framework Schedule 11 (Marketing).

29.2 The Supplier shall obtain the Authority's Approval prior to publishing any content in relation to this Framework Agreement using any media, including on any electronic medium, and the Supplier will ensure that such content is regularly maintained and updated. In the event that the Supplier fails to maintain or update the content, the Authority may give the Supplier notice to rectify the failure and if the failure is not rectified to the reasonable satisfaction of the Authority within one (1) Month of receipt of such notice, the Authority shall have the right to remove such content itself or require that the Supplier immediately arranges the removal of such content.

## **H. LIABILITY AND INSURANCE**

### **30. LIABILITY**

30.1 Neither Party excludes or limits its liability for:

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

30.1.2 bribery or Fraud by it or its employees; or

30.1.3 any liability to the extent it cannot be excluded or limited by Law.

30.2 Subject to Clause 30.1, each Party's total aggregate liability in respect of all Losses incurred under or in connection with this Framework Agreement as a result of Defaults or Authority Cause (as the case may be) shall in no event exceed:

30.2.1 in relation to any Default or Authority Cause (as the case may be) occurring from the Framework Commencement Date to the end of the first Contract Year, a sum equal to three million pounds (£3,000,000,000);

30.2.2 in relation to any Default or Authority Cause (as the case may be) occurring in each subsequent Contract Year following the end of the first Contract Year, that commences during the remainder of the Framework Period, a sum equal to three million pounds (£3,000,000,000);

30.2.3 in relation to any Default or Authority Cause (as the case may be) occurring in each Contract Year that commences after the end of the Framework Period, a sum equal to one million pounds (£1,000,000).

30.3 Subject to Clause 30.1, neither Party shall be liable to the other Party for any:

30.3.1 indirect, special or consequential Loss;

- 30.3.2 loss of profits, turnover, savings, business opportunities or damage to goodwill (in each case whether direct or indirect).
- 30.4 Subject to Clause 30.2, and notwithstanding Clause 30.3, the Supplier acknowledges that the Authority may, amongst other things, recover from the Supplier the following Losses incurred by the Authority to the extent that they arise as a result of a Default by the Supplier:
- 30.4.1 any Management Charge or Default Management Charge which are due and payable to the Authority;
  - 30.4.2 any additional operational and/or administrative costs and expenses incurred by the Authority, including costs relating to time spent by or on behalf of the Authority in dealing with the consequences of the Default;
  - 30.4.3 any wasted expenditure or charges;
  - 30.4.4 the additional cost of procuring Replacement Services for the remainder of the Framework Period, which shall include any incremental costs associated with such Replacement Services above those which would have been payable under this Framework Agreement;
  - 30.4.5 any compensation or interest paid to a third party by the Authority;
  - 30.4.6 any fine, penalty or costs incurred by the Authority pursuant to Law.
- 30.5 Each Party shall use all reasonable endeavours to mitigate any loss or damage suffered arising out of or in connection with this Framework Agreement.
- 30.6 Any Default Management Charge shall not be taken into consideration when calculating the Supplier's liability under Clause 30.2.
- 30.7 For the avoidance of doubt, the Parties acknowledge and agree that this Clause 30 shall not limit the Supplier's liability to a Contracting Body under any Call Off Agreement and the Supplier's liability under a Call Off Agreement shall be as provided for in that Call Off Agreement only.

## **31. INSURANCE**

- 31.1 The Supplier shall effect and maintain insurances in relation to the performance of its obligations under this Framework Agreement and any Call Off Agreement, and shall procure that Subcontractors shall effect and maintain insurances in relation to the performance of their obligations under any Sub-Contract, in accordance with Schedule 14 (Insurance Requirements).
- 31.2 The terms of any insurance or the amount of cover shall not relieve the Contractor of any liabilities arising under this Framework Agreement or any Call Off Agreements.

## **I. REMEDIES**

### **32. AUTHORITY REMEDIES**

- 32.1 Without prejudice to any other rights or remedies arising under this Framework Agreement, including under Clause 33.2 (Termination on Material Default), if the



Supplier fails to achieve a KPI Target on two or more occasions within any twelve (12) Month rolling period, the Supplier acknowledges and agrees that the Authority shall have the right to exercise (in its absolute and sole discretion) all or any of the following remedial actions:

- 32.1.1 The Authority shall be entitled to require the Supplier, and the Supplier agrees to prepare and provide to the Authority, an Improvement Plan within ten (10) Working Days of a written request by the Authority for such Improvement Plan. Such Improvement Plan shall be subject to Approval and the Supplier will be required to implement any Approved Improvement Plan, as soon as reasonably practicable.
- 32.1.2 The Authority shall be entitled to require the Supplier, and the Supplier agrees to attend, within a reasonable time one (1) or more meetings at the request of the Authority in order to resolve the issues raised by the Authority in its notice to the Supplier requesting such meetings.
- 32.1.3 The Authority shall be entitled to serve an Improvement Notice on the Supplier and the Supplier shall implement such requirements for improvement as set out in the Improvement Notice.
- 32.1.4 In the event that the Authority has, in its absolute and sole discretion, invoked one or more of the remedies set out above and the Supplier either:
  - (a) fails to implement such requirements for improvement as set out in the Improvement Notice; and/or
  - (b) fails to implement an Improvement Plan Approved by the Authority,then (without prejudice to any other rights and remedies of termination provided for in this Framework Agreement), the Authority shall be entitled to terminate this Framework Agreement.

## **J. TERMINATION AND SUSPENSION**

### **33. AUTHORITY TERMINATION RIGHTS**

#### **33.1 NOT USED**

#### **33.2 Termination on Material Default**

- 33.2.1 The Authority may terminate this Framework Agreement for material Default by issuing a Termination Notice to the Supplier where:
  - (a) the Supplier fails to accept a Call Off Agreement pursuant to paragraph 5.3 of Framework Schedule 5 (Call Off Procedure);
  - (b) a Contracting Body terminates a Call Off Agreement for the Supplier's breach of that Call Off Agreement;

- (c) an Audit reveals that the Supplier has underpaid an amount equal to or greater than five per cent (5%) of the Management Charge due;
- (d) in the event of two or more failures by the Supplier to meet the KPI Targets, whether the failures relate to the same or different KPI targets, in any rolling period of three (3) months;
- (e) the Authority expressly reserves the right to terminate this Framework Agreement for material Default including pursuant to:
  - (i) Clause 9.4 (Cyber Essentials Scheme Condition);
  - (ii) Clause 19.1.4(c)(ii) (Variation Procedure);
  - (iii) Clause 27.2.10 (Confidentiality);
  - (iv) Clause 40.6.2 (Prevention of Fraud and Bribery);
  - (v) Clause 36.1.2 (Compliance);
  - (vi) Clause 41.3 (Conflicts of Interest);
  - (vii) paragraph 6.2 of Framework Schedule 9 (Management Information); and/or
  - (viii) anywhere that is stated in this Framework Agreement that the Supplier by its act or omission will have committed a material Default;
- (f) the Supplier commits a material Default of any of the following Clauses or Framework Schedules:
  - (i) Clause 7 (Representations and Warranties) except Clause 7.2.6;
  - (ii) Clause 11 (Framework Agreement Performance);
  - (iii) Clause 18 (Records and Audit Access);
  - (iv) Clause 20 (Management Charge);
  - (v) Clause 21 (Promoting Tax Compliance);
  - (vi) Clause 25 (Supply Chain Rights and Protection);
  - (vii) Clause 27.1 (Provision of Management Information);
  - (viii) Clause 27.4 (Freedom of Information);
  - (ix) Clause 27.5 (Protection of Personal Data); and/or

- (x) Paragraph 1.2 of Part B of Framework Schedule 2 (Services and Key Performance Indicators).
- (g) the representation and warranty given by the Supplier pursuant to Clause 7.2.6 is materially untrue or misleading, and the Supplier fails to provide details of proposed mitigating factors which in the reasonable opinion of the Authority are acceptable;
- (h) the Supplier commits any material Default which is not, in the reasonable opinion of the Authority, capable of remedy; and/or
- (i) the Supplier commits a Default, including a material Default, which in the opinion of the Authority is remediable but has not remedied such Default to the satisfaction of the Authority within twenty (20) Working Days, or such other period as may be specified by the Authority, after issue of a written notice from the Authority to the Supplier specifying the remediable Default and requesting it to be remedied in accordance with any instructions of the Authority.

### **33.3 Termination for Breach of Regulations**

33.3.1 The Authority may terminate this Framework Agreement by issuing a Termination Notice to the Supplier on the occurrence of any of the statutory provisos contained in Regulation 73 (1) (a) to (c).

### **33.4 Termination on Insolvency**

33.4.1 The Authority may terminate this Framework Agreement by issuing a Termination Notice to the Supplier where an Insolvency Event affecting the Supplier occurs.

### **33.5 Termination on Change of Control**

33.5.1 The Supplier shall notify the Authority immediately if the Supplier undergoes or is intending to undergo a Change of Control and provided this does not contravene any Law, shall notify the Authority immediately in writing of any circumstances suggesting and/or explaining that a Change of Control is planned or is in contemplation or has taken place. The Authority may terminate this Framework Agreement by issuing a Termination Notice to the Supplier within six (6) Months of:

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

but shall not be permitted to terminate where an Approval was granted prior to the Change of Control.

### **33.6 Termination Without Cause**

33.6.1 The Authority shall have the right to terminate this Framework Agreement with effect from at any time following nine (9) Months after the Framework Commencement Date by giving at least three (3) Months' written notice to the Supplier.

### **33.7 Partial Termination**

33.7.1 Where the Authority has the right to terminate this Framework Agreement, the Authority is entitled to terminate all or part of this Framework Agreement pursuant to this Clause 33.7 provided always that, if the Authority elects to terminate this Framework Agreement in part, the parts of this Framework Agreement not terminated or suspended can, in the Authority's reasonable opinion, operate effectively to deliver the intended purpose of the surviving parts of this Framework Agreement.

33.7.2 The Parties shall endeavour to agree the effect of any Variation necessitated by a partial termination in accordance with Clause 19.1 (Variation Procedure) including the effect that the partial termination may have on the on the provision of any other Services and the Framework Prices provided that:

- (a) the Supplier shall not be entitled to an increase in the Framework Prices in respect of the Services that have not been terminated if the partial termination arises due to the exercise of any of the Customer's termination rights under Clause 33 (Authority Termination Rights) with the exception of Clause 33.6 (Termination Without Cause); and
- (b) the Supplier shall not be entitled to reject the variation.

## **34. SUSPENSION OF SUPPLIER'S APPOINTMENT**

34.1 If the Authority is entitled to terminate this Framework Agreement pursuant to Clause 33 (Authority Termination Rights) but excluding its termination rights under Clause 33.6 (Termination Without Cause), the Authority may instead elect in its sole discretion to suspend the Supplier's ability to accept Orders under this Framework Agreement by giving notice in writing to the Supplier, and the Supplier agrees that it shall not be entitled to enter into any new Call Off Agreement during the period specified in the Authority's notice.

34.2 Any suspension under Clause 34.1 shall be without prejudice to any right of termination which has already accrued, or subsequently accrues, to the Authority.

34.3 The Parties acknowledge that suspension shall not affect the Supplier's obligation to perform any existing Call Off Agreements concluded prior to the suspension notice.

34.4 If the Authority provides notice to the Supplier in accordance with this Clause 34.1, the Supplier's appointment under this Framework Agreement shall be suspended for the period set out in the notice or such other period notified to the Supplier by the Authority in writing from time to time.

34.5 For the avoidance of doubt, no period of suspension under this Clause 34 shall result in an extension of the Framework Period.

## **35. CONSEQUENCES OF EXPIRY OR TERMINATION**

35.1 Notwithstanding the service of a notice to terminate this Framework Agreement, the Supplier shall continue to fulfil its obligations under this Framework Agreement until the date of expiry or termination of this Framework Agreement or such other date as required under this Clause 35.

35.2 Termination or expiry of this Framework Agreement shall not cause any Call Off Agreements to terminate automatically. For the avoidance of doubt, all Call Off Agreements shall remain in force unless and until they are terminated or expire in accordance with the provisions of the Call Off Agreement and the Supplier shall continue to pay any Management Charge due to the Authority in relation to such Call Off Agreements, notwithstanding the termination or expiry of this Framework Agreement.

35.3 Within ten (10) Working Days of the date of termination or expiry of this Framework Agreement, the Supplier shall return to the Authority any and all of the Authority's Confidential Information in the Supplier's possession, power or control, either in its then current format or in a format nominated by the Authority, and any other information and all copies thereof owned by the Authority, save that it may keep one copy of any such data or information to the extent reasonably necessary to comply with its obligations under this Framework Agreement or under any Law, for a period of up to twelve (12) Months (or such other period as Approved by the Authority and is reasonably necessary for such compliance).

35.4 Termination or expiry of this Framework Agreement shall be without prejudice to any rights, remedies or obligations of either Party accrued under this Framework Agreement prior to termination or expiry.

35.5 Termination or expiry of this Framework Agreement shall be without prejudice to the survival of any provision of this Framework Agreement which expressly (or by implication) is to be performed or observed notwithstanding termination or expiry of this Framework Agreement, including the provisions of:

35.5.1 Clauses 1 (Definitions and Interpretation), 7 (Representations and Warranties), 9 (Cyber Essentials Scheme Condition), 11 (Framework Agreement Performance), 18 (Records and Audit Access), 20 (Management Charge), 27.1 (Provision of Management Information), 27.2 (Confidentiality), 27.3 (Transparency), 27.4 (Freedom of Information), 27.5 (Protection of Personal Data), 30 (Liability), 31 (Insurance), 35 (Consequences of Expiry or Termination), 36 (Compliance), 38 (Waiver and Cumulative Remedies), 40 (Prevention of Fraud and Bribery), 42 (Severance), 44 (Entire Agreement), 45 (Third Party Rights), 46 (Notices), 47 (Complaints Handling), 48 (Dispute Resolution) and 49 (Governing Law and Jurisdiction); and

35.5.2 Framework Schedules 2 (Services and Key Performance Indicators), 3 (Framework Prices and Charging Structure), 7 (Key Sub-Contractors), 8 (Framework Management), 9 (Management Information), 14 (Insurance

Requirements), 17 (Commercially Sensitive Information) and 20 (Tender).

## **K. MISCELLANEOUS AND GOVERNING LAW**

### **36. COMPLIANCE**

#### **36.1 Compliance with Law**

36.1.1 The Supplier shall comply with all applicable Law in connection with the performance of this Framework Agreement.

36.1.2 In the event that the Supplier or the Supplier Personnel fails to comply with Clause 36.1.1, this shall be deemed to be a material Default and the Authority reserves the right to terminate this Framework Agreement by giving notice in writing to the Supplier.

#### **36.2 Equality and Diversity**

36.2.1 The Supplier shall:

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

#### **36.3 Official Secrets Act and Finance Act**

36.3.1 The Supplier shall comply with the provisions of:

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

#### **36.4 Financial Services and Markets Act 2000**

36.4.1 The Supplier shall comply with the provisions of:

- (a) the Financial Services and Markets Act 2000 (as amended from time to time) on disclosure of regulatory information (or subsequent applicable legislation); and

- (b) statutory requirements on market abuse and insider dealings.

### **37. ASSIGNMENT AND NOVATION**

37.1 The Supplier shall not assign, novate, or otherwise dispose of or create any trust in relation to any or all of its rights, obligations or liabilities under this Framework Agreement or any part of it without Approval.

37.2 The Authority may assign, novate or otherwise dispose of any or all of its rights, liabilities and obligations under this Framework Agreement or any part thereof to:

37.2.1 any Other Contracting Body; or

37.2.2 any Central Government Body or other body established by the Crown or under statute in order substantially to perform any of the functions that had previously been performed by the Authority; or

37.2.3 any private sector body which substantially performs the functions of the Authority,

and the Supplier shall, at the Authority's request, enter into a novation agreement in such form as the Authority shall reasonably specify in order to enable the Authority to exercise its rights pursuant to this Clause 37.2.

37.3 A change in the legal status of the Authority such that it ceases to be a Contracting Body shall not, subject to Clause 37.4, affect the validity of this Framework Agreement and this Framework Agreement shall be binding on any successor body to the Authority.

37.4 If the Authority assigns, novates or otherwise disposes of any of its rights, obligations or liabilities under this Framework Agreement to a body which is not a Contracting Body or if a body which is not a Contracting Body succeeds the Authority (both "**Transferee**" in the rest of this Clause) the right of termination of the Authority in Clause 33.4 (Termination on Insolvency) shall be available to the Supplier in the event of the insolvency of the Transferee (as if the references to Supplier in Clause 33.4 (Termination on Insolvency)) and to Supplier or Framework Guarantor or Call Off Guarantor in the definition of Insolvency Event were references to the Transferee.

### **38. WAIVER AND CUMULATIVE REMEDIES**

38.1 The rights and remedies under this Framework Agreement may be waived only by notice in accordance with Clause 46 (Notices) and in a manner that expressly states that a waiver is intended. A failure or delay by a Party in ascertaining or exercising a right or remedy provided under this Framework Agreement or by Law shall not constitute a waiver of that right or remedy, nor shall it prevent or restrict the further exercise thereof.

38.2 Unless otherwise provided in this Framework Agreement, rights and remedies under this Framework Agreement are cumulative and do not exclude any rights or remedies provided by Law, in equity or otherwise.

### **39. RELATIONSHIP OF THE PARTIES**

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

#### **40. PREVENTION OF FRAUD AND BRIBERY**

40.1 The Supplier represents and warrants that neither it, nor to the best of its knowledge any Supplier Personnel, have at any time prior to the Framework Commencement Date:

40.1.1 committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act; and/or

40.1.2 been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act.

40.2 The Supplier shall not during the Framework Period:

40.2.1 commit a Prohibited Act; and/or

40.2.2 do or suffer anything to be done which would cause the Authority or any of the Authority's employees, consultants, contractors, sub-contractors or agents to contravene any of the Relevant Requirements or otherwise incur any liability in relation to the Relevant Requirements.

40.3 The Supplier shall during the Framework Period:

40.3.1 establish, maintain and enforce, and require that its Sub-Contractors establish, maintain and enforce, policies and procedures which are adequate to ensure compliance with the Relevant Requirements and prevent the occurrence of a Prohibited Act;

40.3.2 keep appropriate records of its compliance with its obligations under Clause 40.3.1 and make such records available to the Authority on request;

40.3.3 if so required by the Authority, within twenty (20) Working Days of the Framework Commencement Date, and annually thereafter, certify in writing to the Authority, the compliance with this Clause 40.3 of all persons associated with the Supplier or its Sub-Contractors who are responsible for supplying the Services in connection with this Framework Agreement. The Supplier shall provide such supporting evidence of compliance as the Authority may reasonably request; and

40.3.4 have, maintain and where appropriate enforce an anti-bribery policy (which shall be disclosed to the Authority on request) to prevent it and any Supplier Personnel or any person acting on the Supplier's behalf from committing a Prohibited Act.



40.4 The Supplier shall immediately notify the Authority in writing if it becomes aware of any breach of Clause 40.1, or has reason to believe that it has or any of the Supplier Personnel has:

40.4.1 been subject to an investigation or prosecution which relates to an alleged Prohibited Act;

40.4.2 been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act; and/or

40.4.3 received a request or demand for any undue financial or other advantage of any kind in connection with the performance of this Framework Agreement or otherwise suspects that any person or Party directly or indirectly connected with this Framework Agreement has committed or attempted to commit a Prohibited Act.

40.5 If the Supplier makes a notification to the Authority pursuant to Clause 40.4, the Supplier shall respond promptly to the Authority's enquiries, co-operate with any investigation, and allow the Authority to audit any books, records and/or any other relevant documentation in accordance with Clause 18 (Records and Audit Access).

40.6 If the Supplier breaches Clause 40.1, the Authority may by notice:

40.6.1 require the Supplier to remove from the performance of this Framework Agreement any Supplier Personnel whose acts or omissions have caused the Supplier's breach; or

40.6.2 immediately terminate this Framework Agreement for material Default.

40.7 Any notice served by the Authority under Clause 40.6 shall specify the nature of the Prohibited Act, the identity of the Party who the Authority believes has committed the Prohibited Act and the action that the Authority has elected to take (including, where relevant, the date on which this Framework Agreement shall terminate).

## **41. CONFLICTS OF INTEREST**

41.1 The Supplier shall take appropriate steps to ensure that neither the Supplier nor the Supplier Personnel are placed in a position where (in the reasonable opinion of the Supplier) there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Supplier or the Supplier Personnel and the duties owed to the Authority under the provisions of this Framework Agreement.

41.2 The Supplier shall promptly notify and provide reasonable particulars to the Authority if such conflict referred to in Clause 41.1 arises or may reasonably be foreseen as arising.

41.3 The Authority reserves the right to terminate this Framework Agreement immediately by giving notice in writing to the Supplier and/or to take such other steps it deems necessary where, in the reasonable opinion of the Authority, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Supplier and the duties owed to the Authority under the provisions of this Framework Agreement. The action of the Authority pursuant to this Clause 38

shall not prejudice or affect any right of action or remedy which shall have accrued or shall thereafter accrue to the Authority.

## **42. SEVERANCE**

42.1 If any provision of this Framework Agreement (or part of any provision) is held to be void or otherwise unenforceable by any court of competent jurisdiction, such provision (or part) shall to the extent necessary to ensure that the remaining provisions of this Framework Agreement are not void or unenforceable be deemed to be deleted and the validity and/or enforceability of the remaining provisions of this Framework Agreement shall not be affected.

42.2 In the event that any deemed deletion under Clause 42.1 is so fundamental as to prevent the accomplishment of the purpose of this Framework Agreement or materially alters the balance of risks and rewards in this Framework Agreement, either Party may give notice to the other Party requiring the Parties to commence good faith negotiations to amend this Framework Agreement so that, as amended, it is valid and enforceable, preserves the balance of risks and rewards in this Framework Agreement and, to the extent that is reasonably practicable, achieves the Parties' original commercial intention.

42.3 If the Parties are unable to resolve any Dispute arising under this Clause 4142 within twenty (20) Working Days of the date of the notice given pursuant to Clause 42.2, this Framework Agreement shall automatically terminate with immediate effect. The costs of termination incurred by the Parties shall lie where they fall if this Framework Agreement is terminated pursuant to this Clause 42.

## **43. FURTHER ASSURANCES**

43.1 Each Party undertakes at the request of the other, and at the cost of the requesting Party to do all acts and execute all documents which may be necessary to give effect to the meaning of this Framework Agreement.

## **44. ENTIRE AGREEMENT**

44.1 This Framework Agreement constitutes the entire agreement between the Parties in respect of the subject matter and supersedes and extinguishes all prior negotiations, course of dealings or agreements made between the Parties in relation to its subject matter, whether written or oral.

44.2 Neither Party has been given, nor entered into this Framework Agreement in reliance on, any warranty, statement, promise or representation other than those expressly set out in this Framework Agreement.

44.3 Nothing in this Clause 44 shall exclude any liability in respect of misrepresentations made fraudulently.

## **45. THIRD PARTY RIGHTS**

45.1 The provisions of:

45.1.1 Clauses: 4 (Scope of Framework Agreement), 5 (Call Off Procedure), 6 (Assistance in Related Procurements), 7 (Representations and Warranties), 16 (Call Off Performance Under Framework Agreement)

Performance), 18 (Records and Audit Access), 27.5 (Protection of Personal Data), 31 (Insurance), 36.2 (Equality and Diversity) and 45 (Third Party Rights); and

45.1.2 Framework Schedules 3 (Framework Prices and Charging Structure ), 5 (Call Off Procedure), 14 (Insurance Requirements) and 20 (Tender),

(together “**Third Party Provisions**”) confer benefits on persons named in such provisions other than the Parties (each such person a “**Third Party Beneficiary**”) and are intended to be enforceable by Third Parties Beneficiaries by virtue of the CRTPA.

45.2 Subject to Clause 45.1, a person who is not Party to this Framework Agreement has no right to enforce any term of this Framework Agreement under the CRTPA but this does not affect any right or remedy of any person which exists or is available otherwise than pursuant to the CRTPA.

45.3 No Third Party Beneficiary may enforce, or take any step to enforce, any Third Party Provision without Approval, which may, if given, be given on and subject to such terms as the Authority may determine.

45.4 Any amendments or modifications to this Framework Agreement may be made, and any rights created under Clause 45.1 may be altered or extinguished, by the Parties without the consent of any Third Party Beneficiary.

45.5 The Authority may act as agent and trustee for each Third Party Beneficiary and/or enforce on behalf of that Third Party Beneficiary any Third Party Provision and/or recover any Loss suffered by that Third Party Beneficiary in connection with a breach of any Third Party Provision.

## **46. NOTICES**

46.1 Except as otherwise expressly provided within this Framework Agreement, any notices issued under this Framework Agreement must be in writing. For the purpose of this Clause 46, an e-mail is accepted as being "in writing".

46.2 Subject to Clause 46.3, the following table sets out the method by which notices may be served under this Framework Agreement and the respective deemed time and proof of service:

Manner of Delivery	Deemed time of delivery	Proof of Service
Email (Subject to Clause 46.3)	9.00am on the first Working Day after sending	Dispatched as a pdf attachment to an e-mail to the correct e-mail address without any error message
Personal delivery	On delivery, provided delivery is between 9.00am and 5.00pm on a Working Day. Otherwise, delivery will occur at 9.00am on the next	Properly addressed and delivered as evidenced by signature of a delivery receipt

	Working Day	
Royal Mail Signed For™ 1st Class or other prepaid, next Working Day service providing proof of delivery	At the time recorded by the delivery service, provided that delivery is between 9.00am and 5.00pm on a Working Day. Otherwise, delivery will occur at 9.00am on the same Working Day (if delivery before 9.00am) or on the next Working Day (if after 5.00pm)	Properly addressed prepaid and delivered as evidenced by signature of a delivery receipt

46.3 The following notices may only be served as an attachment to an email if the original notice is then sent to the recipient by personal delivery or Royal Mail Signed For™ 1<sup>st</sup> Class or other prepaid in the manner set out in the table in Clause 46.2:

46.3.1 any Termination Notice under Clause 33 (Authority Termination Rights), including in respect of partial termination;

46.3.2 any notice in respect of:

- (a) Suspension of Supplier's appointment (Clause 34)
- (b) Waiver (Clause 38);
- (c) Default or Authority Cause; and

46.3.3 any Dispute Notice.

46.4 Failure to send any original notice by personal delivery or recorded delivery in accordance with Clause 46.3 shall invalidate the service of the related e-mail transmission. The deemed time of delivery of such notice shall be the deemed time of delivery of the original notice sent by personal delivery or Royal Mail Signed For™ 1st Class delivery (as set out in the table in Clause 46.2) or, if earlier, the time of response or acknowledgement by the receiving Party to the email attaching the notice.

46.5 This Clause 46 does not apply to the service of any proceedings or other documents in any legal action or, where applicable, any arbitration or other method of dispute resolution (other than the service of a Dispute Notice under Framework Schedule 18 (Dispute Resolution Procedure).

46.6 For the purposes of this Clause 46, the address of each Party shall be:

46.6.1 For the Authority:

**Crown Commercial Service**  
9th Floor  
The Capital  
Old Hall Street  
Liverpool  
L3 9PP

For the attention of: [insert CCS contact name]

46.6.2 For the Supplier:

[insert name of supplier]

Address: [insert address of supplier]

For the attention of: [insert supplier contact name]

46.7 Either Party may change its address for service by serving a notice in accordance with this Clause 46.

46.8 This Clause 46 does not apply to the service of any proceedings or other documents in any legal action or, where applicable, any arbitration or other method of dispute resolution (other than the service of a Dispute Notice under the Dispute Resolution Procedure)

#### **47. COMPLAINTS HANDLING**

47.1 Either Party shall notify the other Party of any Complaints made by Other Contracting Bodies, which are not resolved by operation of the Supplier's usual complaints handling procedure within five (5) Working Days of becoming aware of that Complaint and, if the Supplier is the Party providing the notice, such notice shall contain full details of the Supplier's plans to resolve such Complaint.

47.2 Without prejudice to any rights and remedies that a complainant may have at Law (including under this Framework Agreement and/or a Call Off Agreement), and without prejudice to any obligation of the Supplier to take remedial action under the provisions of this Framework Agreement and/or a Call Off Agreement, the Supplier shall use its best endeavours to resolve the Complaint within ten (10) Working Days and in so doing, shall deal with the Complaint fully, expeditiously and fairly.

47.3 Within two (2) Working Days of a request by the Authority, the Supplier shall provide full details of a Complaint to the Authority, including details of steps taken to achieve its resolution.

#### **48. DISPUTE RESOLUTION**

48.1 The Parties shall resolve Disputes arising out of or in connection with this Framework Agreement in accordance with the Dispute Resolution Procedure.

48.2 The Supplier shall continue to provide the Services in accordance with the terms of this Framework Agreement until a Dispute has been resolved.

#### **49. GOVERNING LAW AND JURISDICTION**

49.1 This Framework Agreement and any issues, disputes or claims (whether contractual or non-contractual) arising out of or in connection with it or its subject matter or formation shall be governed by and construed in accordance with the laws of England and Wales.

49.2 Subject to Clause 48 (Dispute Resolution) and Framework Schedule 18 (Dispute Resolution Procedure) (including the Authority's right to refer the Dispute to arbitration), the Parties agree that the courts of England and Wales shall have exclusive jurisdiction to settle any Dispute or claim (whether contractual or non-

contractual) that arises out of or in connection with this Framework Agreement or its subject matter or formation.

**IN WITNESS** of which this Framework Agreement has been duly executed by the Parties.

Signed duly authorised for and on behalf of the SUPPLIER

Signature: .....

Name: .....

Position: .....

Date .....

***[Guidance Note: this document should be signed by the same supplier entity that submitted the ITT.]***

Signed for and on behalf of the AUTHORITY

Signature: .....

Name: .....

Position: .....

Date .....

## FRAMEWORK SCHEDULE 1: DEFINITIONS

1. In accordance with Clause 1.1 (Definitions), in this Framework Agreement including its recitals the following expressions shall have the following meanings:

<b>"Admin Fees"</b>	means the costs incurred by the Authority in dealing with MI Failures calculated in accordance with the tariff of administration charges published by the Authority at the following link: <a href="http://CCS.cabinetoffice.gov.uk/i-am-supplier/management-information/admin-fees">http://CCS.cabinetoffice.gov.uk/i-am-supplier/management-information/admin-fees</a> ;
<b>"Affiliate"</b>	means in relation to a body corporate, any other entity which directly or indirectly Controls, is Controlled by, or is under direct or indirect common Control of that body corporate from time to time;
<b>"Approval"</b>	means the prior written consent of the Authority and <b>"Approve"</b> and <b>"Approved"</b> shall be construed accordingly;
<b>"Audit"</b>	means an audit carried out pursuant to Clause 18 (Records and Audit Access);
<b>"Audit Report"</b>	means a report summarising the testing completed and the actions arising following an Audit;
<b>"Auditor"</b>	means the Authority, and/or Other Contracting Body who is a party to a Call Off Agreement, and/or the National Audit Office and/or any auditor appointed by the Audit Commission, and /or the representatives of any of them;
<b>"Authority"</b>	means <b>THE MINISTER FOR THE CABINET OFFICE ("Cabinet Office")</b> as represented by Crown Commercial Service, a trading fund of the Cabinet Office, whose offices are located at 9th Floor, The Capital, Old Hall Street, Liverpool L3 9PP;
<b>"Authority Cause"</b>	means any breach of the obligations of the Authority (including but not limited to any fundamental breach or breach of a fundamental term) or any other default, act, omission, misrepresentation, negligence or negligent statement of the Authority in connection with or in relation to this Framework Agreement or the subject matter of this Framework Agreement and in respect of which the Authority is liable to the Supplier;
<b>"Authority Personal Data"</b>	means any Personal Data supplied for the purposes of or in connection with this Framework Agreement by the Authority to the Supplier;
<b>"Authority Representative"</b>	means the representative appointed by the Authority from time to time in relation to this Framework Agreement;
<b>"Authority's Confidential Information"</b>	means all Authority Personal Data and any information, however it is conveyed, that relates to the business, affairs, developments, trade secrets, Know How, personnel, and suppliers of the Authority and/or Other Contracting Bodies, including all IPR, together with all information derived from any of the above, and any other information clearly

	designated as being confidential (whether or not it is marked "confidential") or which ought reasonably to be considered to be confidential;
<b>"Branding Guidance"</b>	means the Authority's guidance in relation to the use of branding available at <a href="http://gcloud.civilservice.gov.uk/files/2012/10/supplier-guides-April-2012.pdf">http://gcloud.civilservice.gov.uk/files/2012/10/supplier-guides-April-2012.pdf</a>
<b>"Call Off Agreement"</b>	means a legally binding agreement (entered into pursuant to the provisions of this Framework Agreement) for the provision of the Services made between a Contracting Body and the Supplier pursuant to Framework Schedule 5 (Call Off Procedure);
<b>"Call Off Procedure"</b>	means the process for awarding a Call Off Agreement pursuant to Clause 5 (Call Off Procedure) and Framework Schedule 5 (Call Off Procedure);
<b>"CEDR"</b>	means the Centre for Effective Dispute Resolution;
<b>"Central Government Body"</b>	means a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics: <ul style="list-style-type: none"> <li>a) Government Department;</li> <li>b) Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal);</li> <li>c) Non-Ministerial Department; or</li> <li>d) Executive Agency;</li> </ul>
<b>"Change in Law"</b>	means any change in Law which impacts on the supply of the Services and performance of the Template Call Off Terms which comes into force after the Framework Commencement Date;
<b>"Change of Control"</b>	means a change of control within the meaning of Section 450 of the Corporation Tax Act 2010;
<b>"Charges"</b>	means the charges raised under or in connection with a Call Off Agreement from time to time, which Charges shall be calculated in a manner which is consistent with the Charging Structure;
<b>"Charging Structure"</b>	means the structure to be used in the establishment of the charging model which is applicable to each Call Off Agreement, which structure is set out in Framework Schedule 3 (Framework Prices and Charging Structure);



<b>"Commercially Sensitive Information"</b>	means the Supplier's Confidential Information listed in Framework Schedule 17 (Commercially Sensitive Information) comprised of commercially sensitive information:  a) relating to the Supplier, its IPR or its business or information 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; and  b) that constitutes a trade secret;
<b>"Comparable Supply"</b>	means the supply of Services to another customer of the Supplier that are the same or similar to the Services;
<b>"Complaint"</b>	means any formal written complaint raised by a Contracting Body in relation to the performance of this Framework Agreement or any Call Off Agreement in accordance with Clause 47 (Complaints Handling);
<b>"Confidential Information"</b>	means the Authority's Confidential Information and/or the Supplier's Confidential Information, as the context requires;
<b>"Contract Year"</b>	means a consecutive period of twelve (12) Months commencing on the Framework Commencement Date or each anniversary thereof;
<b>"Contracting Bodies"</b>	means bodies listed in paragraph VI.3 of the OJEU Notice and <b>"Contracting Body"</b> shall be construed accordingly;
<b>"Control"</b>	means control in either of the senses defined in sections 450 and 1124 of the Corporation Tax Act 2010 and <b>"Controlled"</b> shall be construed accordingly;
<b>"Crown Body"</b>	<b><i>means any department, office or executive agency of the Crown or Non-Departmental Public Body;</i></b>
<b>"CRTPA"</b>	means the Contracts (Rights of Third Parties) Act 1999;
<b>"Cyber Essentials Scheme Certificate"</b>	means one of the two levels of certification which are available under the Cyber Essentials Scheme and Cyber Essentials Scheme Certification will be interpreted accordingly;
<b>"Cyber Essentials"</b>	means the certification awarded on the basis of self assessment under the Cyber Essentials Scheme and is the basic level of assurance;
<b>"Cyber Essentials Data"</b>	means sensitive and personal information and other relevant information as referred to in the Cyber Essentials Scheme;

<b>"Cyber Essentials Scheme"</b>	means 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. Details of the Cyber Essentials scheme can be found here:  <a href="https://www.gov.uk/government/publications/cyber-essentials-scheme-overview">https://www.gov.uk/government/publications/cyber-essentials-scheme-overview</a> ;
<b>"Data Controller"</b>	has the meaning given to it in the Data Protection Act 1998, as amended from time to time;
<b>"Data Processor"</b>	has the meaning given to it in the Data Protection Act 1998, as amended from time to time;
<b>"Data Protection Legislation"</b>	means the Data Protection Act 1998, as amended from time to time and all applicable laws and regulations relating to processing of personal data and privacy, including where applicable the guidance and codes of practice issued by the Information Commissioner or relevant Government department in relation to such legislation;
<b>"Data Subject"</b>	has the meaning given to it in the Data Protection Act 1998, as amended from time to time;
<b>"Data Subject Access Request"</b>	means a request made by a Data Subject in accordance with rights granted pursuant to the DPA to access his or her Personal Data;
<b>"Default"</b>	means any breach of the obligations of the Supplier (including but not limited to any fundamental breach or breach of a fundamental term) or any other default, act, omission, misrepresentation, negligence or negligent statement of the Supplier or the Supplier Personnel in connection with or in relation to this Framework Agreement or the subject matter of this Framework Agreement and in respect of which the Supplier is liable to the Authority;
<b>"Default Management Charge"</b>	has the meaning given to it in paragraph 6.2 of Framework Schedule 9 (Management Information);
<b>"Dispute"</b>	means any dispute, difference or question of interpretation arising out of or in connection with this Framework Agreement, including any dispute, difference or question of interpretation relating to the Services, failure to agree in accordance with the procedure for variations in Clause 19.1 (Variation Procedure) or any matter where this Framework Agreement directs the Parties to resolve an issue by reference to the Dispute Resolution Procedure;
<b>"Dispute Notice"</b>	means a written notice served by one Party on the other stating that the Party serving the notice believes that there is a Dispute;
<b>"Dispute Resolution"</b>	means the dispute resolution procedure set out in Framework Schedule 18 (Dispute Resolution);

## Procedure"

### "DOTAS"

means 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 by the National Insurance Contributions (Application of Part 7 of the Finance Act 2004) Regulations 2012, SI 2012/1868) made under section 132A of the Social Security Administration Act 1992;

### "DPA"

means the Data Protection Act 1998 as amended from time to time;

### "Due Diligence Information"

means any information supplied to the Supplier by or on behalf of the Customer prior to the Framework Commencement Date;

### "Environmental Information Regulations or EIRs"

means the Environmental Information Regulations 2004 together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government department in relation to such regulations;

### "Equivalent Services"

means services which the Supplier can supply which are the same or similar to the Services;

### "Extension Framework Period"

means such period or periods up to a maximum of one year in total as may be specified by the Authority pursuant to Clause 9.2 (Framework Period);

### "FOIA"

means the Freedom of Information Act 2000 as amended from time to time 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**;

### "Framework"

means the framework arrangements established by the Authority for the provision of the Services to Contracting Bodies by suppliers (including the Supplier) pursuant to the OJEU Notice;

### "Framework Agreement"

means this agreement consisting of the Clauses together with the Framework Schedules and any appendices and annexes to the same;

### "Framework Commencement Date"

means [insert date dd/mm/yyyy];

### "Framework

means the period from the Framework Commencement Date until the expiry or earlier termination of this Framework

<b>"Period"</b>	Agreement;
<b>"Framework Price(s)"</b>	means the price(s) applicable to the provision of the Services set out in Framework Schedule 3 (Framework Prices and Charging Structure);
<b>"Framework Schedules"</b>	means the schedules to this Framework Agreement;
<b>"Framework Suppliers"</b>	means the suppliers (including the Supplier) appointed under this Framework Agreement or agreements on the same or similar terms to this Framework Agreement as part of the Framework;
<b>"Fraud"</b>	means any offence under Laws creating offences in respect of fraudulent acts (including the Misrepresentation Act 1967) or at common law in respect of fraudulent acts including acts of forgery;
<b>"Further Competition Award Criteria"</b>	means the award criteria set out in Part B of Framework Schedule 6 (Award Criteria);
<b>"Further Competition Procedure"</b>	means the further competition procedure described in paragraph 2 of Framework Schedule 5 (Call Off Procedure);
<b>"General Anti-Abuse Rule"</b>	means (a) the legislation in Part 5 of the Finance Act 2013; and (b) any future legislation introduced into parliament to counteract tax advantages arising from abusive arrangements to avoid national insurance contributions;
<b>"General Change in Law"</b>	means a Change in Law where the change is of a general legislative nature (including taxation or duties of any sort affecting the Supplier) or which affects or relates to a Comparable Supply;
<b>"Good Industry Practice"</b>	means 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;
<b>"Government"</b>	means the government of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Executive and the National Assembly for Wales), including government ministers and government departments and other bodies, persons, commissions or agencies from time to time carrying out functions on its behalf;
<b>"Halifax Abuse Principle"</b>	means the principle explained in the CJEU Case C-255/02 Halifax and others;
<b>"Improvement Plan"</b>	means the plan required by the Authority from the Supplier which shall detail how the Supplier will improve the provision of the Services pursuant to Clause 32.1.1 (Authority Remedies);

<b>"Improvement Notice"</b>	means the notice issued by the Authority to the Supplier pursuant to Clause 32.1.3 (Authority Remedies) which will detail how the Supplier shall improve the provision of the Services;
<b>"Information"</b>	has the meaning given under section 84 of the Freedom of Information Act 2000 as amended from time to time;
<b>"Initial Framework Period"</b>	means the period from the Framework Commencement Date until its third anniversary;
<b>"Insolvency Event"</b>	<p>means, in respect of the Supplier :</p> <ul style="list-style-type: none"> <li>a) a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or of any other composition scheme or arrangement with, or assignment for the benefit of, its creditors; or</li> <li>b) a shareholders' meeting is convened for the purpose of considering a resolution that it be wound up or a resolution for its winding-up is passed (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation); or</li> <li>c) a petition is presented for its winding up (which is not dismissed within fourteen (14) Working Days of its service) or an application is made for the appointment of a provisional liquidator or a creditors' meeting is convened pursuant to section 98 of the Insolvency Act 1986; or</li> <li>d) a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets; or</li> <li>e) an application order is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given; or</li> <li>f) it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986; or</li> <li>g) being a "small company" within the meaning of section 382(3) of the Companies Act 2006, a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or</li> <li>h) where the Supplier or Framework Guarantor is an individual or partnership, any event analogous to those listed in limbs (a) to (g) (inclusive) occurs in relation to that individual or partnership; or</li> <li>i) any event analogous to those listed in limbs (a) to (h) (inclusive) occurs under the law of any other jurisdiction;</li> </ul>

**"Intellectual  
Property Rights"  
or "IPR"**

means:

- 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 names, designs, Know-How, trade secrets and other rights in Confidential Information;
- b) applications for registration, and the right to apply for registration, for any of the rights listed at (a) that are capable of being registered in any country or jurisdiction; and
- c) all other rights having equivalent or similar effect in any country or jurisdiction;

**"IPR Claim"**

means any claim of infringement or alleged infringement (including the defence of such infringement or alleged infringement) of any IPR used to provide the Services or as otherwise provided and/or licensed by the Supplier (or to which the Supplier has provided access) to the Authority in the fulfilment of its obligations under this Framework Agreement;

**"Invitation to  
Tender" or "ITT"**

has the meaning given to it in the recitals to this Framework Agreement;

**"Key Sub-  
Contract"**

means each Sub-Contract with a Key Sub-Contractor;

**"Key Sub-  
Contractors"**

means any Sub-Contractor which, in the opinion of the Authority, performs (or would perform if appointed) a critical role in the provision of all or any part of the Services;

**"Key Performance  
Indicators" or  
"KPIs"**

means the performance measurements and targets set out in Part B of Framework Schedule 2 (Services and Key Performance Indicators);

**"Know-How"**

means all ideas, concepts, schemes, information, knowledge, techniques, methodology, and anything else in the nature of know-how relating to the Services but excluding know-how already in the other Party's possession before the Framework Commencement Date;

**"KPI Target"**

means the acceptable performance level for a KPI as set out in relation to each KPI;

**"Law"**

means any law, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of Section 2 of the European Communities Act 1972, regulation, order, regulatory policy, mandatory guidance or code of practice,

	judgment of a relevant court of law, or directives or requirements with which the Supplier is bound to comply;
<b>"Losses"</b>	means all losses, liabilities, damages, costs, expenses (including legal 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 <b>"Loss"</b> shall be interpreted accordingly;
<b>"Lot"</b>	means any of the <b>7</b> lots specified in Framework Schedule 2 (Services and Key Performance Indicators) and "Lots" shall be construed accordingly;
<b>"Management Charge"</b>	<i>means the sum payable by the Supplier to the Authority being an amount equal to 0.5 per cent (0.5%) of all Charges for the Services invoiced to the Contracting Bodies by the Supplier (net of VAT) in each Month throughout the Framework Period and thereafter until the expiry or earlier termination of all Call Off Agreements entered pursuant to this Framework Agreement. The Authority reserves the right to reduce Management Charge during the Framework Period if deemed appropriate;</i>
<b>"Management Information" or "MI"</b>	means the management information specified in Framework Schedule 9 (Management Information);
<b>"MI Default"</b>	has the meaning given to it in paragraph 6.1 of Framework Schedule 9 (Management Information);
<b>"MI Failure"</b>	means when an MI report: <ul style="list-style-type: none"> <li>a) contains any material errors or material omissions or a missing mandatory field; or</li> <li>b) is submitted using an incorrect MI reporting Template; or</li> <li>c) is not submitted by the reporting date(including where a Nil Return should have been filed);</li> </ul>
<b>"MI Report"</b>	means a report containing Management Information submitted to the Authority in accordance with Framework Schedule 9 (Management Information);
<b>"MI Reporting Template"</b>	means the form of report set out in the Annex to Framework Schedule 9 (Management Information) setting out the information the Supplier is required to supply to the Authority;
<b>"MISO"</b>	means 'Management Information System Online'. An online portal located at <a href="https://miso.buyingsolutions.gov.uk">https://miso.buyingsolutions.gov.uk</a> provided by the Authority for collection and receipt of Management Information;
<b>"Month"</b>	means a calendar month and <b>"Monthly"</b> shall be interpreted

	accordingly;
<b>"Nil Return"</b>	has the meaning given to it in paragraph 3.3 of Framework Schedule 9 (Management Information);
<b>"Occasion of Tax Non –Compliance"</b>	<p>means where:</p> <p>a) any tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 which is found on or after 1 April 2013 to be incorrect as a result of:</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>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 Framework Commencement Date or to a civil penalty for fraud or evasion;</p>
<b>"OJEU Notice"</b>	a) has the meaning given to it in Recital A;
<b>"Order"</b>	means an order for the provision of the Services placed by a Contracting Body with the Supplier under a Call Off Agreement;
<b>"Other Contracting Bodies"</b>	means all Contracting Bodies except the Authority and <b>"Other Contracting Body"</b> shall be construed accordingly;
<b>"Party"</b>	means the Authority or the Supplier and <b>"Parties"</b> shall mean both of them;
<b>"Personal Data"</b>	has the meaning given to it in the Data Protection Act 1998 as amended from time to time;
<b>"Processing"</b>	has the meaning given to it in the Data Protection Legislation but, for the purposes of this Framework Agreement, it shall include both manual and automatic processing and <b>"Process"</b> and <b>"Processed"</b> shall be interpreted accordingly;
<b>"Prohibited Act"</b>	<p>means:</p> <p>a) to directly or indirectly offer, promise or give any person working for or engaged by a Contracting Body and/or the Authority a financial or other advantage to:</p> <p>i) induce that person to perform improperly a</p>



	relevant function or activity; or
	ii) reward that person for improper performance of a relevant function or activity; or
	b) committing any offence:
	i) under the Bribery Act 2010; or
	ii) under legislation creating offences concerning Fraud; or
	iii) at common law concerning Fraud; or
	iv) committing (or attempting or conspiring to commit) Fraud;
<b>"Regulations"</b>	means the Public Contracts Regulations 2015 ( <a href="http://www.legislation.gov.uk/ukSI/2015/102/contents/made">http://www.legislation.gov.uk/ukSI/2015/102/contents/made</a> ) and/or the Public Contracts (Scotland) Regulations 2012 (as amended) (as the context requires) as amended from time to time;
<b>"Relevant Person"</b>	means any employee, agent, servant, or representative of the Authority, or of any Other Contracting Body or other public body;
<b>"Relevant Requirements"</b>	means all applicable Law relating to bribery, corruption and fraud, including the Bribery Act 2010 and any guidance issued by the Secretary of State for Justice pursuant to section 9 of the Bribery Act 2010;
<b>"Relevant Tax Authority"</b>	means HMRC, or, if applicable, the tax authority in the jurisdiction in which the Supplier is established;
<b>"Replacement Services"</b>	means any services which are substantially similar to any of the Services and which are received in substitution for the Services following the expiry or termination of this Framework Agreement;
<b>"Reporting Date"</b>	means the 7th day of each Month following the Month to which the relevant Management Information relates, or such other date as may be agreed between the Parties;
<b>"Requests for Information"</b>	means a request for information relating to this Framework Agreement or the provision of the Services or an apparent request for such information under the Code of Practice on Access to Government Information, FOIA or the EIRs;
<b>"Restricted Countries"</b>	shall have the meaning given to it in Clause 27.5.3 (Protection of Personal Data);
<b>"Self Audit Certificate"</b>	means the certificate in the form as set out in Framework Schedule 10 (Annual Self Audit Certificate) to be provided to the Authority in accordance with Clause 18 (Records, Audit Access);
<b>"Service Period"</b>	has the meaning given to it in Framework Schedule 4 (Template Pro Forma Letter of Appointment and Template Call Off Terms) as refined by a Contracting Body in a Call

	Off Agreement between that Contracting Body and the Supplier;
<b>"Services"</b>	means the services described in Framework Schedule 2 (Services and Key Performance Indicators) which the Supplier shall make available to Contracting Bodies;
<b>"Services Requirements"</b>	means the requirements of the Authority or any other Contracting Body (as appropriate) for the Services from time to time;
<b>"Specific Change in Law"</b>	means a Change in Law that relates specifically to the business of the Authority and which would not affect a Comparable Supply;
<b>"Standards"</b>	<p>means:</p> <ul style="list-style-type: none"> <li>a) any 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;</li> <li>b) any standards detailed in the specification in Framework Schedule 2 (Services and Key Performance Indicators);</li> <li>c) any standards detailed by the Contracting Body in the Call Off Agreement following a Further Competition Procedure or agreed between the Parties from time to time;</li> </ul> <p>any relevant Government codes of practice and guidance applicable from time to time.</p>
<b>"Statement of Requirements"</b>	means a statement issued by the Authority or any Other Contracting Body detailing its Services Requirements issued in accordance with the Call Off Procedure;
<b>"Sub-Contract"</b>	<p>means any contract or agreement (or proposed contract or agreement), other than this Framework Agreement or a Call Off Agreement, pursuant to which a third party:</p> <ul style="list-style-type: none"> <li>a) provides the Services (or any part of them);</li> <li>b) provides facilities or services necessary for the provision of the Services (or any part of them); and/or</li> </ul> <p>is responsible for the management, direction or control of the provision of the Services (or any part of them);</p>
<b>"Sub-Contractor"</b>	means the third party from the list of sub-contractors in Framework Schedule 7 (Key Sub-Contractors) or any third party including any Supplier associates engaged by the Supplier from time to time under a Sub-Contract permitted

	pursuant to this Framework Agreement;
<b>"Supplier"</b>	means the person, firm or company stated in the preamble to this Framework Agreement;
<b>"Supplier Personnel"</b>	means all persons employed or engaged by the Supplier together with the Supplier's servants, agents, suppliers, consultants and Sub-Contractors (and all persons employed by any Sub-Contractor together with the Sub-Contractor's servants, consultants, agents, suppliers and sub-contractors) used in the performance of its obligations under this Framework Agreement or any Call Off Agreements;
<b>"Supplier Representative"</b>	means the representative appointed by the Supplier from time to time in relation to this Framework Agreement;
<b>"Supplier's Confidential Information"</b>	means any information, however it is conveyed, that relates to the business, affairs, developments, trade secrets, Know-How, personnel and suppliers of 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;
<b>"Template Call Off Terms"</b>	means the template terms and conditions in Annex 2 to Framework Schedule 4 (Template Pro Forma Letter of Appointment and Template Call Off terms);
<b>"Template Pro Forma Letter of Appointment"</b>	means the template form in Annex 1 to Framework Schedule 4 (Template Pro Forma Letter of Appointment and Template Call Off terms);
<b>"Tender"</b>	means the tender submitted by the Supplier to the Authority on a copy of which is set out in Framework Schedule 20 (Tender);
<b>"Termination Notice"</b>	means 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 this Agreement on a specified date and setting out the grounds for termination;
<b>"Variation"</b>	has the meaning given to it in Clause 19.1.1 (Variation Procedure);
<b>"Variation Form"</b>	means the form that will be completed and signed by the Parties to effect a Variation which shall be in the form set out in Framework Schedule 19 (Variation Form);
<b>"Variation Procedure"</b>	means the procedure for carrying out a Variation as set out in Clause 19.1 (Variation Procedure);
<b>"VAT"</b>	means value added tax in accordance with the provisions of the Value Added Tax Act 1994;
<b>"Working Days"</b>	means any day other than a Saturday, Sunday or public holiday in England and Wales.

## FRAMEWORK SCHEDULE 2: SERVICES AND KEY PERFORMANCE INDICATORS

### PART A –SERVICES

#### 1. GENERAL

- 1.1 The purpose of this Part A of Framework Schedule 2 (Services and Key Performance Indicators) is to lay down the characteristics of the Services that the Supplier will be required to make available to all Contracting Bodies under this Framework Agreement and to provide a description of what the Services entail (including, if applicable, in each Lot) together with any specific Standards applicable to the Services.
- 1.2 The Services and any Standards set out in paragraph 2.2 below may be refined (to the extent permitted and set out in Framework Schedule 5 (Call Off Procedure)) by a Contracting Body during a Further Competition Procedure to reflect its Services Requirements for entering a particular Call Off Agreement.

#### 2. SPECIFICATION

##### 2.1 Summary

- 2.1.1 The Supplier may be required to provide services in relation to the supply of the Services to Contracting Bodies including but not limited to:
- (a) Conforming to the Charging Structure;
  - (b) Undertaking any billing requirements;
  - (c) Undertaking to meet all Contracting Body requirements;
  - (d) Providing a support function to deal with Contracting Body enquiries and issues;
  - (e) Complying with any KPIs and any service levels and any reporting requirements;
  - (f) Providing a dedicated account manager to manage the relationship between the Authority and the Supplier under this Framework Agreement, to resolve any issues arising from this Framework Agreement and to implement any improvements/innovations during the Framework Period;
  - (g) Complying with the Authority's Management Information requirements.

##### 2.2 Services

The Services covered are divided into the following Lots:

- 2.2.1 **Lot 1 – General corporate finance advice, separate to any transaction execution**

Lot 1 relates to the provision of general corporate finance advice to Contracting Bodies that may or may not be related to a specific transaction and will be separate to the execution of any specific transaction. Such execution, where relevant, may be carried out by the same or another Supplier(s) under one of the other Framework lots

## **Scope of work**

### **Core Services**

The Supplier will be appointed to provide general corporate finance advice to the Contracting Bodies to assist it in formulating, assessing the impact on and delivering its policy aims in relation to such projects as: corporate restructuring; potential sales, purchases or transfers of companies, businesses, assets, debt, equity, hybrid or other securities; potential corporate joint ventures or mergers; and capital structure and restructuring.

The Supplier is expected to be able to provide the following mandatory services, as required at the call-off stage, to assist the Contracting Bodies, in conjunction with its other professional advisers, in best achieving its stated aims and objectives in relation to the project:

- Strategic, commercial and financial analysis of the subject matter of the project, the options available and potential scenarios.
- Valuation analysis and reports.
- Independent scrutiny of third party valuations and financial analysis.
- Capital structure analysis and advice on the structuring or restructuring of any financing, including refinancing of existing debt facilities.
- Assessment and testing of current market conditions.
- Consideration of the options available in the wider policy and value for money context of Government.
- Advice on which option(s) best meet the stated aims and objectives of the Contracting Bodies in relation to the project.
- Formal recommendations.
- Advice on the strategy and tactics to be adopted in relation to the project (and potentially in relation to, but outside of the execution of, a specific transaction) vis-a-vis stakeholders, counterparties and other external parties.
- Assistance with obtaining any relevant authorisations, approvals or consents in relation to the project.
- Advice on the appropriate structure and process, including timing, in relation to any specific transaction or other action resulting from the project.
- Advice on, and assistance with, the preparation for any specific transaction or other action resulting from the project.
- Assistance in the preparation/review of documentation for any specific transaction or other action resulting from the project, for example an information memorandum, prospectus, underwriting agreement, sale and purchase

agreement, press release, etc.

- Advice on the appointment of other professional advisers and contractors in relation to the project.
- Advice on the appointment of other Suppliers to execute any specific transaction or other action resulting from the project, including the scope and terms of such appointment.
- Supervision and coordination of the work of other professional advisers, suppliers and contractors to ensure that they meet agreed deadlines and deliverables.
- Advice on and assistance with the oversight and challenge of any suppliers engaged to execute any specific transaction or other action resulting from the project.
- Preparation of timetables of events, liaison with other parties and process management of the project.

**2.2.2 Lot 2 – Advice on and execution of specific corporate transactions (typically referred to as mergers and acquisitions, or M&A)**

Lot 2 relates to advising Contracting Bodies on, and assisting in the execution of, a specific corporate transaction (or transactions). Such work may be carried out alongside or in parallel with another Supplier(s) providing services under one of the other Framework lots.

**Scope of work**

**Core Services**

The Supplier will be appointed to provide advice to the Contracting Bodies on how best to achieve its policy aims in relation to a specific transaction (or transactions) such as the sale, purchase or transfer of a company, business or asset (financial or real), a joint venture, merger or a corporate or financial restructuring. The Supplier will also be appointed to assist the Contracting Bodies in the execution of such transaction(s) consistent with the advice given to and accepted by the Contracting Bodies.

The Supplier is expected to be able to provide the following mandatory services, as required at the call-off stage, to assist the Contracting Bodies, in conjunction with its other professional advisers, in best achieving its stated aims and objectives in relation to the specific corporate transaction:

- Strategic, commercial and financial analysis of the subject matter of the transaction.
- Valuation analysis and reports.
- Independent scrutiny of third party valuations and financial analysis.
- Capital structure analysis and advice on the structuring or restructuring of any financing, including refinancing of existing debt facilities.

- Advice on the appropriate transaction structure and execution process, including timing.
- Advice on and assistance with any preparation for the transaction prior to any formal launch of the transaction process.
- Assessment and testing of current market conditions.
- Advice on the strategy and negotiating tactics to be adopted by the Contracting Body vis-a-vis stakeholders, counterparties and other external parties.
- Assessment of the ability of any acquiring counterparties to pay for the transaction.
- Assistance in meetings and negotiations with counterparties and their professional advisers over the terms of the transaction.
- Advice and assistance in negotiations with potential finance providers.
- Consideration of the transaction and the advice given in the wider policy and value for money context of Government.
- Advice on the terms of the transaction and if requested the provision of formal recommendations.
- Assistance in the preparation/review of documentation for the transaction, for example an information memorandum, sale and purchase agreement, press release, etc.
- Advice in relation to the scope of any due diligence exercise and the interpretation of the results in relation to the terms of the transaction and the negotiation thereof.
- Support the Contracting Bodies' legal advisers in relation to their advice on the financial regulatory aspects of the transaction, liaising with the relevant regulatory bodies (for example the UKLA, FCA and the Takeover Panel) and providing/seeking any relevant approvals.
- Assistance with obtaining the relevant authorisations, approvals or consents for the transaction.
- Advice on the appointment of other professional advisers and contractors.
- Supervision and coordination of the work of other professional advisers and contractors to ensure that they meet agreed deadlines and deliverables.
- Preparation of timetables of events, liaison with other parties and process management of the execution of the transaction.

### 2.2.3 **Lot 3 – Advice on and execution of specific equity or equity related capital markets transactions (typically referred to as equity capital markets, or ECM)**

Lot 3 relates to advising Contracting Bodies on, and assisting in the execution of, a specific equity or equity related capital markets transaction (or transactions). Such work may be carried out alongside or in parallel with another Supplier(s) providing services under one of the other Framework lots.

## Scope of work

### Core Services

The Supplier will be appointed to provide advice to the Contracting Bodies on how best to achieve its policy aims in relation to a specific equity or equity related capital markets transaction (or transactions), including private placements, within the complete equity and equity related product spectrum. The Supplier will also be appointed to assist the Contracting Bodies in the execution of such transaction(s) and the offering of the securities consistent with the advice given to and accepted by the Contracting Bodies.

The Supplier is expected to be able to provide the following mandatory services, as required at the call-off stage, to assist the Contracting Bodies, in conjunction with its other professional advisers, in best achieving its stated aims and objectives in relation to the specific equity or equity related capital markets transaction:

- Strategic, commercial and financial analysis of the subject matter of the transaction.
- Valuation analysis and reports of equity and equity related securities.
- Independent scrutiny of third party reports, valuations and financial analysis.
- Analysis and advice on capital structure in relation to the transaction.
- Advice on the appropriate transaction structure and execution process.
- Advice on market positioning and marketing of the offering, including timing.
- Advice on and assistance with obtaining ratings of equity related securities.
- Assessment and testing of current market conditions and appetite, and the likely market response to the transaction.
- Advice on the strategy and tactics to be adopted by the Contracting Body vis-a-vis stakeholders, the market and other external parties.
- Consideration of the transaction and the advice given in the wider policy and value for money context of Government.
- Advice on the terms of the transaction and if requested the provision of formal recommendations.
- Advice on and assistance with preparation for the transaction.
- Assistance in the preparation/review of documentation for the transaction, for example the prospectus, analyst/roadshow presentation, underwriting agreement, press release, etc.
- Advice in relation to the scope of any due diligence exercise and the interpretation of the results in relation to the transaction.
- Advice and assistance in the marketing of the offering to potential purchasers of the securities and building a book of demand.



- Advice on the creation of an offering syndicate, including the appointment of parties to that syndicate.
- Managing and/or participating in an offering syndicate.
- Advice on the sizing and pricing of the offering, both prior to and following the book build, and allocation of the final offering across the book of demand.
- Settlement of the transaction.
- Underwriting of the offering, in line with market norms.
- Support the Contracting Bodies' legal advisers in relation to their advice on the financial regulatory aspects of the transaction, liaising with the relevant regulatory bodies (for example the UKLA and FCA) and providing/seeking relevant approvals.
- Assistance with obtaining the relevant authorisations, approvals or consents for the transaction.
- Advice on the appointment of other professional advisers and contractors.
- Supervision and coordination of the work of other professional advisers and contractors to ensure that they meet agreed deadlines and deliverables.
- Preparation of timetables of events, liaison with other parties and process management of the execution of the transaction.

**2.2.4 Lot 4 – Advice on and execution of specific debt capital markets transactions (typically referred to as debt capital markets, or DCM)**

Lot 4 relates to advising Contracting Bodies on, and assisting in the execution of, a specific debt capital markets transaction (or transactions). Such work may be carried out alongside or in parallel with another Supplier(s) providing services under one of the other Framework Lots.

Scope of work
<p><b>Core Services</b></p> <p>The Supplier will be appointed to provide advice to the Contracting Bodies on how best to achieve its policy aims in relation to a specific debt capital markets transaction (or transactions), including private placements, across the full debt product spectrum. The Supplier will also be appointed to assist the Contracting Bodies in the execution of such transaction(s) and the offering of the securities consistent with the advice given to and accepted by the Contracting Bodies.</p> <p>The Supplier is expected to be able to provide the following mandatory services, as required at the call-off stage, to assist the Contracting Bodies, in conjunction with its other professional advisers, in best achieving its stated aims and objectives in relation to the specific debt capital markets transaction:</p> <ul style="list-style-type: none"><li>• Strategic, commercial and financial analysis of the subject matter of the transaction.</li><li>• Valuation analysis and reports of debt securities.</li><li>• Independent scrutiny of third party reports, valuations and financial analysis.</li><li>• Analysis and advice on capital structure in relation to the transaction.</li><li>• Advice on the appropriate transaction structure and execution process.</li><li>• Advice on market positioning and marketing of the offering, including timing.</li><li>• Advice on and assistance with obtaining ratings of debt securities.</li><li>• Assessment and testing of current market conditions and appetite, and the likely market response to the transaction.</li><li>• Advice on the strategy and tactics to be adopted by the Contracting Bodies vis-a-vis stakeholders, the market and other external parties.</li><li>• Consideration of the transaction and the advice given in the wider policy and value for money context of Government.</li><li>• Advice on the terms of the transaction and if requested the provision of formal recommendations.</li><li>• Advice on and assistance with preparation for the transaction.</li><li>• Assistance in the preparation/review of documentation for the transaction, for example the bond prospectus, underwriting agreement, press release, etc.</li><li>• Advice in relation to the scope of any due diligence exercise and the</li></ul>

interpretation of the results in relation to the transaction.

- Advice and assistance in the marketing of the offering to potential purchasers of the securities and building a book of demand.
- Advice on the creation of an offering syndicate, including the appointment of parties to that syndicate.
- Managing and/or participating in an offering syndicate.
- Advice on the sizing and pricing of the offering, both prior to and following the book build, and allocation of the final offering across the book of demand.
- Settlement of the transaction.
- Underwriting of the offering, in line with market norms.
- Support the Contracting Bodies' legal advisers in relation to their advice on the financial regulatory aspects of the transaction, liaising with the relevant regulatory bodies (for example the UKLA and FCA) and providing/seeking relevant approvals.
- Assistance with obtaining the relevant authorisations, approvals or consents for the transaction.
- Advice on the appointment of other professional advisers and contractors.
- Supervision and coordination of the work of other professional advisers and contractors to ensure that they meet agreed deadlines and deliverables.
- Preparation of timetables of events, liaison with other parties and process management of the execution of the transaction.

**2.2.5 Lot 5 – Specialist retail offer advice and execution in relation to specific capital markets transactions**

Lot 5 relates to advising Contracting Bodies on, and assisting in the execution of, the retail offer element of a specific capital markets transaction (or transactions). Such work is expected to be carried out alongside another Supplier(s) providing services under Lot 3 or 4. Such work may also be carried out alongside or in parallel with another Supplier(s) providing services under one of the other Framework Lots.

Scope of work
<p><b>Core Services</b></p> <p>The Supplier will be appointed to provide advice to the Contracting Bodies on how best to achieve its policy aims in relation to the retail offer element of a specific capital markets transaction (or transactions). The Supplier will also be appointed to assist the Contracting Bodies in the execution of the retail offer element of such transaction(s) and the offering of the securities to retail investors, directly and/or through financial intermediaries, consistent with the advice given to and accepted by the Contracting Bodies.</p> <p>The Supplier is expected to be able to provide the following mandatory services, as required at the call-off stage, to assist the Contracting Bodies, in conjunction with its other professional advisers and the Supplier(s) leading the capital markets transaction, in best achieving its stated aims and objectives in relation to the retail offer element of the specific capital markets transaction:</p> <ul style="list-style-type: none"><li>• Advice on the suitability, or otherwise, of a retail offer element to the transaction.</li><li>• Consideration of the retail offer element of the transaction and the advice given in the wider policy and value for money context of Government.</li><li>• Advice on the appropriate structure, distribution mechanism, marketing, timetable and design of the retail offer, including on-line or by post offerings direct to the public.</li><li>• Formal recommendations.</li><li>• Advice on and assistance with preparation for the retail offer.</li><li>• Assistance in the preparation/review of documentation for the retail offer, for example a prospectus, press release, etc.</li><li>• Advice and assistance in the marketing of the retail offering directly to the public and/or through financial intermediaries.</li><li>• Advice on the sizing of the retail element of the transaction, both prior to and following the book build.</li><li>• Advice on the settlement of the retail offer.</li><li>• Advice on the appointment of other professional advisers and contractors in relation to the retail offer.</li><li>• Supervision and coordination of the work of other professional advisers and contractors in relation to the retail offer to ensure that they meet agreed</li></ul>

deadlines and deliverables.

**2.2.6 Lot 6 - Specialist corporate finance advice in relation to the infrastructure sector**

Lot 6 relates to the provision of specialist corporate finance advice to Contracting Bodies in relation to the infrastructure sector that may be related to a specific transaction. Such work may be carried out alongside or in parallel with another Supplier(s) providing services under one of the other Framework Lots.

**Scope of work**

**Core Services**

The Supplier will be appointed to provide specialist corporate finance advice in relation to the infrastructure sector to the Contracting Bodies. Advice may consist of the development, appraisal or execution of suitable strategies, policies and options for the infrastructure sector, including the provision of research, technical or market analysis. It could concern the development, financing or procurement of complex projects in the infrastructure sector (including, but not limited to, Public-Private Partnership (PPP), Private Finance Initiative (PFI), Private Finance 2 (PF2), outsourcing or shared services). Alternatively, it could require option appraisal, feasibility studies, valuation, due diligence or deal execution in connection with Government-owned assets.

The Supplier is expected to be able to provide the following mandatory services, as required at the call-off stage, to assist the Contracting Bodies, in conjunction with its other professional advisers, in best achieving its stated aims and objectives in relation to a given project or specific transaction:

- Advice on financing of major capital investment projects and programmes (including corporate balance sheet financing and project finance).
- Provision of commercial input into policy formulation.
- Advice on infrastructure financing in economically regulated sectors, including financing aspects of regulatory policy.
- Valuation analysis and reports.
- Independent scrutiny of third party valuations and financial analysis.
- Capital structure analysis and advice on the structuring or restructuring of debt and equity financing, including refinancing of existing debt facilities.
- Assessment and testing of current market conditions including the capability, capacity and appetite of debt and equity providers to lend to or invest in infrastructure assets.
- Value for money assessment, risk analysis and use of Government balance sheet.
- Consideration of the options available, any specific transaction and in either case the advice given in the wider policy and value for money context of Government.
- Advice on which option(s) best meet the stated aims and objectives of the Contracting Body in relation to the project.
- Advice on the terms of any transaction.

- If requested, the provision of formal recommendations.
- Advice on the strategy and tactics to be adopted in relation to a given project or transaction vis-a-vis stakeholders, counterparties and other external parties.
- Advice on, and assistance with, the preparation for any specific transaction or other action resulting from a project.
- Assistance with obtaining any relevant authorisations, approvals or consents in relation to the project.
- Advice on the appropriate structure and process, including timing, in relation to any specific transaction or other action resulting from a project.
- Assistance in the preparation of tender documentation, financial modelling, bid evaluation and contract negotiation support.
- Assistance in the preparation/review of documentation for any specific transaction or other action resulting from the project, for example an information memorandum, prospectus, underwriting agreement, sale and purchase agreement, press release, etc.
- Advice and assistance in meetings and negotiations with counterparties and their professional advisers.
- Advice and assistance in negotiations with potential finance providers.
- Advice in relation to the scope of any due diligence exercise and the interpretation of the results in relation to the terms of the transaction and the negotiation thereof.
- Support the Contracting Bodies' legal advisers in relation to their advice on the financial regulatory aspects of any transactions, liaising with the relevant regulatory bodies (for example, the UKLA, FCA and the Takeover Panel) and providing/seeking any relevant approvals.
- Advice on the appointment of other professional advisers and contractors in relation to a project or transaction.
- Advice on the appointment of other Suppliers to execute any specific transaction or other action resulting from a project, including the scope and terms of such appointment.
- Supervision and coordination of the work of other professional advisers, Suppliers and contractors to ensure that they meet agreed deadlines and deliverables.
- Advice on and assistance with the oversight and challenge of any Suppliers engaged to execute any specific transaction or other action resulting from a project.
- Preparation of timetables of events, liaison with other parties and process management of the project.

**2.2.7 Lot 7 - Specialist corporate finance advice in relation to portfolios of, or discreet, financial assets**

Lot 7 relates to the provision of specialist corporate finance advice to Contracting Bodies in relation to portfolios of, or discreet, financial assets that may be related to a specific transaction and will be separate to the execution of any specific transaction. Such execution, where relevant, would be carried out by the same or another Supplier(s) under one of the other Framework Lots.

**Scope of work**

**Core Services**

The Supplier will be appointed by the Contracting Bodies to undertake specialist analysis of complex portfolios of, or discreet, financial assets in relation to portfolio optimisation, risk management and the potential acquisition, disposal or restructuring of such portfolios or discreet assets, and to advise the Contracting Bodies on the options available and appropriate strategies and actions to best meet its stated policy aims.

The Supplier is expected to be able to provide the following mandatory services, as required at the call-off stage, to assist the Contracting Bodies, in conjunction with its other professional advisers, in best achieving its stated aims and objectives in relation to the project:

- Analysis and valuation of financial assets and portfolios thereof.
- Valuation reports.
- Independent scrutiny of third party valuations and financial analysis.
- Assessment and analysis of the options available for portfolio optimisation, including but not limited to:
  - asset allocation, diversification and rebalancing;
  - scenario analysis; and
  - stress testing.
- Assessment and testing of current market conditions.
- Consideration of the options available in the wider policy and value for money context of Government.
- Advice on which option(s) best meet the stated aims and objectives of the Contracting Body and what actions, if any, should be pursued to deliver this.
- Analysis and advice on risk management and mitigation strategies.
- Development, analysis and advice on financial asset related emergency response strategies and options.
- Formal recommendations.
- Input into other reviews being undertaken for asset related special studies.



## **2.3 Procurement specific Standards**

2.3.1 The Supplier shall at all times during the Framework Period and the term of any Call Off Agreement comply with the Standards including but not limited to the following:

- (a) Information Security Management Standards
  - (i) ISO 27001 Information Security Management standard or equivalent.
  - (ii) Cyber Essentials Scheme

## PART B– KEY PERFORMANCE INDICATORS

### 3. GENERAL

- 3.1 The purpose of this Part B is to set out the KPIs by which the Supplier's overall performance under this Framework Agreement shall be monitored and managed. The Authority reserves the right to adjust, introduce new, or remove KPIs throughout the Framework Period, however any significant changes to KPIs shall be agreed between the Authority and the Supplier in accordance with Clause 19.1 (Variation Procedure).
- 3.2 The Supplier shall comply with all its obligations related to KPIs set out in this Framework Agreement including Framework Schedule 8 (Framework Management) and shall use all reasonable endeavours to meet the KPI Targets identified in the table below.
- 3.3 The KPIs from which performance by the Supplier of this Framework Agreement will be reported against are set out below:

Key Performance Indicator (KPI)	KPI Target Weighting	Measured by
<b>1. FRAMEWORK MANAGEMENT</b>		
1.1 MI returns: All MI returns to be returned to CCS by the 5 <sup>th</sup> working day of each month	15%	Confirmation of receipt and time of receipt by the Authority (as evidenced within the Authority's data warehouse (MISO) system)
1.2 All undisputed invoices to be paid within 30 calendar days of issue	5%	Confirmation of receipt and time of receipt by the Authority (as evidenced within the Authority's CODA system)
1.3 Supplier self-audit certificate to be issued to the Authority in accordance with the Framework Agreement	5%	Confirmation of receipt and time of receipt by the Authority

1.4 Actions identified in an Audit Report to be delivered by the dates set out in the Audit Report	5%	Confirmation by the Authority of completion of the actions by the dates identified in the Audit Report
1.5 All complaints responded to within 2 Working Days	5%	Confirmation of acknowledgement of response by the Authority
1.6 All complaints resolved within 5 Working Days	5%	Confirmation of resolution by the Authority
1.7 All invoice queries are acknowledged and resolved within 3 Working Days	5%	Confirmation of resolution by the Authority
1.8 Notification of any issues or incidents affecting service within 1 Working Day	5%	Reports on service issues received by the Authority
<b>2. CUSTOMER SATISFACTION</b>		
2.1 Services to be provided under Call Off Agreements to the satisfaction of Contracting Bodies	50%	Confirmation by the Authority of the Supplier's performance against customer satisfaction surveys
<b>CCS CORPORATE KPIS TOTAL</b>	100%	

## FRAMEWORK SCHEDULE 3: FRAMEWORK PRICES AND CHARGING STRUCTURE

### 1. DEFINITIONS

1.1 The following terms used in this Framework Schedule 3 shall have the following meanings:

**"Reimbursable Expenses"**

means 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 Contracting Body's expenses policy current from time to time, but not including:

- a) travel expenses incurred as a result of Supplier Personnel travelling to and from their usual place of work, or to and from the premises at which the Services are principally to be performed, unless the Contracting Body otherwise agrees in advance in writing; and
- b) subsistence expenses incurred by Supplier Personnel 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;

**"Supporting Documentation"**

means sufficient information in writing to enable the Contracting Body reasonably to assess whether the Charges, Reimbursable Expenses (as referred to in paragraph 5 to this Framework Schedule 3 (Reimbursable Expenses) and other sums due from the Contracting Body under a Call Off Agreement detailed in the information are properly payable.

### 2. GENERAL PROVISIONS

2.1 The Framework Prices set out in Annex 1 to this Framework Schedule 3 are the maximum that the Supplier may charge pursuant to any Call Off Agreement except where the provisions of Paragraph 2.1.1(f) of Framework Schedule 5 (Call Off Procedure) apply. Where the estimated transaction value under a Call Off Agreement falls between the transaction values for which Framework Prices have been quoted, the Framework Price for that Call Off Agreement will be calculated pro rata using the Framework Prices calculated for the upper and lower transaction values for the range in which the estimated transaction value falls.

2.2 The Supplier acknowledges and agrees that the prices submitted in relation to the further competition held in accordance with Framework Schedule 5 (Call Off

Procedure) shall be equal to or lower than the Framework Prices except where the provisions of Paragraph 2.1.1(f) of Framework Schedule 5 (Call Off Procedure) apply.

- 2.3 The Supplier acknowledges and agrees that, subject to paragraph 5.4 of this Framework Schedule 3 (Adjustment of the Framework Prices), the Framework Prices cannot be increased during the Framework Period.

### **3. PRICING MECHANISM FOR THE CALCULATION OF FRAMEWORK PRICES**

- 3.1 Framework Prices shall be calculated using the pricing mechanism specified in Annex 1 to this Framework Schedule 3 in relation to the appropriate Lot(s).
- 3.2 The Contracting Body shall decide which of the charging models set out in Appendix 1 for the relevant Lot shall apply to each Call Off Procedure, in accordance with 2.1.1(d) of Framework Schedule 5 ("Call Off Procedure").

### **4. COSTS AND EXPENSES**

- 4.1 Except as expressly set out in paragraph 5 of this Framework Schedule 3 (Reimbursable Expenses), the Framework Prices shall include all costs and expenses relating to the Services provided to Contracting Bodies and/or the Supplier's performance of its obligations under any Call Off Agreements and no further amounts shall be payable by a Contracting Body to the Supplier in respect of such performance, including in respect of matters such as:
- 4.1.1 any incidental expenses that the Supplier incurs, including travel, subsistence and lodging, document or report reproduction, shipping, desktop or office equipment costs required by the Supplier Personnel, network or data interchange costs or other telecommunications charges; or
  - 4.1.2 any amount for any services provided or costs incurred by the Supplier prior to the commencement date of any Call Off Agreement.

### **5. REIMBURSABLE EXPENSES**

- 5.1 The Framework Prices shall be inclusive of all Supplier's travel and expenses for work carried out in Greater London and/or in the location for performance of the Services specified in the relevant Call-Off Agreement. Subject to paragraphs 5.2, 5.3 and 5.4, the Contracting Bodies shall not be liable for Supplier's travel charges.
- 5.2 In the event that a Contracting Body or Authority requires the Supplier to travel to locations other than Greater London and/or the location for performance of the Services specified in the relevant Call-Off Agreement, travel charges incurred by the Supplier shall be subject to the provisions of this paragraph 5.2 as set out below. The Supplier shall:
- 5.2.1 only use public transport, standard class for all travel related to the provision of the Services under this Framework Agreement;
  - 5.2.2 seek prior written approval from the relevant Contracting Bodies or Authority for all travel costs to locations other than Greater London and/or the location as specified in the Letter of Appointment;

- 5.2.3 present to the Contracting Body or Authority evidence of expenditure for any public transport charges (for standard class) for travel to locations other than Greater London and/or the location as specified in the Letter of Appointment.

5.3 All air travel and taxi expenses shall receive prior written authorisation from the relevant Contracting Body or Authority in advance of any expenditure and the Supplier shall present to the Contracting Body evidence of expenditure.

5.4 All hotel expenditure shall receive prior written authorisation from the relevant Contracting Body or Authority in advance of any expenditure and the Supplier shall present to the Contracting Body evidence of agreed hotel expenditure. Charges for hotel accommodation shall be at the Contracting Body's standard rates, unless otherwise explicitly agreed in advance in writing by the Contracting Body.

## **6. ADJUSTMENT OF THE FRAMEWORK PRICES**

6.1 The Framework Prices shall only be varied:

- 6.1.1 due to a Specific Change in Law in relation to which the Parties agree that a change is required to all or part of the Framework Prices in accordance with Clause 19.2 of this Framework Agreement (Legislative Change);
- 6.1.2 where all or part of the Framework Prices are reviewed and reduced in accordance with paragraph 7 of this Framework Schedule 3 (Supplier Periodic Assessment of Framework Prices);
- 6.1.3 where a review and increase of Framework Prices is requested by the Supplier and Approved, in accordance with the provisions of paragraph 8 of this Framework Schedule 3 (Supplier Request For Increase Of The Framework Prices); or

6.2 Subject to paragraphs 6.1.1 to 6.1.2 of this Framework Schedule, the Framework Prices will remain fixed for the first two (2) Contract Years.

## **7. SUPPLIER PERIODIC ASSESSMENT OF FRAMEWORK PRICES**

7.1 During the Framework Period, the Supplier shall undertake a yearly assessment of the level of the Framework Prices to consider whether it is able to reduce them.

7.2 Such assessments by the Supplier under paragraph 7.1 shall be carried out on 1 May in each Contract Year (or in the event that such dates do not, in any Contract Year, fall on a Working Day, on the next Working Day following such dates). To the extent that the Supplier is able to decrease all or part of the Framework Prices it shall promptly notify the Authority in writing and such reduction shall be implemented in accordance with paragraph 10.1.1(i) below.

## **8. SUPPLIER REQUEST FOR INCREASE OF THE FRAMEWORK PRICES**

8.1 The Supplier may request an increase in all or part of the Framework Prices in accordance with the remaining provisions of this paragraph 8 subject always to:

8.1.1 the Supplier's request being submitted in writing at least three (3) Months before the effective date for the proposed increase in the relevant Framework Prices ("**Review Adjustment Date**") which shall be subject to paragraph 8.2;

8.1.2 the Approval of the Authority which shall be granted in the Authority's sole discretion.

8.2 The earliest Review Adjustment Date will be the first (1st) Working Day following the second (2nd) anniversary of the Framework Commencement Date. Thereafter any subsequent increase to any of the Framework Prices in accordance with this paragraph 8 shall not occur before the anniversary of the previous Review Adjustment Date during the Framework Period.

8.3 To make a request for an increase in some or all of the Framework Prices in accordance with this paragraph 8, The Supplier shall provide the Authority with:

8.3.1 a list of the Framework Prices it wishes to review;

8.3.2 for each of the Framework Prices under review, written evidence of the justification for the requested increase including:

- (a) a breakdown of the profit and cost components that comprise the relevant Framework Price;
- (b) details of the movement in the different identified cost components of the relevant Framework Price;
- (c) reasons for the movement in the different identified cost components of the relevant Framework Price;
- (d) evidence that the Supplier has attempted to mitigate against the increase in the relevant cost components; and
- (e) evidence that the Supplier's profit component of the relevant Framework Price is no greater than that applying to Framework Prices using the same pricing mechanism as at the Framework Commencement Date.

## **9. NOT USED**

## **10. IMPLEMENTATION OF ADJUSTED FRAMEWORK PRICES**

10.1 Variations in accordance with the provisions of this Framework Schedule 3 to all or part the Framework Prices (as the case may be) shall be made by the Authority to take effect:

10.1.1 in accordance with Clause 19.2 (Legislative Change) where an adjustment to the Framework Prices is made in accordance with paragraph 6.1.1 of this Framework Schedule;

- (i) on [1 June] for assessments made on [1 May] where an adjustment to the Framework Prices is made in accordance with paragraph 6.1.2 of this Framework Schedule 3 and the Parties shall amend the Framework Prices shown in Annex 1 to this Framework Schedule 3 to reflect such variations.

## **11. CHARGES UNDER CALL OFF AGREEMENTS**

- 11.1 For the avoidance of doubt any change to the Framework Prices implemented pursuant to this Framework Schedule 3 are made independently of, and, subject always to paragraphs 2.1 and 2.2 of this Framework Schedule 3 and shall not affect the Charges payable by a Contracting Body under a Call Off Agreement in force at the time a change to the Framework Prices is implemented.
- 11.2 Any variation to the Charges payable under a Call Off Agreement must be agreed between the Supplier and the relevant Contracting Body and implemented in accordance with the provisions applicable to the Call Off Agreement.

## **12. E-COMMERCE TRANSACTIONS WITH CENTRAL GOVERNMENT BODIES**

- 12.1 The Supplier acknowledges and agrees that the Government's wide strategy of 'Digital by Default' (<https://www.gov.uk/government/publications/government-digital-strategy>) endorses a commitment to implement e-commerce systems, including, for example, purchase-to-pay (P2P) automated systems, as the preferred transacting model for all Government's purchasing transactions. The intent is to migrate, wherever practically possible, all Government's purchasing to an e-commerce environment.
- 12.2 The Supplier acknowledges and agrees that when contracting with Contracting Bodies, the latter may use a specific e-commerce application and the Supplier shall be required to comply with the relevant requirements set out by the relevant Contracting Body in their Statement of Requirements during the Further Competition Procedure and/or terms of the relevant Call Off Agreement.



## ANNEX 1: PRICING MECHANISM AND FRAMEWORK PRICES

*[Guidance Note: Prior to the commencement of the Framework Agreement, the Authority will incorporate here, the Supplier's tendered Framework Prices including any discounts. This will consist of Attachment 9 from the Procurement Documents as completed by the Supplier, with any Lots to which the Supplier has not been admitted deleted, and any other necessary amendments made.]*

**FRAMEWORK SCHEDULE 4: TEMPLATE PRO FORMA LETTER OF APPOINTMENT  
AND TEMPLATE CALL OFF TERMS**

**ANNEX 1: TEMPLATE PRO FORMA LETTER OF APPOINTMENT**

**ANNEX 2: TEMPLATE CALL OFF TERMS**

## FRAMEWORK SCHEDULE 5: CALL OFF PROCEDURE

### 1. AWARD PROCEDURE

1.1 If the Authority or any Other Contracting Body decides to source the Services through this Framework Agreement then it will award its Services Requirements in accordance with the procedure in this Framework Schedule 5 (Call Off Procedure) and the requirements of the Regulations and the Guidance. For the purposes of this Framework Schedule 5, “**Guidance**” shall mean any guidance issued or updated by the UK Government from time to time in relation to the Regulations.

The Contracting Body shall award a Call Off Agreement in accordance with the Further Competition Procedure set out in paragraph 2 below.

### 2. FURTHER COMPETITION PROCEDURE

#### Contracting Body's Obligations

2.1 A Contracting Body awarding a Call Off Agreement under this Framework Agreement through a Further Competition Procedure shall:

2.1.1 develop a Statement of Requirements which :

- (a) sets out its requirements for the Services and any particular experience or specialism which relates to and is important for the provision of the Services and which the Framework Suppliers should be aware of;
- (b) identifies those Framework Suppliers who are both capable of supplying the Services and who may participate in the Further Competition Procedure pursuant to clause 2.2.5(c) of this Framework Schedule 5;
- (c) identifies the Lot(s) which relate to the Services and under which the Further Competition Procedure will take place;
- (d) identifies the charging structure to be used in the Further Competition Procedure (as set out in Annex 1 to Framework Schedule 3 (Framework Prices and Charging Structure));
- (e) where the estimated value of the transaction is relevant to calculation of the Framework Prices, sets out the estimated value of the transaction that will be used for the purposes of determining the Framework Prices for the Further Competition Procedure; and
- (f) may, at the Contracting Body's complete discretion, state that because of exceptional circumstances relating to those Services, the Contracting Body permits the Framework Suppliers to submit a tender pursuant to paragraph 2 below with higher maximum prices than the Framework Prices. Such exceptional circumstances may include:
  - (i) unusual or extreme time pressure;

- (ii) unusual transaction complexity or unusually wide scope – i.e. a transaction which is more complex or has a wider scope than the indicative transaction description for the relevant Lot as set out in Annex 1 to Framework Schedule 3 (Framework Prices and Charging Structure), which was used by the Supplier to assess the Framework Charges; or
  - (iii) high project values, above the maximum estimated transaction size for the relevant Lot(s).
- 2.1.2 amend or refine the Template Call Off Form and Template Call Off Terms to reflect its Services Requirements only to the extent permitted by and in accordance with the requirements of the Regulations and Guidance;
- 2.1.3 invite tenders by conducting a Further Competition Procedure for its Services Requirements in accordance with the Regulations and Guidance and in particular:
  - (i) invite the Framework Suppliers identified in accordance with paragraph 2.1.1 to submit a tender in writing for each proposed Call Off Agreement to be awarded by giving written notice by email to the relevant Supplier Representative of each Framework Supplier;
  - (ii) set a time limit for the receipt by it of the tenders which takes into account factors such as the complexity of the subject matter of the proposed Call Off Agreement and the time needed to submit tenders; and
  - (iii) keep each tender confidential until the time limit set out for the return of tenders has expired.
- 2.1.4 apply the Further Competition Award Criteria to the Framework Suppliers' compliant tenders submitted through the Further Competition Procedure as the basis of its decision to award a Call Off Agreement for its Services Requirements;
- 2.1.5 on the basis set out above, award its Call Off Agreement to the successful Framework Supplier in accordance with paragraph 5 which Call Off Agreement shall:
  - (a) state the Services Requirements;
  - (b) state the tender submitted by the successful Framework Supplier;
  - (c) state the charges payable for the Services Requirements in accordance with the tender submitted by the successful Framework Supplier; and
  - (d) incorporate the Template Call Off Form and Template Call Off Terms (as may be amended or refined by the Contracting Body

in accordance with paragraph 2.1.2 above) applicable to the Services,

- 2.1.6 provide unsuccessful Framework Suppliers with written feedback in relation to the reasons why their tenders were unsuccessful.

### **The Supplier's Obligations**

2.2 The Supplier shall in writing, by the time and date specified by the Contracting Body following an invitation to tender pursuant to paragraph 2.1.3 above provide the Contracting Body with either:

- 2.2.1 a statement to the effect that it does not wish to tender in relation to the relevant Services Requirements; or

- 2.2.2 the full details of its tender made in respect of the relevant Statement of Requirements. In the event that the Supplier submits such a tender, it should include, as a minimum:

- (a) an email response subject line to comprise unique reference number and Supplier name, so as to clearly identify the Supplier;
- (b) a brief summary, in the email (followed by a confirmation letter), stating that the Supplier is bidding for the Statement of Requirements;
- (c) a proposal covering the Services Requirements.
- (d) CVs of key personnel – as a minimum any lead consultant, with others, as considered appropriate along with required staff levels;

a brief summary of its experience or expertise in the specialism set out by the Contracting Body in the Statement of Requirements in accordance with paragraph 2.1.1(a) above which relates to and is important for the provision of the Services; and

- (e) confirmation of discounts applicable to the Services, as referenced in Framework Schedule 3 (Framework Prices and Charging Structure).

- 2.2.3 The Supplier shall take into account any discount to which the Contracting Body may be entitled as set out in Framework Schedule 3 (Framework Prices and Charging Structure).

- 2.2.4 The Supplier shall ensure that any prices (being those time and materials, monthly work fees, transaction value fees or commissions fees as provided for in the Charging Structure set out in the Framework Annex 1 to Schedule 3 (Framework Prices and Charging Structure)) which are submitted in relation to a Further Competition Procedure held pursuant to this paragraph 2 shall not exceed the maximum prices set out in the Charging Structure unless the Contracting Body has explicitly set out in the Statement of Requirements that higher bids will be

permitted because of exceptional circumstances applicable to the Services in accordance with paragraph 2.1.1(f) above .

2.2.5 The Supplier agrees that:

- (a) all tenders submitted by the Supplier in relation to the Further Competition Procedure held pursuant to this paragraph 2 shall remain open for acceptance by the Contracting Body for ninety (90) Working Days (or such other period specified in the invitation to tender issued by the relevant Contracting Body in accordance with the Call Off Procedure); and
- (b) all tenders submitted by the Supplier are made and will be made in good faith and that the Supplier has not fixed or adjusted and will not fix or adjust the price of the tender by or in accordance with any agreement or arrangement with any other person; and
- (c) the Supplier may only submit tenders in any Further Competition Procedure where:
  - (i) it has been admitted to the relevant Lot(s) identified by the Contracting Authority in the Statement of Requirement; and
  - (ii) it has provided maximum Framework Prices which are relevant to the Further Competition Procedure, i.e. Annex 1 of Framework Schedule 3 (Framework Prices and Charging Structure) sets out all of the following in the relevant Lot(s):
    - (A) Framework Prices for the relevant transaction type (in Lots which ask for different prices for different transaction types);
    - (B) where relevant, Framework Prices which match the estimated transaction value as set out in the Statement of Requirements. Where the estimated transaction value falls in a range between two transaction values identified on adjacent lines in the relevant table in Annex 1, the Supplier may not submit a tender unless Annex 1 contains prices for both the lower and upper value of the range defined by those adjacent lines, in order to allow accurate pro-rating of the Framework Prices for the estimated transaction value. The lowest transaction value in each table in Annex 1 covers transactions with an estimated value between £0 and that transaction value; and
    - (C) where relevant, Framework Prices which relate to all elements (i.e. maximum monthly work fee, transaction fee and/or commission fee) of the charging structure selected for the Further Competition Procedure as set out in the Statement of Requirements.

2.2.6 The Supplier certifies that it has not and undertakes that it will not:

- (i) communicate to any person other than the person inviting these tenders the amount or approximate amount of the tender, except where the disclosure, in confidence, of the approximate amount of the tender was necessary to obtain quotations required for the preparation of the tender; and
- (ii) enter into any arrangement or agreement with any other person that he or the other person(s) shall refrain from submitting a tender or as to the amount of any tenders to be submitted.

### **3.NO AWARD**

3.1 Notwithstanding the fact that the Contracting Body has followed a procedure as set out above in paragraph 2, the Contracting Body shall be entitled at all times to decline to make an award for its Services Requirements. Nothing in this Framework Agreement shall oblige any Contracting Body to award any Call Off Agreement.

### **4.RESPONSIBILITY FOR AWARDS**

4.1 The Supplier acknowledges that each Contracting Body is independently responsible for the conduct of its award of Call Off Agreements under this Framework Agreement and that the Authority is not responsible or accountable for and shall have no liability whatsoever in relation to:

- 4.1.1 the conduct of Other Contracting Bodies in relation to this Framework Agreement; or
- 4.1.2 the performance or non-performance of any Call Off Agreements between the Supplier and Other Contracting Bodies entered into pursuant to this Framework Agreement.

### **5.CALL OFF AWARD PROCEDURE**

5.1 Subject to paragraphs 1 to 4 above, a Contracting Body may award a Call Off Agreement with the Supplier by sending (including electronically) a signed order form substantially in the form (as may be amended or refined by the Contracting Body in accordance with paragraph 2.1.2 above) of the Template Pro Forma Letter of Appointment set out in Framework Schedule 4 (Template Pro Forma Letter of Appointment and Template Call Off Terms).

5.2 The Parties agree that a Contracting Body may award one Call Off Agreement in respect of more than one Lot where the Letter of Appointment specifies which of the Lots are to be combined and details the relevant Lot services in Schedule 2 of the Call Off Agreement. The Parties agree that any document or communication (including any document or communication in the apparent form of a Call Off Agreement) which is not as described in this paragraph 5 shall not constitute a Call Off Agreement under this Framework Agreement.

5.3 On receipt of an order form as described in paragraph 5.1 above from a Contracting Body the Supplier shall accept the Call Off Agreement by promptly signing and

returning (including by electronic means) a copy of the order form to the Contracting Body concerned.

- 5.4 On receipt of the signed order form from the Supplier, the Contracting Body shall send (including by electronic means) a written notice of receipt to the Supplier within two (2) Working Days and a Call Off Agreement shall be formed.



## **FRAMEWORK SCHEDULE 6: AWARD CRITERIA**

### **1. GENERAL**

- 1.1 This Framework Schedule 6 is designed to assist Contracting Bodies seeking to award a Call Off Agreement through reopening competition under a Further Competition Procedure in accordance with the Call Off Procedure.
- 1.2 A Call Off Agreement shall be awarded on the basis of most economically advantageous tender ("MEAT") from the point of view of the Contracting Body.
- 1.3 This Framework Schedule 6 includes details of the evaluation criteria and any weightings that will be applied to that criteria.

**PART A: NOT USED**

## PART B: FURTHER COMPETITION AWARD CRITERIA

2. The following criteria shall be applied to the Services set out in the Suppliers' compliant tenders submitted through the Further Competition Procedure:

Criteria Number	Criteria	Percentage Weightings (or rank order of importance where applicable) - to be set by the Contracting Body conducting the further competition
A	<p>Quality</p> <p>(Quality <i>may</i> include:</p> <p>Seniority, qualification and experience of people to be deployed on the project.</p> <p>Recent experience relevant to the project.</p> <p>Ability to deploy resources and meet the required deadlines.</p> <p>Regulatory Body Approvals where appropriate.</p> <p>Environmental and/or social aspects.</p> <p>Contracting Bodies may test Quality by supplementing these tests for quality as appropriate relevant to the Requirement)</p>	30 – 70%
E	Price (not to exceed the maximum prices set out in the Charging Structure unless expressly permitted in the Statement of Requirements)	30 – 70%

## **FRAMEWORK SCHEDULE 7: KEY SUB-CONTRACTORS**

1. In accordance with Clause 25.1 (Appointment of Key Sub-Contractors), the Supplier is entitled to sub-contract its obligations under this Framework Agreement and any Call Off Agreements entered into pursuant to this Framework Agreement, to the Key Sub-Contractors listed below.

[Guidance Note: the list of Key Sub-Contractors as approved by CCS should be inserted here]

## FRAMEWORK SCHEDULE 8: FRAMEWORK MANAGEMENT

### 1. INTRODUCTION

1.1 The following definitions shall apply in addition to the definitions contained in the Framework Schedule 1 (Definitions):

<b>"Supplier Framework Manager"</b>	has the meaning given to it in paragraph 2.1.1 of this Framework Schedule 8
<b>"Supplier Review Meetings"</b>	has the meaning given to it in paragraph 2.2.1. of this Framework Schedule 8

1.2 The successful delivery of this Framework Agreement will rely on the ability of the Supplier and the Authority in developing a strategic relationship immediately following the conclusion of this Framework Agreement with the Supplier and maintaining this relationship throughout the Framework Period.

1.3 To achieve this strategic relationship, there will be a requirement to adopt proactive framework management activities which will be informed by quality Management Information, and the sharing of information between the Supplier and the Authority.

1.4 This Framework Schedule 8 outlines the general structures and management activities that the Parties shall follow during the Framework Period.

### 2. FRAMEWORK MANAGEMENT

#### 2.1 Framework Management Structure:

2.1.1 The Supplier shall provide a suitably qualified nominated contact (the **"Supplier Framework Manager"**) who will take overall responsibility for delivering the Services required within this Framework Agreement, as well as a suitably qualified deputy to act in their absence.

2.1.2 The Supplier shall put in place a structure to manage the Framework in accordance with Framework Schedule 2 (Services and Key Performance Indicators).

2.1.3 A full governance structure for the Framework will be agreed between the Parties during the Framework Agreement implementation stage.

#### 2.2 Supplier Review Meetings

2.2.1 Regular performance review meetings will take place at the Authority's premises throughout the Framework Period and thereafter until the Framework Expiry Date (**"Supplier Review Meetings"**).

2.2.2 The exact timings and frequencies of such Supplier Review Meetings will be determined by the Authority following the conclusion of the Framework Agreement. It is anticipated that the frequency of the Supplier Review Meetings will be once every month or less. The Parties shall be flexible about the timings of these meetings.

2.2.3 The purpose of the Supplier Review Meetings will be to review the Supplier's performance under this Framework Agreement. The agenda

for each Supplier Review Meeting shall be set by the Authority and communicated to the Supplier in advance of that meeting.

- 2.2.4 The Supplier Review Meetings shall be attended, as a minimum, by the Authority Representative(s) and the Supplier Framework Manager.

**[Guidance Note to bidders: for further information on Supplier's management see the "Supplier Guidance on Supplier Management" published by the Authority at <http://CCS.cabinetoffice.gov.uk/about-government-procurement-service/operational-delivery/supplier-management>]**

### **3. KEY PERFORMANCE INDICATORS**

- 3.1 The KPIs applicable to this Framework Agreement are set out in Framework Schedule 2 (Services and Key Performance Indicators).
- 3.2 The Supplier shall establish processes to monitor its performance against the agreed KPIs. The Supplier shall at all times ensure compliance with the standards set by the KPIs.
- 3.3 The Authority shall review progress against these KPIs to evaluate the effectiveness and efficiency of which the Supplier performs its obligations to fulfil this Framework Agreement.
- 3.4 The Supplier's achievement of KPIs shall be reviewed during the Supplier Review Meetings, in accordance with paragraph 2.2 above, and the review and ongoing monitoring of KPIs will form a key part of the framework management process as outlined in this Framework Schedule 8.
- 3.5 The Authority reserves the right to adjust, introduce new, or remove KPIs throughout the Framework Period, however any significant changes to KPIs shall be agreed between the Authority and the Supplier.
- 3.6 The Authority reserves the right to use and publish the performance of the Supplier against the KPIs without restriction.

### **4. EFFICIENCY TRACKING PERFORMANCE MEASURES**

- 4.1 The Supplier shall cooperate in good faith with the Authority to develop efficiency tracking performance measures for this Framework Agreement. This shall include but is not limited to developing additional KPIs to ensure that the Framework Agreement supports the emerging target operating model across central government.
- 4.2 The list in paragraph 4.1 is not exhaustive and may be developed during the Framework Period.
- 4.3 The metrics that are to be implemented to measure efficiency shall be developed and agreed between the Authority and the Supplier. Such metrics shall be incorporated into the list of KPIs set out in Framework Schedule 2 (Services and Key Performance Indicators).

4.4 The ongoing progress and development of the efficiency tracking performance measures shall be reported through framework management activities as outlined in this Framework Schedule 8.

## **5. ESCALATION PROCEDURE**

5.1 In the event that the Authority and the Supplier are unable to agree the performance score for any KPI during a Supplier Review Meeting, the disputed score shall be recorded and the matter shall be referred to the Authority Representative and the Supplier Representative in order to determine the best course of action to resolve the matter (which may involve organising an ad-hoc meeting to discuss the performance issue specifically).

5.2 In cases where the Authority Representative and the Supplier Representative fail to reach a solution within a reasonable period of time, the matter shall be dealt with in accordance with the procedure set out in Clause 48 (Dispute Resolution).

## **FRAMEWORK SCHEDULE 9: MANAGEMENT INFORMATION**

### **1. GENERAL REQUIREMENTS**

- 1.1 The Supplier shall operate and maintain appropriate systems, processes and records to ensure that it can, at all times, deliver timely and accurate Management Information to the Authority in accordance with the provisions of this Framework Schedule 9.
- 1.2 The Supplier shall also supply such Management Information as may be required by a Contracting Body in accordance with the terms of a Call Off Agreement.

### **2. MANAGEMENT INFORMATION AND FORMAT**

- 2.1 The Supplier agrees to provide timely, full, accurate and complete MI Reports to the Authority which incorporates the data, in the correct format, required by the MI Reporting Template. The initial MI Reporting Template is set out in the Annex to this Framework Schedule 9.
- 2.2 The Authority may from time to time make changes to the MI Reporting Template including to the data required or format of the report and issue a replacement version of the MI Reporting Template to the Supplier. The Authority shall give notice in writing of any such change to the MI Reporting Template and shall specify the date from which the replacement MI Reporting Template must be used for future MI Reports which date shall be at least thirty (30) calendar days following the date of the notice.
- 2.3 If the MI Reporting Template is amended by the Authority at any time, then the Supplier agrees to provide all future MI Reports in accordance with the most recent MI Reporting Template issued by the Authority.
- 2.4 The Authority may provide the Supplier with supplemental guidance for completing the MI Reporting Template or submitting MI Reports from time to time which may for example indicate which fields are mandatory and which are optional. The Supplier agrees to complete the Monthly MI Report in accordance with any such guidance.
- 2.5 The Supplier may not make any amendment to the current MI Reporting Template without the prior Approval of the Authority.
- 2.6 The Authority shall have the right from time to time (on reasonable written notice) to amend the nature of the Management Information which the Supplier is required to supply to the Authority.

### **3. FREQUENCY AND COVERAGE**

- 3.1 All MI Reports must be completed by the Supplier using the MI Reporting Template and returned to the Authority on or prior to the Reporting Date every Month during the Framework Period and thereafter, until all transactions relating to Call Off Agreements have permanently ceased.
- 3.2 The MI Report should be used (among other things) to report Orders received and transactions occurring during the Month to which the MI Report relates, regardless of when the work was actually completed. For example, if an invoice is raised for October but the work was actually completed in September, the Supplier must report



the invoice in October's MI Report and not September's. Each Order received by the Supplier must be reported only once when the Order is received.

3.3 The Supplier must return the MI Report for each Month even where there are no transactions to report in the relevant Month (a "**Nil Return**").

3.4 The Supplier must inform the Authority of any errors or corrections to the Management Information:

3.4.1 in the next MI Report due immediately following discovery of the error by the Supplier; or

3.4.2 as a result of the Authority querying any data contained in an MI Report.

#### **4.SUBMISSION OF THE MONTHLY MI REPORT**

4.1 The completed MI Report shall be completed electronically and returned to the Authority by uploading the electronic MI Report computer file to MISO in accordance with the instructions provided in MISO.

4.2 The Authority reserves the right (acting reasonably) to specify that the MI Report be submitted by the Supplier using an alternative communication to that specified in paragraph 4.1 above such as email. The Supplier agrees to comply with any such instructions provided they do not materially increase the burden on the Supplier.

#### **5.DEFECTIVE MANAGEMENT INFORMATION**

5.1 The Supplier acknowledges that it is essential that the Authority receives timely and accurate Management Information pursuant to this Framework Agreement because Management Information is used by the Authority to inform strategic decision making and allows it to calculate the Management Charge.

5.2 Following an MI Failure the Authority may issue reminders to the Supplier or require the Supplier to rectify defects in the MI Report provided to the Authority. The Supplier shall rectify any deficient or incomplete MI Report as soon as possible and not more than five (5) Working Days following receipt of any such reminder.

##### **Meetings**

5.3 The Supplier agrees to attend meetings between the Parties in person to discuss the circumstances of any MI Failure(s) at the request of the Authority (without prejudice to any other rights the Authority may have). If the Authority requests such a meeting the Supplier shall propose measures to ensure that the MI Failures are rectified and do not occur in the future. The Parties shall document these measures and continue to monitor the Supplier's performance.

##### **Admin Fees**

5.4 If, in any rolling three (3) Month period, two (2) or more MI Failures occur, the Supplier acknowledges and agrees that the Authority shall have the right to invoice the Supplier Admin Fees and (subject to paragraph 5.5) in respect of any MI Failures as they arise in subsequent Months.

5.5 If, following activation of the Authority's right to charge Admin Fee(s) in respect of MI Failures pursuant to paragraph 5.4, the Supplier submits the Monthly MI Report for two (2) consecutive Months and no MI Failure occurs then the right to charge the Admin Fee(s) shall lapse. For the avoidance of doubt the Authority shall not be prevented from exercising such right again during the Framework Period if the conditions in paragraph 5.4 are met.

5.6 The Supplier acknowledges and agrees that the Admin Fees are a fair reflection of the additional costs incurred by the Authority as a result of the Supplier failing to supply Management Information as required by this Framework Agreement.

5.7 The Authority shall notify the Supplier if any Admin Fees arise pursuant to paragraph 5.4 above and shall be entitled to invoice the Supplier for such Admin Fees which shall be payable in accordance with Clause 20 (Management Charge) as a supplement to the Management Charge. Any exercise by the Authority of its rights under this paragraph 5.7 shall be without prejudice to any other rights that may arise pursuant to the terms of this Framework Agreement.

## **6. DEFAULT MANAGEMENT CHARGE**

6.1 If:

6.1.1 Two (2) MI Failures occur in any rolling six (6) Month period;

6.1.2 Two (2) consecutive MI Failures occur;

then a "**MI Default**" shall be deemed to have occurred.

6.2 If an MI Default occurs the Authority shall (without prejudice to any other rights or remedies available to it under this Framework Agreement) be entitled to determine the level of Management Charge in accordance with paragraph 6.3, which the Supplier shall be required to pay to the Authority ("**Default Management Charge**") and/or to terminate this Framework Agreement.

6.3 The Default Management Charge shall be calculated as the higher of:

6.3.1 the average Management Charge paid or payable by the Supplier to the Authority based on any Management Information submitted in the six (6) Month period preceding the date on which the MI Default occurred or, if the MI Default occurred within less than six (6) Months from the commencement date of the first Call Off Agreement, in the whole period preceding the date on which the MI Default occurred; or

6.3.2 the sum of five hundred pounds (£500).

6.4 If an MI Default occurs, the Authority shall be entitled to invoice the Supplier the Default Management Charge (less any Management Charge which the Supplier has already paid to the Authority in accordance with Clause 20 for any Months in which the Default Management Charge is payable) calculated in accordance with paragraph 6.3 above:

6.4.1 in arrears for those Months in which an MI Failure occurred; and

6.4.2 on an ongoing Monthly basis,

until all and any MI Failures have been rectified to the reasonable satisfaction of the Authority.

6.5 For the avoidance of doubt the Parties agree that:

- 6.5.1 the Default Management Charge shall be payable as though it was the Management Charge due in accordance with the provisions of Clause 20 of this Framework Agreement; and
- 6.5.2 any rights or remedies available to Authority under this Framework Agreement in respect of the payment of the Management Charge shall be available to the Authority also in respect of the payment of the Default Management Charge.

6.6 If the Supplier provides sufficient Management Information to rectify any MI Failures to the satisfaction of the Authority and the Management Information demonstrates that:

- 6.6.1 the Supplier has overpaid the Management Charges as a result of the application of the Default Management Charge then the Supplier shall be entitled to a refund of the overpayment, net of any Admin Fees where applicable; or
- 6.6.2 the Supplier has underpaid the Management Charges during the period when a Default Management Charge was applied, then the Authority shall be entitled to immediate payment of the balance as a debt together with interest pursuant to Clause 20 (Management Charge).

**ANNEX 1: MI REPORTING TEMPLATE  
TO EMBED DATA FILE**

**FRAMEWORK SCHEDULE 10: NOT USED**



## **FRAMEWORK SCHEDULE 11: MARKETING**

### **1.INTRODUCTION**

1.1 This Framework Schedule 11 describes the activities that the Supplier will carry out as part of its ongoing commitment to the marketing of the Services to Contracting Bodies.

### **2.MARKETING**

2.1 Marketing contact details:

2.1.1 [NAME]

2.1.2 [ADDRESS]

2.1.3 [Telephone and email]

### **3.AUTHORITY PUBLICATIONS**

3.1 The Authority will periodically update and revise marketing materials. The Supplier shall supply current information for inclusion in such marketing materials when required by the Authority.

3.2 Such information shall be provided in the form of a completed template, supplied by the Authority together with the instruction for completion and the date for its return.

3.3 Failure to comply with the provisions of paragraphs 3.1 and 3.2 may result in the Supplier's exclusion from the use of such marketing materials.

### **4.SUPPLIER PUBLICATIONS**

4.1 Any marketing materials in relation to this Framework Agreement that the Supplier produces must comply in all respects with the Branding Guidance. The Supplier will periodically update and revise such marketing materials.

4.2 The Supplier shall be responsible for keeping under review the content of any information which appears on the Supplier's website and which relates to this Framework Agreement and ensuring that such information is kept up to date at all times.

**FRAMEWORK SCHEDULE 12: NOT USED**



**FRAMEWORK SCHEDULE 13: NOT USED**



## **FRAMEWORK SCHEDULE 14: INSURANCE REQUIREMENTS**

### **1. OBLIGATION TO MAINTAIN INSURANCES**

- 1.1 Without prejudice to its obligations to the Authority under this Framework Agreement, including its indemnity obligations, the Supplier shall for the periods specified in this Schedule 14 take out and maintain, or procure the taking out and maintenance of the insurances as set out in Annex 1 (Required 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 the Framework Commencement Date.
- 1.2 The Insurances shall be maintained in accordance with Good Industry Practice and (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.
- 1.3 The Insurances shall be taken out and maintained with insurers who are of good financial standing and of good repute in the international insurance market.

### **2. GENERAL OBLIGATIONS**

- 2.1 Without limiting the other provisions of this Framework Agreement, the Supplier shall:
- 2.1.1 take or procure the taking of all reasonable risk management and risk control measures in relation to the Services 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. FAILURE TO INSURE**

- 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 any of the Insurances or maintain any of the Insurances in full force and effect, the Authority may elect (but shall not be obliged) following written notice to the Supplier to purchase the relevant Insurances, and the Authority shall be entitled to recover the reasonable premium and other reasonable costs incurred in connection therewith as a debt due from the Supplier.

### **4. EVIDENCE OF POLICIES**

- 4.1 The Supplier shall upon the Framework Commencement Date and within 15 Working Days after the renewal of each of the Insurances, provide evidence, in a form

satisfactory to the Authority, that the Insurances are in force and effect and meet in full the requirements of this Framework Schedule 14. Receipt of such evidence by the Authority shall not in itself constitute acceptance by the Authority or relieve the Supplier of any of its liabilities and obligations under this Agreement.

## **5. AGGREGATE LIMIT OF INDEMNITY**

5.1 Where the minimum limit of indemnity required in relation to any of the Insurances is specified as being "in the aggregate":

5.1.1 if a claim or claims which do not relate to this Framework Agreement are notified to the insurers which, given the nature of the allegations and/or the quantum claimed by the third party(ies), is likely to result in a claim or claims being paid by the insurers which could reduce the level of cover available below that minimum, the Supplier shall immediately submit to the Authority:

- (a) details of the policy concerned; and
- (b) its proposed solution for maintaining the minimum limit of indemnity specified; and

5.1.2 if and to the extent that the level of insurance cover available falls below that minimum because a claim or claims which do not relate to this Framework Agreement are paid by insurers, the Supplier shall:

- (a) ensure that the insurance cover is reinstated to maintain at all times the minimum limit of indemnity specified for claims relating to this Framework Agreement; or
- (b) if the Supplier is or has reason to believe that it will be unable to ensure that insurance cover is reinstated to maintain at all times the minimum limit of indemnity specified, immediately submit to the Authority full details of the policy concerned and its proposed solution for maintaining the minimum limit of indemnity specified.

## **6. CANCELLATION**

6.1 The Supplier shall notify the Authority in writing at least five (5) Working Days prior to the cancellation, suspension, termination or non-renewal of any of the Insurances.

## **7. INSURANCE CLAIMS**

7.1 The Supplier shall promptly notify to insurers any matter arising from, or in relation to, the Services and/or this Framework Agreement for which it may be entitled to claim under any of the Insurances. In the event that the Authority receives a claim relating to or arising out of the Services or this Framework Agreement, the Supplier shall co-operate with the 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 Authority is the claimant party, the Supplier shall give the Authority notice within twenty (20) Working Days after any insurance claim in excess of £20,000 (twenty thousand pound) relating to or arising out of the provision of the

Services or this Framework Agreement 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 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 Authority any sum paid by way of excess or deductible under the Insurances whether under the terms of this Framework Agreement or otherwise.

## **ANNEX 1: REQUIRED INSURANCES**

### **1. GENERAL**

1.1 The Supplier shall meet its insurance obligations under applicable Law in full.

1.2 The Supplier shall fully comply with the insurance requirements detailed in Clause 30 and hold the following: Employers Liability Insurance in the sum of not less than £5m;

1.2.1 Public Liability Insurance in the sum of not less than £1m; and

1.2.2 Professional Indemnity Insurance in the sum of not less than £2m.

### **2. PERIOD OF INSURANCE**

2.1 From the date of this Framework Agreement and renewable on an annual basis unless agreed otherwise by the Authority in writing (a) throughout the Framework Period or until earlier termination of this Framework Agreement and (b) for a period of 6 years thereafter.

**FRAMEWORK SCHEDULE 15: NOT USED**



**FRAMEWORK SCHEDULE 16: NOT USED**

## FRAMEWORK SCHEDULE 17: COMMERCIALLY SENSITIVE INFORMATION

### 3.INTRODUCTION

- 3.1 In this Framework Schedule 17 (Commercially Sensitive Information) the Parties have sought to identify the Supplier's Confidential Information that is genuinely commercially sensitive and the disclosure of which would be the subject of an exemption under the FOIA.
- 3.2 Where possible, the Parties have sought to identify when any relevant Information will cease to fall into the category of Information to which this Framework Schedule 17 applies.
- 3.3 Without prejudice to the Authority's obligation to disclose Information in accordance with FOIA or Clause 27.4 (Freedom of Information), the Authority will, in its sole discretion, acting reasonably, seek to apply the relevant exemption set out in the FOIA to the following Information:

No.	Date	Item(s)	Duration of Confidentiality
	[insert date]	[insert details]	[insert duration]

**[Guidance note: Any information provided in this Framework Schedule should be information which would be exempt under the FOIA. If the information would not be exempt under FOIA the Authority may publish it under Clause 27.3 (Transparency) of this Framework Agreement.]**

**[Guidance note: where any information listed in this Framework Schedule 17 is considered to be Management Information for the purposes of Clause 27.1 of the Framework Agreement and is provided by the Supplier to the Authority, the Authority may disclose the Management Information to other Contracting Authorities in accordance with Clause 27.1.2 of this Framework Agreement.]**

## FRAMEWORK SCHEDULE 18: DISPUTE RESOLUTION PROCEDURE

### 1. DEFINITIONS

1.1 In this Framework Schedule 18, the following definitions shall apply:

<b>"CEDR"</b>	means the Centre for Effective Dispute Resolution of International Dispute Resolution Centre, 70 Fleet Street, London, EC4Y 1EU;
<b>"Counter Notice"</b>	has the meaning given to it in paragraph 6.2;
<b>"Expedited Dispute Timetable"</b>	means the accelerated timetable for the resolution of disputes as set out in paragraph 2.6;
<b>"Mediation Notice"</b>	has the meaning given to it in paragraph 3.2; and
<b>"Mediator"</b>	means the independent third party appointed in accordance with paragraph 4.2 of this Framework Schedule 18.

### 2. INTRODUCTION

2.1 If a Dispute arises then:

- 2.1.1 the Authority Representative and the Supplier Representative shall attempt in good faith to resolve the Dispute; and
- 2.1.2 if such attempts are not successful within a reasonable time either Party may give to the other a Dispute Notice.

2.2 The Dispute Notice shall set out:

- 2.2.1 the material particulars of the Dispute;
- 2.2.2 the reasons why the Party serving the Dispute Notice believes that the Dispute has arisen; and
- 2.2.3 if the Party serving the Dispute Notice believes that the Dispute should be dealt with under the Expedited Dispute Timetable as set out in paragraph 2.6, the reason why.

2.3 Unless agreed otherwise in writing, the Parties shall continue to comply with their respective obligations under this Framework Agreement regardless of the nature of the Dispute and notwithstanding the referral of the Dispute to the Dispute Resolution Procedure set out in this Framework Schedule 18.

2.4 Subject to paragraph 3.2, the Parties shall seek to resolve Disputes:

- 2.4.1 first by commercial negotiation (as prescribed in paragraph 3);
- 2.4.2 then by mediation (as prescribed in paragraph 4); and
- 2.4.3 lastly by recourse to arbitration (as prescribed in paragraph 6) or litigation (in accordance with Clause 49 (*Governing Law and Jurisdiction*)).



2.5 In exceptional circumstances where the use of the times in this Framework Schedule 18 would be unreasonable, including (by way of example) where one Party would be materially disadvantaged by a delay in resolving the Dispute, the Parties may agree to use the Expedited Dispute Timetable. If the Parties are unable to reach agreement on whether to use of the Expedited Dispute Timetable within five (5) Working Days of the issue of the Dispute Notice, the use of the Expedited Dispute Timetable shall be at the sole discretion of the Authority.

2.6 If the use of the Expedited Dispute Timetable is determined in accordance with paragraph 2.5 or is otherwise specified under the provisions of this Framework Agreement, then the following periods of time shall apply in lieu of the time periods specified in the applicable paragraphs of this Framework Schedule 18:

2.6.1 in paragraph 3.2.3, ten (10) Working Days;

2.6.2 in paragraph 4.2, ten (10) Working Days; and

2.6.3 in paragraph 6.2, ten (10) Working Days.

2.7 If at any point it becomes clear that an applicable deadline cannot be met or has passed, the Parties may (but shall be under no obligation to) agree in writing to extend the deadline. Any agreed extension shall have the effect of delaying the start of the subsequent stages by the period agreed in the extension.

### 3. COMMERCIAL NEGOTIATIONS

3.1 Following the service of a Dispute Notice, the Authority and the Supplier shall use reasonable endeavours to resolve the Dispute as soon as possible, by discussion between the Authority's Commercial Director (or equivalent) and the Supplier's **[insert role]**, such discussions being commercial negotiations.

3.2 If:

3.2.1 either Party is of the reasonable opinion that the resolution of a Dispute by commercial negotiation, or the continuance of commercial negotiations, will not result in an appropriate solution; or

3.2.2 the Parties have already held discussions of a nature and intent (or otherwise were conducted in the spirit) that would equate to the conduct of commercial negotiations in accordance with this paragraph 3; or

3.2.3 the Parties have not settled the Dispute in accordance with paragraph 3.1 within thirty (30) Working Days of service of the Dispute Notice,

either Party may serve a written notice to proceed to mediation (a "**Mediation Notice**") in accordance with paragraph 4.

### 4. MEDIATION

4.1 If a Mediation Notice is served, the Parties shall attempt to resolve the dispute in accordance with CEDR's Model Mediation Agreement which shall be deemed to be incorporated by reference into this Framework Agreement.

4.2 If the Parties are unable to agree on the joint appointment of a Mediator within thirty (30) Working Days from service of the Mediation Notice then either Party may apply to CEDR to nominate the Mediator.

4.3 If the Parties are unable to reach a settlement in the negotiations at the mediation, and only if the Parties so request and the Mediator agrees, the Mediator shall produce for the Parties a non-binding recommendation on terms of settlement. This shall not attempt to anticipate what a court might order but shall set out what the Mediator suggests are appropriate settlement terms in all of the circumstances.

4.4 Any settlement reached in the mediation shall not be legally binding until it has been reduced to writing and signed by, or on behalf of, the Parties (in accordance with the procedure for variations under Clause 16.1 (Variation Procedure) where appropriate). The Mediator shall assist the Parties in recording the outcome of the mediation.

## 5. NOT USED

## 6. ARBITRATION

6.1 The Authority may at any time before court proceedings are commenced refer the Dispute to arbitration in accordance with the provisions of paragraph 6.4.

6.2 Before the Supplier commences court proceedings or arbitration, it shall serve written notice on the Authority of its intentions and the Authority shall have fifteen (15) Working Days following receipt of such notice to serve a reply (a “**Counter Notice**”) on the Supplier requiring the Dispute to be referred to and resolved by arbitration in accordance with paragraph 6.4 or be subject to the jurisdiction of the courts in accordance with Clause 49 (Governing Law and Jurisdiction). The Supplier shall not commence any court proceedings or arbitration until the expiry of such fifteen (15) Working Day period.

6.3 If:

6.3.1 the Counter Notice requires the Dispute to be referred to arbitration, the provisions of paragraph 6.4 shall apply;

6.3.2 the Counter Notice requires the Dispute to be subject to the exclusive jurisdiction of the courts in accordance with Clause 49 (Governing Law and Jurisdiction), the Dispute shall be so referred to the courts and the Supplier shall not commence arbitration proceedings;

6.3.3 the Authority does not serve a Counter Notice within the fifteen (15) Working Day period referred to in paragraph 6.2, the Supplier may either commence arbitration proceedings in accordance with paragraph 6.4 or commence court proceedings in the courts in accordance with Clause 49 (Governing Law and Jurisdiction) which shall (in those circumstances) have exclusive jurisdiction.

6.4 In the event that any arbitration proceedings are commenced pursuant to paragraphs 6.1 to 6.3, the Parties hereby confirm that:

6.4.1 all disputes, issues or claims arising out of or in connection with this Framework Agreement (including as to its existence, validity or performance) shall be referred to and finally resolved by arbitration

under the Rules of the London Court of International Arbitration ("**LCIA**") (subject to paragraphs 6.4.5, 6.4.6 and 6.4.7);

- 6.4.2 the arbitration shall be administered by the LCIA;
- 6.4.3 the LCIA procedural rules in force at the date that the Dispute was referred to arbitration shall be applied and are deemed to be incorporated by reference into this Framework Agreement and the decision of the arbitrator shall be binding on the Parties in the absence of any material failure to comply with such rules;
- 6.4.4 if the Parties fail to agree the appointment of the arbitrator within ten (10) days from the date on which arbitration proceedings are commenced or if the person appointed is unable or unwilling to act, the arbitrator shall be appointed by the LCIA;
- 6.4.5 the chair of the arbitral tribunal shall be British;
- 6.4.6 the arbitration proceedings shall take place in London and in the English language; and
- 6.4.7 the seat of the arbitration shall be London.

## **7. URGENT RELIEF**

7.1 Either Party may at any time take proceedings or seek remedies before any court or tribunal of competent jurisdiction:

- 7.1.1 for interim or interlocutory remedies in relation to this Framework Agreement or infringement by the other Party of that Party's Intellectual Property Rights; and/or
- 7.1.2 where compliance with paragraph 2.1 and/or referring the Dispute to mediation may leave insufficient time for that Party to commence proceedings before the expiry of the limitation period.

## FRAMEWORK SCHEDULE 19: VARIATION FORM

Variation Form No:

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BETWEEN:

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

and

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

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

**[Guidance Note: Insert details of the Variation]**

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

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

Signature

Date

Name (in Capitals)

Address

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

Signature

Date

Name (in Capitals)

Address

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## FRAMEWORK SCHEDULE 20: TENDER

### 1. GENERAL

- 1.1 This Framework Schedule 20 sets out a copy of the Supplier's Tender including the Supplier's responses to the whole award questionnaire in accordance with section [AQA1] of the award questionnaire to the ITT.
- 1.2 Subject to Clauses 1.2.2 and 1.2.3, in addition to any other obligations on the Supplier under this Framework Agreement and any Call Off Agreement, the Supplier shall provide the Services to Contracting Bodies in accordance with the Tender.

**[Guidance Note: Include here a copy of the Supplier's Tender, including the Supplier's responses to the whole award questionnaire in accordance with section [AQA1] of the award questionnaire to the ITT]**

**[Guidance Note: insert requirement in respect of Supplier's responses to the award questionnaire in ITT/award questionnaire]**

