

DATED

2024

Lincolnshire County Council (1)

and

[THE SUPPLIER] (2)

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**CONTRACT**

relating to the provision of Domiciliary Care Spot Purchase provision for Children and Young People with a Disability

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LEGAL SERVICES LINCOLNSHIRE

*Together we are stronger*

Legal Services Lincolnshire

County Offices

Newland

LN1 1YL

## **Contents**

### **General Provisions**

- A1 Definitions and Interpretation
- A2 Contract Period and Extension
- A3 Supplier's Status
- A4 Customer's Obligations
- A5 Notices
- A6 Mistakes in Information
- A7 Conflicts of Interest
- A8 Volumes

### **Supply of Services**

- B1 The Individual Placement Agreement (IPA)
- B2 The Services
  - B2A Not Used
  - B2B Assistance with Medication and Medical Treatments
  - B2C Transport
  - B2D Activities
  - B2E Service Quality
  - B2F CWD Involvement
- B3 Provision and Removal of Equipment
- B4 Manner of Carrying Out the Services
- B5 Key Personnel
- B6 Supplier's Staff
- B7 Offers of Employment
- B8 TUPE and Pensions
- B9 Best Value
- B10 Service Improvement
- B11 Complaints
- B12 Incidents Requiring Reporting
- B13 Consent
- B14 CWD Records
- B15 Business Continuity
- B16 Co-Operation

### **Payment and Price**

- C1 Price
- C2 Payment

- C3 Recovery of Sums Due
- C4 Price Adjustment
- C5 Performance Management
- C6 Contract Management

### **Statutory Obligations and Regulations**

- D1 Prohibited Acts and Prevention of Bribery
- D2 Anti-Discrimination
- D3 The Contracts (Rights of Third Parties) Act 1999
- D4 Environmental Requirements
- D5 Health and Safety
- D6 Safeguarding

### **Protection of Information**

- E1 Data Protection Act
- E2 Confidential Information
- E3 Transparency and Freedom of Information
- E4 Publicity, Media and Official Enquiries
- E5 Not Used
- E6 Intellectual Property Rights
- E7 Audit
- E8 Exceptional Audits
- E9 Audit Costs
- E10 Records and Open Book Accounting

### **Control of the Contract**

- F1 Transfer and Sub-Contracting
- F2 Waiver
- F3 Change Control Procedure
- F4 Severability
- F5 Remedies in the Event of Inadequate Performance
- F6 Remedies Cumulative
- F7 Financial Assurance
- F8 Entire Agreement
- F9 Counterparts

## **Liabilities**

- G1 Liability, Indemnity and Insurance
- G2 Warranties and Representations

## **Default, Disruption and Termination and Suspension**

- H1 Termination on Insolvency and Change of Control
- H2 Termination on Default
- H2 Termination of IPA
- H3 Break
- H4 Consequences of Expiry or Termination of Contract
- H4A Consequences of Expiry or Termination of IPA
- H5 Recovery upon Termination
- H6 Disruption
- H7 Remediation Plan Process
- H8 Suspension and Consequences of Suspension
- H9 Force Majeure

## **Disputes and Law**

- I1 Governing Law and Jurisdiction
- I2 Dispute Resolution

## **SCHEDULES**

- Schedule 1: Specification
- Schedule 2: Individual Placement Agreement
- Schedule 3: Performance Monitoring
- Schedule 4: Key Personnel
- Schedule 5: Disaster Recovery and Business Continuity Plan
- Schedule 6: Exit Strategy

THIS AGREEMENT is made the      day of

2024

**BETWEEN**

(1) **LINCOLNSHIRE COUNTY COUNCIL** of County Offices, Newland, Lincoln, LN1 1YL (the "Customer")

and

(2) **[INSERT NAME OF SUPPLIER] [Registered Company Number:]** whose registered office is situated at **[ ]** (the "Supplier")

**WHEREAS**

- (A) The Customer requires the provision of t providers of Domiciliary Care services supplied to CWD's through awarded IPAs in accordance with this Contract. The Supplier has agreed to provide the same where required on the terms and conditions set out below.
- (B) Where the Supplier has been awarded an IPA in accordance with this Contract, it has agreed to provide the Services relating to the IPA in question on the terms and conditions set out below.
- (C) Provided that the Supplier complies with the provisions of any such signed IPA and the terms of this Contract to the satisfaction of the Customer, the Customer shall make payments to the Supplier in accordance with this Contract.

**IT IS HEREBY AGREED** as follows:

**GENERAL PROVISIONS**

**A1 DEFINITIONS AND INTERPRETATION**

A1.1 In this Contract unless the context otherwise requires the following provisions shall have the meanings given to them below:-

**Activity** means therapeutic, recreational, leisure, health and other activities suitable for a CWD to engage in.

**Affected Party** means the Party seeking to claim relief in respect of a Force Majeure Event.

**Approval** means the prior written consent of the Customer.

**Best Value** means arrangements to secure continuous improvement in the way the Customer's functions are exercised having regard to a combination of economy, efficiency and effectiveness.

**Bribery Act** means the Bribery Act 2010 and any subordinate legislation made under that Act from time to time together with any guidance or codes of practice issued by the relevant government department concerning the legislation.

**Caldicott Guardian** means the senior health professional responsible for safeguarding the confidentiality of patient information.

**Care Quality Commission or CQC** means the care quality commission established under the Health and Social Care Act 2008.

**Carer** means a family member or friend of the CWD who provides day-to-day support to the CWD without which the CWD could not manage.

**Care Worker** means a member of the Supplier's Staff providing Services to a CWD.

**Change** means any variation to this Contract including to any of the Services and KPIs.

**Change Control Procedure** means the procedure for changing this Contract as set out in Clause F3.

**Change of Control** means:

- (a) any sale, transfer or disposal of any legal, beneficial or equitable interest in a majority or all of the shares in the Supplier (including the control over the exercise of voting rights conferred on those shares, control over the right to appoint or remove directors or the rights to dividends); and/or
- (b) any other arrangements that have or may have or which result in the same effect as paragraph (a).

**CiN Plan/Child in Need Plan** means the child in need plan for any CWD, as drawn up by the Customer that addresses how the CWD shall be looked after, the CWD's needs and requirements and how these needs should be met currently and in the future and encompasses all other relevant documents and plans in accordance with regulation 5 and Schedule 1 of the Care Planning, Placement and Case Review (England) Regulations 2010

**Commencement Date** means the [INSERT DATE].

**Commercially Sensitive Information** means any Party's Information that:-

- (a) if disclosed, could prejudice the other Party's commercial interests and/or
- (b) constitutes a trade secret.

**Competent Body** means anybody that has authority to issue standards or recommendations with which either Party must comply.

**Confidential Information** means any information which has been designated as confidential by either Party in writing or that ought to be considered as confidential (however it is conveyed or on whatever media it is stored) including information the disclosure of which would, or would be likely to, prejudice the commercial interests of any person, trade secrets, Intellectual Property Rights and know-how of either Party and all Personal Data.

**Consents** means:-

- (i) any permission, consent, approval, certificate, permit, licence, statutory agreement, authorisation, exception or declaration required by Law for or in connection with the performance of Services; and/or
- (ii) any necessary consent or agreement from any third party needed either for the

performance of the Supplier's obligations under this Contract or for the provision by the Supplier of the Services in accordance with this Contract.

**Contract** means this written agreement between the Customer and the Supplier consisting of these clauses and the attached Schedules.

**Contracting Authority** means any contracting authority as defined in Regulation 2 of the Public Contracts Regulations 2015.

**Contract Period** means the period from the Commencement Date to the date of expiry set out in Clause A2 (Contract Period), or such earlier date of termination of the Contract in accordance with the Law or the provisions of the Contract.

**Contract Year** means a period of twelve (12) Months commencing on the Commencement Date and/or each anniversary of the Commencement Date.

**Controller** takes the meaning given in the UK GDPR.

**Conviction** means other than for minor road traffic offences, any previous or pending prosecutions, convictions, cautions and binding-over orders (including any spent convictions as contemplated by section 1 (1) of the Rehabilitation of Offenders Act 1974 by virtue of the exemptions specified in Part II of Schedule 1 of the Rehabilitation of Offenders Act 1974 (Exemptions) Order 1975 (SI1975/1023) or any replacement or amendment to that Order, or being placed on a list kept pursuant to section 1 of the Protection of Children Act 1999 or being made the subject of a prohibition or restriction under section 218(6) of the Education Reform Act 1988.

**Customer's Change Control Notice** means a notice served by the Customer on the Supplier requesting a Change in accordance with Clause F3.

**Customer's Contract Manager** means the person identified as such in Part 1 of Schedule 4 or any replacement person appointed by the Customer pursuant to Clause B5, being the person responsible for managing the overall relationship with the Supplier.

**Customer's Representative** means the person identified as such in Part 1 of Schedule 4 or any replacement person appointed by the Customer pursuant to Clause B5, being the person responsible for managing the delivery of the Services on behalf of the Customer.

**Customer Software** means software which is owned by or licenced to the Customer including software which is or will be used by the Supplier for the purposes of providing the Services but excluding the Supplier Software.

**CQC Regulations** means the Care Quality Commission (Registration) Regulation 2009.

**Crown** means the government of the United Kingdom (including the Northern Ireland Executive Committee and Northern Ireland Departments, the Scottish Executive and the National Assembly for Wales), including, but not limited to, government ministers, government departments, government and particular bodies and government agencies.

**CWD** means a child or young person aged from 0 - 18 living in Lincolnshire, with profound and significant learning and/or physical disabilities or life-threatening illnesses who have been assessed as a child in need, as set out in the Children Act

1989, section 17 (10), the Carers and Disabled Children Act 2000 and the Children and Families Act 2014 to whom the Services are to be provided by the Supplier.

**Data Protection Legislation** means (i) the UK GDPR, (ii) the DPA to the extent that it relates to processing of personal data and privacy; (iii) all applicable Law about the processing of personal data and privacy.

**DBS** means the Disclosure and Barring Service established under the Protection of Freedoms Act 2012.

**Default** means any breach of the obligations of the relevant Party or any other default, act, omission, negligence or negligent statement of the relevant Party or the Staff in connection with or in relation to the subject-matter of this Contract or signed IPA.

**Disaster** means an unplanned interruption of, or inaccessibility to, the Services provided by the Supplier.

**Disaster Recovery and Business Continuity Plan** means the business continuity and disaster recovery plan prepared pursuant to Schedule 5 as amended from time to time.

**DPA** means the Data Protection Act 2018.

**EHC Plan** means an Education, Health and Care Plan for a CWD who needs more support than is available through special educational needs support. EHC plans identify educational, health and social needs and set out the additional support to meet those needs.

**Employment Checks** means the pre-appointment checks that are required by Law and applicable guidance, including without limitation, verification of identity checks, right to work checks, registration and qualification checks, employment history and reference checks, criminal record checks and occupational health checks and the Supplier shall ensure that these meet the Customer's Disclosure and Barring Service Policy which is available at <https://www.lincolnshire.gov.uk/employment-policies/criminal-records-policy/1>

**Enhanced DBS & Barred List Check** means an Enhanced DBS & Barred List Check (child) or Enhanced DBS & Barred List Check (adult) or Enhanced DBS & Barred List Check (child & adult) (as appropriate) and the Supplier shall ensure that these meet the Customer's Disclosure and Barring Service Policy.

**Enhanced DBS Position** means any position listed in the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (as amended), which also meets the criteria set out in the Police Act 1997 (Criminal Records) Regulations 2002 (as amended), and in relation to which an Enhanced DBS Disclosure or an Enhanced DBS & Barred List Check (as appropriate) is permitted as set out in the Customer's Disclosure and Barring Service Policy.

**Environmental Information Regulations** means the Environmental Information Regulations 2004 and any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to such regulations.

**Equality Legislation** means the Equality Act 2010 and such other acts and legislation to ensure, among others equality of access to goods and services, promotion of good relations between groups in society, the provision of reasonable adjustments for people with disabilities and non-discrimination and equality in employment.



**Equipment** means the Supplier's equipment, plant, materials and such other items supplied and used by the Supplier in the performance of its obligations under this Contract.

**FOIA** means the Freedom of Information Act 2000 and any subordinate legislation made under this Act from time to time together with any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to such legislation.

**Force Majeure Event** means any event outside the reasonable control of either Party affecting its performance of its obligations under this Contract arising from acts, events, omissions, happenings or non-happenings beyond its reasonable control and which are not attributable to any wilful act, neglect or failure to take reasonable preventative action by that Party, including acts of God, riots, war or armed conflict, acts of terrorism, acts of government, local government or regulatory bodies, fire, flood, storm or earthquake, or disaster but excluding any industrial dispute relating to the Supplier or the Staff or any other failure in the Supplier's or a Sub-Contractor's supply chain.

**Force Majeure Notice** means a written notice served by the Affected Party on the other Party stating that the Affected Party believes that there is a Force Majeure Event.

**Formal Warning Notice** means a notice served in accordance with Clause H2.2.

**Fraud** means any offence under Laws creating offences in respect of fraudulent acts or at common law in respect of fraudulent acts in relation to this Contract or defrauding or attempting to defraud or conspiring to defraud the Customer.

**Good Industry Practice** means standards, practices, methods and procedures (as practised in the United Kingdom) and conforming to the Law and exercising that degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced service provider, manager, operator or other person (as the case may be) engaged in a similar type of undertaking under this Contract under the same or similar circumstances.

**Guidance** means any applicable local authority, health or social care guidance, direction or determination which the Customer and/or the Supplier have a duty to have regard to including any document published under section 73B of the NHS Act 2006.

**ICT** means information and communications technology.

**ICT Environment** means the Customer's system and the Supplier system.

**Incumbent Supplier** means any supplier providing any service that constitutes or that shall constitute part of the Services immediately before the Transfer Date and Commencement Date of this Contract.

**Individual Placement Agreement ("IPA")** means the agreement substantively in the form set out at Schedule 2 to this Contract between the Parties for the supply of specific Services to a CWD provided under and incorporating the terms and conditions of this Contract as identified within but not limited to Clause B1 and any other documents specified to be incorporated.

**Information** has the meaning given under section 84 of the FOIA and includes Personal data as defined under Data Protection Legislation.

**Information Commissioner's Office** means the office of the Information Commissioner whose role is to uphold information rights in the public interest, and responsible for data protection in England, Scotland and Wales in accordance with provisions set out in the DPA.

**Intellectual Property Rights** means patents, inventions, trademarks, service marks, logos, design rights (whether registerable or otherwise), applications for any of the foregoing, copyright, database rights, domain names, trade or business names, moral rights and other similar rights or obligations whether registerable or not in any country (including but not limited to the United Kingdom) and the right to sue for passing off.

**Key Performance Indicator ('KPI')** means the indicators as set out in Schedule 3 which the Supplier shall report against.

**Key Personnel** means those persons identified in Schedule 4 for the roles attributed to such personnel.

**Law** means any applicable 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.

**Legal Guardian** means an individual who, by legal appointment or by the effect of a written law, is given custody of both the property and the person of one who is unable to manage their own affairs.

**Lessons Learned** means experience derived from provision of the Services, the sharing and implementation of which would be reasonably likely to lead to an improvement in the quality of the Supplier's provision of the Services.

**Local HealthWatch** means the local independent consumer champion for health and social care in England.

**Losses** means all demands, losses, charges, damages, costs and expenses and other liabilities (including, but not limited to, any professional and/or legal costs and disbursements).

**Month** means calendar month.

**National Institute for Health and Clinical Excellence or NICE** means the special health authority responsible for providing national guidance on the promotion of good health and the prevention and treatment of ill health (or any successor body).

**National Standards** means those standards applicable to the Supplier under the Law and/or Guidance as amended from time to time.

**NHS Act 2006** means the National Health Service Act 2006.

**Ofsted** means the office for standards in education, children services and skills which brings together the duties previously undertaken by the Commission for Social Care Inspectorate (including any successor to its functions).

**Parent** means the person(s) having parental responsibility for a CWD as defined by the Children Act 1989;

**Party** means a party to this Contract and the term Parties shall be construed accordingly.

**Patient Safety Incident** means any unintended or unexpected incident that occurs in respect of a CWD that could have led or did lead to, harm to that CWD.

**Pensions Direction** means the Best Value Authorities Staff Transfers (Pensions) Direction 2007.

**Performance Management Framework** means the performance monitoring system set out at Schedule 3.

**Persistent Breach** means a Default which has occurred on three or more separate occasions within a continuous period of three (3) Months.

**Personal Data** takes the meaning given in the UK GDPR.

**Premises** means the CWD's home and any other location where the Services are to be supplied.

**Price** means the charges levied by the Supplier for the Services in accordance with the tariffs, scales, charges, invoicing methods and terms of payment as set out in this Contract and applicable signed IPA.

**Prohibited Act** each of the following constitutes a Prohibited Act:-

- (a) to directly or indirectly offer, promise or give any person working for or engaged by the Customer a financial or other advantage to:-
  - (i) induce that person to perform improperly a relevant function or activity; or
  - (ii) reward that person for improper performance of a relevant function or activity;
- (b) to directly or indirectly request, agree to receive or accept any financial or other advantage as an inducement or a reward for improper performance of a relevant function or activity in connection with this Contract;
- (c) committing any offence:-
  - (i) under the Bribery Act;
  - (ii) under legislation creating offences concerning fraudulent acts;
  - (iii) at common law concerning fraudulent acts relating to this Contract or any other contract with the Customer; or
  - (iv) defrauding, attempting to defraud or conspiring to defraud the Customer.

**Public Contracts Regulations** means the regulations on public procurement which implements the European Union Directive 2014/24/EU into English law with effect from 26 February 2015.

**Quality Standards** means the quality standards published by BSI British Standards, the National Standards Body of the United Kingdom, the International Organisation for Standardisation or other reputable or equivalent body, (and their successor bodies)

that a skilled and experienced operator in the same type of industry or business sector as the Supplier would reasonably and ordinarily be expected to comply with, and as may be further detailed in the Specification.

**Receipt** means the physical or electronic arrival of the invoice at the address of the Customer detailed in Clause C2.

**Regulated Activity** in relation to children shall have the same meaning as set out in Part 1 of Schedule 4 to the Safeguarding Vulnerable Groups Act 2006 and in relation to vulnerable adults shall have the same meaning as set out in Part 2 of Schedule 4 to the Safeguarding Vulnerable Groups Act 2006.

**Regulatory Bodies** means those government departments and regulatory, statutory and other entities, committees, ombudsmen and bodies which, whether under statute, rules, regulations, codes of practice or otherwise, are entitled to regulate, investigate, or influence the matters dealt with in this Contract or any other affairs of the Customer and "Regulatory Body" shall be construed accordingly.

**Relevant Employees** means the employees of the Supplier (including Transferring Employees) who are wholly or mainly assigned to work in the provision of the Services and who are/shall be subject to a Relevant Transfer by virtue of the application of the TUPE Regulations.

**Relevant Transfer** means a transfer of employment to which the TUPE Regulations apply.

**Remediation Notice** means a written notice given by the Customer to the Supplier pursuant to Clause H7.1 to initiate the Remediation Plan Process.

**Remediation Plan** means the plan agreed in accordance with Clause H7 for the resolution of a Default of the Supplier.

**Remediation Plan Process** means the process for resolving certain of the Defaults of the Supplier as set out in Clause H7.

**Replacement Provider** means any third party service provider appointed by the Customer to supply any services which are substantially similar to any of the Services and which the Customer receives in substitution for any of the Services following the expiry, termination or partial termination of this Contract.

**Request for Information** shall have the meaning set out in FOIA or the Environmental Information Regulations as relevant (where the meaning set out for the term "request" shall apply).

**Schedule** means a schedule attached to, and forming part of, this Contract.

**Serious Incident** means an incident or accident or near-miss where a patient (whether or not a CWD), Parent, Legal Guardian, member of staff, or member of the public suffers serious injury, major permanent harm or unexpected death on the Supplier's Premises or where the actions of the Supplier or the Customer are likely to be of significant public concern or where the incident falls within the list of scenarios identified within the Specification and Performance Management Framework.

**Services** means the services to be supplied by the Supplier as specified and detailed in the Specification and any further specific service requirements as provided for in a relevant CiN Plan (as applicable) or EHC Plan (as applicable) and signed IPA.

**Specification** means the description of the Services to be supplied under this Contract as set out in Schedule 1.

**Social Worker** means the Customer's social worker responsible for co-ordinating the work done with and for the CWD by different agencies.

**Staff** means all directors, officers, employees, agents, consultants, volunteers and contractors of the Supplier and/or of any Sub-Contractor engaged in the performance of its obligations under this Contract.

**Staff Vetting Procedure** means the Customer's procedures for the vetting of Staff and as advised to the Supplier by the Customer available at <https://www.lincolnshire.gov.uk/employment-policies/criminal-records-policy/1>

**Sub-Contract** means any contract or agreement, or proposed contract or agreement between the Supplier and any third party whereby that third party agrees to provide to the Supplier the Services or any part of the Services, or facilities or services necessary for the provision of the Services or any part of the Services, or necessary for the management, direction or control of the Services or any part of the Services.

**Sub-Contractor** means the third parties that enter into a Sub-Contract with the Supplier.

**Supplier** means the person, firm or company with whom the Customer enters into this Contract including the Supplier's Staff, agents and contractors and each Sub-Contractor.

**Supplier Change Control Notice** means a notice served by the Supplier on the Customer requesting a Change in accordance with Clause F3.

**Supplier's Contract Manager** means the person identified as such in Part 2 of Schedule 4 or any replacement person appointed by the Supplier pursuant to Clause B5, being the person responsible for managing the Supplier's overall relationship with the Customer.

**Supplier's Representative** means the person identified as such in part 2 of Schedule 4 or any replacement person appointed by the Supplier pursuant to Clause B5, as the person responsible for managing the delivery of the Services on behalf of the Supplier.

**Supplier Software** means software owned or licenced to the Supplier including software which is or will be used by the Supplier for the purposes of providing the Services.

**Transfer Date** means the date the Transferring Employee is transferred to the employment of the Supplier from the Incumbent Supplier.

**Transferring Employees** means employees of the Incumbent Supplier who are subject of a Relevant Transfer to the Supplier by virtue of the application of the TUPE Regulations, as amended.

**Transferring Original Employee** means a former employee of the Customer whose contract of employment, by virtue of the application of the TUPE Regulations, becomes a contract of employment with the Supplier and who meets the definition of a Transferring Original Employee under the Pensions Direction.

**TUPE Regulations** means the Transfer of Undertakings (Protection of Employment) Regulations 2006.

**UK GDPR** means the Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation) (United Kingdom General Data Protection Regulation), as it forms part of the law of England and Wales, Scotland and Northern Ireland by virtue of section 3 of the European Union (Withdrawal) Act 2018 (and see section 205(4)).

**VAT** means value added tax in accordance with the provisions of the Value Added Tax Act 1994.

**Working Day** means a day (other than a Saturday or Sunday) on which banks are open for general business in the City of London.

A1.2 The interpretation and construction of this Contract shall be subject to the following provisions:

- (a) words importing the singular meaning include where the context so admits the plural meaning and vice versa;
- (b) words importing the masculine include the feminine and the neuter;
- (c) reference to Clauses and Schedules are to the clauses and Schedules of this Contract; references to paragraphs are to paragraphs of the relevant Schedule;
- (d) the Schedules form part of this Contract and shall have effect as if set out in full in the body of this Contract and any reference to the Contract includes the Schedules;
- (e) reference to any statute, enactment, order, regulation or other similar instrument shall be construed as a reference to the statute, enactment, order, regulation or instrument as amended by any subsequent enactment, modification, order, regulation or instrument as subsequently amended or re-enacted;
- (f) reference to any person shall include natural persons and partnerships, firms and other incorporated bodies and all other legal persons of whatever kind and however constituted and their successors and permitted assigns or transferees;
- (g) the words "include", "includes" and "including" are to be construed as if they were immediately followed by the words "without limitation"; and
- (h) headings are included in this Contract for ease of reference only and shall not affect the interpretation or construction of this Contract.
- (i) Where there is any conflict or inconsistency between the provisions of this Contract such conflict or inconsistency shall be resolved according to the following order of priority:-
  - (i) the clauses of this Contract;
  - (ii) Schedule 1;
  - (iii) the remaining Schedules to this Contract

## **A2 CONTRACT PERIOD AND EXTENSION**

A2.1 This Contract shall take effect on the Commencement Date and shall expire

automatically on [XXXXXX] unless it is otherwise terminated in accordance with the provisions of this Contract, or otherwise lawfully terminated.

**A3 SUPPLIER'S STATUS**

A3.1 At all times during the Contract Period the Supplier shall be an independent contractor and nothing in this Contract shall create a contract of employment, a relationship of agency or partnership or a joint venture between the Parties and accordingly neither Party shall be authorised to act in the name of, or on behalf of, or otherwise bind the other Party save as expressly permitted by the terms of this Contract.

**A4 CUSTOMER'S OBLIGATIONS**

A4.1 Save as otherwise expressly provided, the obligations of the Customer under this Contract are obligations of the Customer in its capacity as a contracting counterparty and nothing in this Contract shall operate as an obligation upon, or in any other way fetter or constrain the Customer in any other capacity, nor shall the exercise by the Customer of its duties and powers in any other capacity lead to any liability under this Contract (howsoever arising) on the part of the Customer to the Supplier.

**A5 NOTICES**

A5.1 Except as otherwise expressly provided within this Contract, no notice or other communication from one Party to the other shall have any validity under this Contract unless made in writing by or on behalf of the Party concerned.

A5.2 Any notice or other communication which is to be given by either Party to the other shall be given by electronic mail (confirmed by letter), or by letter (delivered by hand, first class post, recorded delivery or special delivery). Provided the relevant communication is not returned as undelivered, the notice or communication shall be deemed to have been given on the same Working Day if delivered by hand, two (2) Working Days after the day on which the letter was posted, or four (4) hours, in the case of electronic mail provided such notice is served no later than 1pm on any Working Day, otherwise such notice shall be deemed served the following Working Day, or sooner where the other Party acknowledges receipt of such letters or item of electronic mail. Such letters and electronic mail shall be addressed to the other Party in the manner referred to in Clause A5.3.

A5.3 For the purposes of Clause A5.2, the address of each Party shall be:-

(a) For the Customer:-  
Lincolnshire County Customer  
Address:  
Count Offices, Newland, Lincoln, LN1 1YL  
For the attention of: [ ]  
Email: [ ]

(b) For the Supplier:-  
[ ]  
Address:  
[ ]  
For the attention of: [ ]  
Tel: [ ]  
Email: [ ]

A5.4 Either Party may change its address for service by serving a notice in accordance with this clause.

**A6 MISTAKES IN INFORMATION**

A6.1 The Supplier shall be responsible for the accuracy of all drawings, documentation and information supplied to the Customer by the Supplier in connection with the supply of the Services and shall pay the Customer any extra costs occasioned by any discrepancies, errors or omissions therein except where such discrepancies, errors or omissions originate from documentation supplied by the Customer.

**A7 CONFLICTS OF INTEREST**

A7.1 The Supplier shall take appropriate steps to ensure that neither the Supplier nor any of the Supplier's Staff are placed in a position where, in the reasonable opinion of the Customer, there is or may be an actual conflict, or a potential conflict, between the financial or personal interests of the Supplier and the duties owed to the Customer under the provisions of this Contract. The Supplier shall disclose to the Customer full particulars of any such conflict of interest which may arise.

A7.2 The Customer reserves the right to terminate this Contract immediately by notice in writing and/or to take such other steps it deems necessary where, in the reasonable opinion of the Customer, there is or may be an actual conflict, or a potential conflict, between the financial or personal interests of the Supplier and the duties owed to the Customer under the provisions of this Contract. The actions of the Customer pursuant to this clause shall not prejudice or affect any right of action or remedy which shall have accrued or shall thereafter accrue to the Customer.

**A8 VOLUMES**

A8.1 The Supplier acknowledges that no guarantee is given by the Customer in respect of levels or values of Services referred to in the Schedules which are indicative only and shall not be binding on the Customer.

**SUPPLY OF SERVICES**

**B1 THE INDIVIDUAL PLACEMENT AGREEMENT (IPA)**

B1.1 The Customer shall complete an IPA in consultation with the Supplier, where necessary. The Customer shall, in the course of this consultation, supply the Supplier with such information about the CWD as obligated within the Specification.

B1.2 The IPA shall detail the Services to be delivered in accordance with this Contract and what is stated in the CWD's CiN Plan, EHC Plan (as applicable) and any other written arrangements agreed by both Parties.

B1.3 The IPA shall detail the expected outcomes to be achieved for the CWD whilst the Supplier provides the Services, in accordance with the CWD's CiN Plan, EHC Plan (as applicable) and Specification.

B1.3A The IPA shall detail the Price that is to be paid in relation to the CWD's placement with the Supplier, following agreement between the Customer and the Supplier.

B1.4 The Customer shall issue the completed IPA to the Supplier to sign and return to the Customer within five (5) Working Days from receipt. The Customer will then sign both copies and return one signed copy to the Supplier.

B1.5 The Services shall not commence until the completed IPA is signed by both Parties, unless otherwise agreed by the Customer.

B1.6 The outcomes, success measures and timescales identified in the IPA shall be reviewed in accordance with the Specification and the individual CWD's CiN Plan and/or EHC Plan (as applicable) in compliance with statutory requirements. Wherever



possible, education, social care, health and other reviews shall take place together.

- B1.7 Either Party may reasonably request a review meeting and consider what variations (if any) are required to the relevant IPA (including Price) to be made resulting from changes in the needs of the CWD in question. Where a variation has been agreed by the Parties, the Customer shall complete two (2) copies of the amended IPA which shall contain details of the variation and the date from which the variation shall be deemed to have commenced. The Supplier shall sign and return both copies of the amended IPA to the Customer within five (5) Working Days of receipt. The Customer will then sign both copies and return one signed copy to the Supplier.
- B1.8 No variation of the Services and/or the Price shall take effect until the amended IPA is signed by both Parties, unless otherwise agreed by the Customer.
- B1.9 The Customer shall not be liable to make any payment in relation to a variation prior to the agreed commencement date for such variation.
- B1.10 The Supplier shall give the Customer notification as soon as reasonably possible of any matters affecting the maintenance and stability of the Service provided.
- B1.11 The Supplier shall regularly monitor the Service provided to the CWD and give regular feedback to the Customer. If the matters notified under Clause B1.10 continue to have a disruptive influence on the Service provided, a Service review meeting will be held to agree a corrective course of action.
- B1.12 The Supplier and the Customer shall ensure that any corrective course of action is implemented immediately to maintain and provide stability to the Service provided to the CWD.
- B1.13 In the event that it is agreed, in the best interests of the CWD in question that an Replacement Provider should continue the provision of the Services, the Supplier shall liaise with such Replacement Provider and the Customer in order to ensure a smooth and planned transition and continuity of the Services, for the CWD in question.
- B1.14 Subject to Clause H2A.1, in the event that the duration of any signed IPAs surpasses the Contract Period and Services continue following the expiry of this Contract, the IPAs in question shall continue to be in effect and the Supplier shall continue to undertake such Services in accordance with this Contract and the IPA until the expiry or earlier termination of any such IPA.

## **B2 THE SERVICES**

- B2.1 The Supplier shall supply any Services instructed under a signed IPA, during the Contract Period in accordance with the Customer's requirements as set out in the relevant IPA, CIN and EHC Plan (as applicable), the Specification and the provisions of this Contract in consideration of the payment of the Price.
- B2.2 If the Customer informs the Supplier in writing that the Customer reasonably believes that any part of the Services does not meet the requirements of this Contract and/or any signed IPA or differs in any way from those requirements, and this is other than as a result of a Default by the Customer, the Supplier shall at its own expense re-schedule and carry out the Services in accordance with the requirements of this Contract and/or signed IPA within such reasonable time as may be specified by the Customer.
- B2.3 Timely supply of the Services shall be of the essence of this Contract, including in relation to commencing the supply of the Services within the time agreed or on a

specified date.

B2.4 The Supplier shall ensure that all Services are undertaken in a safe manner which is compliant to UK Government guidance and Law relating to the Covid-19 pandemic.

B2.5 The Supplier shall as may be necessary co-operate, liaise with and co-ordinate its activities with those of any other supplier employed directly or indirectly by the Customer and the Customer teams identified within the Specification and shall provide the Services in harmony with and at no detriment to such services provided by or on behalf of or to the Customer as detailed within the Specification. If the Supplier defaults in complying or fails to comply with this condition then any costs, expenses, liabilities or damages incurred by the Customer as a consequence thereof, including the reasonable cost to the Customer or the time spent by its officers as a result of the default or failure, may be deducted from any sums due or to become due to the Supplier under this Contract or shall be recoverable from the Supplier by the Customer as a debt.

B2.6 The Supplier shall in performing its obligations in accordance with this Contract cooperate with the Customer in compliance with the requirements of Public Services (Social Value) Act 2012.

## **B2A NOT USED**

## **B2B ASSISTANCE WITH MEDICATION AND MEDICAL TREATMENTS**

B2B.1 If a CWD to whom the Supplier is providing Services in accordance with a respective signed IPA, requires assistance or reminders in taking any medications and/or requires the administering of medical treatments to the extent provided for within the Specification, whilst under the care of the Supplier, the Supplier shall ensure that any Staff assisting the CWD is suitably trained in accordance with the requirements within the Specification, IPA and have been informed as to the details of the medication, treatment and any suitable instructions from the CWD's general practitioner, Carer, Parent(s), Legal Guardian, Social Worker including but not limited to:

- (a) what the medication is for;
- (b) when it shall be taken;
- (c) the dosage that shall be given;
- (d) how it shall be stored;
- (e) how to record that the medication has been given and taken;
- (f) what the treatment is for;
- (g) How it is administered; and
- (h) How medical equipment is cleaned

B2B.2 The Supplier shall ensure that any Staff providing any assistance with medication and any medical treatments shall be suitably qualified, act in accordance with Quality Standards, Good Industry Practice, the Law, the Specification, the respective signed IPA and terms and conditions of this Contract when providing such assistance.

## **B2C TRANSPORT**

B2C.1 In the event that the Supplier provides transport to the CWD to and from any Premises or otherwise, the Supplier shall ensure that any such requirements provided for in Specification are satisfied and that any such vehicle used is:-

- (a) Fit for the purpose of transporting the CWD, taking into account any specific needs and wishes of the CWD;
- (b) easily accessible by the CWD;
- (c) In compliance with all applicable requirements of the Law, including but not limited to having a valid MOT and insurance allocated, is otherwise road worthy, licensing, insurance, testing, operation, construction, use, fitness, equipment, safety and maintenance;
- (d) regularly serviced, and kept in a fully operational state of repair;
- (e) be of a suitable type, size and design for the provision of the Services;
- (f) in a suitable and fully operational mechanical condition, safe and roadworthy and comply with any applicable Law;
- (g) clean and comfortable; and
- (h) driven by a competent member of Staff, who is fully licensed to drive such vehicle by Law

B2C.2 In the event that a CWD is a wheelchair user, the Supplier shall ensure and must be able to demonstrate that they have ensured the driver uses appropriate equipment, to ensure that such CWD is safe and comfortable whilst on board such transport and that the driver has been adequately trained in their use.

B2C.3 In the event that such transport is provided by a volunteer driver or a third party, the Supplier shall ensure that such third party provider has suitable policies and procedures in place and can evidence that any such transport provided for complies with the requirements of this Clause B2C and the Specification.

## **B2D ACTIVITIES**

B2D.1 In the event that the Supplier arranges and/or provides and/or organises Activities for the CWD within the Premises or outside of the Premises, the Supplier shall ensure such Activities:

- (a) are safe, have been subjected to a risk assessment and have adequate health and safety certification; and
- (b) comply with all applicable requirements of Law; and
- (c) are carried out with adequate and suitable supervision; and
- (d) fit for purpose and suitable for the applicable CWD; and
- (e) comply with the provisions of the Specification and relevant IPA.

## **B2E SERVICE QUALITY**

B2E.1 The Supplier shall unless otherwise agreed (subject to the Law) with the Customer in writing:-

- (a) comply, where applicable, with the registration and regulatory compliance requirements and guidance of CQC, Ofsted and any other Regulatory Body;
- (b) respond, where applicable, to all requirements and enforcement actions issued from time to time by CQC or any other Regulatory Body;
- (c) consider and respond to the recommendations arising from any audit, death, Serious Incident report or Patient Safety Incident report;
- (d) comply with the recommendations issued from time to time by a Competent Body;
- (e) comply with the recommendations from time to time contained in guidance and appraisals issued by NICE;
- (f) respond to any reports and recommendations made by Local HealthWatch; and
- (g) comply with the KPIs set out in Schedule 3
- (h) obtain and maintain registrations as required within the Specification and as required to provide the Services competently during the Contract Period.
- (i) comply with all the Law in respect of the Services including but not limited to:-
  - (i) The Children and Families Act 2014
  - (ii) The Children Act 1989 and 2004
  - (iii) The Adoption and Children Act 2002
  - (iv) Education Act 1996, 2002, 2005 and 2011
  - (v) Health and Social Care Act 2001, 2008 and 2012
  - (vi) Safeguarding of Vulnerable Groups Act 2006
  - (vii) Mental Health Act 1959, 1983 and 2007
  - (viii) Mental Capacity Act 2005
  - (ix) Housing Act 1964, 1980 and 1985
  - (x) The Equality Act 2010
  - (xi) National Health Service Act 2006
  - (xii) Sexual Offences Act 2003
  - (xiii) Police and Justice Act 2006
  - (xiv) SEND Code of Practice 2015
  - (xv) Chronically Sick and Disabled Persons Act (CSDA) 1970
- (j) comply with all applicable Government guidance, and guidance/strategies stipulated by the Customer in respect of Services including but not limited to:-
  - (i) Closing the Gap: Priorities for Essential Change in Mental health, 2014
  - (ii) Promoting the Health and Wellbeing of Looked after Children and Young People, 2015
  - (iii) Future in Mind, 2015
  - (iv) Children and Social Work Act, 2017
  - (v) Working Together to Safeguard Children 2018

**B2F CWD INVOLVEMENT**

B2F.1 The Supplier shall engage, liaise and communicate with the CWD, their Carers, Parent(s) and/or Legal Guardians in an open and clear manner in accordance with the Law, Good Practice and their human rights.

B2F.2 As soon as reasonably practicable following any reasonable request from the Customer, the Supplier shall provide evidence to the Customer of the involvement of

the CWD, Carers, Parent(s), Legal Guardian and Social Worker in the development of Services.

B2F.3 The Supplier shall carry out CWD surveys (and Carer surveys) and shall carry out any other surveys reasonably required by the Customer in relation to the Services. The form (if any), frequency and method of reporting such surveys shall comply with the requirements as agreed between the Parties in writing from time to time.

B2F.4 The Supplier shall review and provide a written report to the Customer on the results of each survey carried out under Clause B2F.3 and identify any actions reasonably required to be taken by the Supplier in response to the surveys. The Supplier shall implement such actions as soon as practicable. If required by the Customer, the Supplier shall publish the outcomes and actions taken in relation to such surveys.

### **B3 PROVISION AND REMOVAL OF EQUIPMENT**

B3.1 The Supplier shall provide and maintain all the Equipment necessary for the supply of the Services.

B3.2 All Equipment brought onto the Premises shall be at the Supplier's own risk unless the Supplier is able to demonstrate that such loss or damage was caused or contributed to by the Customer's Default, or CWD's, CWD's Parent, family or Legal Guardian's negligence, in which case the liability for such damage shall be apportioned respectively. The Supplier shall provide for the haulage or carriage thereof to the Premises and the removal of Equipment when no longer required at its sole cost. Unless otherwise agreed, Equipment brought onto the Premises shall remain under the ownership of the Supplier.

B3.3 The Supplier shall maintain all items of Equipment in a safe, serviceable and clean condition.

B3.4 The Supplier shall, at the Customer's written request, at its own expense and as soon as reasonably practicable:-

(a) remove from the Premises any Equipment which in the reasonable opinion of the Customer is either hazardous, noxious or not in accordance with this Contract; and

(b) replace such item with a suitable substitute item of Equipment.

B3.5 On completion of the Services the Supplier shall remove the Equipment together with any other materials used by the Supplier to supply the Services and shall leave the Premises (as applicable) in a clean, safe and tidy condition. The Supplier is solely responsible for making good any damage to the Premises or any objects contained thereon, other than fair wear and tear, which is caused by the Supplier or any Staff.

### **B4 MANNER OF CARRYING OUT THE SERVICES**

B4.1 The Supplier shall at all times comply with the Quality Standards, and where applicable shall maintain accreditation with the relevant Quality Standards authorisation body and any body as provided for within the Specification. To the extent that the standard of Services has not been specified in the Contract, the Supplier shall agree the relevant standard of the Services with the Customer prior to the supply of the Services and in any event, the Supplier shall perform its obligations under this Contract in accordance with the Law and Good Industry Practice.

B4.2 The Supplier shall ensure that all Staff supplying the Services shall do so with all due skill, care and diligence and shall possess such qualifications, skills and experience

as are necessary for the proper supply of the Services.

B4.3 The Customer shall conduct a review of performance of this Contract at least annually during the Contract Period. During this review, a performance report shall be agreed.

**B5 KEY PERSONNEL**

B5.1 Each Party shall appoint the persons named as such in Schedule 4 as the individuals who shall be responsible for the matters allocated to such Key Personnel. The Key Personnel shall be those individuals who are identified by each Party as being key to the success of the delivery and operation of the Services and who shall be retained on the delivery and operation of the Services for such time as a person is required to perform the role which has been allocated to the applicable Key Personnel. The Key Personnel shall have the authority to act on behalf of their respective Party on matters for which they are expressed to be responsible.

B5.2 The Supplier acknowledges that the Supplier's Key Personnel are essential to the proper provision of the Services to the Customer.

B5.3 The Supplier's Key Personnel shall not be released from supplying the Services without the agreement of the Customer, except by reason of long-term sickness, maternity leave, paternity leave or termination of employment and other extenuating circumstances.

B5.4 The Supplier shall ensure that the role of each of its Key Personnel is not vacant for more than ten (10) Working Days. Any replacement shall be as, or more, qualified and experienced as the previous incumbent and fully competent to carry out the tasks assigned to the Supplier's Key Personnel whom they have replaced. A temporary replacement shall be identified with immediate effect from the Supplier becoming aware of the role becoming vacant.

B5.5 The Customer shall not unreasonably withhold its agreement under Clauses B5.3 or B5.4. Such agreement shall be conditional on appropriate arrangements being made by the Supplier to minimise any adverse impact on this Contract which could be caused by a change in the Supplier's Key Personnel.

B5.6 The Customer may require the Supplier to remove or procure the removal of any of the Supplier's Key Personnel whom the Customer considers, in its reasonable opinion, to be unsatisfactory for any reason which has a material impact on delivery or management of the delivery of Services.

B5.7 If the Supplier replaces the Key Personnel as a consequence of this Clause B4, the cost of effecting such replacement shall be borne by the Supplier.

**B6 SUPPLIER'S STAFF**

B6.1 At all times, the Supplier shall ensure that:-

- (a) each of the Staff is suitably qualified, adequately trained (including any specialist based training that is required for the proper delivery of the Services) and capable of providing the Services in respect of which they are engaged and in accordance with the Specification;
- (b) there is an adequate number of Staff to provide the Services properly;
- (c) where applicable, Staff (save for volunteers) are registered with the appropriate professional regulatory body;

- (d) all of the Staff comply with all of the Customer's policies as notified to it from time to time; and
  - (e) all of the Staff comply with the Law, fully understand the nature of their duties and carry out their responsibilities in accordance with a general duty of care and safe methods of working; and
  - (f) Staff are aware of and respect equality and human rights of colleagues and CWDs.
  - (g) it complies with the Law relating to the employment of Staff.
- B6.2 The Supplier shall notify its entire Staff about the Supplier's obligations under the terms of this Contract and about any applicable Law.
- B6.3 Upon receipt of a complaint against a member of Staff, the Customer may, to the extent reasonably necessary to protect the standards and reputation of the Customer, in consultation with the Supplier, request that the Supplier investigates the complaint and provides the Customer with all requested information in relation to this investigation, in accordance with the Supplier's own internal policy and procedures and Good Industry Practice.
- B6.4 In the event of industrial disputes or action by any of the Staff, it remains the Supplier's responsibility to meet the requirements of this Contract. The Supplier shall inform the Customer immediately of impending or actual industrial disputes or action, which may affect the Supplier's ability to deliver the Services and of the Supplier's contingency plans for dealing with such disputes or action.
- B6.5 The Supplier shall have in place systems for seeking and recording specialist professional advice and shall ensure that every member of Staff involved in the provision of the Services receives:-
- (a) proper and sufficient continuous professional and personal development, training and instruction; and
  - (b) full and detailed appraisal (in terms of performance and on-going education and training),
- each in accordance with Good Industry Practice and the standards of any applicable relevant professional body.
- B6.6 Where applicable under section 1(F)(1) of the NHS Act 2006, the Supplier shall cooperate with and provide support to the Local Education and Training Boards and/or Health Education England to help them secure an effective system for the planning and delivery of education and training.
- B6.7 The Supplier shall carry out Staff surveys in relation to the Services at intervals and in the form as agreed in writing from time to time.
- B6.8 The CWD or his/her Parent(s) or Legal Guardian may refuse to admit onto, or withdraw permission to remain on the Premises:
- (a) any member of Staff; or
  - (b) any person employed or engaged by the Supplier,

whose admission or continued presence would be undesirable.

- B6.9 At the Customer's written request, the Supplier shall provide a list of the names and addresses of all persons who may require admission in connection with this Contract to any Premises, specifying the capacities in which they are concerned with this Contract and giving such other particulars as the Customer may reasonably request.
- B6.10 The Staff, engaged within the Premises, shall comply with such reasonable rules and requirements as may be in force from time to time for the conduct of personnel at the Premises.
- B6.11 The Supplier shall comply with Staff Vetting Procedures in respect of all persons employed or engaged in the provision of the Services. The Supplier confirms that all persons employed or engaged by the Supplier were vetted and recruited on a basis that is equivalent to and no less strict than the Staff Vetting Procedures.
- B6.12 Before the Supplier engages or employs any person in the provision of the Services, or in any activity related to, or connected with, the provision of the Services, the Supplier shall without limitation:-
- (a) complete the Employment Checks; and
  - (b) ensure that all persons including their Staff who shall have any access to CWD are subject to enhanced DBS checks prior to starting their duties or having any unsupervised contact with CWD; and, those DBS-checked persons shall be re-checked at least every three years.
  - (c) if appropriate complete such other checks as required by the Customer's Recruitment and Selection Policy and all other policies and documentation referred to therein.
- B6.13 Subject to Clause B6.12, no person shall commence any duties in relation to a CWD, or have any unsupervised contact with a CWD, until all the necessary checks have been undertaken and the outcomes of those checks are satisfactory.
- B6.14 Where an enhanced DBS check includes disclosure in relation to any person, that person shall not be permitted to provide Services under this Contract or have any contact with a CWD until the Customer has confirmed to the Supplier in writing that it is satisfied that the individual is suitable to provide such Services and/or have contact with children. The Disclosure certificates shall remain on the personnel file and be available for inspection.
- B6.15 The Supplier shall (unless and to the extent agreed otherwise by the Customer in writing) conduct such questioning and investigation as is reasonable regarding any Convictions, where the above required checks reveal a Conviction.
- B6.16 Without prejudice to the provisions of this Clause B6, the Supplier shall not engage or continue to utilise in the provision of the Services involving or which are likely to involve access to children, vulnerable persons or other members of the public to whom the Customer owes a special duty of care, any member of Staff whose Conviction means it would reasonably be regarded as inappropriate for them to be conducting such activity.
- B6.17 If the Supplier fails to comply with Clause B6 and in the reasonable opinion of the Customer, such failure may be prejudicial to the interests of the Customer, then the Customer may terminate this Contract, provided always that such termination shall not



prejudice or affect any right of action or remedy which shall have accrued or shall thereafter accrue to the Customer.

- B6.18 The decision of the CWD, Parent(s) or Legal Guardian as to whether any person is to be refused access to the Premises (where applicable) shall be final and conclusive.
- B6.19 The Supplier shall replace any of the Staff who the Customer reasonably determines have failed to carry out their duties with reasonable skill and care or to the extent necessary to protect a CWD and/or standards and reputations of the Customer. Following the removal of any of the Staff for any reason, the Supplier shall ensure such person is replaced promptly with another person with the necessary training and skills to meet the requirements of the Services at no additional cost to the Customer.
- B6.20 The Supplier shall maintain up-to-date personnel records on the Staff engaged in the provision of the Services and shall provide information to the Customer as the Customer reasonably requests on the Staff. The Supplier shall ensure at all times that it has the right to provide these records in compliance with the Data Protection Legislation.
- B6.21 The Supplier shall use its best endeavours to ensure continuity of personnel and to ensure that the turnover rate of its Staff engaged in the provision or management of the Services is at least as good as the prevailing industry norm for similar services, locations and environments.

## **B7 OFFERS OF EMPLOYMENT**

- B7.1 For the duration of this Contract and for a period of twelve (12) Months thereafter neither the Customer nor the Supplier shall employ or offer employment to any of the other Party's staff who have been associated with the procurement and/or the contract management of the Services without that other Party's prior written consent.

## **B8 TUPE AND PENSIONS**

- B8.1 The Customer and the Supplier agree that where the identity of a contractor (including the Incumbent Supplier) of any service which constitutes or will constitute part of the Services is changed as a result of entering into or pursuant to this Contract then the change may constitute a Relevant Transfer.
- B8.2 The Supplier acknowledges and accepts that under the TUPE Regulations the contracts of employment of the Transferring Employees shall have effect (except in relation to occupational pension scheme benefits excluded under Regulation 10 of the TUPE Regulations) from the Transfer Date as if originally made between the Transferring Employees and the Supplier.
- B8.2A The Supplier shall prior to any formal consultation required in accordance with the TUPE Regulations provide to all Transferring Employees basic guidance on their rights under the TUPE regulations and such guidance shall conform to government department issued guidance e.g. BIS Guidance on TUPE 2006 as amended.
- B8.3 In the event that the Supplier enters into any Sub-Contracts in connection with this Contract, it shall impose obligations on its Sub-Contractors in the same terms as those imposed on it pursuant to this Clause B8 and shall ensure that each Sub-Contractor complies with such terms. The Supplier shall indemnify the Customer and keep the Customer indemnified in full from and against all direct, indirect or consequential liability or Losses awarded against or incurred or paid by the Customer as a result of or in connection with any failure on the part of a Sub-Contractor to comply with such terms.

- B8.4 The Supplier shall be responsible for all emoluments and outgoings in respect of all Relevant Employees employed by the Supplier or any Sub-Contractor, including without limitation, all wages, bonuses, commission, premiums, subscriptions, PAYE and national insurance contributions, pension contributions and otherwise, which are attributable in whole or in part to the period after the Commencement Date (including any bonuses, commission, premiums, subscriptions and any other prepayments which are payable before the Commencement Date but which are attributable in whole or in part to the period after the Commencement Date). The Supplier shall indemnify and keep the Customer indemnified and harmless from and against all Losses and other liabilities which the Customer may incur in respect of the same.
- B8.5 The Supplier shall fully and accurately disclose to the Customer (and shall ensure that any relevant Sub-Contractor accurately discloses) any and all information in relation to all personnel engaged in the provision of the Services and all information that the Customer may reasonably request in relation to the Staff within ten (10) Working Days of the Customer's request including the following:-
- (a) a list of employees employed by the Supplier, or any Sub-Contractor; and
  - (b) a list of agency workers, agents and independent contractors engaged by the Supplier; and
  - (c) the total payroll bill (i.e. total taxable pay and allowances including employer's contributions to pension schemes) of those personnel; and
  - (d) the age, gender, salary or other remuneration, date of continuous employment commenced and, if different, the commencement date, accrued holiday entitlement, pension details, location, retirement, enhancement rates, and any other factors affecting their redundancy and pension entitlements and any outstanding claims arising from employment of the Staff referred to in Clause B8.5(a); and
  - (e) the terms and conditions of the employment/engagement of the Staff referred to in Clause B8.5(a), their job titles and qualifications; and
  - (f) details of any current disciplinary or grievance proceedings ongoing or circumstances likely to give rise to such proceedings and details of any claims current or threatened; and
  - (g) details of all collective agreements with a brief summary of the current state of negotiations with such bodies and with details of any current industrial disputes and claims for recognition by any trade union.
- B8.6 Where the Supplier provides information in accordance with Clause B8.5 and the Supplier or Sub-Contractor makes or becomes aware of any changes or discovers new information the Supplier shall notify the Customer within five (5) Working Days of any such change or discovery.
- B8.7 At the time of providing the disclosed information pursuant to Clauses B8.5 and B8.6, the Supplier shall warrant the completeness and accuracy of all such information. The Supplier authorises the Customer to use any and all information provided under Clause B8 to the Customer as it considers necessary for the purposes of its business or for informing any tenderer for any services which are substantially the same as the Services (or any part thereof).
- B8.8 The Customer may use the information it receives from the Supplier pursuant to

Clauses B8.5 and B8.6 for the purposes of TUPE in order to ensure an effective handover of all work in progress at the end of the Contract Period or relevant signed IPA. The Supplier shall provide the Replacement Provider with such assistance as it shall reasonably request.

- B8.9 The Supplier shall indemnify and keep indemnified and hold the Customer and the Crown (both for themselves and any Replacement Provider) harmless from and against all Losses which the Customer or the Crown or any Replacement Provider may suffer or incur as a result of or in connection with:-
- (a) the provision of information pursuant to Clause B8; and
  - (b) any claim or demand by any Relevant Employee as defined under TUPE (whether in contract, tort, under statute, pursuant to European Law or otherwise) in each and every case arising directly or indirectly from any act, fault or omission of the Supplier in respect of any Relevant Employee on or before the end of the Contract Period; and
  - (c) any failure by the Supplier to comply with its obligations under Regulation 13 or 14 of TUPE or any award of compensation under Regulation 15 of TUPE save where such failure arises from the failure of the Customer or a Replacement Provider to comply with its duties under Regulation 13 of the Regulations; and
  - (d) any claim (including any individual employee entitlement under or consequent on such a claim) by any trade union or other body or person representing any Relevant Employees as defined under TUPE arising from or connected with any failure by the Supplier to comply with any legal obligation to such trade union, body or person; and
  - (e) any claim by any person who is transferred by the Supplier to the Customer and/or a Replacement Provider whose name is not included in the list of Relevant Employees as defined under TUPE.
- B8.10 The Supplier shall comply with the Pension Act 2004 and the Transfer of Employment (Pension Protection) Regulations 2005.
- B8.11 The Supplier shall ensure that, in accordance with The Best Value Authorities Staff Transfers (Pensions) Direction 2007, a Transferring Original Employee shall be granted:
- (a) Pension rights that are broadly comparable to or better than those he/she has as an employee of the Incumbent Supplier; or
  - (b) continued access to the Local Government Pension Scheme for those employees who at the Transfer Date are members of that pension scheme; and
  - (c) terms and conditions of employment which allow the Transferring Original Employee to enforce the protection afforded under The Best Value Authorities Staff Transfers (Pensions) Direction 2007.
- B8.12 This Clause B8 applies during the Contract Period and indefinitely thereafter.
- B8.13 Not Used
- B8.14 The Supplier confirms that it shall comply fully with its obligations under the TUPE Regulations in respect of providing information to any subsequent supplier (including

any Replacement Provider). The Supplier warrants that any information provided in accordance with Regulation 11 of the TUPE Regulations shall be accurate and complete.

B8.15 The Supplier shall indemnify and keep the Customer and any Replacement Provider indemnified in full from and against direct, indirect or consequential liability or Loss awarded against or incurred or paid by the Customer or any Replacement Provider as a result of or in connection with:-

- (a) the employment or termination of employment of any Relevant Employee or employee of any Sub-Contractor during any period prior to and including the date of expiry or termination of this Contract; and
- (b) any claim brought against the Customer or any Replacement Provider as a result of the Supplier's failure to comply with any of its obligations under the TUPE Regulations and this Contract.

B8.16 Notwithstanding any provisions of this Contract, for the purposes of Clause B8 and in accordance with the Contracts (Rights of Third Parties) Act 1999, the Parties accept that any Replacement Provider shall be entitled to enforce the benefits conferred to it under this Contract. If the Parties rescind this Contract or vary it in accordance with the relevant provisions of this Contract or terminate this Contract, the consent of any Replacement Provider shall not be required for such rescission, variation or termination.

## **B9 BEST VALUE**

B9.1 The Supplier shall provide to the Customer all such assistance, information and documentation as the Customer shall reasonably require for the purpose of compliance with its obligations of Best Value under Part 1 of the Local Government Act 1999.

## **B10 SERVICE IMPROVEMENT**

B10.1 The Supplier shall throughout the duration of this Contract identify and discuss any improvements and enhancements which would improve the Services and delivery of the Services with the Customer. Without prejudice to the a foregoing, the Supplier shall, at its own cost submit a report to the Customer within thirty (30) Working Days of the end of each Contract Year, which shall identify the emergence of new and evolving relevant technologies, processes and any other change which could improve the Services and the delivery thereof. Such report shall be provided in sufficient detail to enable the Customer to evaluate properly the benefits of the change.

B10.2 If the Customer wishes to incorporate any improvement identified by the Supplier pursuant to Clause B10.1, the Customer shall send the Supplier a Customer Change Control Notice and the Parties shall discuss the implementation of the associated Change in accordance with the Change Control Procedure provided always that if the Supplier's costs in providing the Services to the Customer are reduced as a result of any business change implemented by the Supplier, a saving as agreed between the Parties shall be passed on to the Customer by way of a consequential and immediate reduction in the Price.

## **B11 COMPLAINTS**

B11.1 The Supplier shall have a complaints procedure in place from the Commencement Date, which includes but shall not be limited to the requirements as set out in the Specification and shall maintain an up to date, comprehensive and detailed written record of all complaints it receives regarding the Services. Such records shall contain all relevant details of the complaint including the following details:-

- (a) the member of Staff or other person to whom the complaint was made and the name and job title of that person;
- (b) the name and address (if known) of the person making the complaint and in what capacity the complaint was made;
- (c) the nature and extent of the default of which complaint was made;
- (d) the date and time of complaint; and
- (e) any action taken to remedy the complaint, and if no action is to be taken, the reasons why no action is to be taken.

B11.2 Where a complaint is received regarding:-

- (a) the standard of Services;
- (b) the manner in which any Services have been supplied;
- (c) the manner in which work has been performed;
- (d) the materials or procedures used by the Supplier; or
- (e) any other matter connected with the performance of the Supplier's obligations under this Contract,

then the Supplier shall notify the Customer, and where considered appropriate by the Customer, investigate the complaint.

B11.3 Without prejudice to its other rights and remedies under the Contract, the Customer may, in its sole discretion, uphold the complaint and take further action in accordance with Clause F5.1, Clause H2 (Termination on Default) or H7 (Remediation Plan Process) of this Contract.

## **B12 INCIDENTS REQUIRING REPORTING**

B12.1 If the Supplier is CQC registered it shall comply with the requirements and arrangements for notification of deaths and other incidents to CQC in accordance with CQC Regulations and if the Supplier is not CQC registered it shall notify Serious Incidents to any Regulatory Body as applicable, in accordance with the Law, the Specification and the provisions of Schedule 3 (Performance Monitoring).

B12.2. If the Supplier gives a notification to the CQC or any other Regulatory Body under clause B12.1 which directly or indirectly concerns any CWD, the Supplier shall send a copy of it to the Customer within five (5) Working Days.

B12.3 The Supplier shall notify the Customer immediately (or by next Working Day if this is not possible) of any notifiable incidents referred within the Specification.

B12.4 The Parties shall comply with the arrangements for reporting, investigating, implementing and sharing the Lessons Learned from Serious Incidents, Patient Safety Incidents and non-CWD safety incidents that are agreed between the Supplier and the Customer.

B12.5 Subject to the Law, the Customer shall have complete discretion to use the information provided by the Supplier under this clause B.12.

## **B13 CONSENT**

B13.1 The Supplier shall publish, maintain and operate a CWD consent policy which complies with Good Practice and the Law.

**B14 CWD RECORDS**

B14.1 The Supplier shall create, maintain, store and retain CWD health records for all CWDs. The Supplier must retain CWD records for the periods of time required by Law and securely destroy them thereafter in accordance with any applicable Guidance.

B14.2 The Supplier shall:-

- (a) use CWD records solely for the execution of the Supplier's obligations under this Contract; and
- (b) give each CWD full and accurate information regarding his/her treatment and Services received.

B14.3. The Supplier shall at all times during the term of this Contract have a Caldicott Guardian and shall notify the Customer of their identity and contact details prior to the Service Commencement Date. If the Supplier replaces its Caldicott Guardian at any time during the term of this Contract, it shall promptly notify the Customer of the identity and contact details of such replacements.

B14.4. Subject to Guidance and where appropriate, the CWD records shall include the CWD's verified NHS number.

**B15 BUSINESS CONTINUITY**

B15.1 The Supplier shall ensure that it is able to implement the provisions of the Disaster Recovery and Business Continuity Plan at any time in accordance with its terms to ensure that the Services shall be maintained in the event of disruption (including disruption to information technology systems and the supply chain) to the Supplier's operations and those of its Sub-Contractors however caused. Such contingency plans shall be available for the Customer to inspect and to practically test at any reasonable time and shall be subject to regular updating and review throughout the Contract Period in accordance with Schedule 5.

B15.2 The Supplier shall test the Disaster Recovery and Business Continuity Plan on a regular basis (and, in any event, not less than once in every twelve (12) Month period). The Customer shall be entitled to participate in such tests as it may reasonably require.

B15.3 Following each test, the Supplier shall send to the Customer a written report summarising the results of the test within ten (10) Working Days of the completion of the test and shall promptly implement any actions or remedial measures which the Customer considers to be necessary as a result of those tests.

B15.4 In the event of any significant changes to the Disaster Recovery and Business Continuity Plan, the Supplier shall provide such updated plan to the Customer within ten (10) Working Days of the implementation of the change.

B15.5 The Supplier shall implement the Disaster Recovery and Business Continuity Plan in the event that the Services are not available for more than forty eight (48) hours.

**B16 CO-OPERATION**

B16.1 The Parties shall at all times act in good faith towards each other.

B16.2. The Supplier shall co-operate fully and liaise appropriately with:-

- (a) the Customer;

- (b) the CWD;
- (c) the CWD's Parent or Legal Guardian
- (d) the CWD's Social Worker
- (e) any third party provider who the CWD may be transferred to or from the Supplier;
- (f) any third party provider which may be providing care to the CWD at the same time as the Supplier's provision of the relevant Services to the CWD; and
- (g) primary, secondary and social care services,

in order to:

- (h) ensure that a consistently high standard of care for the CWD is at all times maintained;
- (i) ensure a co-ordinated approach is taken to promoting the quality of CWD care across all pathways spanning more than one provider;
- (j) achieve a continuation of the Services that avoids inconvenience to, or risk to the health and safety of, CWDs, employees of the Customer or members of the public.

## **PAYMENT AND PRICE**

### **C1 PRICE**

C1.1 In consideration of the Supplier's proper performance of its obligations under this Contract and any signed IPA, the Customer shall pay the agreed Price set out in the applicable signed IPA for each CWD in accordance with Clause C2 (Payment).

### **C2 PAYMENT**

C2.1 Where the Supplier submits a valid invoice to the Customer in accordance with the provisions within Clause C1, Clause C2 and the applicable signed IPA, the Customer shall pay each invoice within twenty eight (28) calendar days of Receipt of a valid invoice.

C2.2 In respect of any invoice, the Supplier shall ensure that each invoice:-

- (a) clearly displays a valid purchase order number which number must be obtained from the Customer upon request for the provision of Services;
- (b) only contains one purchase order number which relates to the Services requested under the relevant purchase order. For the avoidance of doubt, if an invoice contains more than one purchase order number, it shall be rejected;
- (c) includes the Supplier's name, address, contact details;
- (d) details the Services which the invoice relates to including delivery address;
- (e) a unique invoice reference number;
- (f) is either electronically typed or handwritten but no invoice shall be accepted which has been electronically typed and manually altered, e.g. manually corrected or updated;

- (g) is submitted via e-mail to [invoices@lincolnshire.gov.uk](mailto:invoices@lincolnshire.gov.uk) in PDF or TIF format without security being applied and is sent as a separate file or is sent by post addressed to Lincolnshire County Customer, Serco Lincs Invoices, PO Box 7811, Corby, NN17 9HF;
  - (h) which is submitted by e-mail shall only consist of an invoice and no other documentation; and
  - (i) which is to be accompanied by documentation, is submitted by post to the address identified in sub-clause (g) above.
- C2.3 If the Supplier fails to submit an invoice in accordance with Clause C2.2 no payment shall become due until such time as an invoice has been submitted by the Supplier which conforms in all respects with the requirements set out in Clause C2.2.
- C2.4 Where the Supplier enters into a Sub-Contract with a supplier or contractor for the purpose of performing its obligations under this Contract, it shall ensure that a provision is included in such a Sub-Contract which requires:-
- (a) payment to be made of all sums due by the Supplier to the Sub-Contractor within a specified period not exceeding thirty (30) days from the Receipt of a valid invoice; and
  - (b) the counterparty to that Sub-Contract to include in any sub-contract which it awards provisions having the same effect as the provisions of clause C2.4(a).
- C2.5 All payments to be made by the Customer under this Contract are stated to be exclusive of VAT.
- C2.6 The Supplier shall indemnify the Customer on a continuing basis against any liability, including any interest, penalties or costs incurred which is levied, demanded or assessed on the Customer at any time in respect of the Supplier's failure to account for or to pay any VAT relating to payments made to the Supplier under this Contract. Any amounts due under this Clause C2.6 shall be paid by the Supplier to the Customer not less than five (5) Working Days before the date upon which the tax or other liability is payable by the Customer.
- C2.7 The Supplier shall not suspend the supply of the Services unless the Supplier is entitled to terminate this Contract under Clause H2.6 (Termination on Default) for failure to pay undisputed sums of money.
- C2.8 Interest shall be payable on the late payment of any undisputed sums of money due to either Party under this Contract such interest to be calculated at the rate of 4% over the Bank of England base rate for the time being, from the final date for payment to and including the date on which such amount is paid or discharged.
- C2.9 Where payment by the Customer of all or any part of any invoice submitted or other claim for payment by the Supplier is disputed, this dispute shall be resolved as follows:-
- (a) Notwithstanding Clause C3, payment by the Customer of all or any part of any Price rendered or other claim for payment by the Supplier shall not signify approval. The Customer reserves the right to verify the Price after the date of payment and subsequently to recover any sums which have been overpaid.



- (b) If any part of a claim rendered by the Supplier is disputed or subject to question by the Customer either before or after payment then the Customer may call for the Supplier to provide such further documentary or oral evidence as it may reasonably require to verify its liability to pay the amount which is disputed or subject to question and the Supplier shall promptly provide such evidence in a form satisfactory to the Customer.
  - (c) If any part of a claim rendered by the Supplier is disputed or subject to question by the Customer, the Customer shall not withhold payment of the remainder.
  - (d) If any Price rendered for payment by the Supplier is paid but any part of it is disputed or subject to question by the Customer and such part is subsequently agreed or determined not to have been properly payable then the Supplier shall forthwith repay such part to the Customer.
- C2.10 The Supplier shall maintain complete and accurate records of, and supporting documentation for, all amounts which may be chargeable to the Customer pursuant to this Contract and applicable signed IPA and shall declare and make available for inspection to the Customer all Price components including profit, central office overheads and all and any relevant books of account, correspondence, agreements, orders, invoices, receipts and other relevant documents. Such records shall be retained for inspection by the Customer twelve (12) years from the end of the Contract Year to which the records relate.
- C2.11 Without prejudice to Clause C2.5, for the avoidance of doubt, it shall be the sole responsibility of the Supplier to:-
- (a) assess the VAT rate and tax liability arising out of or in connection with the Contract; and
  - (b) account for or pay any VAT (and any other tax liability) relating to payments made to the Supplier under the Contract to HM Revenue and Customs ("HMRC").
- C2.12 The Customer shall not be liable to the Supplier in any way whatsoever for any error or failure by the Supplier (or the Customer) in relation to VAT, including without limit:-
- (a) where the Supplier is subject to a VAT ruling(s) by HMRC (or such other relevant authority) in connection with the Contract;
  - (b) where the Supplier has assumed that it can recover input VAT and (for whatever reason) this assumption is subsequently held by HMRC (or such relevant authority) to be incorrect or invalid; and/or
  - (c) where the Supplier's treatment of VAT in respect of any claim for payment made under the Contract is subsequently held by HMRC (or such other relevant authority) for whatever reason to be incorrect or invalid;
  - (d) where the Supplier has specified a rate of VAT, or a VAT classification to the Customer (including but not limited to Out of Scope, Exempt, 0%, Standard Rate and Reduced Rate) but the Supplier subsequently regards such a rate, or such a classification, as being a mistake on its part. Further, in this scenario C2.12 (d), the Supplier shall be obliged to repay any overpayment by the Customer on demand.
- C2.13 Where the Supplier does not submit a VAT invoice together with any claim for payment of the Price, the Customer shall not be liable to pay any VAT for that claim of the Price

either when it falls due or at any later date.

### **C3 RECOVERY OF SUMS DUE**

C3.1 Wherever under this Contract and/or any signed IPA any sum of money is recoverable from or payable by the Supplier (including any sum which the Supplier is liable to pay to the Customer in respect of any breach of this Contract and/or any signed IPA), the Customer may unilaterally deduct that sum from any sum then due, or which at any later time may become due to the Supplier under this Contract and/or any signed IPA or under any other agreement or contract with the Customer.

C3.2 Any overpayment by either Party, whether of the Price or of VAT or otherwise, shall be a sum of money recoverable by the Party who made the overpayment from the Party in receipt of the overpayment.

C3.3 The Supplier shall make all payments due to the Customer without any deduction whether by way of set-off, counterclaim, discount, abatement or otherwise unless the Supplier has a valid court order requiring an amount equal to such deduction to be paid by the Customer to the Supplier.

C3.4 All payments due shall be made within a reasonable time unless otherwise specified in this Contract and/or any signed IPA, in cleared funds, to such bank or building society account as the recipient Party may from time to time direct.

### **C4 PRICE ADJUSTMENT**

C4.1 The Customer reserves the right to enter into good faith negotiations at its discretion for a period of not more than thirty (30) Working Days to agree a variation to the Price at the end of each IPA Contract Year.

C4.2 If a variation in the Price is agreed between the Customer and the Supplier, the revised Price shall take effect pursuant to Clause B1.

C4.3 Any increase in the Price pursuant to Clause C4.1 shall not exceed the percentage change in the Office of National Statistics' Consumer Prices Index (CPI) or the Retail Price Index (RPI), whichever is the lowest between the start of the Contract Year prior to such increase and the sixth Month of the Contract Year prior to such increase.

### **C5 PERFORMANCE MANAGEMENT**

C5.1 The Supplier shall ensure that the Services meet or exceed the KPIs at all times from the Commencement Date.

C5.2 The Supplier shall provide the Customer with a report detailing its performance in respect of each of the KPIs as the Customer may request from time to time or as the frequency is provided for within the relevant IPA. The Supplier shall provide each report to the Customer no less than five (5) Working Days upon request of such report.

C5.3 The Customer's Representative and Supplier's Representative shall have meetings (as and when the Customer may request from time to time) to monitor and review the performance of a signed IPA and the Contract, the achievement of the KPIs and the provision of the Services.

C5.4 Prior to each meeting pursuant to Clause C5.3, the Customer shall notify the Supplier's Representative, and vice versa, of any problems relating to the provision of the Services for discussion at such meetings. At the meeting, the Parties shall agree a plan to address such problems. In the event of any problem being unresolved or a failure to agree a plan, the procedures set out in Clause H7 shall apply. Progress at implementing the plan shall be included in the agenda (if applicable) for the next

meeting.

- C5.5 The Customer and the Supplier shall review the KPIs in accordance with Schedule 3 and make any changes in accordance with the Change Control procedure to reflect the changes in the KPIs.
- C5.6 The Supplier shall attend all such other meetings and provide such reports as may reasonably be required by the Customer including those reports and meetings as set out in Schedule 1 and Schedule 3.

## **C6 CONTRACT MANAGEMENT**

- C6.1 The Supplier shall work with the Customer to establish and maintain an effective and beneficial working relationship to ensure the Contract is delivered to at least the minimum required standard as specified.
- C6.2 The Supplier shall work with the Customer to establish suitable administrative arrangements for the effective management and performance monitoring of the Contract and shall provide information as requested to monitor and evaluate the success of the Contract and the Supplier's management and delivery of it.
- C6.3 The Supplier shall supply information requested relevant to the delivery of the Services to the Customer, using formats and to the timescales specified by the Customer.
- C6.4 The Customer intends, wherever it can, to capture and collate information through its IT system(s). However, the Customer does reserve the right to make reasonable requests for information (at no additional charge) from the Supplier including ad-hoc requests for information from time to time.
- C6.5 Any additional requests for information shall be considered in consultation with the Supplier as shall the process of defining the methods of collection.
- C6.6 Where an ongoing, short-term or one-off requirement is agreed, both Parties agree that it shall be included, or deemed to be included within the Contract.
- C6.7 Review meetings as referred to in Clause C5 between the Customer and the Supplier shall also cover, as appropriate, resolving disputes and/or dealing with contractual breaches in accordance with the terms and conditions of this Contract.
- C6.8 The Customer may undertake spot checks at any time to ensure that the Supplier is complying with its obligations under this Contract and the Supplier shall co-operate fully, at its own cost, with the Customer.
- C6.9 The Supplier shall be responsible for managing and reporting on any Sub-Contractual arrangements. Arrangements shall include mechanisms for the provision of management information, change control procedures and the prompt resolution of any problems. The Customer shall agree with the Supplier day-to-day relationship management, contact points, communication flows and escalation procedures.
- C6.10 The Supplier shall be expected to continuously improve the quality of the provision of the Services including that delivered by Sub-Contractors.

## **STATUTORY OBLIGATIONS AND REGULATIONS**

### **D1 PREVENTION OF BRIBERY**

- D1.1 The Supplier:-

- (a) shall not and shall procure that all Staff shall not, in connection with this Contract commit a Prohibited Act;
  - (b) warrants, represents and undertakes that it is not aware of any financial or other advantage being given to any person working for or engaged by the Customer, or that an agreement has been reached to that effect, in connection with the execution of this Contract, excluding any arrangement of which full details have been disclosed in writing to the Customer before execution of this Contract.
- D1.2 The Supplier shall:-
- (a) if requested, provide the Customer with any reasonable assistance, at the Customer's reasonable cost, to enable the Customer to perform any activity required by any relevant government or agency in any relevant jurisdiction for the purpose of compliance with the Bribery Act;
  - (b) within five (5) Working Days of the Commencement Date, and annually thereafter, certify to the Customer in writing (such certification to be signed by an officer of the Supplier) compliance with this Clause D1 by the Supplier and all persons associated with it or other persons who are supplying goods or services in connection with this Contract. The Supplier shall provide such supporting evidence of compliance as the Customer may reasonably request.
- D1.3 The Supplier shall have an anti-bribery policy (which shall be disclosed to the Customer) to prevent any Staff from committing a Prohibited Act and shall enforce it where appropriate.
- D1.4 The Supplier shall immediately notify the Customer in writing if it becomes aware of or suspects any Default of Clause D1.1 or has reason to believe that it has or any Staff has:-
- (a) been subject to an investigation or prosecution which relates to an alleged Prohibited Act or Default of Clause D1.1(b);
  - (b) 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; or
  - (c) received a request or demand for any undue financial or other advantage of any kind in connection with the performance of this Contract or otherwise suspects that any person or party directly or indirectly connected with this Contract has committed or attempted to commit a Prohibited Act or breach of Clause D1.1(b).
- D1.5 If the Supplier notifies the Customer that it suspects or knows that there may be a breach of Clause D1, the Supplier must respond promptly and in any event within ten (10) Working Days to the Customer's enquiries, co-operate with any investigation, and allow the Customer to audit books, records and any other relevant documentation. This obligation shall continue for 12 (twelve) calendar years following the expiry or termination of this Contract.
- D1.6 The Customer may:-
- (a) terminate this Contract by written notice with immediate effect and recover from the Supplier the amount of any Loss suffered by the Customer resulting from the

termination including the cost reasonably incurred by the Customer of making other arrangements for the supply of the Services and any additional expenditure incurred by the Customer throughout the remainder of the Contract Period if the Supplier breaches Clause D1; and

- (b) recover in full from the Supplier any other Losses sustained by the Customer in consequence of any Default of Clause D1.

D1.7 Any notice of termination under Clause D1.6 must specify:-

- (a) the nature of the Prohibited Act;
- (b) the identity of the party whom the Customer believes has committed the Prohibited Act; and
- (c) the date on which this Contract shall terminate.

D1.8 Despite Clause I2 (Disputes), any dispute relating to:-

- (a) the interpretation of Clause D1; or
- (b) the amount or value of any gift, consideration or commission,

shall be determined by the Customer acting reasonably having given due consideration to all relevant factors and its decision shall be final and conclusive.

D1.9 Any termination under Clause D1.6 shall be without prejudice to any right or remedy which has already accrued or subsequently accrues to the Customer.

D1.10 In exercising its rights or remedies under Clause D1.6, the Customer shall act in a reasonable and proportionate manner having regard to such matters as the gravity of the conduct prohibited by Clause D1.1 and the identity of the person performing that Prohibited Act/prohibited conduct.

## **D2 ANTI-DISCRIMINATION**

D2.1 The Supplier shall not unlawfully discriminate within the meaning and scope of Equality Legislation or other any Law, enactment, order, or regulation relating to discrimination (whether in age, race, gender, religion, disability, sexual orientation or otherwise) in employment.

D2.2 The Parties shall not discriminate between or against CWDs, on the grounds of age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity, race, religion or belief, sex, sexual orientation or any other non-medical characteristics except as permitted by the Law.

D2.3 The Supplier shall provide appropriate assistance and make reasonable adjustments for CWDs, who do not speak, read or write English or who have communication difficulties (including without limitation hearing, oral or learning impairments).

D2.4 In performing this Contract the Supplier shall comply with the Equality Act 2010 and have due regard to the obligations contemplated by section 149 of the Equality Act 2010 to:-

- (a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by the Equality Act 2010;

- (b) advance equality of opportunity between persons who share a relevant protected characteristic (as defined in the Equality Act 2010) and persons who do not share it; and
- (c) foster good relations between persons who share a relevant protected characteristic (as defined in the Equality Act 2010) and persons who do not share it

and for the avoidance of doubt this obligation shall apply whether or not the Supplier is a public authority for the purposes of section 149 of the Equality Act 2010.

- D2.5 The Supplier shall take all reasonable steps to secure the observance of Clause D2.1 by all Staff employed in performance of this Contract.
- D2.6 The Supplier shall notify the Customer forthwith in writing as soon as it becomes aware of any investigation of or proceedings brought against the Supplier under Equality Legislation or other any Law, enactment, order or regulation relating to discrimination.
- D2.7 Where any investigation is undertaken by a person or body empowered to conduct such investigation and/or proceedings are instituted in connection with any matter relating to the Supplier's performance of this Contract being in contravention of Equality Legislation or other any Law, enactment, order or regulation relating to discrimination, the Supplier shall, free of charge:-
  - (a) provide any information requested in the timescale allotted;
  - (b) attend any meetings as required and permit the Staff to attend;
  - (c) promptly allow access to and investigation of any documents or data deemed to be relevant;
  - (d) allow the Supplier and any of the Staff to appear as witness in any ensuing proceedings, and
  - (e) cooperate fully and promptly in every way required by the person or body conducting such investigation during the course of that investigation.
- D2.8 Where any investigation is conducted or proceedings are brought under Equality Legislation or other any Law, enactment, order or regulation relating to discrimination which arise directly or indirectly out of any act or omission of the Supplier, its agents, Sub-Contractors or Staff, and where there is a finding against the Supplier in such investigation or proceedings, the Supplier shall indemnify the Customer with respect to all Losses arising out of or in connection with any such investigation or proceedings and such other financial redress to cover any payment the Customer may have been ordered or required to pay to a third party.
- D2.9 The Supplier must ensure that all written information produced or used in connection with this Contract is as accessible as possible to people with disabilities and to people whose level of literacy in English is limited.
- D2.10 The Supplier acknowledges that the Customer may carry out an impact analysis as defined under the Equality Act 2010 in respect of any aspect of the provision of the Services and the Supplier shall provide all necessary assistance and information to the Customer as may be required in relation to the performance of an impact analysis by the Customer. The Supplier shall implement any changes or adjustments that are required as a result of, or in connection with the outcome of the impact analysis

undertaken by the Customer.

**D3 THE CONTRACTS (RIGHTS OF THIRD PARTIES) ACT 1999**

D3.1 A person who is not a Party to this Contract shall have no right to enforce any of its provisions which, expressly or by implication, confer a benefit on him, without the prior written agreement of both Parties.

**D4 ENVIRONMENTAL REQUIREMENTS**

D4.1 The Supplier shall in the delivery of the Services, perform its obligations under this Contract in accordance with the Customer's environmental policy, which is to conserve energy, water, wood, paper and other resources, reduce waste and phase out the use of ozone depleting substances and minimise the release of greenhouse gases, volatile organic compounds and other substances damaging to health and the environment.

**D5 HEALTH AND SAFETY**

D5.1 The Supplier shall comply with the requirements of the Health and Safety at Work etc. Act 1974 and any other Law relating to health and safety, which may apply to the Staff and other persons working at/on the Premises in the performance of its obligations under this Contract.

D5.2 The Supplier shall ensure that its health and safety policy statement (as required by the Health and Safety at Work etc Act 1974) is made available to the Customer on request.

D5.3 The Supplier shall notify the Customer immediately in the event of any incident occurring in the performance of its obligations under this Contract at the Premises where that incident causes any personal injury and/or damage to property which could give rise to personal injury claim and/or other claim in relation to such damage to property.

D5.4 The Supplier shall promptly (within twenty four (24) hours) notify the Customer of any health and safety hazards which may arise in connection with the performance of its obligations under this Contract.

D5.5 The Supplier shall co-operate with officers of the Customer, or its representatives, investigating any health and safety matter.

**D6 SAFEGUARDING**

D6.1 The Supplier shall make the necessary arrangements to ensure compliance with the Specification and with all Laws and Government guidance relevant to the duty to safeguard and promote the welfare of children and vulnerable adults in the delivery of all aspects of the Service including but not limited to Section 11 of the Children Act 2004, the Safeguarding Vulnerable Groups Act 2006 (as amended by the Protection of Freedoms Act 2012) and The Mental Health Act 1983.

D6.2 The Supplier, if it has responsibility for the management and control of Regulated Activity (as defined under the legislation identified below), shall make the necessary arrangements to ensure compliance with Section 11 of the Children Act 2004 (the duty to safeguard and promote the welfare of children in the delivery of all aspects of the Service) and the Safeguarding Vulnerable Groups Act 2006 (as amended by the Protection of Freedoms Act 2012).

D6.3 The Supplier shall make the necessary arrangements to ensure compliance with registration requirements with the Disclosure and Barring Service.

D6.4 To fulfil the commitment to safeguard and promote the welfare of children and

vulnerable adults, as appropriate, the Supplier shall have:-

- (a) Clear priorities for safeguarding and promoting the welfare of children/vulnerable adults explicitly stated in strategic policy documents;
- (b) A clear commitment by senior management to the importance of safeguarding and promoting children/vulnerable adults' welfare;
- (c) A clear line of accountability within the organisation for work on safeguarding and promoting the welfare of children/vulnerable adults;
- (d) Recruitment and human resources procedures in compliance with Clause B6 in order to safeguard and promote the welfare of children/vulnerable adults;
- (e) Procedures for dealing with allegations of abuse against members of Staff and volunteers;
- (f) Arrangements to ensure all Staff undertake appropriate training and refresher training to enable them to carry out their responsibilities effectively;
- (g) Policies for safeguarding and promoting the welfare of children/vulnerable adults and procedures that are in accordance with guidance and locally agreed inter-agency procedures;
- (h) Arrangements to work effectively with other organisations to safeguard and promote the welfare of children/vulnerable adults including sharing of information;
- (i) A culture of listening to and engaging in dialogue with children/vulnerable adults; and
- (j) Appropriate whistle-blowing procedures.

D6.5 The Supplier shall immediately notify the Customer of any information it reasonably requests to enable it to be satisfied that the obligations of Clauses B6 and D6 have been met.

## **PROTECTION OF INFORMATION**

### **E1 DATA PROTECTION**

E1.1 The Parties shall act as independent data Controllers in relation to Personal Data arising from the Contract and shall comply with their respective obligations under Data Protection Legislation.

### **E2 CONFIDENTIAL INFORMATION**

E2.1 Except to the extent set out in this Clause or where disclosure is expressly permitted elsewhere in this Contract, each Party shall:-

- (a) treat the other Party's Confidential Information as confidential and safeguard it accordingly; and
- (b) not disclose the other Party's Confidential Information to any other person without the owner's prior written consent.

E2.2 Clause E2.1 shall not apply to the extent that:-

- (a) such disclosure is a requirement of Law placed upon the Party making the



disclosure, including any requirements for disclosure under the FOIA, Code of Practice on Access to Government Information or the Environmental Information Regulations pursuant to Clause E3 (Freedom of Information);

- (b) such information was in the possession of the Party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;
  - (c) such information was obtained from a third party without obligation of confidentiality;
  - (d) such information was already in the public domain at the time of disclosure otherwise than by a breach of this Contract; or
  - (e) it is independently developed without access to the other Party's Confidential Information.
- E2.3 The Supplier may only disclose the Customer's Confidential Information to Staff who are directly involved in the provision of the Services and who need to know the information, and shall ensure that such Staff are aware of and shall comply with these obligations of confidentiality.
- E2.4 The Supplier shall not use any of the Customer's Confidential Information received otherwise than for the purposes of this Contract.
- E2.5 At the written request of the Customer, the Supplier shall procure that the Staff identified in the Customer's notice signs a confidentiality undertaking prior to commencing any work in accordance with this Contract.
- E2.6 Nothing in this Contract shall prevent the Customer from disclosing the Supplier's Confidential Information:-
- (a) to any Crown body or any other Contracting Authority. All Crown bodies or Contracting Authorities receiving such Confidential Information shall be entitled to further disclose the Confidential Information to other Crown bodies or other Contracting Authorities on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any Crown body or any Contracting Authority;
  - (b) to any consultant, professional adviser, contractor, supplier or other person engaged by the Customer or any person conducting a government office gateway review;
  - (c) to the extent that the Customer (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions;
  - (d) for the purpose of the examination and certification of the Customer's accounts;
  - (a) on a confidential basis for the purpose of the exercise of its rights under this Contract including for auditing purposes, to a body to novate, assign or dispose of its rights under the Contract (Clause F1.8), to a Replacement Provider (Clause H6.2) and for the purpose of the examination and certification of the Customer's accounts; or
  - (f) for any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Customer has used its resources.

- E2.7 The Customer shall use all reasonable endeavours to ensure that any government department, Contracting Authority, employee, third party or Sub-Contractor to whom the Supplier's Confidential Information is disclosed pursuant to Clause E2.6 is made aware of the Customer's obligations of confidentiality.
- E2.8 Nothing in this Clause E2 shall prevent either Party from using any techniques, ideas or know-how gained during the performance of this Contract in the course of its normal business to the extent that this use does not result in a disclosure of the other Party's Confidential Information or an infringement of Intellectual Property Rights.
- E2.9 Any breach by the Supplier of Clauses E2.1 – E2.4 shall be a breach incapable of remedy for the purposes of Clause H2 and shall entitle the Customer (at its absolute discretion) to exercise its rights under the corresponding provisions of Clause H2.
- E2.10 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 Contract is not Confidential Information. The Customer shall be responsible for determining in its absolute discretion whether any of the content of the Contract is exempt from disclosure in accordance with the provisions of the FOIA.
- E2.11 Notwithstanding any other term of this Contract, the Supplier hereby gives consent for the Customer to publish the Contract in its entirety (but with any information which is exempt from disclosure in accordance with the provisions of the FOIA redacted) including from time to time agreed changes to the Contract, to the general public.

### **E3 TRANSPARENCY AND FREEDOM OF INFORMATION**

- E3.1 The Parties acknowledge that the content of this Contract, including any changes to this Contract agreed from time to time (the "Transparency Information") is not Confidential Information.
- E3.2 Notwithstanding any other provision of this Contract, the Supplier hereby gives its consent for the Customer to publish to the general public the Transparency Information in its entirety (but with any Information which is exempt from disclosure in accordance with the provisions of the FOIA or EIR redacted). The Customer shall, prior to publication, consult with the Supplier on the manner and format of publication and to inform its decision regarding any redactions but shall have the final decision in its absolute discretion.
- E3.3 The Supplier shall assist and co-operate with the Customer to enable the Customer to publish the Transparency Information.
- E3.4 The Customer acknowledges that it will only exclude Transparency Information from publication in exceptional circumstances and agrees that where it decides to exclude Information from publication it will provide a clear explanation to the Supplier. If the Customer believes that publication of any element of the Transparency Information would be contrary to the public interest, the Customer shall be entitled to exclude such Information from publication. The Supplier acknowledges that the Customer would expect the public interest by default to be best served by publication of the Transparency Information in its entirety.
- E3.5 The Customer shall publish the Transparency Information in a format that assists the general public in understanding the relevance and completeness of the Information being published to ensure the public obtain a fair view on how the Contract is being performed, having regard to the context of the wider commercial relationship with the Supplier.

- E3.6 The Supplier agrees that any Information it holds that is reasonably relevant to or that arises from the provision of the Services shall be provided to the Customer on request unless the cost of doing so would exceed the appropriate limit prescribed under section 12 of the FOIA. The Customer may disclose such Information under the FOIA and the EIRs and may (except for Commercially Sensitive Information, Confidential Information (subject to clause E2.6(c)) and E10) publish such Information. The Supplier shall provide to the Customer within five (5) Working Days (or such other period as the Customer may reasonably specify) any such Information requested by the Customer.
- E3.7 The Supplier acknowledges that the Customer is subject to the requirements of the FOIA and the Environmental Information Regulations and shall assist and cooperate with the Customer to enable the Customer to comply with its Information disclosure obligations.
- E3.8 The Supplier shall and shall procure that any Sub-Contractors shall:-
- (a) transfer to the Customer all Requests for Information that it receives as soon as practicable and in any event within two (2) Working Days of receiving a Request for Information;
  - (b) provide the Customer with a copy of all Information in its possession, or power in the form that the Customer requires within five (5) Working Days (or such other period as the Customer may specify) of the Customer's request; and
  - (c) provide all necessary assistance as reasonably requested by the Customer to enable the Customer to respond to the Request for Information within the time for compliance set out in section 10 of the FOIA or Regulation 5 of the Environmental Information Regulations.
- E3.9 The Customer shall be responsible for determining in its absolute discretion and notwithstanding any other provision in this Contract or any other agreement whether the Commercially Sensitive Information and/or any other Information is exempt from disclosure in accordance with the provisions of the FOIA or the Environmental Information Regulations.
- E3.10 In no event shall the Supplier respond directly to a Request for Information unless expressly authorised to do so by the Customer.
- E3.11 The Supplier acknowledges that (notwithstanding the provisions of Clause E3.7) the Customer may, acting in accordance with the Secretary of State for Constitutional Affairs Code of Practice on the Discharge of the Functions of Public Authorities under section 45 of the Freedom of Information Act 2000 ("the Code"), be obliged under the FOIA, or the Environmental Information Regulations to disclose information concerning the Supplier or the Services in certain circumstances:-
- (a) without consulting the Supplier; or
  - (b) following consultation with the Supplier and having taken their views into account;
- provided always that where E3.11(a) applies the Customer shall, in accordance with any recommendations of the Code, take reasonable steps, where appropriate, to give the Supplier advanced notice, or failing that, to draw the disclosure to the Supplier's attention after any such disclosure.

E3.12 The Supplier shall ensure that all Information is retained for disclosure and shall permit the Customer to inspect such records as requested from time to time.

E3.13 The Supplier acknowledges that the Customer may be obliged to disclose Commercially Sensitive Information in accordance with this Clause E3.

#### **E4 PUBLICITY, MEDIA AND OFFICIAL ENQUIRIES**

E4.1 The Supplier shall not:-

- (a) make any press announcements or publicise this Contract or its contents in any way; or
- (b) use the Customer's name or brand/logo in any promotion or marketing or announcements of orders

without the Approval of the Customer which shall not be unreasonably withheld or delayed.

E4.2 Both Parties shall take reasonable steps to ensure that their employees, agents, sub-contractors, suppliers, professional advisors and consultants comply with Clause E4.1.

E4.3 If so requested by the Customer, the notepaper and other written material of the Supplier and Sub-Contractors relating to the delivery of the Services shall carry only logos and markings Approved by the Customer.

E4.4 All publicity and marketing material produced by the Supplier and/or its Sub-Contractors in relation to this Contract shall be submitted to the Customer for Approval and no such items shall be printed (other than for purposes of Approval) until such Approval is received.

#### **E5 NOT USED**

#### **E6 INTELLECTUAL PROPERTY RIGHTS**

E6.1 All Intellectual Property Rights in any guidance, specifications, instructions, toolkits, plans, data, drawings, databases, patents, patterns, models, designs or other material (the "IP Materials"):-

- (a) furnished to or made available to the Supplier by or on behalf of the Customer shall remain the property of the Customer; and
- (b) prepared by or for the Supplier on behalf of the Customer for use, or intended use, in relation to the performance by the Supplier of its obligations under the Contract shall belong to the Customer;

and the Supplier shall not (except when necessary for the performance of this Contract) without prior Approval, use or disclose any Intellectual Property Rights in the IP Materials.

E6.2 The Supplier hereby assigns to the Customer, with full title guarantee, all Intellectual Property Rights which may subsist in the IP Materials prepared in accordance with Clause E6.1(b). This assignment shall take effect on the date of this Contract or as a present assignment of future rights that shall take effect immediately on the coming into existence of the Intellectual Property Rights produced by the Supplier. The Supplier shall execute all documentation necessary to execute this assignment.

- E6.3 The Supplier shall waive or procure a waiver of any moral rights subsisting in copyright produced by this Contract or the performance of this Contract.
- E6.4 The Customer shall grant to the Supplier a non-exclusive, revocable, free licence for the Contract period to use the IP Materials where it is necessary for the Supplier to supply the Services. The Supplier shall have the right to sub-licence the Supplier's use of the IP Materials. At the end of the Contract Period or early termination thereof the Supplier shall cease to use and shall ensure that any Sub-Contractor ceases to use the IP Materials.
- E6.5 The Supplier shall grant the Customer a non-exclusive, irrevocable, free licence for the Contract Period to use the Supplier's Intellectual Property Rights where it is necessary for the Customer in the provision of the Services. At the end of the Contract Period, the Customer shall cease to use the Supplier's Intellectual Property Rights.
- E6.6 The Supplier shall obtain Approval from the Customer before using any material in relation to the performance of its obligations under the Contract which is or may be subject to any third party Intellectual Property Rights. The Supplier shall ensure that the third party owner of any Intellectual Property Rights that are or which may be used to perform this Contract grants to the Customer a non-exclusive licence or, if itself a licensee of those rights, shall grant to the Customer an authorised sub-licence, to use, reproduce, modify, develop and maintain the Intellectual Property Rights in the same. Such licence or sub-licence shall be non-exclusive, perpetual, royalty free and irrevocable. That licence or sub-licence shall also include the right for the Customer to sub-licence, transfer, novate or assign to other Contracting Bodies, the Replacement Provider or to any other third party supplying services to the Customer.
- E6.7 The Supplier shall not infringe any Intellectual Property Rights of any third party in supplying the Services. The Supplier shall, during and after the Contract Period, indemnify and keep indemnified and hold the Customer harmless from and against all Losses which the Customer may suffer or incur as a result of or in connection with any breach of this Clause E6, except where any such claim arises from:-
- (a) items or materials based upon designs supplied by the Customer; or
  - (b) the use of data supplied by the Customer which is not required to be verified by the Supplier under any provision of this Contract.
- E6.8 The Customer shall notify the Supplier in writing of any claim or demand brought against the Customer for infringement or alleged infringement of any Intellectual Property Rights in materials supplied or licensed by the Supplier.
- E6.9 The Supplier shall at its own expense conduct all negotiations and any litigation arising in connection with any claim for breach of Intellectual Property Rights in materials supplied or licensed by the Supplier, provided always that the Supplier:-
- (a) shall consult the Customer on all substantive issues which arise during the conduct of such litigation and negotiations;
  - (b) shall take due and proper account of the interests of the Customer; and
  - (c) shall not settle or compromise any claim without the Customer's Approval (not to be unreasonably withheld or delayed).
- E6.10 The Customer shall at the request of the Supplier provide the Supplier with all reasonable assistance for the purpose of contesting any claim or demand made or

action brought against the Customer or the Supplier by a third party for infringement or alleged infringement of any third party Intellectual Property Rights in connection with the performance of the Supplier's obligations under this Contract. The Supplier shall indemnify the Customer for all Losses incurred in doing so.

E6.11 The Customer and the Supplier shall not make any admissions which may be prejudicial to the defence or settlement of any claim, demand or action for infringement or alleged infringement of any Intellectual Property Rights by the Customer or the Supplier in connection with the performance of this Contract.

E6.12 If a claim, demand or action for infringement or alleged infringement of any Intellectual Property Rights is made in connection with this Contract or in the reasonable opinion of the Supplier is likely to be made, the Supplier shall notify the Customer and, at its own expense and subject to the Approval of the Customer (not to be unreasonably withheld or delayed), use its best endeavours to:-

- (a) modify any or all of the Services without reducing the performance or functionality of the same, or substitute alternative Services of equivalent performance and functionality, so as to avoid the infringement or the alleged infringement, provided that the provisions herein shall apply mutatis mutandis to such modified Services or to the substitute Services; or
- (b) procure a licence to use and supply the Services, which are the subject of the alleged infringement, on terms which are acceptable to the Customer,

and in the event that the Supplier is unable to comply with Clauses E6.12(a) or (b) within twenty (20) Working Days of receipt of the Supplier's notification the Customer may terminate this Contract with immediate effect by notice in writing.

## **E7 AUDIT**

E7.1 The Supplier shall keep and maintain until twelve (12) years after the end of the Contract Period, or as long a period as may be agreed between the Parties, full and accurate records of this Contract including the Services supplied under it, all expenditure reimbursed by the Customer, and all payments made by the Customer. The Supplier shall on request afford the Customer or the Customer's Representatives such access to those records as may be requested by the Customer in connection with this Contract.

E7.2 The Customer may at any time during the Contract Period and for a period of twelve (12) Months after the Contract Period, conduct an audit for the following purposes:-

- (a) to verify the accuracy of the Price that become due and payable by the Customer to the Supplier in respect of the Services (and proposed or actual Changes to them in accordance with the Contract) or the costs of all suppliers (including Sub-Contractors) of the Services;
- (b) to review the integrity, confidentiality and security of the Customer Personal Data;
- (c) to review the Supplier's compliance with the DPA, FOIA and other Law applicable to the Services;
- (d) to review the Supplier's compliance with its obligations under the Contract;
- (e) to review any records created during the provision of the Services;
- (f) to review any books of account kept by the Supplier in connection with the

provisions of the Services;

- (g) to carry out the audit and certification of the Customer's accounts;
  - (h) to carry out an examination of the economy efficiency and effectiveness with which the Customer has used its resources; and
  - (i) to verify the accuracy and completeness of any management information delivered or required by this Contract.
- E7.3 The Customer shall use its reasonable endeavours to ensure that the conduct of each audit does not unreasonably disrupt the Supplier or delay the provision of the Services.
- E7.4 Subject to the Customer's obligation of confidentiality, the Supplier shall on demand provide the Customer and any other Regulatory Body (and/or their agents or representatives) with all reasonable co-operation, access and assistance in relation to each audit, including:-
- (a) all Information requested within the permitted scope of the audit;
  - (b) reasonable access to any premises or sites controlled by the Supplier and to any Equipment (whether exclusively or non-exclusively) in the performance of the Services;
  - (c) access to the Staff;
  - (d) access to software owned or licenced to the Supplier including software which is or will be used by the Supplier for the purposes of providing the Services; and
  - (e) accommodation (including desks) at the Supplier's premises as reasonably required to conduct the audit.
- E7.5 The Customer shall endeavour to (but shall not be obliged to) provide at least fourteen (14) calendar days' notice of its intention to conduct an audit.
- E7.6 If an audit identifies that:-
- (a) the Supplier has committed a material Default which is capable of remedy, the Supplier shall correct such Default as soon as reasonably practicable and implement a Remediation Plan in accordance with the Remediation Plan Process;
  - (b) the Customer has overpaid any charges that became due and payable by the Customer to the Supplier in respect of the Services properly rendered, the Supplier shall pay to the Customer the amount overpaid within twenty (20) Working Days. The Customer may deduct the relevant amount from any further payment when due if the Supplier fails to make the payment; and
  - (c) the Customer has underpaid any charges that become due and payable by the Customer to the Supplier in respect of the Services properly rendered, the Customer shall pay to the Supplier the amount of the under-payment less the cost incurred by the Customer of the audit if this was due to a Default by the Supplier within twenty (20) Working Days.
- E8 EXCEPTIONAL AUDITS**
- E8.1 The Supplier shall permit the Customer and/or its appointed representatives access to conduct an audit (an "Exceptional Audit") of the Supplier in any of the following

circumstances:-

- (a) actual or suspected impropriety or Fraud;
- (b) there are reasonable grounds suspect that:-
  - (i) the Supplier is in Default under the Contract; or
  - (ii) the Supplier is in financial distress or at risk of insolvency or bankruptcy, or any fact, circumstance or matter which is reasonably likely to cause the Supplier financial distress and result in a risk of the Supplier becoming insolvent or bankrupt.

(each an "Exceptional Circumstance").

E8.2 If the Customer notifies the Supplier of an Exceptional Circumstance and that it wishes to conduct an Exceptional Audit, the Supplier shall provide access in accordance with Clause E7.4 as soon as reasonably practicable after such request and in any event within forty eight (48) hours of the request having been made.

#### **E9 AUDIT COSTS**

E9.1 The Parties agree that they shall each bear their own respective costs and expenses incurred in respect of compliance with their obligations under Clauses E7.2 to E8.2 unless an audit identifies a material Default by the Supplier in which case the Supplier shall reimburse:-

- (a) the Customer for all the Customer's identifiable, reasonable costs and expenses properly incurred in the course of the audit; and
- (b) where the Customer, a Regulatory Body and Auditor General appoint another body to conduct an audit, the Customer shall be able to recover on demand from the Supplier the identifiable, reasonable and properly incurred costs and expenses of the relevant body.

#### **E10 RECORDS AND OPEN BOOK ACCOUNTING**

E10.1 The Supplier shall (and shall procure that each Sub-Contractor shall):-

- (a) at all times maintain a full record of particulars of the costs of performing the Services which includes but is not limited to such costs referenced within the Specification;
- (b) upon request by the Customer, provide a written summary of any of the costs referred to in Clause E10.1(a), in such form and detail as the Customer may reasonably require to enable the Customer to monitor the performance by the Supplier of its obligations under the Contract;
- (c) provide such facilities as the Customer may reasonably require for its representatives to visit any place where the records are held and examine the records maintained under this Clause E10.1; and
- (d) provide to the Customer copies of its annual report and accounts within twenty (20) Working Days of publication.

E10.2 Compliance with Clause E10.1 shall require the Supplier to keep (and where appropriate to procure that each Sub-Contractor shall keep) books of account in accordance with best accountancy practices with respect to the Contract, showing in



detail:-

- (a) administrative overheads;
- (b) payments made to the Sub-Contractors and from the Sub-Contractors to their sub-contractors;
- (c) capital and revenue expenditure;
- (d) such items identified within the Specification; and
- (e) such other items as the Customer may reasonably require from time to time to conduct costs audits for verification of cost expenditure or estimated expenditure, for the purpose of the Contract,

and the Supplier shall have (and procure that its Sub-Contractors shall have) the books of account evidencing the items listed in sub-clauses E10.2(a) to E10.2(e) inclusive, available for inspection by the Customer (and its advisers) upon reasonable notice pursuant to Clause E7, and shall provide a copy of these to the Customer as and when requested from time to time.

E10.3 The Supplier shall maintain that detailed records relating to the performance of the Services, in each case in accordance with Good Industry Practice and any applicable Law.

E10.4 Without prejudice to Clause E10.3, the Supplier shall ensure that the following are maintained:-

- (a) a full record of all incidents relating to health, safety and security which occur during the Contract Period;
- (b) full records of all maintenance procedures carried out during the Contract Period and
- (c) full records of all staff matters including turnover, pay and disciplinary matters.

and the Supplier shall have the items referred to in clauses E10.4(a) to E10.4(c) available for inspection by the Customer (and its advisers) upon reasonable notice, and shall provide copies of these to the Customer as and when requested from time to time.

E10.5 Upon termination or expiry of the Contract, and in the event that the Customer wishes to enter into an agreement with any Replacement Provider, the Supplier shall (and shall ensure that the Sub-Contractors will) comply with all reasonable requests of the Customer to provide information relating to the Supplier's costs of providing the Services (if applicable for the Services).

E10.6 All information referred to in this Clause E10 is subject to the obligations set out in Clauses E2 and E3.

## **CONTROL OF THE CONTRACT**

### **F1 TRANSFER AND SUB-CONTRACTING**

F1.1 Except where F1.4 and F1.5 applies, the Supplier shall not assign, sub-contract or in any other way dispose of this Contract or any part of it without prior Approval.

- F1.2 The Supplier shall be responsible for the acts and omissions of its Sub-Contractors as though they are its own.
- F1.3 Where the Customer has consented to the placing of Sub-Contracts, copies of each Sub-Contract shall, at the request of the Customer, be sent by the Supplier to the Customer as soon as reasonably practicable but at least within ten (10) Working Days of the request.
- F1.4 Notwithstanding Clause F1.1, the Supplier may assign to a third party (“the Assignee”) the right to receive payment of the Price or any part thereof due to the Supplier under this Contract (including any interest which the Supplier may incur under Clause C2.8). Any assignment under this Clause F1.4 shall be subject to:-
- (a) reduction of any sums in respect of which the Customer exercises its right of recovery under Clause C3 (Recovery of Sums Due);
  - (b) all related rights of the Customer under the Contract in relation to the recovery of sums due but unpaid; and
  - (c) the Customer receiving notification under both Clauses F1.5 and F1.6.
- F1.5 In the event that the Supplier assigns the right to receive the Price under Clause F1.4, the Supplier shall notify the Customer in writing of the assignment and the date upon which the assignment becomes effective.
- F1.6 The Supplier shall ensure that the Assignee notifies the Customer of the Assignee’s contact information and bank account details to which the Customer shall make payment at least five (5) Working Days prior to submission of the relevant invoice.
- F1.7 The provisions of Clause C2 (Payment) shall continue to apply in all other respects after the assignment and shall not be amended without the Approval of the Customer.
- F1.8 Subject to Clause F1.10, the Customer may assign, novate or otherwise dispose of its rights and obligations under this Contract or any part thereof to:-
- (a) any Contracting Authority; or
  - (b) any 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 Customer; or
  - (c) any private sector body which substantially performs the functions of the Customer,
- provided that any such assignment, novation or other disposal shall not increase the burden of the Supplier’s obligations under this Contract.
- F1.9 Any change in the legal status of the Customer such that it ceases to be a Contracting Authority shall not, subject to Clause F1.8, affect the validity of this Contract. In such circumstances, this Contract shall bind and inure to the benefit of any successor body to the Customer.
- F1.10 The Customer may disclose to any of its assignees Confidential Information of the Supplier which relates to the performance of the Supplier’s obligations under this Contract. In such circumstances the Customer shall authorise the assignee to use such Confidential Information only for purposes relating to the performance of the

Supplier's obligations under this Contract and for no other purpose and shall take all reasonable steps to ensure that the assignee gives a confidentiality undertaking in relation to such Confidential Information.

F1.11 Each Party shall at its own cost and expense carry out, or use all reasonable endeavours to ensure the carrying out of, whatever further actions (including the execution of further documents) the other Party reasonably requires from time to time for the purpose of giving that other Party the full benefit of the provisions of this Contract.

## **F2 WAIVER**

F2.1 The failure of either Party to insist upon strict performance of any provision of this Contract, or the failure of either Party to exercise, or any delay in exercising, any right or remedy shall not constitute a waiver of that right or remedy and shall not cause a diminution of the obligations established by this Contract.

F2.2 No waiver shall be effective unless it is expressly stated to be a waiver and communicated to the other Party in writing in accordance with Clause A5 (Notices).

F2.3 A waiver of any right or remedy arising from a breach of this Contract shall not constitute a waiver of any right or remedy arising from any other or subsequent breach of this Contract.

## **F3 CHANGE CONTROL PROCEDURE**

Without prejudice to any other provision contained in the Contract:-

### **CUSTOMER CHANGE**

F3.1 The Customer has the right to propose a Change in the Services in accordance with this Clause F3.1. If the Customer requires a Change, it must serve a Customer Change Control Notice on the Supplier. The Customer shall not propose a Change that:-

- (a) requires the Services to be performed in a way that infringes any Law or is inconsistent with Good Industry Practice;
- (b) would cause any consent to be revoked (or become unobtainable);
- (c) would, if implemented, result in a substantial change in the nature of the Services; and/or
- (d) would materially and adversely affect the Supplier's ability to perform the Services or cause or be likely to cause loss of revenue or incur expenditure in a way that is not adequately compensated for.

F3.2 The Customer Change Control Notice shall:-

- (a) set out the Change required in sufficient detail to enable the Supplier to calculate and provide an estimate of the variation in costs and or loss in revenue (the "Supplier's Change Control Response"); and
- (b) require the Supplier to provide the Customer within ten (10) Working Days (or such other reasonable period of time as the Parties shall agree) of receipt of the Customer Change Control Notice with the Supplier's Change Control Response.

F3.3 As soon as practicable and in any event within ten (10) Working Days (or such other reasonable period of time as the Parties shall agree) after having received the

Customer Change Control Notice, the Supplier shall deliver to the Customer the Supplier's Change Control Response. The Supplier's Change Control Response shall include the opinion of the Supplier on:-

- (a) whether relief from compliance with obligations is required, including the obligations of the Supplier to meet the KPIs contained in the Contract during the implementation of the Change;
- (b) any impact on the provision of the Services;
- (c) any amendment required to this Contract as a result of the Change; and
- (d) any loss of revenue or prospective revenue to the Supplier or Sub-Contractor that results from the Change.

F3.4 As soon as practicable after the Customer receives the Supplier's Change Control Response, the Parties shall discuss and agree the issues set out in the Supplier's Change Control Response, including:-

- (a) providing evidence that the Supplier has used all reasonable endeavours (including the use of competitive quotes) to oblige its Sub-Contractors (if any) to minimise any increase in costs and maximise any reduction in costs;
- (b) demonstrating that the relevant Changes shall be implemented in the most cost effective manner; and
- (c) in such discussions the Customer may modify the Customer Change Control Notice, in which case the Supplier shall, as soon as practicable, and in any event not more than seven (7) Working Days (or such other reasonable period of time as the Parties shall agree) after receipt of such modification, notify the Customer of any consequential changes to the Supplier's Change Control Response.

F3.5 If the Parties cannot agree on the contents of the Supplier's Change Control Response then the dispute shall be determined in accordance with Clause I2 (Dispute).

F3.6 As soon as practicable after the contents of the Supplier's Change Control Response has been agreed or otherwise determined pursuant to Clause I2 (Dispute), the Customer shall:-

- (a) confirm in writing the Supplier's Change Control Response (as modified); or
- (b) withdraw the Customer Change Control Notice.

F3.7 If the Customer does not confirm in writing the Supplier's Change Control Response (as modified) within fifteen (15) Working Days (or such other reasonable period of time as the Parties shall agree) of the contents of the Supplier's Change Control Response having been agreed in accordance with Clause F3.4 above or determined pursuant to Clause F3.6 above, then the Customer Change Control Notice shall be deemed to have been withdrawn.

F3.8 In the event that the Supplier's Change Control Response has been confirmed by the Customer, the relevant Change shall be implemented within seven (7) Working Days of the Customer's acceptance. Within this period, the Parties shall consult and agree the remaining details as soon as practicable and shall enter into any documents to amend this Contract and the IPA which are necessary to give effect to the Change.

### **SUPPLIER CHANGE**

- F3.9 If the Supplier wishes to introduce a Change, it must serve a Supplier Change Control Notice on the Customer.
- F3.10 The Supplier Change Control Notice must:-
- (a) set out the proposed Change in sufficient detail which detail shall include but not be limited to impact on Service delivery and financial implications so as to enable the Customer to evaluate it in full;
  - (b) specify the Supplier's reasons for proposing the Change;
  - (c) request the Customer to consult with the Supplier with a view to deciding whether to agree to the Change and, if so, what consequential changes the Customer requires as a result;
  - (d) indicate any implications of the Change(s); and
  - (e) indicate if there are any dates by which a decision by the Customer is critical.
- F3.11 The Customer shall evaluate the Supplier's proposed Change in good faith, taking into account all relevant issues, including whether:-
- (a) the Change affects the quality of the Services or the likelihood of successful delivery of the Services;
  - (b) the Change shall interfere with the relationship of the Customer with third parties;
  - (c) the financial strength of the Supplier is sufficient to perform the Change; and
  - (d) the Change materially affects the risks or costs to which the Customer is exposed.
- F3.12 As soon as practicable after receiving the Supplier Change Control Notice, the Parties shall meet and discuss the matter referred to in it. During their discussions, the Customer may propose modifications or accept or reject the Supplier Change Control Notice.
- F3.13 If the Customer accepts the Supplier Change Control Notice (with or without modification), the relevant Change shall be implemented within seven (7) Working Days of the Customer's acceptance. Within this period, the Parties shall consult and agree the remaining details as soon as practicable and shall enter into any documents to amend this Contract and IPA which are necessary to give effect to the Change.
- F3.14 If the Customer rejects the Supplier Change Control Notice, it shall give its reasons for such a rejection.
- F3.15 The Customer cannot reject a Change that is required in order to conform to change in Law relating to the Services which was not reasonably foreseeable at the Commencement Date provided that such a Change does not materially affect the quality or performance of the Services as required under the Contract.

### **F4 SEVERABILITY**

- F4.1 If any provision of this Contract is held invalid, illegal or unenforceable for any reason by any court of competent jurisdiction, such provision shall be severed and the remainder of the provisions of this Contract shall continue in full force and effect as if this Contract had been executed with the invalid, illegal or unenforceable provision

eliminated.

**F5 REMEDIES IN THE EVENT OF INADEQUATE PERFORMANCE**

F5.1 In the event that the Customer is of the reasonable opinion that there has been a Default of this Contract and/or IPA by the Supplier, then the Customer may, without prejudice to its rights under Clause H2 (Termination on Default) or H7 (Remediation Plan Process), do any of the following:-

- (a) without terminating this Contract and/or IPA, itself supply or procure the supply of all or part of the Services until such time as the Supplier shall have demonstrated to the reasonable satisfaction of the Customer that the Supplier shall once more be able to supply all or such part of the Services in accordance with this Contract; and/or
- (b) without terminating the whole of this Contract, terminate this Contract in respect of part of the Services only (whereupon a corresponding reduction in the Price shall be made) and thereafter itself supply or procure a third party to supply such part of the Services.

F5.2 Without prejudice to its rights under Clause C3 (Recovery of Sums Due), the Customer may charge the Supplier for any costs reasonably incurred and any reasonable administration costs in respect of the supply of any part of the Services by the Customer or a third party to the extent that such costs exceed the payment which would otherwise have been payable to the Supplier for such part of the Services and provided that the Customer uses its reasonable endeavours to mitigate any additional expenditure in obtaining replacement Services.

**F6 REMEDIES CUMULATIVE**

F6.1 Except as otherwise expressly provided by this Contract, all remedies available to either Party for breach of Contract are cumulative and may be exercised concurrently or separately, and the exercise of any one remedy shall not be deemed an election of such remedy to the exclusion of other remedies.

**F7 FINANCIAL ASSURANCE**

F7.1 The Supplier shall immediately disclose to the Customer any material changes to the organisation that impacts on its ongoing financial viability including details of the revenue replacement strategy and impact awareness on the organisation's profitability and stability where significant contracts are due to end.

F7.2 The Supplier shall notify the Customer immediately of proposed changes to the organisational control or group structure, proposed mergers or acquisitions or proposed changes to the Supplier's financial viability.

F7.3 Only where requested by the Customer, shall the Supplier be obliged to provide any financial information which could include but is not limited to a copy of the Supplier's annual accounts and annual returns.

**F8 ENTIRE AGREEMENT**

F8.1 This Contract constitutes the entire agreement between the Parties in respect of the matters dealt with therein. This Contract supersedes all prior negotiations between the Parties and all representations and undertakings made by one Party to the other, whether written or oral, except that this Clause shall not exclude liability in respect of any Fraud or fraudulent misrepresentation.

F8.2 Each of the Parties acknowledges and agrees that in entering into this Contract, it does not rely on, and shall have no remedy in respect of, any statement,

representation, warranty or undertaking (whether negligently or innocently made) other than as expressly set out in the Contract. The only remedy available to either Party for any such statements, representation, warranty or understanding shall be for breach of contract under the terms of the Contract.

**F9 COUNTERPARTS**

F9.1 This Contract may be executed in counterparts, each of which when executed and delivered shall constitute an original but all counterparts together shall constitute one and the same instrument.

**LIABILITIES**

**G1 LIABILITY, INDEMNITY AND INSURANCE**

G1.1 Neither Party excludes or limits liability to the other Party for:-

- (a) death or personal injury caused by its negligence; or
- (b) Fraud; or
- (c) fraudulent misrepresentation; or
- (d) any breach of any obligations under this Contract in relation to UK GDPR and/or DPA.

G1.2 Subject to Clauses G1.3 and G1.4, the Supplier shall indemnify the Customer and keep the Customer indemnified fully against all Losses and any other liabilities which may arise out of, or in consequence of, the supply, or the late or purported supply, of the Services or the performance or non-performance by the Supplier of its obligations under this Contract or the presence of the Supplier on the Premises, including loss of or damage to property, financial loss arising from any advice given or omitted to be given by the Supplier, all costs related to civil data protection claims or regulatory fines issued by the Information Commissioner's Offices or any other loss which is caused directly or indirectly by any act or omission of the Supplier.

G1.3 The Supplier shall not be responsible for any injury, loss, damage, cost or expense if and to the extent that it is caused by the negligence or wilful misconduct of the Customer or by breach by the Customer of its obligations under this Contract.

G1.4 Without prejudice to the Customer's rights under this Contract, the Supplier shall in respect of the performance of its obligations under this Contract effect and maintain the following insurances at the following indemnity levels with a reputable insurance company:-

- (a) public liability insurance to a minimum of five million pounds (£5,000,000);
- (b) employer's liability insurance to a minimum of ten million pounds (£10,000,000);
- (c) professional indemnity insurance of five million pounds (£5,000,000);
- (d) any other insurances as may be required by Law.

G1.5 The minimum amounts set out in Clause G1.4 shall, in each case, apply in respect of any single act or occurrence or a series of acts or occurrences arising from a single event but with no aggregate limit during any one period of cover. Such policies shall include cover in respect of any financial loss arising from any advice given or omitted to be given by the Supplier. Such insurance shall be maintained for the duration of the

Contract Period and for a minimum of twelve (12) years following the expiration or earlier termination of this Contract.

- G1.6 Subject always to Clause G1.1, in no event shall either Party be liable to the other for any:-
- (a) loss of profits, business, revenue or goodwill; and/or
  - (b) loss of savings (whether anticipated or otherwise); and/or
  - (c) indirect or consequential loss or damage.
- G1.7 The Supplier shall not exclude liability for additional operational, administrative costs and/or expenses or wasted expenditure resulting from the direct Default of the Supplier.
- G1.8 The Supplier shall give the Customer, on request, copies of all insurance policies referred to in this Clause G1 or a broker's verification of insurance to demonstrate that the appropriate cover is in place together with receipts or other evidence of payment of the latest premiums due under those policies.
- G1.9 If, for whatever reason, the Supplier fails to give effect to and maintain the insurances required by the provisions of this Contract, the Customer may make alternative arrangements to protect its interests and may recover the costs of such arrangements from the Supplier.
- G1.10 The Supplier shall notify the Customer immediately of any alteration, cancellation or change of cover in respect of the insurances required by this Clause G1.
- G1.11 The provisions of any insurance or the amount of cover shall not relieve the Supplier of any liabilities under this Contract.

**G2 WARRANTIES AND REPRESENTATIONS**

G2.1 The Supplier warrants and represents that:-

- (a) it has full capacity, authority and all necessary Consents (including where its procedures so require, the consent of its parent company) to enter into and perform its obligations under this Contract and that this Contract is executed by a duly authorised representative of the Supplier;
- (b) in entering into this Contract it has not committed any Fraud;
- (c) no claim is being asserted and no litigation, arbitration or administrative proceeding is presently in progress or, to the best of its knowledge and belief, pending or threatened against it or any of its assets which shall or might have a material adverse effect on its ability to perform its obligations under this Contract;
- (d) 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 Contract;
- (e) no proceedings or other steps have been taken and not discharged (nor, to the best of its knowledge, are threatened) for the winding up of the 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;



- (f) it owns, has obtained or is able to obtain, valid licences for all Intellectual Property Rights that are necessary for the performance of its obligations under this Contract;
- (g) in the three (3) years prior to the date of this Contract:-
  - (i) it has conducted all financial accounting and reporting activities in compliance in all material respects with the generally accepted accounting principles that apply to it in any country where it files accounts;
  - (ii) it has been in full compliance with all applicable securities and tax laws and regulations in the jurisdiction in which it is established; and
  - (iii) it has not done or omitted to do anything which could have a material adverse effect on its assets, financial condition or position as an ongoing business concern or its ability to fulfil its obligations under this Contract.

## **DEFAULT, DISRUPTION AND TERMINATION**

### **H1 TERMINATION ON INSOLVENCY AND CHANGE OF CONTROL**

H1.1 The Customer may terminate this Contract with immediate effect by notice in writing where the Supplier is a company and in respect of the Supplier:-

- (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
- (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
- (c) a petition is presented for its winding up (which is not dismissed within fourteen (14) calendar days of its service) or an application is made for the appointment of a provisional liquidator; or
- (d) a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets; or
- (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
- (f) it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986; or
- (g) being a "small company" within the meaning of section 382 of the Companies Act 2006, a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or
- (h) any event similar to those listed in H1.1(a)-(g) occurs under the Law of any other jurisdiction.

H1.2 The Customer may terminate this Contract with immediate effect by notice in writing where the Supplier is an individual and:-

- (a) an application for an interim order is made pursuant to sections 252-253 of the

Insolvency Act 1986 or a proposal is made for any composition scheme or arrangement with, or assignment for the benefit of, the Supplier's creditors; or

- (b) a petition is presented and not dismissed within fourteen (14) calendar days or order made for the Supplier's bankruptcy; or
- (c) a receiver, or similar officer is appointed over the whole or any part of the Supplier's assets or a person becomes entitled to appoint a receiver, or similar officer over the whole or any part of his assets; or
- (d) the Supplier is unable to pay his debts or has no reasonable prospect of doing so, in either case within the meaning of section 268 of the Insolvency Act 1986; or
- (e) a creditor or encumbrance attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole or any part of the Supplier's assets and such attachment or process is not discharged within fourteen (14) calendar days; or
- (f) the Supplier dies or, by reason of illness or incapacity (whether mental or physical), is incapable of managing his or her own affairs or becomes a patient under any mental health legislation; or
- (g) the Supplier suspends or ceases, or threatens to suspend or cease, to carry on all or a substantial part of his business.

H1.3 The Supplier shall notify the Customer immediately if the Supplier undergoes a Change of Control . The Customer may terminate this Contract by notice in writing with immediate effect within six (6) Months of:-

- (a) being notified that a Change of Control has occurred; or
- (b) where no notification has been made, the date that the Customer becomes aware of the Change of Control,

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

## **H2 TERMINATION ON DEFAULT**

H2.1 The Customer may terminate this Contract by written notice to the Supplier with immediate effect if the Supplier commits a Default and if:-

- (a) the Supplier has not remedied the Default to the satisfaction of the Customer in accordance with a Remediation Plan; or
- (b) the Default is not, in the opinion of the Customer, capable of remedy; or
- (c) the Default is a material breach of this Contract.

H2.2 Without prejudice to any other rights or remedies that the Customer has under the Contract (including without limitation Clause C5 and Clauses H1 or H2.1) where the Customer considers that the Supplier has committed a Persistent Breach in relation to the Contract and/or signed IPA or any part thereof (including any part of the Services), the Customer shall be entitled to serve a written notice (a "Formal Warning Notice") on the Supplier:-

- (a) specifying that it is a Formal Warning Notice;
- (b) giving details of the Persistent Breach;
- (c) stating that if the Persistent Breach recurs two or more times within a three (3) Month period after the date of service of the Formal Warning Notice, this may result in a termination of the Contract or that part of the Services affected by the Persistent Breach.

H2.3 If:-

- (a) twenty (20) Working Days after service of a Formal Warning Notice the Supplier has failed to demonstrate to the Customer's satisfaction that:-
  - (i) the Persistent Breach specified has not continued; and
  - (ii) the Supplier has put in place measures to ensure that such Persistent Breach does not occur; or
- (b) within a three (3) Month period after the date of service of the Formal Warning Notice the Supplier has failed to demonstrate to the satisfaction of the Customer that:-
  - (i) the Persistent Breach specified has not recurred two or more times within such three (3) Month period; and
  - (ii) the Supplier has put in place measures to ensure that such Persistent Breach does not occur

then the Customer may deem such failure to be a Default which is a material breach of the Contract for the purposes of Clause H2.1 (c).

H2.4 The Customer may terminate this Contract with immediate effect by written notice to the Supplier if it becomes apparent that the Supplier should have been excluded from the procurement process leading to the award of this Contract in accordance with the Public Contracts Regulations.

H2.5 In the event that through any Default of the Supplier, data transmitted or processed in connection with this Contract is either lost or sufficiently degraded as to be unusable, the Supplier shall be liable for the cost of reconstitution of that data and shall reimburse the Customer in respect of any charge levied for its transmission and any other costs charged in connection with such Default.

H2.6 If the Customer fails to pay the Supplier undisputed sums of money when due, the Supplier shall notify the Customer in writing of such failure to pay. If the Customer fails to pay such undisputed sums within ninety (90) Working Days of the date of such written notice, the Supplier may terminate this Contract in writing with immediate effect, save that such right of termination shall not apply where the failure to pay is due to the Customer exercising its rights under Clauses C3 (Recovery of Sums Due).

## **H2A TERMINATION OF IPA**

H2A.1 In the event that the Customer terminates this Contract in accordance with the provisions of Clauses H1 or H2 all signed IPA's will be co-terminus with this Contract.

H2A.1A Subject to clause H2A.1 an IPA shall end on the expiry date specified within such IPA unless terminated earlier in accordance with clause H2A and this Contract terms and

conditions.

H2A.2 Without prejudice to Clause H2A.1 the Customer may terminate a signed IPA by written notice to the Supplier with immediate effect in the following circumstances:-

- (a) the Supplier commits a Default and has not remedied the Default to the satisfaction of the Customer in accordance with a Remediation Plan; or
- (b) the Supplier commits a Default which is not, in the opinion of the Customer, capable of remedy; or
- (c) the Default of the IPA in question is a material breach of the IPA and/or this Contract; or
- (d) the CWD dies; or
- (e) the CWD moves away from the Lincolnshire area; or
- (f) the CWD no longer wants to receive the Services from the Supplier; or
- (g) the Customer requires the termination of such relevant IPA due to any safeguarding concerns which arise during the provision of the Services provided by the Supplier which shall be determined by the Customer in its absolute discretion; or
- (h) the Customer receives written notification from the Supplier that it can no longer provide the Services to the CWD in accordance with the provisions within the Specification and such request has been accepted by the Customer; or
- (i) where in the reasonable opinion of the Customer, the relevant CWD's needs cannot be met; or
- (j) at the Customer's discretion if a CWD has been provided with the Service from the Supplier in accordance with an applicable IPA for seven (7) days or less; or
- (k) where a risk assessment has concluded that significant risk of harm to the CWD cannot be adequately managed by the Supplier within the duration of the relevant IPA.

H2A.3 The Customer may terminate a signed IPA upon providing the Supplier with written notice in the following circumstances:

- (a) seven (7) days written notice if the CWD has been provided with the Service from the Supplier in accordance with an applicable IPA for more than seven (7) days and less than twelve (12) weeks; or
- (b) fourteen (14) days if the CWD has been provided with the Service from the Supplier in accordance with an applicable IPA for more than twelve (12) weeks and less than twelve (12) calendar months; or
- (c) twenty eight (28) days if the CWD has been provided with the Service from the Supplier in accordance with an applicable IPA for more than twelve (12) months.

H2A.4 The Supplier may terminate a signed IPA upon providing the Customer with twenty eight (28) days written notice except where the termination would present a risk of harm to the CWD and/or any third party (in which case the Supplier shall consult with

the Customer to determine and agree an appropriate course before termination under this clause).

H2A.5 Either Party shall have a right to terminate this Contract by giving twenty eight (28) days written notice where there are no IPAs in force.

### **H3 BREAK**

H3.1 The Customer shall have the right to terminate this Contract at any time by giving three (3) Months' written notice to the Supplier. The Customer may extend the period of notice at any time before it expires, subject to agreement on the level of Services to be provided by the Supplier during the period of extension.

H3.2 Without prejudice to Clause H3.1, the Customer may by no less than three (3) Months' written notice to the Supplier terminate this Contract where it becomes apparent that:-

- (a) this Contract has been subject to substantial modification which would have required a new procurement procedure pursuant to the Public Contracts Regulations; or
- (b) this Contract should not have been awarded for the reasons specified in the Public Contract Regulations.

### **H4 CONSEQUENCES OF EXPIRY OR TERMINATION OF CONTRACT**

H4.1 Where the Customer terminates this Contract under Clause H2 (Termination on Default) and then makes other arrangements for the supply of Services, the Customer may recover from the Supplier the cost reasonably incurred of making those other arrangements and any additional expenditure incurred by the Customer throughout the remainder of the Contract Period. The Customer shall take all reasonable steps to mitigate such additional expenditure.

H4.2 Where this Contract is terminated under Clauses H2 (Termination on Default), no further payments shall be payable by the Customer to the Supplier (for Services supplied by the Supplier prior to termination and in accordance with this Contract but where the payment has yet to be made by the Customer), until the Customer has established the final cost of making the other arrangements envisaged under this clause.

H4.3 Not Used

H4.4 Not Used

H4.5 On expiry or termination of the Contract or any part thereof:-

- (a) the Supplier shall repay at once to the Customer any moneys paid up to and including such date of termination other than moneys in respect of Services or part thereof properly performed in accordance with the Contract and/or signed IPA; and
- (b) the Supplier shall cease to use all of the Customer's Intellectual Property Rights and IP Materials and shall return or destroy as the Customer requires all documents, materials (including those in electronic format) incorporating or referring to the same.

H4.6 Save as otherwise expressly provided in this Contract:-

- (a) termination or expiry of this Contract shall be without prejudice to any rights, remedies or obligations accrued under this Contract and/or any signed IPA prior to termination or expiration and nothing in this Contract shall prejudice the right of either Party to recover any amount outstanding at such termination or expiry; and
- (b) termination of this Contract shall not affect the continuing rights, remedies or obligations of the Customer or the Supplier under Clauses C2 (Payment), C3 (Recovery of Sums Due), D1 (Prevention of Bribery), D2 (Anti-Discrimination), E1 (Data Protection Act), E2 (Confidential Information), E3 (Freedom of Information), E6 (Intellectual Property Rights), E7 (Audit), F6 (Remedies Cumulative), G1 (Liability, Indemnity and Insurance), H4 (Consequences of Expiry or Termination), H6 (Recovery upon Termination) and I1 (Governing Law and Jurisdiction) or any signed IPA.

H4.7 The Parties shall comply with the provisions set out in Schedule 6.

#### **H4A CONSEQUENCES OF EXPIRY OR TERMINATION OF IPA**

H4A.1 Where the Customer terminates an IPA under Clause H2A.2(a)- (c) and then makes other arrangements for the supply of Services, the Customer may recover from the Supplier the cost reasonably incurred of making those other arrangements and any additional expenditure incurred by the Customer throughout the remainder of the duration of that IPA. The Customer shall take all reasonable steps to mitigate such additional expenditure.

H4A.2 Where any signed IPA is terminated under Clause H2A.1 (a) – (c), no further payments shall be payable by the Customer to the Supplier (for Services supplied by the Supplier prior to termination and in accordance with the relevant signed IPA but where the payment has yet to be made by the Customer), until the Customer has established the final cost of making the other arrangements envisaged under Clause H4A.1.

H4A.3 Subject to Clause H4A.2, where the Customer terminates a signed IPA under Clause H2A.2 (d) – (k), H2A.3 (a) and H2A.5 the Customer shall pay the Supplier the Price validly incurred for the Service provided by the Supplier in accordance with the provisions within this Contract and relevant signed IPA up until the date upon which the respective IPA terminates.

#### **H5 RECOVERY UPON TERMINATION**

H5.1 On the expiry, early termination or termination of this Contract and/or IPA for any reason, the Supplier shall:-

- (a) immediately return to the Customer all Confidential Information, Personal Data, IP Materials, records and any other documentation and information in its possession or in the possession or under the control of any permitted suppliers or Sub-Contractors, which was obtained or produced in the course of providing the Services;
- (b) assist and co-operate with the Customer to ensure an orderly transition of the provision of the Services to the Replacement Provider and/or the completion of any work in progress; and
- (c) promptly provide all information concerning the provision of the Services including records as referred to in Clause E10 which may reasonably be requested by the Customer for the purposes of adequately understanding the manner in which Services have been provided or for the purpose of enabling the Customer or the Replacement Provider to provide a continued delivery of the Services.

H5.2 If the Supplier fails to comply with Clause H5.1 (a), the Customer may recover possession thereof and the Supplier grants a licence to the Customer or its appointed agents to enter (for the purposes of such recovery) any premises of the Supplier or its permitted suppliers or Sub-Contractors premises where any such items may be held.

H5.3 Where the end of the Contract Period arises due to the Supplier's Default, the Supplier shall provide all assistance under Clause H5.1 free of charge. Where the Contract ends for other reasons the Customer shall pay the Supplier's directly incurred reasonable costs of providing the assistance and the Supplier shall take all reasonable steps to mitigate such costs.

H5.4 In relation to any IPAs which are terminated in accordance with Clause H2A.2, the Supplier shall assist the Customer with an orderly transition and provision of such Services with any such Replacement Provider. The provisions of Clause H5.3 shall apply mutatis mutandis to such an IPA.

## **H6 DISRUPTION**

H6.1 The Supplier shall take reasonable care to ensure that in the performance of its obligations under this Contract it does not disrupt the operations of the Customer, its employees or any other supplier employed by the Customer.

H6.2 The Supplier shall immediately inform the Customer of any actual or potential industrial action, whether such action is by the Supplier or others for whom the Supplier is responsible, which affects or might affect its ability at any time to perform its obligations under this Contract or any signed IPA's.

H6.3 In the event of industrial action by the Staff, the Supplier shall seek Approval as to its proposals to continue to perform its obligations under this Contract or any signed IPA's.

H6.4 If the Supplier's proposals referred to in Clause H6.3 are considered insufficient or unacceptable by the Customer acting reasonably, then this Contract and/or any signed IPA's may be terminated with immediate effect by the Customer by notice in writing.

H6.5 If the Supplier is temporarily unable to fulfil the requirements of this Contract and/or any signed IPA owing to disruption of normal business of the Customer, the Supplier may request a reasonable allowance of time.

## **H7 REMEDIATION PLAN PROCESS**

H7.1 If the Supplier commits a Default and the Default is in the reasonable opinion of the Customer capable of remedy, the Customer may elect to operate the Remediation Plan Process. If the Customer elects to operate the Remediation Plan Process, the Customer shall serve a Remediation Notice on the Supplier which shall specify the Default in outline and the actions the Supplier needs to take with respect to remedying the Default.

H7.2 Within seven (7) Working Days of receipt of the Remediation Notice, the Supplier shall either:-

(a) submit a draft Remediation Plan to the Customer even if the Supplier disputes that it is responsible for the matters which are the subject of the Remediation Notice; or

(b) inform the Customer that it does not intend to submit a Remediation Plan in which event the Customer shall be entitled to terminate the Contract, or IPA where

applicable, by written notice.

- H7.3 The Customer shall either approve the draft Remediation Plan within seven (7) Working Days of its receipt pursuant to Clause H7.2 or it shall inform the Supplier within the same time period why it cannot accept the draft Remediation Plan. In such circumstances, the Supplier shall address all such concerns in a revised Remediation Plan which it shall submit to the Customer within three (3) Working Days of its receipt of the Customer's comments. Once agreed the Supplier shall immediately start work on the actions set out in the Remediation Plan.
- H7.4 If, despite the measures taken under Clause H7.3 a Remediation Plan cannot be agreed within twenty (20) Working Days, then the Customer may elect to end the Remediation Plan Process and serve a notice to terminate the Contract or relevant IPA.
- H7.5 If a Remediation Plan is agreed between the Parties but the Supplier fails to implement or successfully complete the Remediation Plan by the required Remediation Plan completion date, the Customer may:-
- (a) terminate this Contract or relevant IPA by serving a notice of termination; or
  - (b) give the Supplier a further opportunity to resume full implementation of the Remediation Plan; or
  - (c) escalate any issue arising out of the failure to implement the Remediation Plan to the Supplier's Representative under the dispute resolution procedure set out in Clause I2.
- H7.6 If, despite the measures taken under Clause H7.5, the Supplier fails to implement the Remediation Plan in accordance with its terms, the Customer may elect to end the Remediation Plan Process and refer the matter to dispute resolution in accordance with Clause I2 or serve a notice of termination of the Contract or relevant IPA.
- H7.7 The Customer shall be under no obligation to initiate the Remediation Plan Process if it issues a notice of termination as provided for under this Contract.

## **H8 SUSPENSION AND CONSEQUENCES OF SUSPENSION**

H8.1 A suspension event shall have occurred if:-

- (a) the Customer reasonably considers that a breach by the Supplier of any obligation under this Contract or any signed IPA and:-
  - (i) may create an immediate and serious threat to the health or safety of any CWD; or
  - (ii) may result in a material interruption in the provision of any one or more of the Services; or
- (b) Clause H8.1 does not apply, but the Customer, acting reasonably, considers that the circumstances constitute an emergency affecting provision of the Services; or
- (c) the Supplier is prevented, or will be prevented, from providing the Services due to the termination, suspension, restriction or variation of any Consent

(each a "Suspension Event").



- H8.2 Where a Suspension Event occurs the Customer:-
- (a) may by written notice to the Supplier and with immediate effect suspend any affected Services, or the provision of any affected Services, until the Supplier demonstrates to the reasonable satisfaction of the Customer that it is able to and shall perform the suspended Services, to the required standard; and
  - (b) shall where applicable promptly notify CQC and/or any relevant Regulatory Body of the suspension.
- H8.3 During the suspension of any Services under Clause H8.2, the Supplier shall comply with any steps the Customer reasonably specifies in order to remedy the Suspension Event, including where the Customer's decision to suspend pursuant to Clause H8.2 has been referred to dispute resolution under Clause I (Dispute Resolution).
- H8.4 During the suspension of any Services under Clause H8.2, the Supplier shall not be entitled to claim or receive any payment for the suspended Services except in respect of:-
- (a) all or part of the suspended Services the delivery of which took place before the date on which the relevant suspension took effect in accordance with Clause H8.2; and/or
  - (b) all or part of the Services which the Supplier continues to deliver during the period of suspension in accordance with Clause H8.3.
- H8.5 The Parties shall use all reasonable endeavours to minimise any inconvenience caused or likely to be caused to CWDs as a result of the suspension of the Services.
- H8.6 The Supplier shall indemnify the Customer in respect of any Losses directly and reasonably incurred by the Customer in respect of that suspension (including for the avoidance of doubt Losses incurred in commissioning the suspended Services).
- H8.7 Following suspension of any Services the Supplier shall at the reasonable request of the Customer and for a reasonable period:-
- (a) co-operate fully with the Customer and any Replacement Provider of the suspended Services in order to ensure continuity and a smooth transfer of the suspended Services and to avoid any inconvenience to or risk to the health and safety of CWDs, employees of the Customer or members of the public; and
  - (b) at the cost of the Supplier:-
    - (i) promptly provide all reasonable assistance and all information necessary to effect an orderly assumption of the suspended Services by an alternative Replacement Provider; and
    - (ii) deliver to the Customer all materials, papers, documents and operating manuals owned by the Customer and used by the Supplier in the provision of the suspended Services.
- H8.8 As part of its compliance with Clause H8.7 the Supplier may be required by the Customer to agree a transition plan with the Customer and/or any alternative Replacement Provider.

H8.9 If it is determined, pursuant to Clause I (Dispute Resolution), that the Customer acted unreasonably in suspending any of the Services, the Customer shall pay to the Supplier any Losses directly and reasonably incurred by the Supplier in respect of that suspension provided always that the Supplier shall at all times take all reasonable steps to minimise and mitigate any Losses for which it is entitled to bring a claim against the Customer pursuant to this Contract.

H8.10 During any suspension of any Services the Supplier, where applicable, shall implement the relevant parts of the Business Continuity Plan to ensure there is no interruption in the availability of the other parts of the Services.

## **H9 FORCE MAJEURE**

H9.1 Subject to the remaining provisions of this Clause H9 (and, in relation to the Supplier, subject to its compliance with its obligations in Clause B15, a Party may claim relief under this Clause H9 from liability for failure to meet its obligations under this Contract for as long as and only to the extent that the performance of those obligations is directly affected by a Force Majeure Event. Any failure or delay by the Supplier in performing its obligations under this Contract which results from a failure or delay by an agent, Sub-Contractor or supplier shall be regarded as due to a Force Majeure Event only if that agent, Sub-Contractor or supplier is itself impeded by a Force Majeure Event from complying with an obligation to the Supplier.

H9.2 The Affected Party shall as soon as reasonably practicable issue a Force Majeure Notice, which shall include details of the Force Majeure Event, its effect on the obligations of the Affected Party and any action the Affected Party proposes to take to mitigate its effect.

H9.3 If the Supplier is the Affected Party, it shall not be entitled to claim relief under this Clause H9 to the extent that consequences of the relevant Force Majeure Event:

- (a) are capable of being mitigated but the Supplier has failed to do so; and/or
- (b) should have been foreseen and prevented or avoided by a prudent provider of services similar to the Services, operating to the standards required by this Contract.

H9.4 Subject to Clause H9.5, as soon as practicable after the Affected Party issues the Force Majeure Notice, and at regular intervals thereafter, the Parties shall consult in good faith and use reasonable endeavours to agree any steps to be taken and an appropriate timetable in which those steps should be taken, to enable continued provision of the Services affected by the Force Majeure Event.

H9.5 The Parties shall at all times following the occurrence of a Force Majeure Event and during its subsistence use their respective reasonable endeavours to prevent and mitigate the effects of the Force Majeure Event. Where the Supplier is the Affected Party, it shall take all steps in accordance with Good Industry Practice to overcome or minimise the consequences of the Force Majeure Event.

H9.6 Where, as a result of a Force Majeure Event:

- (a) an Affected Party fails to perform its obligations in accordance with this Contract, then during the continuance of the Force Majeure Event:
  - (i) the other Party shall not be entitled to exercise any rights to terminate this Contract in whole or in part as a result of such failure other than pursuant to Clauses H1 and H3; and

- (ii) neither Party shall be liable for any Default arising as a result of such failure;
  - (b) the Supplier fails to perform its obligations in accordance with this Contract:
    - (i) the Customer shall not be entitled to withhold and retain any of the Price as compensation to the extent that such failure has been caused by the Force Majeure Event; and
    - (ii) the Supplier shall be entitled to receive payment of the Price (or a proportional payment of them) only to the extent that the Services (or part of the Services) continue to be performed in accordance with the terms of this Contract during the occurrence of the Force Majeure Event.
- H9.7 The Affected Party shall notify the other Party as soon as practicable after the Force Majeure Event ceases or no longer causes the Affected Party to be unable to comply with its obligations under this Contract.
- H9.8 Relief from liability for the Affected Party under this Clause H9 shall end as soon as the Force Majeure Event no longer causes the Affected Party to be unable to comply with its obligations under this Contract and shall not be dependent on the serving of notice under Clause H9.7.
- H9.9 In the event that any Force Majeure Event continues to affect the ability of either Party to fulfil their obligations under the Contract for a period of three (3) Months or more, either Party may serve notice of termination with immediate effect on the other Party.

## **DISPUTES AND LAW**

### **I1 GOVERNING LAW AND JURISDICTION**

- I1.1 Subject to the provisions of Clause I2, the Customer and the Supplier accept the exclusive jurisdiction of the English courts and agree that this Contract, any signed IPA's and all non-contractual obligations and other matters arising from or connected with it are to be governed and construed according to English Law.

### **I2 DISPUTE RESOLUTION**

- I2.1 The Parties shall attempt in good faith to negotiate a settlement to any dispute between them arising out of or in connection with this Contract and/or any signed IPA's within twenty (20) Working Days of either Party notifying the other of the dispute. Any dispute shall in the first instance be referred to the Representatives of each Party for resolution. If the dispute cannot be resolved by the Contract Managers of the Parties within ten (10) Working Days after the dispute has been referred to the Representatives, either Party may give notice to the other Party in writing (Dispute Notice) that a dispute has arisen and within five (5) Working Days of the date of the Dispute Notice each Party shall refer the dispute to the Customer's Contract Manager and the Supplier's Contract Manager for resolution.
- I2.2 Nothing in this dispute resolution procedure shall prevent the Parties from seeking from any court of competent jurisdiction an interim order restraining the other Party from doing any act or compelling the other Party to do any act.
- I2.3 If the dispute cannot be resolved by the Parties' Contract Managers pursuant to Clause I2.1 within ten (10) Working Days of the Dispute Notice the Parties shall refer it to mediation pursuant to the procedure set out in Clause I2.5.

- 12.4 The obligations of the Parties under this Contract and/any signed IPA's shall not cease, or be suspended or delayed by reference of a dispute to mediation and the Supplier shall comply fully with the requirements of this Contract and/or any signed IPA's at all times.
- 12.5 The procedure for mediation and consequential provisions relating to mediation are as follows:-
- (a) A neutral adviser or mediator (the "Mediator") shall be chosen by agreement between the Parties or, if they are unable to agree upon a Mediator within ten (10) Working Days after a request by one Party to the other or if the Mediator agreed upon is unable or unwilling to act, either Party shall within five (5) Working Days from the date of the proposal to appoint a Mediator or within five (5) Working Days of notice to either Party that he is unable or unwilling to act, apply to the Centre for Effective Dispute Resolution or other mediation provider to appoint a Mediator.
  - (b) The Parties shall within ten (10) Working Days of the appointment of the Mediator meet with him in order to agree a programme for the exchange of all relevant information and the structure to be adopted for negotiations to be held. If considered appropriate, the Parties may at any stage seek assistance from the Centre for Effective Dispute Resolution or other mediation provider to provide guidance on a suitable procedure.
  - (c) Unless otherwise agreed, all negotiations connected with the dispute and any settlement agreement relating to it shall be conducted in confidence and without prejudice to the rights of the Parties in any future proceedings.
  - (d) Both Parties agree to co-operate fully with any Mediator appointed and to bear their own costs and one half of the fees and expenses of the Mediator unless otherwise agreed at Mediation.
  - (e) If the Parties reach agreement on the resolution of the dispute, the agreement shall be recorded in writing and shall be binding on the Parties once it is signed by their duly authorised representatives.
  - (f) Failing agreement, either of the Parties may invite the Mediator to provide a non-binding but informative written opinion. Such an opinion shall be provided on a without prejudice basis and shall not be used in evidence in any proceedings relating to this Contract or any signed IPA without the prior written consent of both Parties.
  - (g) If the Parties fail to reach agreement in the structured negotiations within twenty (20) Working Days of the Mediator being appointed, or such longer period as may be agreed by the Parties, then any dispute or difference between them may be referred to the Courts.

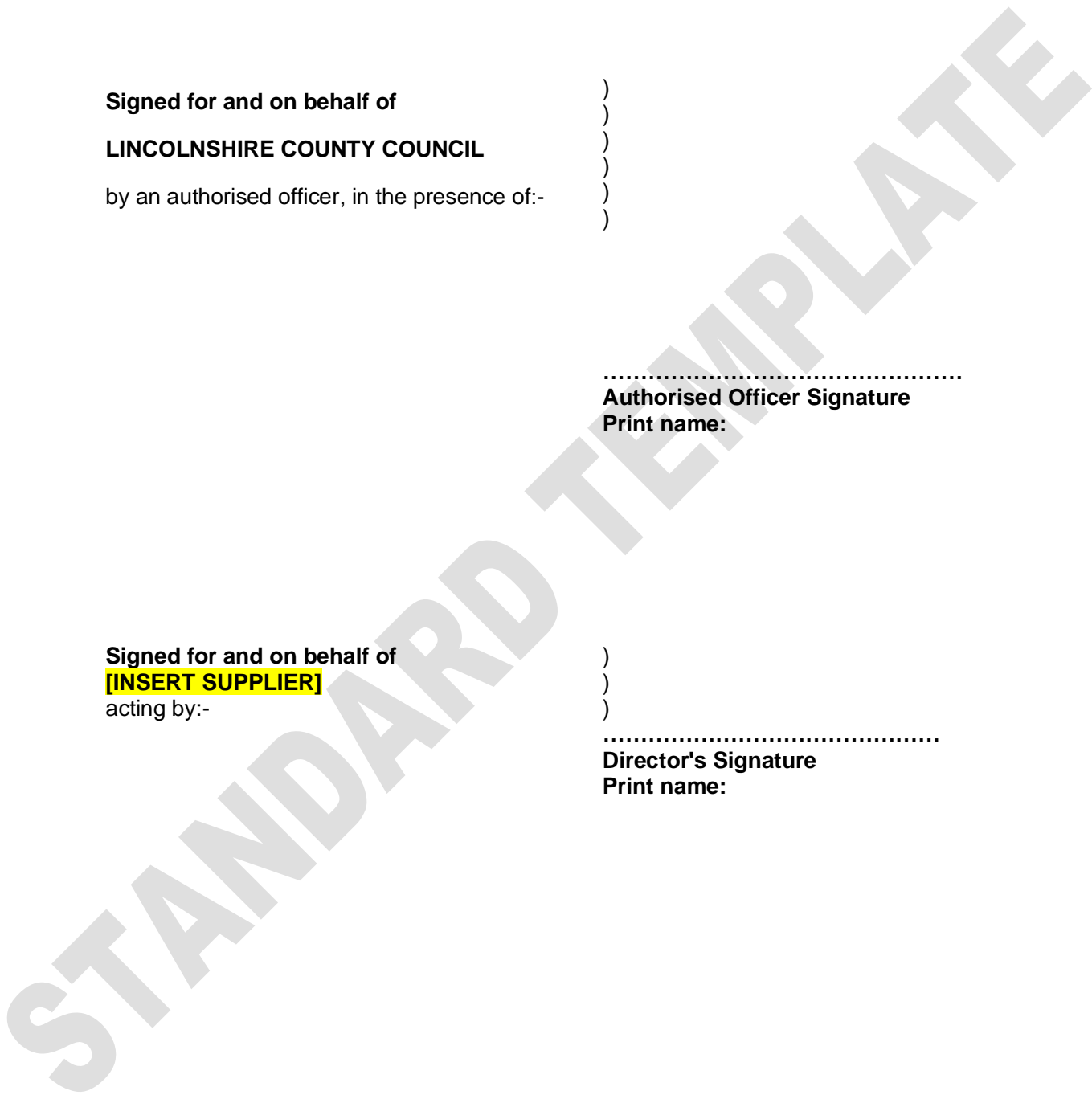
**IN WITNESS WHEREOF** the hands of the Parties hereto or their duly authorised representatives.

**Signed for and on behalf of** )  
 )  
**LINCOLNSHIRE COUNTY COUNCIL** )  
 )  
by an authorised officer, in the presence of:- )  
 )

.....  
**Authorised Officer Signature**  
**Print name:**

**Signed for and on behalf of** )  
**[INSERT SUPPLIER]** )  
acting by:- )

.....  
**Director's Signature**  
**Print name:**



**SCHEDULE 1**  
**SERVICE SPECIFICATION**

<b>Service Name</b>	<b>Domiciliary Care</b>
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**NB:** For the avoidance of doubt where reference is made throughout to children or Children with a Disability (CWD) this includes children and young people with a disability from age 0-18 years. Where the specification talks about meeting the needs of Children with a Disability (CWD) this includes, by extension, the needs of their families as well, in relation to the Child with a Disability.

<b>1.</b>	<b>Purpose of the Service</b>
	<p><a href="#">Lincolnshire's High Needs Strategy</a> outlines the Customer's intention to ensure Children with a Disability (CWD) have help to thrive in life. The ambition is that all CWD will receive the right support at the right time.</p> <p>CWD in Lincolnshire are supported to maintain their quality of life, access high quality education, remain living at home with their family, and enabled to access their local communities so they can go on to live as independently as possible.</p> <p>Following an Assessment of Need some CWD are identified as requiring support in the home and/or community ('domiciliary care') to achieve these aims. The Customer requires Suppliers to deliver high quality domiciliary care ("The Service") to meet the needs of CWD.</p> <p>The Service may range from providing personal care in the home to helping CWD with their morning or bedtime routines to support in accessing community and leisure opportunities. Delivery of the Service shall be person-centred and flexible to meet the individual needs of the child.</p> <p>This specification outlines the requirements of the Domiciliary Care service. All Suppliers must be registered with the Care Quality Commission (CQC) to deliver Domiciliary Care services.</p>
<b>2.</b>	<b>Aims and Objectives of the Service</b>
2.1.	<p><b>Aim</b> To support CWD to live safely in their family home, to access their local community, maximise their independence, and help them to reach their full potential.</p>
2.2.	<p><b>Objectives</b></p> <ul style="list-style-type: none"> <li>• To support CWD to meet their personal care and, where appropriate, health needs.</li> <li>• To support CWD to access universal/mainstream services and community and leisure opportunities.</li> <li>• To support parents/carers in their caring role and reduce CWD needing to become a Child in Care to have their needs met.</li> <li>• To encourage CWD to do things for themselves, as much as they can, to enhance independence.</li> <li>• To offer a flexible Service to meet the (changing) needs of CWD whilst ensuring their views are listened to in the delivery of their care.</li> </ul>

	<ul style="list-style-type: none"> <li>• To work collaboratively alongside the Customer and other relevant agencies, including Health, to offer a holistic package of care to CWD.</li> <li>• To ensure that effective systems are in place to assess, track and monitor children’s progress, particularly in relation to relevant outcomes within their Education, Health and Care Plan (EHCP).</li> <li>• To ensure CWD are treated with dignity and respect and regarded as equal partners in the delivery of their care.</li> </ul>
<b>3.</b>	<b>Outcomes</b>
	<p>The Customer’s vision is <i>“Putting Children First – everyone working together for all children, young people and families to be happy, healthy, safe and the best they can be.”</i></p> <p>The principles through which the vision is delivered are:</p> <ul style="list-style-type: none"> <li>• Early Help: Strong protective universal services accessible to all with a range of early help available so children have the best start in life and families have extra help when they need it</li> <li>• Safeguarding: A shared responsibility to ensure children are safe at home, school and in their community</li> <li>• Aspiration: Children are able to thrive and cope with life challenges</li> <li>• Learning and Achievement: All children being the best they can be with targeted interventions to close the gap so vulnerable children achieve as well as their peers</li> <li>• Best Use of Resources: Integrated commissioning with a focus on best value, improved outcomes and community engagement.</li> </ul> <p>The Supplier shall follow the vision and principles of the Customer in delivering the Service. The Supplier shall work with partners to achieve the outcomes below for children and their families.</p> <p><b>Outcomes</b></p> <ul style="list-style-type: none"> <li>• Parents/ carers of CWD feel supported in their caring role.</li> <li>• Children remain living at home and are safe.</li> <li>• Children are supported to access education.</li> <li>• Children feel part of their community.</li> <li>• Children are more independent and ready for adult life.</li> </ul>
<b>4.</b>	<b>The Service</b>
4.1.	<p><b>User Group and Eligibility for the Service</b></p> <p>4.1.1. Service users shall be CWD aged 0-18 years, living in Lincolnshire, with profound and significant learning and/or physical disabilities or life-threatening illnesses who have been assessed as a Child in Need, as set out in the Chronically Sick and Disabled Persons Act 1970, Children Act 1989, section 17 (10), the Carers and Disabled Children Act 2000, The Breaks for Carers of Disabled Children Regulations 2011, and the Children and Families Act 2014.</p> <p>4.1.2. Following the needs assessment, eligible CWD will be entitled to receive domiciliary care services designed to meet those needs and improve their outcomes and life experiences.</p>

<p>4.2.</p>	<p><b>Access to the Service</b></p> <p>4.2.1. The Customer will always look to maximise use of any block contract in place for domiciliary care. Where the block contract is unable to meet need, domiciliary care will be commissioned through the Open Select List using a mini-tender procurement process (see <i>Invitation to Tender Part 1a: Information for Application</i>).</p> <p>4.2.2. Suppliers that have been accepted onto the Council's Open Select List will receive an individual referral form from the Customer setting out the needs of the CWD for whom a domiciliary care service is required.</p> <p>4.2.3. The Supplier must decide if they can offer a service that meets the child's needs and respond to the referral by submitting their bid in accordance with the mini-tender process. The Supplier should also notify the Customer if they are unable to offer a package and the reason why.</p> <p>4.2.4. If no suitable bids are received a wider market search may be conducted with other suppliers.</p> <p>4.2.5. Once the deadline for submission has passed, bids shall be evaluated according to any weightings specified in the referral and all bidders will then be informed of the outcome.</p> <p>4.2.6. The Supplier shall liaise with the Customer to arrange to visit the child and family in their home (or wherever the service is to be delivered) to make arrangements for the delivery of the service. The Child in Need Plan and/or EHCP will be shared with the Supplier beforehand.</p> <p>4.2.7. The Supplier shall undertake their own risk assessment and work together to plan the domiciliary care package in conjunction with the CWD and family, the Customer, and in accordance with relevant CQC guidance. The subsequent Agreement between the successful Supplier and the Customer will be set out in the Individual Placement Agreement (IPA).</p> <p>4.2.8. The Supplier shall agree a start date subject to completion of any mandatory contractual checks, staff training etc. The timescale between the initial contact and the care package commencing shall be no more than two weeks, unless previously agreed otherwise.</p> <p>4.2.9. If a referral is received for CWD already or previously receiving personal care services from a supplier following an Open Select List mini-competition, the Customer reserves the right to contract directly with this supplier where appropriate without the need for further competitive tender.</p>
<p>4.3.</p>	<p><b>Service Detail</b></p> <p>4.3.1. The Service shall meet '<a href="#">the fundamental standards</a>' of the CQC for all care services, including:</p> <ul style="list-style-type: none"> <li>• Care is person-centred and tailored to meet (changing) needs and preferences. These shall be in alignment with the Child in Need Plan, EHCP, and IPA.</li> </ul>



- CWD are treated with dignity and respect, their privacy respected, and are seen as partners in delivery of care to help them be as independent as possible and feel part of their community.
- Delivery of care is with the consent of the CWD, and their views are always sought and listened to.
- Care must be delivered safely, with relevant risk assessments carried out, and staff having the requisite competence, qualifications, training, skills and Disclosure and Barring Service clearance.
- Proper use of equipment, where applicable, from suitably trained staff.
- CWD are aware of how to complain about their care.

4.3.2. Domiciliary Care itself can be varied in nature according to the needs of individual CWD. The type of services it may include, but is not limited to, are:

- Personal and intimate care.
- Access to leisure and community activities (social inclusion).
- Development of life skills such as managing morning and bedtime routines.
- Transition support.
- Social and communication skills.
- Attending appointments and/or meetings.
- Low-level health care tasks not requiring a nursing qualification.

4.3.3. The Supplier shall ensure that all staff are appropriately skilled and competent to provide safe, high quality domiciliary care to CWD. Where appropriate, key tasks may include one or more of the following for CWD with complex needs:

- Administering invasive medical treatments.
- Assistance with feeding including artificial feeding.
- Cleaning of gastrostomy.
- Assisting with a pre-determined exercise regime for maintaining/improving range of movement.
- Administering oxygen.

4.3.4. The Supplier shall be committed to working together in partnership with the Customer and strive for continuous improvement, reflecting new learning as it emerges, including in response to new legislation or guidance, and ensuring that available resources are maximised to achieve the best outcomes for CWD. Any changes to the delivery of the Service shall be authorised by the Customer through the issuing of a new IPA.

4.3.5. The Supplier will work collaboratively with all key workers to assist with the delivery of related outcomes within the Child in Need Plan and/or EHCP as provided by the Customer. The Supplier may be expected to contribute to any review of such Plans.

4.3.6. The Supplier should use the Customer's Valuing SEND toolkit (or their own suitable model) to measure progression and how outcomes have been achieved.

4.3.7. The Supplier shall signpost and refer to the Customer's Local Offer and other appropriate agencies and services, both universal and targeted. This includes supporting CWD, where appropriate, to develop close links with the local community.

4.3.8. All visits, times and service provision undertaken shall be recorded in a daily record. The Supplier shall maintain the record detailing the care provided and any refusals of agreed support and regular feedback from the CWD and their family on the Service.

	<p>4.3.9. The Supplier shall ensure that Care Workers have adequate English language and literacy skills to undertake this duty and record clear, legible, concise, and relevant records.</p> <p>4.3.10. With the consent of the CWD, the care worker shall be observed by the Supplier's management or supervisory staff to validate competence at least once a year in the delivery of care and support to the CWD with whom they regularly work.</p> <p>4.3.11. The Supplier shall provide the amount of time for each visit as specified in the IPA with any minor changes, and the reasons why, recorded and reported. The Supplier shall ensure that no visit will be missed without justifiable reason.</p> <p>4.3.12. In any instance where the Supplier is unable to deliver the Service, the Supplier or their representative must contact the family at least 24 hours before the specified due time.</p> <p>4.3.13. The family must be notified by the Supplier if there is to be an adjustment in the anticipated time of arrival. In all cases, the Supplier shall make alternative acceptable arrangements for the CWD with their agreement.</p> <p>4.3.14. The family is entitled to refuse entry into their home to Care Workers. If entry is refused or a Care Worker is turned away, the Supplier shall investigate the reason and, where possible, resolve the issue. If not resolved, the Supplier shall inform the Customer of the situation as soon as possible but no later than one working day.</p> <p>4.3.15. The Supplier shall notify the Customer immediately (or the next working day where not possible) if the following occurs:</p> <ul style="list-style-type: none"> <li>• The CWD or parent/carer is admitted to hospital.</li> <li>• The CWD or parent/carer has a serious accident or injury or dies.</li> <li>• There is concern for the health and safety or welfare of the CWD or parent/carer or any other member of the household.</li> <li>• There is concern for the health and safety of the Care Worker.</li> <li>• Regular and/or persistent refusal by the family to accept support to meet outcomes, mutually agreed in the Plan.</li> <li>• Failure to provide the Service to the CWD - missed, late, void or 'no response' calls.</li> <li>• A member of the family, or the CWD, contracts a notifiable infectious disease.</li> <li>• The Supplier becomes aware of increasing needs or needs which are not being met within the current support Plan.</li> <li>• The CWD or parent/carer support needs have decreased.</li> </ul>
<p>4.4.</p>	<p><b>Service User Exit/Transition from the Service</b></p> <p>4.4.1. Where a CWD remains eligible for domiciliary care services they will remain with the Supplier under the terms of this contract and the relevant IPA either until they are 18 years old or a relevant clause from Section H (Part 2f Terms and Conditions for Domiciliary Care) applies.</p> <p>4.4.2. The Supplier shall not withdraw the Service from a child, either temporarily or permanently, for any reason, without the prior agreement of the Customer. Cessation of provision should only occur in exceptional circumstances and should follow an agreed collaborative policy, as per the contract terms and conditions. Where a service</p>

	<p>has irrevocably broken down, the Supplier and Customer shall work together to seek to continue to provide support to the child until alternative suitable provision can be identified and accessed.</p> <p>4.4.3. CWD will be supported to transition from the Service by both the Customer and the Supplier as per their individual care plans. This may be to another Supplier, alternative provision, a change in living arrangements and/or transition to Adult services.</p>
4.5.	<p><b>Key Interdependencies or Partnerships with other Services</b></p> <p>4.5.1. The Supplier shall work with key stakeholders identified in the Child in Need plan and/or EHCP to achieve the best outcomes for CWD, and work collaboratively with the Customer's CWD service and Commissioning team to ensure that they continue to deliver a good quality, robust and compliant service.</p> <p>4.5.2. A wide range of other professionals may be involved in the care and support of the child, and this may include, but is not limited to, schools and colleges, GPs, other health service providers, other relevant services commissioned by the Customer, voluntary organisations, the Customer's Children's and Adults Social Care or SEND Teams, Children's Centres, and other Customer's children's services and adult services (where appropriate).</p>
4.6.	<p><b>Location of Service and Hours of Operation</b></p> <p><u>Location of Service</u></p> <p>4.6.1. It is expected that most provision will be delivered within the home of the CWD, with a level of support to be provided in their local community as and where appropriate to their individual needs.</p> <p>4.6.2. All CWD will reside in Lincolnshire.</p> <p><u>Hours of Operation</u></p> <p>4.6.3. The exact hours of provision shall be specified within the IPA. The time allocated to individual visits will match the needs of the CWD. Within school term-term most visits are likely to be between one and two hours in duration; visits may be longer in school holidays.</p> <p>4.6.4. It is expected that core hours of delivery will be 6am to 10pm but the Supplier shall offer flexibility of timing to reflect a person-centred approach dependent on the assessed needs of the CWD. The Domiciliary Care service may need to be available all year round, including Bank Holidays.</p>
4.7.	<p><b>Staffing</b></p> <p>4.7.1. The Supplier shall provide, employ or have access to appropriate staffing resources to deliver the Service defined in this Specification and to meet the assessed needs of the individual children, as per the IPA.</p>

	<p>4.7.2. The Supplier shall seek to promote stability and continuity of relationships for CWD with staff turnover minimised. The Supplier's arrangements for covering staff absences shall be factored into the core staffing capacity and is not solely reliant on staff working over-time, or the regular use of agency staff other than for exceptional and unplanned staff shortages.</p> <p>4.7.3. The Supplier shall ensure that all staff are suitably trained and experienced and/or qualified to NVQ Level 2 Diploma in Health and Social Care or above or equivalent so that all CWD receiving a service are kept safe and healthy with all specific health, care and medical needs being met to a good standard.</p> <p>4.7.4. The Supplier shall ensure that there is a structure in place to provide supervision and guidance to care workers at all times, which is underpinned by a Governance framework with clear lines of accountability.</p>
<p>4.8.</p>	<p><b>Resources</b></p> <p><u>Resources to be provided by the Customer</u></p> <p>4.8.1. In addition to resources identified within the contractual terms and conditions, the Customer shall supply the following resources to support the Supplier to fulfil the requirements of the Service:</p> <ul style="list-style-type: none"> <li>• Ensure that a written referral, with all relevant information available at that time, is provided to the Supplier.</li> <li>• Provide a copy of the Child in Need Plan and EHCP where applicable.</li> </ul> <p>4.8.2. The Customer will ensure each relevant CWD has a suitably trained Social Worker. This worker will notify the Supplier of any Child in Need Plan review dates, where applicable, and other relevant meetings well in advance. The Social Worker will work with the Supplier to evaluate the service delivered and review the IPA at regular intervals.</p> <p><u>Resources to be provided by the Supplier</u></p> <p>4.8.3. Although statutory responsibility for the child and for monitoring their individual progress ultimately rests with the Customer (and will be exercised through the child's social worker, where applicable, and statutory review procedures), the Supplier will, however, be responsible for the delivery of the service and periodic monitoring of the child's well-being and progress as defined in the IPA, Child in Need Plan, and EHCP.</p> <p>4.8.4. The Supplier shall ensure that where transport is used in provision of the Service, it is appropriate to the needs of the CWD, adheres to all the legal and insurance requirements, and all drivers hold a valid driving licence and Disclosure and Barring Service clearance.</p> <p>4.8.5. The Supplier shall ensure that care workers always have appropriate personal protective equipment to deliver the service.</p>

## SCHEDULE 2

### INDIVIDUAL PLACEMENT AGREEMENT (IPA)

FOR PROVISION OF DOMICILIARY CARE FOR CHILDREN WITH DISABILITIES  
(CWD)

The Terms and Conditions between Lincolnshire County Council and [ ] dated [ ] (the "Contract") are incorporated into the IPA and the Supplier shall provide any services under this IPA in accordance with the Contract.

<b>Child/Young Person's Name:</b>	
<b>Date IPA Issued:</b>	
<b>Initial IPA/<del>Variation</del>* (*delete as appropriate)</b>	

#### 1. PARTIES TO THE IPA

##### 1.1 The Purchaser

<b>Name of Authority:</b>	Lincolnshire County Council		
<b>Address:</b>	County Offices Newland Lincoln		
<b>Postcode:</b>	LN1 1YL		
<b>Telephone:</b>	01522 552222	<b>Fax:</b>	01522 553257

<b>1.2 The Supplier</b>	<b>Contract Number:</b>
-------------------------	-------------------------

<b>Name of Organisation:</b> (Registered Legal Entity)			
<b>Registered Company Number / Registered Charity Number:</b>			
<b>Registered Supplier business address:</b> (as per legal entity details above)			
<b>CQC Reference Number:</b>			
<b>Registered Manager Name:</b>			
<b>Postcode:</b>			
<b>Email:</b>			
<b>Telephone</b>		<b>Fax:</b>	

**NB: This IPA will supersede all other agreements signed in respect of the placement of the Child/Young Person.**

## 2. CHILD/YOUNG PERSON'S DETAILS

Family Name:			
First Name:			
Known As (if applicable):			
Date of Birth:		Gender:	Choose an item.
Other Legal Status/Action			

## 3. PACKAGE OF CARE

3.1 Start date

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3.2 The Child/Young Person's address:

Address of Home:			
		Postcode:	
Telephone:		Mobile:	
E-mail:			
Name of Parent/Carer:			

3.3 Domiciliary Care Provision

Package of Care Required	<p><i>You are required to provide the below care, please specify</i></p> <ul style="list-style-type: none"> <li>• Personal and Intimate Care <input type="checkbox"/></li> <li>• Access to leisure/community activities <input type="checkbox"/></li> <li>• Life Skills <input type="checkbox"/></li> <li>• Transition Support <input type="checkbox"/></li> <li>• Social &amp; Communication Skills <input type="checkbox"/></li> <li>• Attending appointments/meetings <input type="checkbox"/></li> <li>• Low level health care tasks not requiring a nursing qualification <input type="checkbox"/></li> </ul> <p>Other:</p>

<b>Details of Care Package</b>	<i>Specify here the days/hours of the Domiciliary Care and the care to be provided, including individual needs of the child/young person</i>		
	Monday <input type="checkbox"/>	Friday <input type="checkbox"/>	Total number of hours per week:
	Tuesday <input type="checkbox"/>	Saturday <input type="checkbox"/>	
	Wednesday <input type="checkbox"/>	Sunday <input type="checkbox"/>	
	Thursday <input type="checkbox"/>		

<b>3.4. Expected duration of placement</b>	
IPA review date:	

<b>4. KEY CONTACTS FOR THE CHILD/YOUNG PERSON</b>
---

<b>4.1 For the purpose of this IPA the named officers of the Purchasers are as follows:</b>			
<b>ALLOCATED SOCIAL WORKER CONTACT:</b>			
Name:			
Team Name:			
Based at:			
Telephone:		Mobile:	
E-mail:			

<b>HEALTH CONTACT:</b>			
Name:			
Team Name:			
Based at:			
Telephone:		Mobile:	
E-mail:			

<b>COMMISSIONING OFFICER CONTACT:</b>			
Name:			
Team Name:			
Based at:			
Telephone:		Mobile:	
E-mail:			

<b>4.2 For the purpose of this IPA the named officer (s) of the Supplier are as follows:</b>	
<b>SUPPLIER CONTACT – CARE</b>	
Name:	

Based at:			
Telephone:		Mobile:	
E-mail:		Fax:	

<b>SUPPLIER CONTACT – CONTRACTS</b>			
Name:			
Based at:			
Telephone:		Mobile:	
E-mail:		Fax:	

<b>SUPPLIER CONTACT – FINANCE</b>			
Name:			
Based at:			
Telephone:		Mobile:	
E-mail:		Fax:	

## 5. THE PRICE

<b>5.1 Services to be provided and Fees</b>			
Prior written approval of the Purchaser must be obtained for any change of provision.			
The Purchaser shall pay the Supplier the following sums for the provision of Services:			
£		TOTAL cost per annum for package(s) of care detailed in Section 3	
<b>5.2 Additional Services (if required)</b>			
£		<i>Description and detail of additional service</i>	
<b>Total Cost:</b>		£	per annum

## 6. INVOICING

<b>6.1 INVOICES - Details of where invoices for the agreed care package fees are to be sent</b>	
<b>Name &amp; Address</b>	Lincolnshire County Council County Offices Newland Lincoln



<b>Postcode:</b>	LN1 1YL		
<b>Telephone:</b>		<b>Fax:</b>	
<b>Email:</b>	invoices@lincolnshire.gov.uk		
<b>Where the Supplier submits a valid invoice to the Customer in accordance with the provisions within Clause C1, Clause C2 of the terms and conditions, and the applicable signed IPA, the Customer shall pay each invoice within twenty eight (28) calendar days of Receipt of a valid invoice.</b>			

**7. SIGNATORIES TO AGREEMENT/APPROVAL FOR FUNDING:**

The Supplier and Purchaser agree to the package of care in the named provision for the named Child/Young Person in accordance with the details set out above. For the purposes of this Individual Placement Agreement, the Commencement Date is the date of actual receipt of Domiciliary Care. This condition and the Contract in its entirety are not affected or altered in any way by the actual date of signature of this IPA. Any packages of care provided will be subject to the terms and conditions set out in the Contract. By agreeing to provide the services required under the IPA, both parties accept the terms and conditions of the Contract.

**7.1 PURCHASER:**

<b>NAME:</b>		
<b>POSITION:</b>	Head of Service	Team Manager
<b>SIGNATURE:</b>		
<b>DATE:</b>		

**7.2 SUPPLIER:**

<b>NAME:</b>	
<b>POSITION:</b>	
<b>SIGNATURE:</b>	
<b>DATE:</b>	

**SCHEDULE 3**  
**PERFORMANCE MONITORING**

<b>1.</b>	<b>Contract Management and Performance Monitoring</b>
1.1.	<p><b>Statement of Intent</b></p> <p>The Customer and the Supplier shall develop and maintain an open and constructive relationship and ensure that robust contract management is undertaken to demonstrate that the service is being delivered in accordance with the contract and is achieving best value and improved outcomes for children and their families.</p>
1.2.	<p><b>Responsibilities of the Customer</b></p> <p>1.2.1. A Contract Management Toolkit shall be utilised to allow for a robust contract management process which shall comprise of:</p> <ul style="list-style-type: none"> <li>• Joint Evaluation Toolkit (JET)</li> <li>• Supplier Self-Declaration Contract Assurance Form</li> <li>• Supplier Annual Contract Performance Report Template</li> <li>• Service Observation Visit Template</li> </ul> <p>1.2.2. The Customer shall assign a Contract Manager who shall:</p> <ul style="list-style-type: none"> <li>• Establish the Contract Board which shall comprise of as a minimum the Customer's Contract Manager, the Customer's Service Manager representative(s) and Supplier representative(s) with the appropriate authority.</li> <li>• Arrange and chair Contract Management Meetings (CMMs). Meetings shall be scheduled a year in advance on a rolling basis.</li> <li>• Alongside the Supplier utilise the Contract Management Toolkit to support the CMM process. The Customer's Contract Manager shall provide the Supplier with a copy of the Contract Management Toolkit and accompanying guidance notes.</li> <li>• Arrange and undertake Service Observation Visits.</li> </ul>
1.3.	<p><b>Responsibilities of the Supplier</b></p> <p>1.3.1. The Supplier shall ensure that they:</p> <ul style="list-style-type: none"> <li>• Always co-operate with Customer's processes for contract management as reasonably requested by the Customer</li> <li>• Complete contract reporting within agreed timescales</li> <li>• Have in place a quality assurance system which is used to track, continuously review, and improve the standards of service delivery. This shall include but is not limited to: <ul style="list-style-type: none"> <li>○ Regularly seeking and responding to the views of children and their families to ensure their voices are at the forefront of all elements of the Service.</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>○ Undertaking an annual service review of performance and child and family satisfaction.</li> <li>○ Tracking performance to ensure agreed outcomes for children and their families are being delivered.</li> <li>○ Ensuring appropriate changes are promptly made where Service delivery is not meeting need or where local priorities develop.</li> <li>○ Self-evaluating contacts/sessions/activities.</li> </ul>								
<p>1.4.</p>	<p><b>The Joint Evaluation Toolkit (JET)</b></p> <p>1.4.1. The JET adopts a balanced scorecard approach to managing service delivery and the performance and risks of Service delivery; evaluating the quality of the Service provided against the associated costs to assist the Customer to determine if the Service is providing best value for money and improving outcomes for children.</p> <p>1.4.2. The JET is used to record Contract Management Meetings (CMMs) and is a user-friendly word document which shall be completed by the Customer’s Contract Manager and Supplier. The Customer’s Contract Manager shall review the information provided by the Supplier.</p> <p>1.4.3. At the end of CMMs the Customer’s Contract Manager shall provide an overall contract performance rating based on one of the following judgements:</p> <table border="1" data-bbox="284 1010 1501 1335"> <thead> <tr> <th data-bbox="284 1010 603 1066">Inadequate</th> <th data-bbox="603 1010 890 1066">Requires Improvement</th> <th data-bbox="890 1010 1177 1066">Good</th> <th data-bbox="1177 1010 1501 1066">Outstanding</th> </tr> </thead> <tbody> <tr> <td data-bbox="284 1066 603 1335">All KPIs are under target with no clear strategies for improvement and/or Contract Assurance requirements have not been met and/or a safeguarding risk to the Contract has been identified.</td> <td data-bbox="603 1066 890 1335">The majority of KPIs are under target with no clear strategies for improvement.</td> <td data-bbox="890 1066 1177 1335">The majority of KPIs are at least on target and where minor or negligible weaknesses are identified the Customer is aware of the issues and good actions are identified for improvement.</td> <td data-bbox="1177 1066 1501 1335">All KPIs are on or above target with no weaknesses or actions identified for improvement. The Service clearly demonstrates it is driving forward development and innovation.</td> </tr> </tbody> </table> <p>1.4.4. In addition, the Customer’s Contract Manager shall risk rate the contract on a Red, Amber, Green (RAG) rating, which shall also be reviewed on a monthly basis. These rating shall be entered onto the Customer’s corporate contracts register and shall be used to inform the Customer’s Children’s Services Directorate Leadership Team (DLT) or Corporate Leadership Team (CLT) on current service performance.</p>	Inadequate	Requires Improvement	Good	Outstanding	All KPIs are under target with no clear strategies for improvement and/or Contract Assurance requirements have not been met and/or a safeguarding risk to the Contract has been identified.	The majority of KPIs are under target with no clear strategies for improvement.	The majority of KPIs are at least on target and where minor or negligible weaknesses are identified the Customer is aware of the issues and good actions are identified for improvement.	All KPIs are on or above target with no weaknesses or actions identified for improvement. The Service clearly demonstrates it is driving forward development and innovation.
Inadequate	Requires Improvement	Good	Outstanding						
All KPIs are under target with no clear strategies for improvement and/or Contract Assurance requirements have not been met and/or a safeguarding risk to the Contract has been identified.	The majority of KPIs are under target with no clear strategies for improvement.	The majority of KPIs are at least on target and where minor or negligible weaknesses are identified the Customer is aware of the issues and good actions are identified for improvement.	All KPIs are on or above target with no weaknesses or actions identified for improvement. The Service clearly demonstrates it is driving forward development and innovation.						
<p>1.5.</p>	<p><b>Key Performance Indicators (KPIs)</b></p> <p>1.5.1. Detailed below are the minimum indicative KPIs required for the Service. The Customer shall work collaboratively with the Supplier during the Service implementation period to agree additional KPIs. Some KPIs and measures are highlighted in pink which means that these are mandatory and apply to the majority of Children's Services contracts/agreements.</p> <p>1.5.2. The final JET for the Service shall be finalised and agreed in partnership with the Supplier at the first CMM.</p>								

1.5.3. The KPIs shall be reviewed annually as part of the Contract Management process and may be subject to change as local needs change and local and/or national priorities develop. Any changes to KPIs shall be agreed with the Customer and the Supplier as part of the Contract Management process.

1.5.4. The Customer may request additional performance information as and when required.

<b>A. Compliance with the Contract is demonstrated through service delivery</b>		
<b>A1) The supplier safeguards and promotes the welfare of children and young people in the delivery of all aspects of the service</b>		
<b>Measure(s)</b>		<b>Target/Tolerance/Action</b>
<b>Type</b>	<b>Description</b>	
Compliance	Staff are trained to the appropriate level of safeguarding requirements.	Target: 100% Tolerance: 0%
Compliance	Number of safeguarding concerns reported to the supplier.	Target: 0 Tolerance: 0
Compliance	Evidence that any safeguarding concerns are managed appropriately.	Yes/No
Compliance	Evidence that any lessons learnt from any safeguarding concerns have been embedded into the service.	Yes/No
Compliance	Supplier can demonstrate recruitment of staff is in line with Safer Recruitment guidelines and can provide sufficient evidence to demonstrate this and methods of staff retention.	Evidence submitted
Compliance	Supplier can demonstrate knowledge of the national Prevent duty as part of the statutory guidance issued under Section 29 of the Counter Terrorism and Security Act 2015. As a minimum it is recommended that the Supplier's Safeguarding Lead complete the free Home Office e-learning on Prevent <a href="http://www.elearning.prevent.homeoffice.gov.uk">www.elearning.prevent.homeoffice.gov.uk</a> and share both the learning and the Prevent duty guidance with appropriate staff which can be found at <a href="http://www.gov.uk/government/publications/prevent-duty-guidance">www.gov.uk/government/publications/prevent-duty-guidance</a>	Yes/No
<b>A2) The supplier has a workforce that is appropriately trained in order to meet the needs of service users</b>		
<b>Measure(s)</b>		<b>Target/Tolerance/Action</b>
<b>Type</b>	<b>Description</b>	
Compliance	Up to date workforce training plan is shared with the Contract Manager (Annually).	Yes/No
Compliance	Supplier can demonstrate delivery against the workforce training plan.	Yes/No
Compliance	Evidence that all staff receive appropriate supervision/appraisal.	Yes/No
Compliance	Evidence that all staff are appropriately skilled, preferably qualified to NVQ Level 2 in Health and Social Care or above (or equivalent), and competent to provide safe care to CWD who have identified complex care needs.	Evidence submitted

Compliance	Each Care Worker shall be observed providing care and support to the CWD with whom they regularly work to review (at least annually).	Target: 100%
<b>A3) The supplier manages staff absences/vacancies appropriately, ensuring that any disruption to the service is kept to a minimum</b>		
<b>Measure(s)</b>		<b>Target/Tolerance/Action</b>
<b>Type</b>	<b>Description</b>	
Compliance	Total number of days lost due to sickness (YTD cumulative).	Lower is better
Compliance	% of contract time lost due to sickness (YTD cumulative).	Lower is better Tolerance: 5%
Compliance	Evidence provided of actions to mitigate impact of staff sickness absence/ vacancies.	Yes/No
<b>A4) The supplier actively identifies risks and ensures these are mitigated</b>		
<b>Measure(s)</b>		<b>Target/Tolerance/Action</b>
<b>Type</b>	<b>Description</b>	
Compliance	The supplier demonstrates compliance in line with the Supplier Self-declaration Contract Assurance form (Annually).	Yes/No
Compliance	Risks are reported upon by exception.	Yes/No
Compliance	Regulatory body inspection reports are shared (where applicable).	Yes/No
Compliance	Any changes in regulatory ratings are notified to the Customer as soon as possible.	Yes/No
Compliance	The Supplier has a documented policy/procedure for the safe transport of children, including staff and vehicle checks where own transport is used.	Yes/No
<b>A5) The supplier complies with open book accounting principles and provides a full breakdown of how funding is being utilised to deliver the service</b>		
<b>Measure(s)</b>		<b>Target/Tolerance/Action</b>
<b>Type</b>	<b>Description</b>	
Compliance	Actual spend is in line with the agreed budget specified in the IPA.	Yes/No
Compliance	Any under/overspends are identified and any actions in relation to under/overspends are agreed through Contract Management.	Yes/No
<b>B. The objectives of the service are being met as set out in the agreed Service Specification</b>		
<b>Measure(s)</b>		<b>Target/Tolerance/Action</b>
<b>Type</b>	<b>Description</b>	
Compliance	The timescale between the initial contact and the care package starting shall not exceed two weeks unless previously agreed otherwise.	Target: 100%
Compliance	Service visits are recorded and on time.	Target: 100% (3% tolerance)
Compliance	Service visits are completed to full duration.	Target: 100% (3% tolerance)
Compliance	Late (45 minutes) or missed visits are logged.	Target: 100%
Compliance	If the Supplier is unable to deliver the service, the family is contacted at least 24 hours before the specified due time	Target: 100%

Impact	Evidence and impact of reviews undertaken and attended.	Evidence submitted
Impact	The Supplier uses the Customer's Valuing SEND toolkit (or has a model in place) to measure progression and how outcomes have been achieved.	Evidence submitted
Impact	Supplier can demonstrate how CWD are supported to maximise independence and encouraged to do things for themselves	Evidence submitted
Impact	Supplier will work on exit and transition planning with the family, social worker and any alternative provision where appropriate.	Evidence submitted
<b>C. Service user feedback, outcomes and impact are effectively measured, reported and acted upon.</b>		
<b>C1) The supplier regularly collates and acts upon stakeholder feedback</b>		
<b>Measure(s)</b>		<b>Target/Tolerance/ Action</b>
<b>Type</b>	<b>Description</b>	
Quality	Evidence of 'You Said, We Did' examples that demonstrate: <ul style="list-style-type: none"> <li>• what matters to CYP and families has been listened to and acted upon.</li> <li>• positive impact of actions taken and next steps.</li> </ul>	Yes/No
<b>C2) The deals with any issues promptly and ensures these are acted upon</b>		
<b>Measure(s)</b>		<b>Target/Tolerance/ Action</b>
<b>Type</b>	<b>Description</b>	
Quality	Total number of formal complaints received: <ul style="list-style-type: none"> <li>• children / young people</li> <li>• staff</li> <li>• stakeholders.</li> </ul>	Target: 0 Tolerance: 0
Quality	Number of formal complaints upheld (including partially).	Target: 0 Tolerance: 0
Quality	% of formal complaints resolved in in line with the Supplier's Complaints Policy.	Target: 100% Tolerance: 10%
Quality	Evidence that learning from complaints is acted upon and improvements made.	Yes/No
Compliant	The complaints procedure is made available in an accessible format for CWD and they are supported to understand how to make a complaint.	Yes/No
<b>C3) The supplier completes an annual review of contract performance</b>		
<b>Measure(s)</b>		<b>Target/Tolerance/ Action</b>
<b>Type</b>	<b>Description</b>	
Impact	Annual report of the year's performance and stakeholder feedback completed, where appropriate, in line with Customer's Annual Report Template and shared with Contract Manager.	Yes/No
<b>C4) The Suppliers demonstrate that outcomes for children and young people are being achieved as set out in the agreed Service Specification. This section will be completed on an individual basis prior to the CMM.</b>		
<b>Measure(s)</b>		<b>Target/Tolerance/ Action</b>
<b>Type</b>	<b>Description</b>	
Impact		

**SCHEDULE 4  
KEY PERSONNEL**

**PART 1**

**Customer's Key Personnel**

<b>Name</b>	<b>Job Title</b>	<b>Responsibilities</b>
[TBC]		
[TBC]		

**PART 2**

**Supplier's Key Personnel**

<b>Name</b>	<b>Job Title</b>	<b>Responsibilities</b>
[TBC]	Supplier's Representative	
[TBC]	Supplier's Contract Manager	

## SCHEDULE 5

### DISASTER RECOVERY AND BUSINESS CONTINUITY PLAN

#### 1. CONTENT OF THE DISASTER RECOVERY AND BUSINESS CONTINUITY PLAN

1.1 The Supplier shall ensure that the Disaster Recovery and Business Continuity Plan includes:-

- (a) details of how the Supplier shall implement the Disaster Recovery and Business Continuity Plan;
- (b) details of how the Disaster Recovery and Business Continuity Plan inter-operates with any other disaster recovery and business continuity plan of the Customer (as notified by the Customer from time to time);
- (c) details as to how the invocation of any element of the Disaster Recovery and Business Continuity Plan may impact on the operation of the Services and a full analysis of the risks to the operation of the Services;
- (d) identification of all reasonably possible failures of or disruptions to the Services;
- (e) In respect of any software used in the Services, the back-up methodology, data verification procedures, hardware configuration details, network planning and invocation rules and procedures, data centre site audits, possible areas where system critical elements can be "dual sourced" so as to eliminate or minimise single points of failure and business continuity maintenance;
- (f) identification of all potential disaster recovery scenarios;
- (g) provision of appropriate levels of spares, maintenance equipment and test equipment;
- (h) responsibilities of the Sub-Contractors in the event of a Disaster;
- (i) KPIs that the Supplier shall have to comply with in the event of a Disaster; and
- (j) Customer obligations and dependencies.

1.2 The Supplier shall ensure that the Disaster Recovery and Business Continuity Plan identifies and details the processes and activities which it shall implement upon the occurrence of business-critical emergency situations. In particular, the Disaster Recovery and Business Continuity Plan shall include:

- (a) identification of Service priorities in the event of a Disaster;
- (b) risk analysis of key business risks (including failure scenarios, assessments, identification of single points of failure and ways to manage such failure and business impact analysis). Key business risks could include the loss of Staff, Key Personnel, Premises, key resources and key Sub-Contractors and/or suppliers;
- (c) details of business processes, procedures (including procedures for activation, escalation and recovery) and responsibilities;
- (d) a communications strategy for Staff, the media and key internal and external



stakeholders;

- (e) identification of key internal and external interdependencies;
- (f) identification of essential resources and Equipment needed during a Disaster;
- (g) a contact list that contains details of all Staff, Sub-Contractors and anyone to be relied upon by the Supplier to provide the Services; and
- (h) procedures for reverting to normal Service delivery.

**2. REVIEW AND AMENDMENT OF THE DISASTER RECOVERY AND BUSINESS CONTINUITY PLAN**

The Disaster Recovery and Business Continuity Plan shall be reviewed by both Parties where requested by either Party.

**SCHEDULE 6**  
**EXIT STRATEGY REQUIREMENTS**

1. Without prejudice to the provisions set out in the Contract (including Section H) upon notification of this Contract terminating, howsoever caused, or twelve (12) Months prior to the expiry of this Contract, the Parties shall meet to discuss a timetable for drawing up and shall draw up a handover plan covering the performance of the obligations of both Parties during the handover period. In any event, the Supplier shall, at no cost to the Customer, provide such cooperation, information and assistance to the Customer as may be reasonably required by the Customer to transfer and to enable a smooth migration of the Services being supplied by the Supplier including enabling the Customer and/or a Replacement Provider to perform services the same as or substantially the same as the Services in a similar manner as required under this Contract.
2. The Supplier and the Customer shall use all reasonable endeavours to ensure all appropriate arrangements are put in place to give effect to the transition of the Services to the Customer or a Replacement Provider.
3. The Supplier agrees that if it is requested by the Customer it shall use all reasonable endeavours to assign or novate any then existing contracts which the Supplier has entered into with third parties in connection with the provision of the Services including the leasing of any equipment used in the delivery of the Services to the Customer or to any Replacement Provider.
4. The Supplier shall not in the twelve (12) Month period prior to the expiry of this Contract (or such period remaining where a notice of termination has been issued) (the "Applicable Period") in relation to the Services except with the prior written consent of the Customer, such consent not to be unreasonably withheld or delayed:
  - (a) incur any expenditure or enter into any commitments other than in the ordinary course of trading;
  - (b) dispose of or agree to dispose of or grant any option in respect of any part of any land, buildings, equipment, spare parts, tools books, records, revenues, Intellectual Property Rights (excluding those assets which the Customer is the full legal and beneficial owner of) other than stock in the ordinary course of trading;
  - (c) materially vary the terms of any contracts with any provider of goods and/or services already entered into;
  - (d) enter into any long-term (being twelve (12) Months or longer), unusual or abnormal contract or commitment;
  - (e) enter into any leasing, hire purchase, contract hire or other agreements or arrangements for payment on deferred terms;
  - (f) grant or issue or agree to grant or issue any mortgages, charges, debentures or other securities for money or redeem or agree to redeem any such securities or give or agree to give any guarantees or indemnities or, without prejudice to the foregoing generality, create or permit to subsist any other encumbrance over all or any of its present or future incomes or assets affecting this Contract and/or the provision of the Services;

- (g) permit any of its insurances to lapse or do anything which would make any policy of insurance void or voidable;
- (h) in any way depart from the ordinary course of its day to day business either as regards the nature or scope or the manner of conducting the same;
- (i) pay any fees or commissions to any persons other than fees payable on arm's length terms to third parties who have rendered bona fide service or advice required in the ordinary course of business;
- (j) release, waive or modify any warranty or guarantee given by any supplier of goods or services;
- (k) cause or permit any item comprised in the records relating to the Services to be removed or destroyed or any programs or data held on the computer systems of the Supplier and relating to the Services to be removed or deleted except for the deletion of Personal Data where required to ensure compliance with the DPA or for the efficient running of the computer system in question after satisfactory back-up copies have been made and securely stored off-site;
- (l) terminate the employment of any of the Relevant Employees for any reason whatsoever without first obtaining the consent of the Customer to such termination save where, in the reasonable opinion of the Supplier, termination is justified for cause due to the actions of any such of the Relevant Employees;
- (m) alter or change in any way any of the terms and conditions of employment of any of the Relevant Employees whether with or without the consent of the Relevant Employees other than for wage or salary awards which are in line with those offered generally for similar individuals within the Supplier's workforce or as is required by law (for the avoidance of doubt, the Supplier shall provide upon request by the Customer evidence that any such wage or salary award is in line with those offered generally for similar individuals);
- (n) relocate or assign to new duties any of the Relevant Employees, or assign to the provision of the Services any employee not so assigned at the commencement of the Applicable Period, or increase to any significant degree the proportion of working time spent on the Services by any such employee, without the prior written consent of the Customer, such consent not to be unreasonably withheld or delayed; or
- (o) make any other alterations to the structure or composition of the Relevant Employees which are intended to or which may preclude the application of the Regulations upon the resumption of service by the Customer or Replacement Provider.