

2019 Japan PF Energy Infra

PROVISION FOR AN REPORT ON IDENTIFYING BARRIERS TO DECENTRALISED ENERGY INFRASTRUCTURE IN SUB-SAHARAN AFRICA

THIS REQUEST FOR QUOTES (RFQ) CONSISTS OF:

- ATTACHMENT 1 – RFQ COVER AND INSTRUCTIONS
- ATTACHMENT 2 – STATEMENT OF SERVICE REQUIREMENTS
- ATTACHMENT 3 – ASSESSMENT SCORE
- ATTACHMENT 4 – TERMS OF CONTRACT FOR THE PROVISION OF SERVICES
- ATTACHMENT 5 – CERTIFICATE OF BONA FIDE TENDERING
- ATTACHMENT 6 – DECLARATION BY TENDERER
- ANNEX 4: PROCESSING DATA SCHEDULE (Part of the attachment 4)
- ANNEX 5: CODE OF CONDUCT

ATTACHMENT 1 – RFQ COVER AND INSTRUCTIONS

1. The Foreign and Commonwealth Office (FCO) as represented by British Embassy Tokyo, is looking for a supplier to produce a report on the barriers to investment in decentralised energy infrastructure (such as mini-grids) in Sub-Saharan Africa. Further details on the requirement are set out in the attached Specification/Terms of Reference.
2. Please include in your reply a nominated point of contact with telephone, e-mail and postal address details.
3. Estimated contract duration is around 2 months **from 24 June 2019 to 30 August 2019**.
4. A Purchase Order number for this requirement will be provided.
5. Your quote should remain valid for 90 days from the required date of receipt and all costs should be stated in JPY or GBP. Your quotation should be inclusive all costs.
6. You should submit the quotes before or on **14 June 2019 (17.00 Japan time)**. Late bids will not be accepted.
7. Send your response to **Michelle Appeah michelle.appeah@fco.gov.uk** (cc **philip.paulley@fco.gov.uk**) and use the title: **2019 Japan PF Energy Infra**.
8. If you have any questions, please contact **Michelle Appeah michelle.appeah@fco.gov.uk** (cc **philip.paulley@fco.gov.uk**)
9. Answers will be shared with all bidders. Use the title: **2019 Japan PF Energy Infra**.
10. Should your quotation be accepted, this request, the attached Specification, and your response will form a legally binding contract between you and the FCO under the terms and conditions set out in the associated FCO Contract.
11. This Request for a Quote does not imply any commitment on the part of the FCO.
12. From 2nd April 2014 the Government is introducing its new Government Security Classifications (GSC) classification scheme to replace the current Government Protective Marking Scheme (GPMS). A key aspect of this is the reduction in the number of security classifications used. All potential suppliers should make themselves aware of the changes as it may impact on this Requirement. The following link to the Gov.uk website provides information on the new GSC - <https://www.gov.uk/government/publications/government-security-classifications>

ATTACHMENT 2 – STATEMENT OF SERVICE REQUIREMENTS

BACKGROUND

With TICAD to be held in Yokohama in August 2019, there is a chance for greater discussions on the electrification of rural communities in Sub-Saharan Africa. While there have been some solar PV mini-grid projects facilitated by the Japanese government (JICA) and the British government (DFID) separately, there is scope for more projects where both governments and companies can come together with a third country government and private companies (public-private partnerships). We would like to commission a study for up to £16K that will help facilitate UK-Japan investment in the energy infrastructure of a third country.

OUTPUTS

Output A: Produce Barrier Report **by mid-August.**

- i. The implementer will produce a report on the barriers to investment in decentralised energy infrastructure (such as mini-grids) in Sub-Saharan Africa. The research document's target audience will be Japanese, British and third country government, and be used to promote partnerships between the three and help British and Japanese companies enter into third country market.
- ii. The report should include the following:
 - a) A list of potential challenges, including risks, regulation and other barriers preventing investment in decentralised energy infrastructure in the third country by general private companies and governments
 - b) Recommendations on general routes to market in third country for British and Japanese companies with niche technology, including required documentation for procurement, identifying possible partners/forming consortium and engagement strategy with new and existing players already in the market. Recommendations for future UK / Japanese funding as well as technical assistance should be included. Areas for future research and next steps to drive this agenda forward should also be proposed.
 - c) High quality visual aids and presentation in the final report, including photos, engaging straplines, information boxes, infographics, and so forth.

Output B: Identify UK-Japan partnerships **by mid-August.**

- i. The implementer will identify approximately 5 UK and 5 Japanese companies who would like to invest in decentralised energy infrastructure in a third country in Sub-Saharan.

CONDITIONS

- i. The report should be completed by mid-August; the implementer will be expected to present findings at the TICAD side event late August, location TBC. The timeline for implementing the project is open for discussion.
- ii. The research should be underpinned by sound research as well as by conducting interviews with Japanese, UK and third country players. British Embassy Tokyo will help supply contacts to the implementer.
- iii. The implementer could co-brand the report but the British Embassy Tokyo will have the ownership of the final product. The report will be read by British Embassy Tokyo and relevant UK departments, with some sharing with external stakeholders, such as UK and Japanese companies, at our own discretion.

OUTCOME

Output reports would feed directly into the Customer's business engagement strategy and trade policy development. This work is crucial to ensure UK companies take full advantage of the opportunities created by the UK's future business partnership with Japan, based third country collaboration. We will use the report and key partnerships identified to link up with TICAD to target key business wins.

WAYS OF WORKING

Head Energy & Infrastructure, DIT Japan, BE Tokyo to project manage. Supplier should engage cross-Embassy project team directly.

REQUIRED DOCUMENTS FOR BIDDING

1. Qualification Envelope (see the next page, Evaluation Criteria 1)
2. Project Proposal that explains below and shows supplier satisfies the requirement (see Evaluation Criteria 2):
 - i. About the company or the expert (if a free agent)
 - ii. Outline of your approach to delivering the objective above.
 - iii. Delivery Plan including timelines, outline of the report, and methodology.
 - iv. People (About the project team, all expert CVs who will engage with the project)
 - v. Cost Estimate (See Attachment 3 – ASSESSMENT SCORE)

ATTACHMENT 3 – ASSESSMENT SCORE

1. The tender process will be conducted to ensure that the tenders are evaluated fairly to ascertain the most economically advantageous tender from the point of view of the purchasing Authority.
2. Account will be taken of any factor emerging from the tendering process which impacts a Tenderer’s suitability and relates to information previously provided by the Tenderer as part of the pre-qualification process, in particular any additional information which comes to light in respect of its financial standing.
3. Your response to our requirement (as detailed in Attachment 2 will be evaluated under the following headings based on a 60:40 split between the quality aspects to your tender and the pricing thereof: **Responses to all of the questions below should be submitted to michelle.appeah@fco.gov.uk Bids not submitted to michelle.appeah@fco.gov.uk will not be considered.**
4. No importance should be attached to the order in which these criteria are listed. Any tender that is not compliant with the Conditions of Contract may be rejected.
5. Bidders must be explicit and comprehensive in their responses to this RFQ. Bidders are advised neither to make assumptions about their past or current supplier relationships with the Authority nor to assume that such prior business relationships will be taken into account in the evaluation procedure.
6. The Authority will evaluate each response in line with the published scoring methodology and reserves the right to exclude and bid that scores either:
 - a) a “Fail” against any of the qualification questions;
 - b) an “Unacceptable / Non-compliant” for any question; or
 - c) scores two (2) or more “Serious Reservations”

All tenders will be scored as above in accordance with the marking system set out below:

Score Key Assessment	Score	Interpretation
Excellent	5	Satisfies the requirement and demonstrates exceptional understanding and evidence in their ability/proposed methodology to deliver a solution for the required supplies/services. Response identifies factors that will offer potential added value, with evidence to support the response. Tenderer has fully accepted FCO standard terms and conditions of contact.
Good	4	Satisfies the requirement with minor additional benefits. Above average demonstration by the Tenderer of the understanding and evidence in their ability/proposed methodology to deliver a solution for the required supplies/services. Response identifies factors that will offer potential added value, with evidence to support the response.
Acceptable	3	Satisfies the requirement. Demonstration by the Tenderer of the understanding and evidence in their ability/proposed methodology to deliver a solution for the required supplies/services.
Minor Reservations	2	Satisfies the requirement with minor reservations. Some minor reservations of the Tenderer's understanding and proposed methodology, with limited evidence to support the response. Tenderer has accepted FCO standard terms and conditions of contract.
Serious Reservations/ Non-compliant	1	Satisfies the requirement with major reservations. Major reservations of the Tenderer's understanding and proposed methodology, with little or no evidence to support the response.
Unacceptable/ Non-compliant	0	Does not meet the requirement. Does not comply and/or insufficient information provided to demonstrate that the Tenderer has the understanding or suitable methodology, with little or no evidence to support the response. Tenderer has rejected FCO standard terms and conditions of contract.
Price / Commercial		Score awarded on inverse percentage difference from most financially attractive offer to the Authority (5 = most financially attractive to Authority).

EVALUATION CRITERIA

Qualification Questions		Criteria Weighting
Satisfactory completion of all aspects of Qualification Envelope. This includes: 1.1 Acceptance of FCO terms and conditions as detailed in Attachment 4; 1.2 Satisfactory demonstration of financial health by submitting your audited financial statement for the last 2 years. The FCO reserves the right to seek and act upon independent legal, financial or market advice to corroborate information provided or to assist in its evaluation. 1.3 Completion of Attachment 5 – Certificate of Bona Fide Tendering 1.4 Completion of Attachment 6 – Declaration by Tenderer		Mandatory
Evaluation Criteria – Quality/Technical (Questions 2.1 – 2.4)		Criteria Weighting
		Evaluation Methodology
2.1 Experience/Expertise - How you understand the work and are able to add value to the required service. - Examples of related work you delivered in the past and its result/impact.	30	0 – 5 score
2.2 Delivery plan - How you undertake the work within the given time without causing the delay. - Risk Management.	15	0 – 5 score
2.3 Quality of the Overall proposal - How you plan to collate ideas and present effectively.	10	0 – 5 score
2.4 Language Skills - English to engage with British businesses/British Embassy and report writing.	5	0 – 5 score
TOTAL – Quality/Technical		60
		Max – 300 score
Evaluation Criteria – Pricing & Commercial (Questions 3.1 – 3.2)		Criteria Weighting
		Evaluation Methodology
3.1 Cost Breakdown - [day rate x the number of experts and working days]	40	Max – 200 score
3.2 Direct and indirect expenses - Please separately show the overhead in the cost estimate to undertake the work		
GRAND TOTAL EVALUATION CRITERIA		100
		Max – 500 score

PRICING & COMMERCIAL QUESTIONS SCORING

- i. Marks will be awarded as an inverse percentage. The most financially attractive offer submitted to the Authority will score 200. Scores for bids other than the most financially attractive bid will be awarded on an inverse percentage difference from the most financially attractive offer:
- ii. Example: Bid A: \$60,000 = 200 pts (Maximum Score)
Bid B: \$70,000 = 171 pts ($60,000/70,000 \times 200$ pts)

ATTACHMENT 4 - TERMS OF CONTRACT FOR THE PROVISION OF SERVICES

- 1 Interpretation
- 2 Basis of Agreement
- 3 Supply of Services
- 4 Term
- 5 Delivery – **UNUSED**
- 6 Property and Guarantee of Title – **UNUSED**
- 7 Charges, Payment and Recovery of Sums Due
- 8 Premises and Equipment
- 9 Staff and Key Personnel
- 10 Assignment and Sub-Contracting
- 11 Intellectual Property Rights
- 12 Governance and Records
- 13 Confidentiality
- 14 Data Protection
- 15 Liability
- 16 Force Majeure
- 17 Termination
- 18 Compliance
- 19 Prevention of Fraud and Corruption
- 20 Dispute Resolution
- 21 Improving visibility of subcontract opportunities available to SMEs and VCSEs in the supply chain - **UNUSED**
- 22 Management Charges and Information -**UNUSED**
- 23 General
- 24 Notices
- 25 Governing Law and Jurisdiction

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1 Interpretation

1.1 In these terms and conditions:

"Agreement"	means the contract between (i) the Customer acting as part of the Crown and (ii) the Supplier constituted by the Supplier's countersignature of the Award Letter and includes the Award Letter and Annexes;
"Authority"	means the Secretary of State for Foreign and Commonwealth Affairs and includes the Authority's Representative. In this Contract, the Authority is acting as part of the Crown.
"Authority's Representative"	means the individual authorised to act on behalf of the Authority for the purposes of the Contract.
"Award Letter"	means the letter from the Customer to the Supplier printed above these terms and conditions;
"Central Government Body"	means a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics: <ul style="list-style-type: none">(a) Government Department;(b) Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal);(c) Non-Ministerial Department; or(d) Executive Agency;
"Charges"	means the charges specified in the Award Letter;
"Code of Conduct"	means the Agreement at Annex 5 to this Contract
"Confidential Information"	means all information, whether written or oral (however recorded), provided by the disclosing Party to the receiving Party and which (i) is known by the receiving Party to be confidential; (ii) is marked as or stated to be confidential; or (iii) ought reasonably to be considered by the receiving Party to be confidential;
"Contract Period"	Is the term of the contract from the Commencement Date till the expiry date
"Contracts Finder"	Is the Government's publishing portal for public sector procurement opportunities
"Controller, Processor, Data Subject, Personal Data, Personal Data Breach, Data Protection Officer"	take the meaning given in the GDPR;
"Credit Transfer"	is a payment instruction from the Authority to its bank or payment service provider to transfer an amount of money to another account.
"Customer"	means the person named as Customer in the Award Letter who is the "Authorities Representative";
"Data Protection Legislation"	means <ul style="list-style-type: none">(i) the GDPR, the LED and any applicable national implementing Laws as amended from time to time(ii) the DPA 2018 [subject to Royal Assent] to the extent that it relates to processing of personal data and privacy;(iii) all applicable Law about the processing of personal data and privacy;
"Data Protection Impact Assessment"	means an assessment by the Controller of the impact of the envisaged processing on the protection of Personal Data;
"Data Loss Event"	means any event that results, or may result, in unauthorised access to Personal Data held by the Contractor under this Agreement, and/or actual or potential loss and/or destruction of Personal Data in breach of this Agreement, including any Personal Data Breach;

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"Data Subject Request"	means a request made by, or on behalf of, a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation to access their Personal Data;
"Date of Delivery"	means that date by which the Goods must be Delivered to the Customer, as specified in the Award Letter.
"Deliver"	means hand over the Goods to the Customer at the address and on the date specified in the Award Letter, which shall include unloading and any other specific arrangements agreed in accordance with Condition 5 (Delivery). Delivered and Delivery shall be construed accordingly.
"DPA 2018"	means the Data Protection Act 2018;
"EIR"	means Environmental Information Regulations 2004;
"Expiry Date"	means the date for expiry of the Agreement as set out in the Award Letter;
"FOIA"	means the Freedom of Information Act 2000;
"GDPR"	means the General Data Protection Regulation (<i>Regulation (EU) 2016/679</i>)
"Goods"	means the goods to be supplied by the Supplier to the Customer under the Agreement;
"GPC"	means the Government Procurement credit card used for purchasing and/or making payment;
"Information"	has the meaning given under section 84 of the FOIA;
"Intellectual Property Rights"	means patents, trademarks, service marks, copyright, moral rights, rights in a design, know-how, confidential information and all or any other intellectual or industrial property rights whether or not registered or capable of registration and whether subsisting in the United Kingdom or any other part of the world together with all or any goodwill relating or attached thereto;
"Joint Controllers"	where two or more Controllers jointly determine the purposes and means of processing
"Key Personnel"	means any persons specified as such in the Award Letter or otherwise notified as such by the Customer to the Supplier in writing;
"LED"	means Law Enforcement Directive (<i>Directive (EU) 2016/680</i>)
"Law"	means any law, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of Section 2 of the European Communities Act 1972, regulation, order, regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements with which the Contractor is bound to comply;
"Notice"	means information from either Party to the other Party about a particular action that has been taken;
"Party"	means the Supplier or the Customer (as appropriate) and "Parties" shall mean both of them;
"Personal Data"	means personal data (as defined in the DPA) which is processed by the Supplier or any Staff on behalf of the Customer pursuant to or in connection with this Agreement;
"Processor Personnel"	means all directors, officers, employees, agents, consultants and contractors of the Processor and/or of any Sub-Processor engaged in the performance of its obligations under this Agreement
"Protective Measures"	appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it including those outlined in Schedule (Security).
"Purchase Order"	means the form, on the other side of these Conditions or attached separately, which the Authority sends to the Contractor setting out the Authority's specific requirements, the contract terms which apply to the Goods and/or Services and any documents referred to therein;
"Purchase Order Number"	means the Customer's unique number relating to the Contract;
"Regulatory Body"	means any organisation/authority that is authorised to set directions for or monitor standards set out in law;

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"Request for Information"	has the meaning set out in the FOIA or the Environmental Information Regulations 2004 as relevant (where the meaning set out for the term "request" shall apply);
"SME"	means an enterprise falling within the category of micro, small and medium-sized enterprises defined by the Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises;
"Services"	means the services to be supplied by the Supplier to the Customer under the Agreement;
"Specification"	means the specification for the Services or Services (including as to quantity, description and quality) as specified in the Award Letter;
"Staff"	means all directors, officers, employees, agents, consultants and contractors of the Supplier and/or of any sub-contractor of the Supplier engaged in the performance of the Supplier's obligations under the Agreement;
"Staff Vetting Procedures"	means vetting procedures that accord with good industry practice or, where requested by the Customer, the Customer's procedures for the vetting of personnel as provided to the Supplier from time to time;
"Sub-processor"	means any third Party appointed to process Personal Data on behalf of that Processor related to this Agreement;
"Supplier"	means the person named as Supplier in the Award Letter;
"Term"	means the period from the start date of the Agreement set out in the Award Letter to the Expiry Date as such period may be extended in accordance with Condition 4 (Term) or terminated in accordance with the terms and conditions of the Agreement;
"VAT"	means value added tax in accordance with the provisions of the Value Added Tax Act 1994;
"VCSE"	means a non-governmental organisation that is value-driven and which principally reinvests its surpluses to further social, environmental or cultural objectives.
"Working Day"	means a day (other than a Saturday or Sunday) on which banks are open for business in the City of London.

1.2 In these terms and conditions, unless the context otherwise requires:

- 1.2.1 references to numbered Conditions are references to the relevant Condition in these terms and conditions;
- 1.2.2 any obligation on any Party not to do or omit to do anything shall include an obligation not to allow that thing to be done or omitted to be done;
- 1.2.3 the headings to the Conditions of these terms and conditions are for information only and do not affect the interpretation of the Agreement;
- 1.2.4 any reference to an enactment includes reference to that enactment as amended or replaced from time to time and to any subordinate legislation or byelaw made under that enactment; and
- 1.2.5 the word 'including' shall be understood as meaning 'including without limitation'.

2 Basis of Agreement

- 2.1 The Award Letter constitutes an offer by the Customer to purchase the Services subject to and in accordance with the terms and conditions of the Agreement.
- 2.2 The offer comprised in the Award Letter shall be deemed to be accepted by the Supplier on receipt by the Customer of a copy of the Award Letter countersigned by the Supplier within 7 days of the date of the Award Letter.

3 Supply of Services

- 3.1 In consideration of the Customer's agreement to pay the Charges, the Supplier shall supply the Services to the Customer for the Term subject to and in accordance with the terms and conditions of the Agreement.
- 3.2 In supplying the Services, the Supplier shall:
 - 3.2.1 co-operate with the Customer in all matters relating to the Services and comply with all the Customer's instructions;
 - 3.2.2 perform the Services with all reasonable care, skill and diligence in accordance with good industry practice in the Supplier's industry, profession or trade;
 - 3.2.3 use Staff who are suitably skilled and experienced to perform tasks assigned to them, and in sufficient number to ensure that the Supplier's obligations are fulfilled in accordance with the Agreement;

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- 3.2.4 ensure that the Services shall conform with all descriptions and specifications set out in the Specification;
- 3.2.5 comply with all applicable laws; and
- 3.2.6 provide all equipment, tools and vehicles and other items as are required to provide the Services.

3.3 The Customer may by written notice to the Supplier at any time request a variation to the scope of the Services. In the event that the Supplier agrees to any variation to the scope of the Services, the Charges shall be subject to fair and reasonable adjustment to be agreed in writing between the Customer and the Supplier.

4 Term

- 4.1 The Agreement shall take effect on the date specified in Award Letter and shall expire on the Expiry Date, unless it is otherwise extended in accordance with Condition 4 (Term) or terminated in accordance with the terms and conditions of the Agreement.
- 4.2 The Customer may extend the Agreement for a period of up to 6 months by giving not less than 10 Working Days' notice in writing to the Supplier prior to the Expiry Date. The terms and conditions of the Agreement shall apply throughout any such extended period.

5 Delivery - Unused

6 Property and Guarantee of Title - Unused

7 Charges, Payment and Recovery of Sums Due

- 7.1 The Charges for the Services shall be as set out in the Award Letter and shall be the full and exclusive remuneration of the Supplier in respect of the supply of the Services. Unless otherwise agreed in writing by the Customer, the Charges shall include every cost and expense of the Supplier directly or indirectly incurred in connection with the performance of the Services.
- 7.2 The Contractor shall add VAT to the Agreement Price at the prevailing rate as applicable
- 7.3 The Authority may elect to pay for the services by invoice via credit transfer, Government Procurement Card or such other method as the Parties may agree. To enable the Customer to verify the accuracy of the charges, the Supplier shall provide supportive information as the Customer requires, including a breakdown of the Services supplied.

If the Authority elects to pay against an invoice, The Authority shall pay the Contractor within 30 days of receipt of an undisputed invoice by payment direct to the Contractors bank account as a credit transfer.
- 7.4 In consideration of the supply of the Services by the Supplier, the Customer shall pay the Supplier the charges no later than 30 days after verifying that the charge is valid and undisputed. If paying by invoice, a valid Purchase Order Number is required.
- 7.5 If the Customer fails to consider and verify a charge in a timely fashion the charge shall be regarded as valid and undisputed for the purpose of Condition 7.4 (Charges, Payment and Recovery of Sums Due) after a reasonable time has passed
- 7.6 The Customer may, without prejudice to any other rights and remedies under the Agreement, withhold or reduce payments in the event of unsatisfactory performance.
- 7.7 If there is a dispute between the Parties as to the amount charged, the Customer shall pay the undisputed amount. The Supplier shall not suspend the supply of the Services unless the Supplier is entitled to terminate the Agreement for a failure to pay undisputed sums in accordance with Condition 17 (Termination). Any disputed amounts shall be resolved through the dispute resolution procedure detailed in Condition 20 (Dispute Resolution).
- 7.8 If a payment of an undisputed amount is not made by the Customer by the due date, then the Customer shall pay the Supplier interest at the interest rate specified in the Late Payment of Commercial Debts (Interest) Act 1998.
- 7.9 Where the Supplier enters into a sub-contract, the Supplier shall include in that sub-contract:
 - 7.9.1 provisions having the same effects as Conditions 7.3 to 7.7 (Charges, Payment and Recovery of Sums Due) of this Agreement; and
 - 7.9.2 a provision requiring the counterparty to that sub-contract to include in any sub-contract which it awards provisions having the same effect as Conditions 7.3 to 7.8 (Charges, Payment and Recovery of Sums Due) of this Agreement.
 - 7.9.3 In this Condition 7.8 (Charges, Payment and Recovery of Sums Due), "sub-contract" means a contract between two or more suppliers, at any stage of remoteness from the Authority in a subcontracting chain, made wholly or substantially for the purpose of performing (or contributing to the performance of) the whole or any part of this Agreement.
- 7.10 If any sum of money is recoverable from or payable by the Supplier under the Agreement (including any sum which the Supplier is liable to pay to the Customer in respect of any breach of the Agreement), that sum may be deducted unilaterally by the Customer from any sum then due, or which may come due, to the Supplier under the Agreement or under any other agreement or contract with the Customer. The Supplier shall not be entitled to assert any credit, set-off or counterclaim against the Customer in order to justify withholding payment of any such amount in whole or in part.

8 Premises and equipment

- 8.1 If necessary, the Customer shall provide the Supplier with reasonable access at reasonable times to its premises for the purpose of supplying the Services. All equipment, tools and vehicles brought onto the Customer's premises by the Supplier or the Staff shall be at the Supplier's risk.
- 8.2 If the Supplier supplies all or any of the Services at or from the Customer's premises, on completion of the Services or termination or expiry of the Agreement (whichever is the earlier) the Supplier shall vacate the Customer's premises, remove the Supplier's plant, equipment and unused materials and all rubbish arising out of the provision of the Services and leave the Customer's

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premises in a clean, safe and tidy condition. The Supplier shall be solely responsible for making good any damage to the Customer's premises or any objects contained on the Customer's premises which is caused by the Supplier or any Staff, other than fair wear and tear.

- 8.3 If the Supplier supplies all or any of the Services at or from its premises or the premises of a third party, the Customer may, during normal business hours and on reasonable notice, inspect and examine the manner in which the relevant Services are supplied at or from the relevant premises.
- 8.4 The Customer shall be responsible for maintaining the security of its premises in accordance with its standard security requirements. While on the Customer's premises the Supplier shall, and shall procure that all Staff shall, comply with all the Customer's security requirements.
- 8.5 Where all or any of the Services are supplied from the Supplier's premises, the Supplier shall, at its own cost, comply with all security requirements specified by the Customer in writing.
- 8.6 Without prejudice to Condition 3 (Supply of Services), any equipment provided by the Customer for the purposes of the Agreement shall remain the property of the Customer and shall be used by the Supplier and the Staff only for the purpose of carrying out the Agreement. Such equipment shall be returned promptly to the Customer on expiry or termination of the Agreement.
- 8.7 The Supplier shall reimburse the Customer for any loss or damage to the equipment (other than deterioration resulting from normal and proper use) caused by the Supplier or any Staff. Equipment supplied by the Customer shall be deemed to be in a good condition when received by the Supplier or relevant Staff unless the Customer is notified otherwise in writing within 5 Working Days.

9 Staff and Key Personnel

- 9.1 If the Customer reasonably believes that any of the Staff are unsuitable to undertake work in respect of the Agreement, it may, by giving written notice to the Supplier:
- 9.1.1 refuse admission to the relevant person(s) to the Customer's premises;
 - 9.1.2 direct the Supplier to end the involvement in the provision of the Services of the relevant person(s); and/or
 - 9.1.3 require that the Supplier replace any person removed under this Condition with another suitably qualified person and procure that any security pass issued by the Customer to the person removed is surrendered, and the Supplier shall comply with any such notice.
- 9.2 The Supplier shall:
- 9.2.1 ensure that all Staff are vetted in accordance with the Staff Vetting Procedures;
 - 9.2.2 if requested, provide the Customer with a list of the names and addresses (and any other relevant information) of all persons who may require admission to the Customer's premises in connection with the Agreement; and
 - 9.2.3 procure that all Staff comply with any rules, regulations and requirements reasonably specified by the Customer.
- 9.3 Any 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, termination of employment or other extenuating circumstances.
- 9.4 Any replacements to the Key Personnel shall be subject to the prior written agreement of the Customer (not to be unreasonably withheld). Such replacements shall be of at least equal status or of equivalent experience and skills to the Key Personnel being replaced and be suitable for the responsibilities of that person in relation to the Services.

10 Assignment and sub-contracting

- 10.1 The Supplier shall not without the written consent of the Customer assign, sub-contract, novate or in any way dispose of the benefit and/ or the burden of the Agreement or any part of the Agreement. The Customer may, in the granting of such consent, provide for additional terms and conditions relating to such assignment, sub-contract, novation or disposal. The Supplier shall be responsible for the acts and omissions of its sub-contractors as though those acts and omissions were its own.
- 10.2 Where the Customer has consented to the placing of sub-contracts, the Supplier shall, at the request of the Customer, send copies of each sub-contract, to the Customer as soon as is reasonably practicable.
- 10.3 The Customer may assign, novate, or otherwise dispose of its rights and obligations under the Agreement without the consent of the Supplier provided that such assignment, novation or disposal shall not increase the burden of the Supplier's obligations under the Agreement.

11 Intellectual Property Rights

- 11.1 All intellectual property rights in any materials provided by the Customer to the Supplier for the purposes of this Agreement shall remain the property of the Customer but the Customer hereby grants the Supplier a royalty-free, non-exclusive and non-transferable licence to use such materials as required until termination or expiry of the Agreement for the sole purpose of enabling the Supplier to perform its obligations under the Agreement.
- 11.2 All intellectual property rights in any materials created or developed by the Supplier pursuant to the Agreement or arising as a result of the provision of the Services shall vest in the Supplier. If, and to the extent, that any intellectual property rights in such materials vest in the Customer by operation of law, the Customer hereby assigns to the Supplier by way of a present assignment of future rights that shall take place immediately on the coming into existence of any such intellectual property rights all its intellectual property rights in such materials (with full title guarantee and free from all third party rights).

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- 11.3 The Supplier hereby grants the Customer:
- 11.3.1 a perpetual, royalty-free, irrevocable, non-exclusive licence (with a right to sub-licence) to use all intellectual property rights in the materials created or developed pursuant to the Agreement and any intellectual property rights arising as a result of the provision of the Services; and
 - 11.3.2 a perpetual, royalty-free, irrevocable and non-exclusive licence (with a right to sub-licence) to use:
 - a) any intellectual property rights vested in or licensed to the Supplier on the date of the Agreement; and
 - b) any intellectual property rights created during the Term but which are neither created or developed pursuant to the Agreement nor arise as a result of the provision of the Services, including any modifications to or derivative versions of any such intellectual property rights, which the Customer reasonably requires in order to exercise its rights and take the benefit of the Agreement including the Services provided.
- 11.4 The Supplier shall indemnify, and keep indemnified, the Customer in full against all costs, expenses, damages and losses (whether direct or indirect), including any interest, penalties, and reasonable legal and other professional fees awarded against or incurred or paid by the Customer as a result of or in connection with any claim made against the Customer for actual or alleged infringement of a third party's intellectual property arising out of, or in connection with, the supply or use of the Services, to the extent that the claim is attributable to the acts or omission of the Supplier or any Staff.

12 Governance and Records

- 12.1 The Supplier shall:
- 12.1.1 attend progress meetings with the Customer at the frequency and times specified by the Customer and shall ensure that its representatives are suitably qualified to attend such meetings; and
 - 12.1.2 submit progress reports to the Customer at the times and in the format specified by the Customer.
- 12.2 The Supplier shall keep and maintain until 6 years after the end of the Agreement, or as long a period as may be agreed between the Parties, full and accurate records of the Agreement including 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 reasonably requested by the Customer in connection with the Agreement.

13 Confidentiality

- 13.1 The parties acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of this Contract is not Confidential Information. The Authority 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. Notwithstanding any other term of this Contract, the Contractor gives consent to the Authority 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.
- 13.2 The Authority may consult with the Contractor to inform its decision regarding any exemptions to FOIA but the Authority shall have the final decision in its absolute discretion.
- 13.3 The Contractor shall assist and cooperate with the Authority to enable the Authority to publish this Agreement.
- 13.4 Condition 13.2 (Confidentiality) shall not apply to the extent that:
- 13.4.1 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 EIR, save that the Contractor shall not disclose any information relating to the Contract or the Authority's activities without the prior written consent of the Authority, which shall not be unreasonably withheld.
 - 13.4.2 Such information was in the possession of the party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;
 - 13.4.3 Such information was obtained from a third party without obligation of confidentiality;
 - 13.4.4 Such information was already in the public domain at the time of disclosure otherwise than by a breach of this Contract;
or
 - 13.4.5 It is independently developed without access to the other party's Confidential Information.
- 13.5 The Contractor may only disclose the Authority's Confidential Information to the persons it has employed or engaged who are directly involved in the provision of the Services and who need to know the information, and shall ensure that such persons are aware of and shall comply with these obligations as to confidentiality.
- 13.6 The Contractor shall not, and shall procure that the persons it has employed or engaged do not, use any of the Authority's Confidential Information received otherwise than for the purposes of this Contract.
- 13.7 At the written request of the Authority, the Contractor shall procure that those persons it has employed or engaged identified in the Authority's notice sign a confidentiality undertaking prior to commencing any work in accordance with this Contract.
- 13.8 Nothing in this Contract shall prevent the Authority from disclosing the Contractor's Confidential Information:
- 13.8.1 To any Crown Body or Overseas Governments. All Crown Bodies receiving such Confidential Information shall be entitled to further disclose the Confidential Information to other Crown Bodies 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;

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- 13.8.2 To any consultant, contractor or other person engaged by the Authority or any person conducting a Gateway or other assurance review;
- 13.8.3 For the purpose of the examination and certification of the Authority's accounts; or
- 13.8.4 For any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Authority has used its resources.
- 13.9 The Authority shall use all reasonable endeavours to ensure that any Crown Body, employee, third party or sub-contractor to whom the Contractor's Confidential Information is disclosed pursuant to Condition 13.8 (Confidentiality) is made aware of the Authority's obligations of confidentiality.
- 13.10 Nothing in this Condition 13 (Confidentiality) 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.
- 13.11 In the event that the Contractor fails to comply with this Condition 13 (Confidentiality), the Authority reserves the right to terminate the Contract by notice in writing with immediate effect.
- 13.12 The provisions under this Condition 13 (Confidentiality) are without prejudice to the application of the Official Secrets Acts 1911 to 1989 to any Confidential Information.

14 DATA PROTECTION

- 14.1 The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor unless otherwise specified in Annex 4.2 to the Contract (Joint Controller Agreement). The only processing that the Processor is authorised to do is listed in Annex 4.1 to the Contract (Processing, Personal Data and Data Subjects) by the Controller and may not be determined by the Processor.
- 14.2 The Processor shall notify the Controller immediately if it considers that any of the Controller's instructions infringe the Data Protection Legislation.
- 14.3 The Processor shall provide all reasonable assistance to the Controller in the preparation of any Data Protection Impact Assessment prior to commencing any processing. Such assistance may, at the discretion of the Controller, include:
- (a) a systematic description of the envisaged processing operations and the purpose of the processing;
 - (b) an assessment of the necessity and proportionality of the processing operations in relation to the Services;
 - (c) an assessment of the risks to the rights and freedoms of Data Subjects; and
 - (d) the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.
- 14.4 The Processor shall, in relation to any Personal Data processed in connection with its obligations under this Agreement:
- (a) process that Personal Data only in accordance with Annex 4.1 to the Contract (Processing, Personal Data and Data Subjects), unless the Processor is required to do otherwise by Law. If it is so required the Processor shall promptly notify the Controller before processing the Personal Data unless prohibited by Law;
 - (b) ensure that it has in place Protective Measures, which are appropriate to protect against a Data Loss Event, which the Controller may reasonably reject (but failure to reject shall not amount to approval by the Controller of the adequacy of the Protective Measures), having taken account of the:
 - (i) nature of the data to be protected;
 - (ii) harm that might result from a Data Loss Event;
 - (iii) state of technological development; and
 - (iv) cost of implementing any measures;
 - (c) ensure that:
 - (i) the Processor Personnel do not process Personal Data except in accordance with this Agreement (and in particular Annex 4.1 to the Contract (Processing, Personal Data and Data Subjects))
 - (ii) it takes all reasonable steps to ensure the reliability and integrity of any Processor Personnel who have access to the Personal Data and ensure that they:
 - (A) are aware of and comply with the Processor's duties under this condition;
 - (B) are subject to appropriate confidentiality undertakings with the Processor or any Sub-processor;
 - (C) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third Party unless directed in writing to do so by the Controller or as otherwise permitted by this Agreement; and
 - (D) have undergone adequate training in the use, care, protection and handling of Personal Data; and
 - (d) not transfer Personal Data outside of the EU unless the prior written consent of the Controller has been obtained and the following conditions are fulfilled:

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- (i) the Controller or the Processor has provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or LED Article 37) as determined by the Controller;
 - (ii) the Data Subject has enforceable rights and effective legal remedies;
 - (iii) the Processor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Controller in meeting its obligations); and
 - (iv) the Processor complies with any reasonable instructions notified to it in advance by the Controller with respect to the processing of the Personal Data;
 - (e) at the written direction of the Controller, delete or return Personal Data (and any copies of it) to the Controller on termination of the Agreement unless the Processor is required by Law to retain the Personal Data.
- 14.5 Subject to Condition 14.6 (Data Protection), the Processor shall notify the Controller immediately if it:
- (a) receives a Data Subject Request (or purported Data Subject Request);
 - (b) receives a request to rectify, block or erase any Personal Data;
 - (c) receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
 - (d) receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data processed under this Agreement;
 - (e) receives a request from any third Party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law;
- or
- (f) becomes aware of a Data Loss Event.
- 14.6 The Processor's obligation to notify under condition 14.5 (Data Protection) shall include the provision of further information to the Controller in phases, as details become available.
- 14.7 Taking into account the nature of the processing, the Processor shall provide the Controller with full assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under condition 14.5 (Data Protection) (and insofar as possible within the timescales reasonably required by the Controller) including by promptly providing:
- (a) the Controller with full details and copies of the complaint, communication or request;
 - (b) such assistance as is reasonably requested by the Controller to enable the Controller to comply with a Data Subject Request within the relevant timescales set out in the Data Protection Legislation;
 - (c) the Controller, at its request, with any Personal Data it holds in relation to a Data Subject;
 - (d) assistance as requested by the Controller following any Data Loss Event;
 - (e) assistance as requested by the Controller with respect to any request from the Information Commissioner's Office, or any consultation by the Controller with the Information Commissioner's Office.
- 14.8 The Processor shall maintain complete and accurate records and information to demonstrate its compliance with this condition. This requirement does not apply where the Processor employs fewer than 250 staff, unless:
- (a) the Controller determines that the processing is not occasional;
 - (b) the Controller determines the processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the GDPR; or
 - (c) the Controller determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects.
- 14.9 The Processor shall allow for audits of its Data Processing activity by the Controller or the Controller's designated auditor.
- 14.10 Each Party shall designate its own data protection officer if required by the Data Protection Legislation.
- 14.11 Before allowing any Sub-processor to process any Personal Data related to this Agreement, the Processor must:
- (a) notify the Controller in writing of the intended Sub-processor and processing;
 - (b) obtain the written consent of the Controller;
 - (c) enter into a written agreement with the Sub-processor which give effect to the terms set out in this Condition 14 (Data Protection) such that they apply to the Sub-processor; and
 - (d) provide the Controller with such information regarding the Sub-processor as the Controller may reasonably require.
- 14.12 The Processor shall remain fully liable for all acts or omissions of any of its Sub-processors.
- 14.13 The Controller may, at any time on not less than 30 Working Days' notice, revise this condition by replacing it with any applicable controller to processor standard condition or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to this Agreement).

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- 14.14 The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Controller may on not less than 30 Working Days' notice to the Processor amend this agreement to ensure that it complies with any guidance issued by the Information Commissioner's Office.
- 14.15 Where the Parties include two or more Joint Controllers as identified in Annex 4.2 to Contract (Processing, Personal Data and Data Subjects) in accordance with GDPR Article 26, those Parties shall enter into a Joint Controller Agreement based on the terms outlined in Annex 4.2 to Contract (Processing, Personal Data and Data Subjects) in replacement of conditions 14.1-14.14 for the Personal Data under Joint Control.

15 Liability

- 15.1 The Supplier shall not be responsible for any injury, loss, damage, cost or expense suffered by the Customer 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 the Agreement.
- 15.2 Subject always to condition 15.3 and 15.4 (Liability):
- 15.2.1 the aggregate liability of the Supplier in respect of all defaults, claims, losses or damages howsoever caused, whether arising from breach of the Agreement, the supply or failure to supply of the Services, misrepresentation (whether tortious or statutory), tort (including negligence), breach of statutory duty or otherwise shall in no event exceed a sum equal to 125% of the Charges paid or payable to the Supplier; and
- 15.2.2 except in the case of claims arising under conditions 11 (Intellectual Property Rights) and 19 (Prevention of Fraud and Corruption), in no event shall the Supplier be liable to the Customer for any:
- a) loss of profits;
 - b) loss of business;
 - c) loss of revenue;
 - d) loss of or damage to goodwill;
 - e) loss of savings (whether anticipated or otherwise); and/or
 - f) any indirect, special or consequential loss or damage.
- 15.3 Nothing in the Agreement shall be construed to limit or exclude either Party's liability for:
- 15.3.1 death or personal injury caused by its negligence or that of its Staff;
- 15.3.2 fraud or fraudulent misrepresentation by it or that of its Staff; or
- 15.3.3 any other matter which, by law, may not be excluded or limited.
- 15.4 The Supplier's liability under the indemnity in conditions 11 (Intellectual Property Rights) and 19 (Prevention of Fraud and Corruption) shall be unlimited.

16 Force Majeure

- 16.1 Neither Party shall have any liability under or be deemed to be in breach of the Agreement for any delays or failures in performance of the Agreement which result from circumstances beyond the reasonable control of the Party affected. Each Party shall promptly notify the other Party in writing when such circumstances cause a delay or failure in performance and when they cease to do so. If such circumstances continue for a continuous period of more than two months, either Party may terminate the Agreement by written notice to the other Party.

17 Termination

- 17.1 The Customer may terminate the Agreement at any time by notice in writing to the Supplier to take effect on any date falling at least 1 month (or, if the Agreement is less than 3 months in duration, at least 10 Working Days) later than the date of service of the relevant notice.
- 17.2 Without prejudice to any other right or remedy it might have, the Customer may terminate the Agreement by written notice to the Supplier with immediate effect if the Supplier:
- 17.2.1 (without prejudice to condition 16 Force Majeure), is in material breach of any obligation under the Agreement which is not capable of remedy;
- 17.2.2 repeatedly breaches any of the terms and conditions of the Agreement in such a manner as to reasonably justify the opinion that its conduct is inconsistent with it having the intention or ability to give effect to the terms and conditions of the Agreement;
- 17.2.3 is in material breach of any obligation which is capable of remedy, and that breach is not remedied within 30 days of the Supplier receiving notice specifying the breach and requiring it to be remedied;
- 17.2.4 undergoes a change of control within the meaning of section 416 of the Income and Corporation Taxes Act 1988;
- 17.2.5 breaches any of the provisions of conditions 9 (Staff and key personnel), 13 (Confidentiality), 14 (Data Protection) and 18 (Compliance);
- 17.2.6 becomes insolvent, or if an order is made or a resolution is passed for the winding up of the Supplier (other than voluntarily for the purpose of solvent amalgamation or reconstruction), or if an administrator or administrative receiver is appointed in respect of the whole or any part of the Supplier's assets or business, or if the Supplier makes any composition with its creditors or takes or suffers any similar or analogous action (to any of the actions detailed in this condition 17 (Termination) in consequence of debt in any jurisdiction); or

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17.2.7 fails to comply with legal obligations in the fields of environmental, social or labour law.

17.3 The Supplier shall notify the Customer as soon as practicable of any change of control as referred to in condition 17 (Termination) or any potential such change of control.

17.4 The Supplier may terminate the Agreement by written notice to the Customer if the Customer has not paid any undisputed amounts within 90 days of them falling due.

17.5 Termination or expiry of the Agreement shall be without prejudice to the rights of either Party accrued prior to termination or expiry and shall not affect the continuing rights of the Parties under this Condition and conditions 2 (Basis of Agreement), 3.2 (Supply of Services/Goods), 3.3 (Supply of Services/Goods), 9 (Staff), 11 (Intellectual Property Rights / Intellectual Property Rights and Indemnity), 11.2 (Intellectual Property Rights / Intellectual Property Rights and Indemnity), 13 (Confidentiality), 14 (Data Protection), 15 (Liability), 17.5 (Termination), 18.4 (Compliance), 19.3 (Prevention of Fraud and Corruption), 20 (Dispute Resolution) and 23 (General) or any other provision of the Agreement that either expressly or by implication has effect after termination.

17.6 Upon termination or expiry of the Agreement, the Supplier shall:

17.6.1 give all reasonable assistance to the Customer and any incoming supplier of the Services; and

17.6.2 return all requested documents, information and data to the Customer as soon as reasonably practicable.

18 Compliance

18.1 The Supplier shall promptly notify the Customer of any health and safety hazards which may arise in connection with the performance of its obligations under the Agreement. The Customer shall promptly notify the Supplier of any health and safety hazards which may exist or arise at the Customer's premises and which may affect the Supplier in the performance of its obligations under the Agreement.

18.2 The Supplier shall:

18.2.1 comply with all the Customer's health and safety measures while on the Customer's premises; and

18.2.2 notify the Customer immediately in the event of any incident occurring in the performance of its obligations under the Agreement on the Customer's premises where that incident causes any personal injury or damage to property which could give rise to personal injury.

18.3 The Supplier shall:

18.3.1 perform its obligations under the Agreement in accordance with all applicable equality Law and the Customer's equality and diversity policy as provided to the Supplier from time to time; and

18.3.2 take all reasonable steps to secure the observance of condition 18 (Compliance) by all Staff.

18.4 The Supplier shall supply the Services in accordance with the Customer's environmental policy as provided to the Supplier from time to time.

18.5 The Supplier shall comply with, and shall ensure that its Staff shall comply with, the provisions of:

18.5.1 the Official Secrets Acts 1911 to 1989; and

18.5.2 section 182 of the Finance Act 1989.

19 Prevention of Fraud and Corruption

19.1 The Supplier shall not offer, give, or agree to give anything, to any person an inducement or reward for doing, refraining from doing, or for having done or refrained from doing, any act in relation to the obtaining or execution of the Agreement or for showing or refraining from showing favour or disfavour to any person in relation to the Agreement.

19.2 The Supplier shall take all reasonable steps, in accordance with good industry practice, to prevent fraud by the Staff and the Supplier (including its shareholders, members and directors) in connection with the Agreement and shall notify the Customer immediately if it has reason to suspect that any fraud has occurred or is occurring or is likely to occur.

19.3 If the Supplier or the Staff engages in conduct prohibited by condition 19 (Prevention of Fraud and Corruption) or commits fraud in relation to the Agreement or any other contract with the Crown (including the Customer) the Customer may:

19.3.1 terminate the Agreement 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 Agreement; or

19.3.2 recover in full from the Supplier any other loss sustained by the Customer in consequence of any breach of this Condition.

20 Dispute Resolution

20.1 The Parties shall attempt in good faith to negotiate a settlement to any dispute between them arising out of or in connection with the Agreement and such efforts shall involve the escalation of the dispute to an appropriately senior representative of each Party.

20.2 If the dispute cannot be resolved by the Parties within one month of being escalated as referred to in condition 20 (Dispute Resolution), the dispute may by agreement between the Parties be referred to a neutral adviser or mediator (the "**Mediator**")

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chosen by agreement between the Parties. All negotiations connected with the dispute shall be conducted in confidence and without prejudice to the rights of the Parties in any further proceedings.

- 20.3 If the Parties fail to appoint a Mediator within one month, or fail to enter into a written agreement resolving the dispute within one month of the Mediator being appointed, either Party may exercise any remedy it has under applicable law.

21 Improving visibility of subcontract opportunities available to SMEs and VCSEs in the supply chain - UNUSED

22 Management Charges and Information - UNUSED

23 General

- 23.1 Each of the Parties represents and warrants to the other that it has full capacity and authority, and all necessary consents, licences and permissions to enter into and perform its obligations under the Agreement, and that the Agreement is executed by its duly authorised representative.
- 23.2 A person who is not a party to the Agreement 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 the Parties.
- 23.3 The Agreement cannot be varied except in writing signed by a duly authorised representative of both the Parties.
- 23.4 The Agreement contains the whole agreement between the Parties and supersedes and replaces any prior written or oral agreements, representations or understandings between them. The Parties confirm that they have not entered into the Agreement on the basis of any representation that is not expressly incorporated into the Agreement. Nothing in this Condition shall exclude liability for fraud or fraudulent misrepresentation.
- 23.5 Any waiver or relaxation either partly, or wholly of any of the terms and conditions of the Agreement shall be valid only if it is communicated to the other Party in writing and expressly stated to be a waiver. A waiver of any right or remedy arising from a breach of contract shall not constitute a waiver of any right or remedy arising from any other breach of the Agreement.
- 23.6 The Agreement shall not constitute or imply any partnership, joint venture, agency, fiduciary relationship or other relationship between the Parties other than the contractual relationship expressly provided for in the Agreement. Neither Party shall have, nor represent that it has, any authority to make any commitments on the other Party's behalf.
- 23.7 Except as otherwise expressly provided by the Agreement, all remedies available to either Party for breach of the Agreement (whether under the Agreement, statute or common law) are cumulative and may be exercised concurrently or separately, and the exercise of one remedy shall not be deemed an election of such remedy to the exclusion of other remedies.
- 23.8 If any provision of the Agreement is prohibited by law or judged by a court to be unlawful, void or unenforceable, the provision shall, to the extent required, be severed from the Agreement and rendered ineffective as far as possible without modifying the remaining provisions of the Agreement, and shall not in any way affect any other circumstances of or the validity or enforcement of the Agreement.

24 Notices

- 24.1 Any notice to be given under the Agreement shall be in writing and may be served by personal delivery, first class recorded or, subject to condition 23 (General), e-mail to the address of the relevant Party set out in the Award Letter, or such other address as that Party may from time to time notify to the other Party in accordance with this Condition:
- 24.2 Notices served as above shall be deemed served on the Working Day of delivery provided delivery is before 5.00pm on a Working Day. Otherwise delivery shall be deemed to occur on the next Working Day. An email shall be deemed delivered when sent unless an error message is received.
- 24.3 Notices under conditions 16 (Force Majeure) and 17 (Termination) may be served by email only if the original notice is then sent to the recipient by personal delivery or recorded delivery in the manner set out in condition 24.1 (Notices).

25 Governing Law and Jurisdiction

- 25.1 This Agreement will be governed by and construed in accordance with English law and the Contractor hereby irrevocably submits to the jurisdiction of the English courts. The submission to such jurisdiction will not (and will not be construed so as to) limit the right of the Authority to take proceedings against the Contractor in any other court of competent jurisdiction, nor will the taking of proceedings by the Authority in any one or more jurisdictions preclude the taking of proceedings by the Authority in any other jurisdiction, whether concurrently or not.

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ATTACHMENT 5 - CERTIFICATE OF BONA FIDE TENDERING

1. I declare that this is a bona fide tender, intended to be competitive and that I have not fixed or adjusted the amount of the tender by or under or in accordance with any agreement or arrangement with any other person ('person' includes any persons, anybody or association, corporate or incorporate; and) except as disclosed on this Certificate under 7 below.
2. I declare that the Company is not aware of any connection with a member of the Authority's staff which could affect the outcome of the bidding process.
3. I declare that I have not done and I undertake that I will not do at any time any of the following:-
 - a) communicate to any person, including the addressee calling for the tender, the amount or approximate amount of the proposed tender;
 - b) enter into any agreement or arrangement with any other person or body that he or it shall refrain from tendering or as to the amount of any tender to be submitted;
 - c) enter into any agreement or arrangement with any other person or body that we will refrain from tendering on a future occasion;
 - d) offer or pay or agree to pay any sum of money or valuable consideration directly or indirectly to any person for doing or causing to be done in relation to any other tender for the said work any act of the kind described above;
 - e) canvass or solicit the Authority staff.
4. I understand that any instances of illegal cartels or market sharing arrangements suspected by the Authority will be referred to the Office of Fair Trading for investigation.
5. I understand that any misrepresentations may also be the subject of criminal investigation or used as a basis for civil action.
6. In this Certificate "agreement" or "arrangement" includes any transaction private or open, or collusion, formal or informal, and whether or not legally binding.
7. Disclosure

Signed: _____ Name: _____ Title: _____

On behalf of: _____ Date: / / 2019

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ATTACHMENT 6 – DECLARATION BY TENDERER

1. I have examined the documents inclusive enclosed under cover of your RFQ dated 04 June 2019 and have taken account of subsequent Amendments.
2. I hereby offer to enter into a Contract with the Secretary of State for Foreign & Commonwealth Affairs, as represented by the British Embassy Tokyo for Provision of a Service to Coordinate a Series of Seminar Promoting the Investments into the UK, upon the Conditions in the proposed Contract documents set out in the RFQ Attachment 4.
3. I warrant that I have all the requisite corporate authority to sign this tender.
4. I understand that the Authority is not bound to accept the lowest or any tender. I also understand the Authority has the right to accept only part of a tender unless I have expressly stipulated otherwise.
5. This tender shall remain open for acceptance by the Authority for a period of 3 months after the due date for return of tenders specified in your RFQ.
6. We acknowledge that the information set out in the RFQ is confidential to the Authority and contains documentation which is subject to Crown copyright. We undertake not to copy or disseminate this information or documentation and if required by the Authority to return all such information and documentation in its possession to the Authority or else certify its destruction.

Signed:

Date:

Name:

In the capacity of:

Duly authorised to sign tenders on behalf
of: (Name of Company)

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PROCESSING DATA SCHEDULE

ANNEX 4

1. The Contractor shall comply with any further written instructions with respect to processing issued by the Authority.
2. Any such further instructions shall be incorporated into this Schedule.

Description	Details
Subject matter of the processing	<i>[This should be a high level, short description of what the processing is about i.e. its subject matter]</i>
Duration of the processing	<i>[Clearly set out the duration of the processing including dates]</i>
Nature and purposes of the processing	<i>[Please be as specific as possible, but make sure that you cover all intended purposes. The nature of the processing means any operation such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction of data (whether or not by automated means) etc. The purpose might include: employment processing, statutory obligation, recruitment assessment etc]</i>
Type of Personal Data	<i>[Examples here include: name, address, date of birth, NI number, telephone number, pay, images, biometric data etc]</i>
Categories of Data Subject	<i>[Examples include: Staff (including volunteers, agents, and temporary workers), customers/ clients, suppliers, patients, students / pupils, members of the public, users of a particular website etc]</i>
Plan for return and destruction of the data once the processing is complete UNLESS requirement under union or member state law to preserve that type of data	<i>[Describe how long the data will be retained for, how it be returned or destroyed]</i>

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FCO SUPPLIER CODE OF CONDUCT

ANNEX 5.1

1. What we expect from our Suppliers

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

2. Equality and Accessibility

- 2.1 Without prejudice to the generality of its rights and obligations under each Contract, the Supplier shall support the Authority in fulfilling its public sector equality duty under S149 of the Equality Act 2010 by ensuring, so far as reasonably practicable, that it (the Supplier) fulfils its obligations under each Contract in way that has due regard to the need to:
- 2.1.1 eliminate discrimination, harassment or victimisation and any other conducted that is prohibited under the 2010 Act; and
- 2.1.2 advance equality of opportunity and foster good relations between those who share a protected characteristic (age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation, and marriage and civil partnership) and those who do not share it.

3. Modern Slavery, Child Labour and Inhumane Treatment

The "Modern Slavery Helpline" refers to the point of contact for reporting suspicion, seeking help or advice and information on the subject of modern slavery available online at <https://www.modernslaveryhelpline.org/report> or by telephone on 08000 121 700.

- 3.1 The Supplier:
- 3.1.1 shall not use, or allow its Subcontractors to use, forced, bonded or involuntary prison labour;
- 3.1.2 shall not require any Supplier staff or Subcontractor staff to lodge deposits or identify papers with the Employer or deny Supplier staff freedom to leave their employer after reasonable notice;
- 3.1.3 warrants and represents that it has not been convicted of any slavery or human trafficking offences anywhere around the world.
- 3.1.4 warrants that to the best of its knowledge it is not currently under investigation, inquiry or enforcement proceedings in relation to any allegation of slavery or human trafficking offenses anywhere around the world.
- 3.1.5 shall make reasonable enquires to ensure that its officers, employees and Subcontractors have not been convicted of slavery or human trafficking offences anywhere around the world.
- 3.1.6 shall have and maintain throughout the term of each Contract its own policies and procedures to ensure its compliance with the Modern Slavery Act 2015 and shall include in its contracts with its subcontractors anti-slavery and human trafficking provisions;
- 3.1.7 shall implement due diligence procedures to ensure that there is no slavery or human trafficking in any part of its supply chain performing obligations under a Contract;
- 3.1.8 shall prepare and deliver to the FCO at the commencement of each Contract and updated on a frequency defined by the Authority, a slavery and human trafficking report setting out the steps it has taken to ensure that slavery and human trafficking is not taking place in any of its supply chains or in any part of its business;
- 3.1.9 shall not use, or allow its employees or Subcontractors to use, physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation of its employees or Subcontractors;
- 3.1.10 shall not use, or allow its Subcontractors to use, child or slave labour;

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- 3.1.11 shall report the discovery or suspicion of any slavery or trafficking by it or its Subcontractors to the Authority and Modern Slavery Helpline.

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4. INCOME SECURITY

- 4.1 The Supplier shall:
- 4.1.1 ensure that that all wages and benefits paid for a standard working week meet, at a minimum, national legal standards in the country of employment;
 - 4.1.2 ensure that all workers are provided with written and understandable information about their terms and conditions of employment, and in particular in respect of wages, before they enter employment, and about the particulars of their wages for the pay period concerned each time that they are paid;
 - 4.1.3 not make deductions from wages as a disciplinary measure except
 - (a) where permitted by law; and
 - (b) upon express permission of the worker concerned."
 - 4.1.4 record all disciplinary measures taken against Supplier Staff throughout the term of each contract; and
 - 4.1.5 ensure that Supplier Staff are engaged under a recognised employment relationship established through national law and practice.

5. WORKING HOURS

- 5.1 The Supplier shall:
- 5.1.1 ensure that the working hours of Supplier staff comply with national laws, and any collective agreements;
 - 5.1.2 ensure that the working hours of Supplier staff, excluding overtime, are defined by contract, and do not exceed 48 hours per week unless the individual has lawfully agreed so in writing;
 - 5.1.3 ensure that overtime is used responsibly, taking into account:
 - (a) the extent;
 - (b) frequency; and
 - (c) hours workedby reference to individuals and the Supplier staff as a whole;
- 5.2 The total hours worked by an individual in any seven-day period shall not exceed 60 hours, unless the criteria set out in paragraph 5.3 are satisfied.
- 5.3 Working hours may exceed 60 hours in any seven-day period only where all of the following are met:
- 5.3.1 this is allowed by national law;
 - 5.3.2 this is expressly authorised by a collective agreement freely negotiated with a workers' organisation representing a significant portion of the workforce;
 - 5.3.3 appropriate safeguards are taken to protect the workers' health and safety; and
 - 5.3.4 the employer can demonstrate that exceptional circumstances apply.
- 5.4 All Supplier Staff shall be provided with at least one (1) day off in every seven (7) day period or, where allowed by national law, two (2) days off in every fourteen (14) day period.

6. SUSTAINABILITY

- 6.1 The Supplier shall meet the applicable Government Buying Standards applicable to Deliverables which can be found online at: <https://www.gov.uk/government/collections/sustainable-procurement-thegovernment-buying-standards-gbs>

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FCO SUPPLIER CODE OF CONDUCT

ANNEX 5.2

1. The Supplier shall comply with the Supplier Code of Conduct as set out in this Appendix B and any changes made to the Code thereafter from time to time by the Authority.
2. The Supplier shall submit a Declaration of Compliance, as set out at Sub-Appendix B (Declaration of Compliance) of this Appendix B to the Agreement, within one (1) month of the Award of this Agreement and thereafter annually on the anniversary of the date of Award of this Agreement via the Authority's Bravo eSourcing Portal.
3. The Authority shall notify the Supplier during any Call-Off, made pursuant to this Framework Agreement, of the level of compliance required for the Call-Off, the level of compliance to be determined at the sole discretion of the Authority and taking into consideration the risk and value of the Services.
4. The Supplier shall ensure that the evidence outlined in Sub-Appendix A (Compliance Level Matrix) to this Annex for the required level of compliance is made available at the Call-Off stage where appropriate and at the frequency set out herein. The Authority reserves the right to request further evidence demonstrating the Supplier's compliance with the Code and to conduct spot checks from time-to-time.

Compliance Area 1: Value for Money and Governance

Value for Money is an essential requirement of all Authority commissioned work. All Suppliers must seek to maximise results, whilst driving cost efficiency, throughout the life of commissioned programmes. This includes budgeting and pricing realistically and appropriately to reflect delivery requirements and levels of risk over the life of the programme. It also includes managing uncertainty and change to protect value in the often-challenging environments that we work in.

Suppliers must demonstrate that they are pursuing continuous improvement to reduce waste and improve efficiency in their internal operations and within the delivery chain. The Authority expects suppliers to demonstrate openness and honesty and to be realistic about capacity and capability at all times, accepting accountability and responsibility for performance along the full delivery chain, in both every-day and exceptional circumstances.

Specific requirements include:

- ✓ Provision of relevant VfM and governance policies and a description of how these are put into practice to meet the Authority's requirements (e.g. codes on fraud and corruption, due diligence);
- ✓ A transparent, open book approach, which enables scrutiny of value for money choices, applies pricing structures that align payments to results and reflects an appropriate balance of performance risk;
- ✓ Processes for timely identification and resolution of issues and for sharing lessons learned.

Compliance Area 2: Ethical Behaviour

Suppliers and their Sub-Contractors act on behalf of government and interact with citizens, public sector/third sector organisations and the private sector. These interactions must therefore meet the highest standards of ethical and professional behaviour that upholds the reputation of government.

Arrangements and relationships entered into, whether with or on behalf of the Authority, must be free from bias, conflict of interest or the undue influence of others. Particular care must be taken by staff who are directly involved in the management of a programme, procurement, contract or relationship with the Authority, where key stages may be susceptible to undue influence. In addition, Suppliers and their Sub-Contractors must not attempt to influence an Authority member of staff to manipulate programme monitoring and management to cover up poor performance.

Suppliers and their Sub-Contractors must declare to the Authority any instances where it is intended that any direct or delivery chain staff members will work on Authority funded business where those staff members have any known conflict of interest or where those staff members have been employed by the Crown in the preceding two years. Suppliers and their Sub-Contractors must provide proof of compliance with the HMG approval requirements under the Business Appointment Rules.

Suppliers and their Sub-Contractors must have the following policies and procedures in place:

- ✓ Recruitment policy (which must address circumstances where there may be potential or actual conflict of interest);
- ✓ Ongoing conflict of interest, mitigation and management;
- ✓ Refresher ethical training and staff updates (including awareness of modern day slavery and human rights abuses);

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- ✓ A workforce whistleblowing policy;
- ✓ Procedures setting out how, staff involved in FCO funded business, can immediately report all suspicions or allegations of aid diversion, fraud, money laundering or counter terrorism finance to FCO's Anti-Fraud and Corruption Unit (AFCU) at afcu@fco.gov.uk or on +44(0)7771 573944/ +44(0)7881 249938.

Compliance Area 3: Transparency and Delivery Chain Management

The Authority requires full delivery chain transparency from all Suppliers. All delivery chain partners must adhere to wider HMG policy initiatives including the support of micro, small and medium sized enterprises (MSMEs), prompt payment, adherence to human rights and modern slavery policies and support for economic growth in developing countries.

Suppliers must engage their delivery chain supply partners in a manner that is consistent with the Authority's treatment of its Suppliers. This includes, but is not limited to: pricing; application of delivery chain risk management processes; and taking a zero tolerance approach to tax evasion, corruption, bribery and fraud in subsequent service delivery or in partnership agreements.

Specific requirements for Suppliers include:

- ✓ Provide assurance to the Authority that the policies and practices of their delivery chain supply partners and affiliates are aligned to this Code;
- ✓ Maintaining and sharing with the Authority up-to-date and accurate records of all downstream partners in receipt of Authority funds and/or Authority funded inventory or assets. This should map how funds flow from them to end beneficiaries and identify risks and potential risks along the delivery chain;
- ✓ Ensuring delivery chain partner employees are aware of the FCO's Anti-Fraud and Corruption Unit (AFCU) and how to contact them at afcu@fco.gov.uk or on +44(0)7771 573944/ +44(0)7881 249938.
- ✓ Publication of Authority funding data in accordance with the International Aid Transparency Initiative (IATI)¹
- ✓ Suppliers shall adhere to HMG prompt payment policy² and shall not use restrictive exclusivity agreements with sub-partners.

Compliance Area 4: Environmental Issues

Suppliers must be committed to high environmental standards, recognising that the Authority's activities may change the way people use and rely on the environment, or may affect or be affected by environmental conditions. Suppliers must demonstrate they have taken sufficient steps to protect the local environment and community they work in, and to identify environmental risks that are imminent, significant or could cause harm or reputational damage to the Authority.

Commitment to environmental sustainability may be demonstrated by:

- ✓ Formal environmental safeguard policies in place;
- ✓ Publication of environmental performance reports on a regular basis
- ✓ Membership or signature of relevant Codes, both directly and within the delivery chain such as conventions, standards or certification bodies (eg the Extractive Industries Transparency Initiative³).

Compliance Area 5: Terrorism and Security

Suppliers must implement due diligence processes to provide assurance that UK Government funding is not used in any way that contravenes the provisions of applicable terrorism legislation.

Specific requirements:

- ✓ Suppliers must safeguard the integrity and security of their IT and mobile communications systems in line with the HMG Cyber Essentials Scheme⁴. Award of the Cyber Essentials or Cyber Essential Plus badges would provide organisational evidence of meeting the UK Government-endorsed standard;
- ✓ Suppliers who manage aid programmes with a digital element must adhere to the global Principles for Digital Development⁵, which sets out best practice in technology-enabled programmes

¹ <https://www.aidtransparency.net/>

² <https://www.gov.uk/guidance/prompt-payment-policy>

³ <https://eiti.org/>

⁴ <https://www.gov.uk/government/publications/cyber-essentials-scheme-overview>

⁵ <https://digitalprinciples.org/>

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- ✓ Ensure that Authority funding is not linked to terrorist offences, terrorist activities or financing.

Compliance Area 6: Safeguarding, Social Responsibility and Human Rights

Safeguarding, social responsibility and respect for human rights are central to the Authority's expectations of its Suppliers. Suppliers must ensure that robust procedures are adopted and maintained to eliminate the risk of poor human rights practices within their complex delivery chain environments funded by the Authority. These practices include sexual exploitation, abuse and harassment; all forms of child abuse and inequality or discrimination on the basis of race, gender, age, religion, sexuality, culture or disability. Suppliers must place an emphasis on the control of these and further unethical and illegal employment practices, such as modern day slavery, forced and child labour and other forms of exploitative and unethical treatment of workers and aid recipients. The Authority will expect a particular emphasis on management of these issues in high risk fragile and conflict affected states (FCAS), with a focus on ensuring remedy and redress if things go wrong.

Specific requirements:

- ✓ Development and proof of application and embedding of a Safeguarding Policy;
- ✓ Delivery of Social Responsibility, Human Rights and Safeguarding training throughout the delivery chain;
- ✓ All Supply Partners must be fully signed up to the UN Global Compact⁶;
- ✓ Practices in line with the International Labour Organisation (ILO) 138⁷ and the Ethical Trading Initiative (ETI) Base Code⁸ are to be encouraged throughout the delivery chain;
- ✓ Policies to embed good practice in line with the UN Global Compact Guiding Principles 1 & 2 on business and human rights as detailed in Sub-Appendix C to this Appendix B;
- ✓ Compliance level 1 Suppliers to submit a Statement of Compliance outlining how the organisation's business activities help to develop local markets and institutions and contribute to social and environmental sustainability, whilst complying with international principles on Safeguarding and Human Rights labour and ethical employment, social inclusion and environmental protection;
- ✓ Overarching consideration given to building local capacity and promoting the involvement of people whose lives are affected by business decisions.

⁶ <https://www.unglobalcompact.org/what-is-gc/mission/principles>

⁷ http://ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C138

⁸ <https://www.ethicaltrade.org/eti-base-code>

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Compliance with the Code and contractual checking mechanisms

Annex 5.2.1

The table below sets out the evidence that Suppliers are required to make available when requested by the Authority to demonstrate compliance with the Code.

For Call-Off Contracts requiring adherence to Compliance Level 1 (CL1) or Compliance Level 2 (CL2) the Supplier shall provide the evidence below at the frequency stated below to the Authority.

Compliance Area and requirement		Evidence Required	Frequency	CL1	CL2	CL3
i.	Declaration of compliance with the Supplier Code of Conduct	Declaration set out at Sub-Appendix B provided.	Annually	X	X	X
ii.	Declaration of sign up to the UN Global Compact	Certificate/Confirmation of membership	Annually	X	X	X
1. Value for Money (VfM) and Governance						
a.	Economic and governance policies in practice	Relevant organisation policies, including detailed annual financial breakdown related to the contract	Annually	X	X	0
b.	VfM being maximized over the life of a contract.	Relevant documentation to include: - Confirmation of annual profit level fluctuations since contract award; - Evidence of timely resolution of identified issues; - Evidence of lessons learned	Annually	X	X	0
c.	Tax declaration (HMRC format)	- Tax the organisation paid on profits made in the last 3 years, and in which countries; - Compliance with relevant country level tax regulations fully understood and met	Annually	X	X	0
2. Ethical Behaviour						
a.	Adherence to conflict of interest management procedures	Relevant organisation policies, including recruitment policy which must address circumstances where there may be potential or actual conflict of interest	Annually	X	X	0
b.	Ethical training and staff updates	Copy of training programme; Training logs; Relevant communication to staff	Annually	X	X	0
c.	A workforce whistleblowing policy	Relevant organisation policy and evidence of continuous staff awareness maintained.	Annually	X	X	0
d.	Staff involved in Authority funded programmes are aware of how to report all suspicions or allegations of aid diversion, fraud, money laundering or counter terrorism to the Authority.	Relevant organization policy and evidence of regular communication to staff.	Annually	X	X	0
e.	Declaration of direct or delivery chain staff members proposed to work on Authority funded	Proof of compliance with the HMG approval requirements under the business appointments rules.	Annually (and when a new member of	X	X	0

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	programmes if employed by the Crown in the preceding two years.		staff who this applies to (joins the project team)			
3. Transparency and Delivery Chain Management						
a.	IATI compliance for Suppliers and delivery chain partners	Proof of compliance with IATI	Annually	X	0	0
b.	Provision of up-to-date and accurate records of all downstream supply partners provided within the required frequencies, including annual contractual spend on MSME's, women owned businesses and apprenticeships in place	Record of all downstream supply partners	Annually	X	0	0
c.	Policies and practices for the management of delivery chain partners and affiliates aligned to the Supplier Code of Conduct	Verification that policies and practices for the management and governance of delivery chain supply partners is in place	Annually	X	0	0
d.	Tax evasion, bribery, corruption and fraud compliance	Statement of assurance that there has been no change to previous statements	Annually	X	X	0
e.	HMG prompt payment policy adhered to by all delivery chain partners	Confirmation of adherence to HMG prompt payment policy	Annually	X	0	0
4. Environmental Issues						
a.	Processes in place to identify environmental risks (e.g. by maintaining a risk register) ensuring legislative requirements are met and context specific environmental issues addressed	Documentation demonstrating how environmental risks are identified (e.g. risk register) with formal context specific environmental safeguarding policies in place	Annually	X	0	0
b.	Annual environmental performance reports	Published reports	Annually	X	0	0
5. Terrorism and Security						
a.	Reporting of terrorist offences or offences linked to terrorist activities or financing	Status declaration	Annually	X	X	0
b.	Confirmation that no engaged employees or deliver chain personnel appears on the Home Office Prescribed Terrorist Organization List.	Appropriate certification or documentation	Annually	X	X	0
c.	Data is managed in accordance with DFID security policy and all systems are in accordance with the HMG cyber essentials scheme	Appropriate certification or documentation	Annually	X	X	0
d.	Adherence to best practice global principles for digital development	Appropriate certification or documentation	Annually	X	0	0
6. Safeguarding, Social Responsibility and Human Rights						
a.	Compliance with key legislation on international principles on labour and ethical employment	Confirmation of UN Global Compact Membership; Internal documentation demonstrating best practice and compliance	Annually	X	X	0

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b.	Measures in place and cascaded to assure the prevention of actual, attempted or threatened sexual exploitation or abuse or other forms of inequality or discrimination by Relevant Individuals. Robust procedures for the reporting of suspected misconduct, illegal acts or failures to investigate in place.	Proof of application and embedding of a safeguarding policy	Annually	X	X	X
c.	Membership of the International Labour Organisation or Ethical Trading Initiative	Membership Number	Annually	X	0	0
d.	Principles cascaded to employees and sub-contractors via an internal policy or written outline of good practice service deliver approaches to Human Rights and Safeguarding reflecting UN Global Compact Principles 1 & 2	Internal policies or communication demonstrating communication to staff and delivery chain partners showing appropriate level of commitment to the UN Compact Report on number and details of organization safeguarding allegations reported.	Annually	X	0	0

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Contractual Annual Compliance Declaration

Annex 5.2.2

<i>Signed on behalf of the supplier</i>	
Full Name	
Position held on behalf of Supplier	
Date	

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UK Global Compact – Human Rights

Annex 5.2.3

Principle 1: businesses should support and respect the protection of internationally proclaimed Human Rights

Principle 2: businesses should ensure they are not complicit in Human Rights abuse

Organisations should do this by giving attention to vulnerable groups including women, children, people with disabilities, indigenous groups, migrant workers and older people.

Organisations should comply with all laws, honouring international standards and giving particular consideration to high risk areas with weak governance.

Examples of how suppliers and partners should do this are set out below:

In the Community

- by preventing the forcible displacement of individuals, groups or communities
- by working to protect the economic livelihood of local communities
- by contributing to the public debate. Companies interact with all levels of government in the countries where they operate. They therefore have the right and responsibility to express their views on matters that affect their operations, employees, customers and the communities of which they are a part
- through differential pricing or small product packages create new markets that also enable the poor to gain access to goods and services that they otherwise could not afford
- by fostering opportunities for girls to be educated to empower them and also helps a company to have a broader and more skilled pool of workers in the future, and
- perhaps most importantly, a successful business which provides decent work, produces quality goods or services that improve lives, especially for the poor or other vulnerable groups, is an important contribution to sustainable development, including human rights
- If companies use security services to protect their operations, they must ensure that existing international guidelines and standards for the use of force are respected

In the Workforce

- by providing safe and healthy working conditions
- by guaranteeing freedom of association
- by ensuring non-discrimination in personnel practices
- by ensuring that they do not use directly or indirectly forced labour or child labour
- by providing access to basic health, education and housing for the workers and their families, if these are not provided elsewhere
- by having an affirmative action programme to hire victims of domestic violence
- by making reasonable accommodations for all employees' religious observance and practices