

Date:

A Services Concession Contract

Between

The Lord Chancellor

And

Marsh Limited

Agreement

Relating to the provision of Security Bonds:

Office of the Public Guardian

This contract is dated:

PARTIES:

(1) THE LORD CHANCELLOR of 102 Petty France, London, SW1H 9AJ (the “**Authority**”);

AND

(2) **Marsh Limited** with registered company number no. 725875 whose registered office is at 1 Tower Place, London, EC3R 5BU (the “**Concessionaire**”)

(each a “**Party**” and together the “**Parties**”).

WHEREAS

- A. The Authority advertised on the UK e-notification service (reference 2022/S 000-026899), inviting prospective suppliers to submit proposals for the provision of a services concession contract granting a right to offer surety bonds and associated services to individuals described in this contract.
- B. The Authority wishes to appoint Concessionaire to supply surety bonds and associated services to Deputies (as defined in the Mental Capacity Act 2005) via a concession awarded pursuant to this contract.
- C. The Concessionaire represented to the Authority that it is capable of delivering the Services in accordance with the Authority's requirements set out in the Invitation to Tender and, in particular, the Concessionaire made representations to the Authority in the Tender in relation to its competence, professionalism and ability to provide the Services in an efficient and cost effective manner.
- D. On the basis of the Tender, the Authority intends to enter into a contract with the Concessionaire to provide the Services in accordance with the terms and conditions of this contract.

IT IS HEREBY AGREED

A GENERAL

A1 Definitions and Interpretation

Unless the context otherwise requires the following terms shall have the meanings given to them below:

“**Act**” means the Mental Capacity Act 2005.

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

“**Affiliate**” means in relation to a body corporate, any other entity which directly or indirectly Controls is Controlled by, or is under direct or indirect common Control with, that body corporate from time to time.



“Approve”, “Approval” and “Approved” means the prior written consent of the Authority.

“Authorised Representative” means the Authority representative named in a Contract Change Notice as authorised to approve agreed Changes.

“Authority Data” means:

- (a) the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any electronic, magnetic, optical or tangible media, and which are: (i) supplied to the Concessionaire by or on behalf of the Authority; or (ii) which the Concessionaire is required to generate, process, store or transmit pursuant to the Contract; or
- (b) any Personal Data for which the Authority is the Controller.

“Authorised Deposit Taker” means:

- (a) a person who has permission under Part 4 of the Financial Services and Markets Act 2000 to accept deposits;
- (b) an EEA firm of the kind mentioned in paragraph 5(d) of Schedule 3 to that Act, which has permission under paragraph 15 of that Schedule to accept deposits.

“Authorised Insurance Company” means:

- (a) a person who has permission under Part 4 of the Financial Services and Markets Act 2000 to effect or carry out contracts of insurance;
- (b) an EEA firm of the kind mentioned in paragraph 5(d) of Schedule 3 to that Act, which has permission under paragraph 15 of that Schedule to effect or carry out contracts of insurance; an
- (c) a person who carries on insurance market activity (within the meaning given in section 316(3) of that Act);

“BPSS” means the Government’s Baseline Personnel Security Standard for Government employees.

“CCN” means a change control notice in the form set out in Schedule 3.

“Change” means a change in the Specification or any of the terms or conditions of the Contract.

“Change in Law” means any change in Law which affects the performance of the Services which comes into force after the Commencement Date.

“Commencement Date” means the date specified in clause A5.1.

“Commercially Sensitive Information” means the information listed in Schedule 4 comprising the information of a commercially sensitive nature relating to:

- (a) the Fees; and/or



- (b) the Concessionaire's business and investment plans

which the Concessionaire has informed the Authority would cause the Concessionaire significant commercial disadvantage or material financial loss if it was disclosed.

"Comparable Supply" means the supply of services to another customer of the Concessionaire which are the same or similar to any of the Services.

"Concession" means the concession granted under the Contract to provide the Services to Deputies in accordance with the Specification.

"Confidential Information" means any information which has been designated as confidential by either Party in writing or that ought to be considered as confidential (however it is conveyed or on whatever media it is stored) including information the disclosure of which would, or would be likely to, prejudice the commercial interests of any person or trade secrets or Intellectual Property Rights of either Party and all Personal Data. Confidential Information shall not include information which:

- (a) was public knowledge at the time of disclosure otherwise than by breach of clause E3;
- (b) was in the possession of the receiving Party, without restriction as to its disclosure, before receiving it from the disclosing Party;
- (c) is received from a third party (who lawfully acquired it) without restriction as to its disclosure; or
- (d) is independently developed without access to the Confidential Information.
- (e) relates to the Concessionaire's performance under the Contract; or
- (f) relates to the Concessionaire's failure to pay any Sub-Contractor.

"Contract" means these terms and conditions, the attached Schedules, terms implied by law that are not excluded by this contract and any other documents or provisions the Parties expressly agree are included.

"Contracting Authority" means any contracting authority (other than the Authority) as defined in regulation 3 of the Public Contract Regulations 2015.

"Control" means that a person possesses, directly or indirectly, the power to direct or cause the direction of the management and policies of the other person (whether through the ownership of voting shares, by contract or otherwise) and **"Controls"** and **"Controlled"** are interpreted accordingly.

"CoP" means the Court of Protection.

"Crown" means the government of the United Kingdom (including the Northern Ireland Executive Committee and Northern Ireland Departments, the Scottish Executive and the National Assembly for Wales), including, but not limited to, government ministers, government departments, government offices and government agencies and **"Crown Body"** is an emanation of the foregoing.



“Data Loss Event” means any event which results, or may result, in unauthorised access to Personal Data held by the Concessionaire under the Contract, and/or actual or potential loss and/or destruction of Personal Data in breach of the Contract, including any Personal Data.

“Data Protection Impact Assessment” means an assessment by the Controller of the effect of the envisaged processing on the protection of Personal Data.

“Data Protection Legislation” means:

- (a) the GDPR, the LED and applicable implementing Laws;
- (b) the DPA to the extent that it relates to the processing of Personal Data and privacy; and
- (c) all applicable Laws relating to the processing of Personal Data and privacy.

“Data Protection Officer” means as it is defined in the GDPR.

“Data Subject” means as it is defined in the GDPR.

“Data Subject Access 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.

“Default” means any breach of the obligations or warranties of the relevant Party (including abandonment of the Contract in breach of its terms, repudiatory breach or breach of a fundamental term) or any other default, act, omission, negligence or statement of the relevant Party or the Staff in connection with the subject-matter of the Contract and in respect of which such Party is liable to the other.

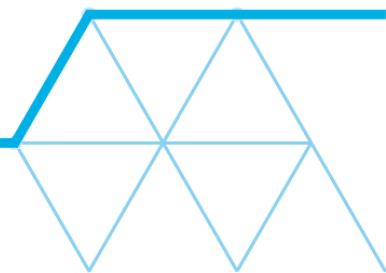
“DEPUTY” a person or persons appointed by the CoP in accordance with the MCA

“DOTAS” means the Disclosure of Tax Avoidance Schemes rules which require a promotor of tax schemes to tell HMRC of any specified notifiable arrangements or proposals and to provide prescribed information on those arrangements or proposals within set time limits as contained in Part 7 of the Finance Act 2004 and in secondary legislation made under vires contained in Part 7 of the Finance Act and as extended to NICs by the National Insurance (Application of Part 7 of the Finance Act 2004) regulations 2012, SI 2012/1868 made under section 132A of the Social Security Administration Act 1992.

“DPA” means the Data Protection Act 2018.

“EIR” means the Environmental Information Regulations 2004 (SI 2004/3391) and any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to such regulations.

“End Date” means the date specified in clause A5.1.



“Exit Day” means as it is defined in the European Union (Withdrawal) Act 2018.

“Extension” has the meaning given in clause A5.2.

“Fees” means the fees the Concessionaire will charge Deputies for the Services set out in Schedule 2.

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

“Force Majeure Event” means any event outside the reasonable control of either Party affecting its performance of its obligations under the Contract arising from acts, events, omissions, happenings or non-happenings beyond its reasonable control and which are not attributable to any wilful act, neglect or failure to take reasonable preventative action by that Party, including acts of God, riots, war or armed conflict, acts of terrorism, acts of government, local government or regulatory bodies, for flood, storm or earthquake, or disaster but excluding any industrial dispute relating to the Concessionaire or the Staff or any other failure in the Concessionaire’s supply chain caused by the Covid 19 pandemic or the United Kingdom’s exit from the EU.

“GDPR” means the retained EU law version of the General Data Protection Regulation (Regulation (EU) 2016/679), as transposed into UK Law by the Data Protection, Privacy and Electronic Communications (Amendments etc) (EU Exit) Regulations 2019.

“General Anti-Abuse Rule” means:

- (a) the legislation in Part 5 of the Finance Act 2013; and
- (b) any future legislation introduced into parliament to counteract tax advantages arising from abusive arrangements to avoid NICs.

“General Change in Law” means a Change in Law where the change is of a general legislative nature (including taxation or duties of any sort affecting the Concessionaire) or which affects or relates to a Comparable Supply.

“Good Industry Practice” means standards, practices, methods and procedures conforming to the Law and the degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged in a similar type of undertaking under the same or similar circumstances.

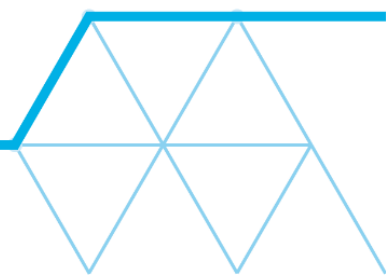
“Government” means Her Majesty’s government of the United Kingdom.

“Halifax Abuse Principle” means the principle explained in the CJEU Case C-255/02 Halifax and others.

“HMRC” means HM Revenue & Customs.

“Information” has the meaning given under section 84 of the FOIA.

“ITT” means the invitation to tender issued by the Authority in relation to the Contract.



“ITEPA” means the Income Tax (Earnings and Pensions) Act 2003.

“Law” means any law, statute, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, right within the meaning of Section 4(1) EU Withdrawal Act 2018 as amended by EU (Withdrawal Agreement) Act 2020, regulation, order, regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements of any regulatory body with which the Concessionaire is bound to comply.

“Law Enforcement Purposes” means as it is defined in the DPA.

“Losses” means losses, liabilities, damages, costs, fines and expenses (including legal fees on a solicitor/client basis) and disbursements and costs of investigation, litigation, settlement, judgment interest and penalties whether arising in contract, tort (including negligence), breach of statutory duty or otherwise.

“Material Breach” means a breach (including an anticipatory breach) that is serious in the widest sense of having a serious effect on the benefit which the Authority would otherwise derive from:

- (a) a substantial portion of the Contract; or
- (b) any of the obligations set out in clauses D1, E1, E2, E3, E7 or I4.

“MCA” means the Mental Capacity Act 2005 from time to time amended.

“MI Reports” mean the management information reports described in Schedule 5.

Modern Slavery Helpline means the point of contact for reporting suspicion, seeking help or advice and information on the subject of modern slavery available by telephone on 08000 121 700 or online at:

<https://www.modernslaveryhelpline.org/report>

“Month” means calendar month.

“MSA” means the Modern Slavery Act 2015.

“NICs” means National Insurance Contributions.

“Occasion of Tax Non-Compliance” means:

- (a) any tax return of the Concessionaire submitted to a Relevant Tax Authority on or after 1 October 2012 which is found on or after 1 April 2013 to be incorrect as a result of:
 - i) a Relevant Tax Authority successfully challenging the Concessionaire under the General Anti-Abuse Rule or the Halifax Abuse principle or under any tax rules or legislation that have an effect equivalent or similar to the General Anti-Abuse Rule or the Halifax Abuse Principle;



- ii) the failure of an avoidance scheme which the Concessionaire was involved in, and which was, or should have been, notified to the Relevant Tax Authority under the DOTAS or any equivalent or similar regime; and/or
- (b) any tax return of the Concessionaire submitted to a Relevant Tax Authority on or after 1 October 2012 gives rise on or after 1 April 2013 to a criminal conviction in any jurisdiction for tax related offences which is not spent at the Commencement Date or to a civil penalty for fraud or evasion.

“OPG” means Office of the Public Guardian, an executive agency of the Ministry of Justice.

“Personal Data” means as it is defined in the GDPR.

“Personal Data Breach” means as it is defined in the GDPR.

“Processor” means, where Personal Data is being processed for Law Enforcement Purposes, as it is defined in the LED; and in all other circumstances, as it is defined in GDPR.

“Prohibited Act” means:

- (a) to directly or indirectly offer, promise or give any person working for or engaged by the Authority a financial or other advantage to:
 - i) induce that person to perform improperly a relevant function or activity; or
 - ii) reward that person for improper performance of a relevant function or activity;
- (b) to directly or indirectly request, agree to receive or accept any financial or other advantage as an inducement or a reward for improper performance of a relevant function or activity in connection with the Contract;
- (c) an offence:
 - i) under the Bribery Act 2010 (or any legislation repealed or revoked by such Act;
 - ii) under legislation or common law concerning fraudulent acts; or
 - iii) the defrauding, attempting to defraud or conspiring to defraud the Authority;
- (d) any activity, practice or conduct which would constitute one of the offences listed under (c) above if such activity, practice or conduct has been carried out in the UK.

“Quality Standards” means the quality standards published by BSI British Standards, the National Standards Body of the United Kingdom, the International Organisation for Standardization (ISO) 9001:2015, 22301:2012, or other reputable or equivalent body (and their successor bodies) that a skilled and experienced operator in the same type of industry or business sector as the Concessionaire would reasonably and ordinarily be expected to comply with, and as may be further detailed in Schedule 1.

“Regulations” means the Concession Contracts Regulations 2016 (SI 2016/273) (as amended).

“Regulator Correspondence” means any correspondence from the Information Commissioner's Office, or any successor body, in relation to the processing of Personal Data under the Contract.



“Regulatory Body” means a government department and regulatory, statutory and other entities, committees, ombudsmen and bodies which, whether under statute, rules, regulations, codes of practice or otherwise, are entitled to regulate, investigate, or influence the matters dealt with in the Contract or any other affairs of the Authority.

“Regulator Correspondence” means any correspondence from the Information Commissioner's Office, or any successor body, in relation to the Processing of Personal Data under the Contract.

“Relevant Requirements” means all applicable Law relating to bribery, corruption and fraud, including the Bribery Act 2010 and any guidance issued by the Secretary of State for Justice pursuant to section 9 of the Bribery Act 2010.

“Relevant Tax Authority” means HMRC or, if applicable, a tax authority in the jurisdiction in which the Concessionaire is established.

“Replacement Concessionaire” means any third party contractor appointed by the Authority to provide any services which are substantially similar to any of the Services in substitution for any of the Services following the expiry, termination or partial termination of the Contract.

“Request for Information” means a request for information under the FOIA or the EIR.

“Restricted Country” means:

- a) any country outside the European Economic Area; and
- b) any country not deemed adequate by the European Commission pursuant to Article 25(6) of Directive 95/46/EC.

“Returning Employees” means those persons agreed by the Parties to be employed by the Concessionaire (and/or any Sub-Contractor) wholly or mainly in the supply of the Services immediately before the end of the Term.

“Services” means the services set out in Schedule 1 (including any modified or alternative services) that the Concessionaire is required to provide in respect of the Contract.

“Specific Change in Law” means a Change in Law that relates specifically to the business of the Authority and which would not affect a Comparable Supply.

“Specification” means the description of the Services to be provided under the Contract as set out in Schedule 1 including, where appropriate, the Quality Standards.

“SSCBA” means the Social Security Contributions and Benefits Act 1992.

“Staff” means all persons employed by the Concessionaire to perform its obligations under the Contract together with the Concessionaire's servants, agents, suppliers and Sub-Contractors used in the performance of its obligations under the Contract.

“Sub-Contract” means a contract between two or more suppliers, at any stage of remoteness from the Authority in a sub-contracting chain, made wholly or substantially for the purpose of performing (or



contributing to the performance of) the whole or any part of the Contract and **“Sub-Contractor”** shall be construed accordingly. **“Sub-Contract”** means any contract or agreement (or proposed contract or agreement) between the Concessionaire (or a Sub-Contractor) and any third party whereby that third party agrees to provide to the Concessionaire (or the Sub-Contractor) all or any part of the Services or facilities or services which are material for the provision of the Services (or any part thereof) or necessary for the management, direction or control of the Services (or any part thereof).

“Sub-Contractor” means any third party with whom:

- (a) the Concessionaire enters into a Sub-contract; or
- (b) a third party under (a) enters into a Sub-contract

or the servants or agents of that third party.

“Sub-processor” means any third party appointed to process Personal Data on behalf of the Concessionaire related to the Contract.

“Surety Bond” means an on demand guarantee and indemnity which is provided to a Deputy in writing by an Authorised Insurance Company or an Authorised Deposit Taker as required by and in accordance with the Mental Capacity Act 2005.

“Tender” means the Concessionaire’s tender submitted in response to the ITT for offers to supply the Services.

“Term” means the period from the Commencement Date to the End Date or such earlier date of termination or partial termination of the Contract in accordance with the Law or the Contract.

“Term” means the period from the Commencement Date to:

- (a) the End Date; or
- (b) following an Extension, the end date of the Extension

or such earlier date of termination or partial termination of the Contract in accordance with the Law or the Contract.

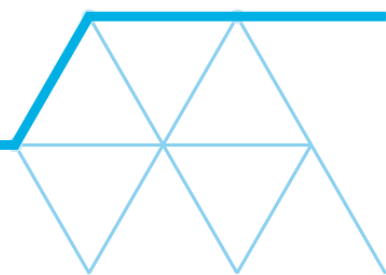
“TUPE” means the Transfer of Undertakings (Protection of Employment) Regulations 2006 (as amended).

“TUPE Information” means the information set out in clause B3.1.

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

In the Contract, unless the context implies otherwise:

- (a) the singular includes the plural and vice versa;



- (b) words importing the masculine include the feminine and the neuter;
- (c) reference to a clause is a reference to the whole of that clause unless stated otherwise;
- (d) references to a person include natural persons, a company, body corporate, corporation, unincorporated association, firm, partnership or other legal entity or central Government body;
- (e) the words “other”, “in particular”, “for example”, “including” and similar words shall not limit the generality of the preceding words and shall be construed as if they were immediately followed by the words “without limitation”;
- (f) headings are included for ease of reference only and shall not affect the interpretation or construction of the Contract;
- (g) the Schedules form an integral part of the Contract and have effect as if set out in full in the body of the Contract. A reference to the Contract includes the Schedules;
- (h) a reference to any Law includes a reference to that Law as amended, extended, consolidated or re-enacted from time to time;
- (i) references to re-enactment of any statute or statutory provision (including any subordinate legislation) include references to the preservation, continuation of effect, conversion or incorporation of any of them into the law of England and Wales, Scotland and Northern Ireland, whether by the European Union (Withdrawal) Act 2018 or any other legislation relating to the withdrawal of the United Kingdom from the European Union;
- (j) references to the Contract are references to the Contract as amended from time to time; in accordance with its terms; and
- (k) any reference in the Contract which immediately before Exit Day was a reference to (as it has effect from time to time):
 - (i) any EU regulation, EU decision, EU tertiary legislation or provision of the European Economic Area (“EEA”) agreement (“**EU References**”) which is to form part of domestic law by application of section 3 of the European Union (Withdrawal) Act 2018 shall be read as a reference to the EU References as they form part of domestic law by virtue of section 3 of the European Union (Withdrawal) Act 2018 as modified by domestic law from time to time; and
 - (ii) any EU institution or EU authority or other such EU body shall be read as a reference to the UK institution, authority or body to which its functions were transferred.
- (l) the definitions of Authorised Deposit Taker Authorised Insurance Company and are to be read with:
 - (a) section 22 of the Financial Services and Markets Act 2000;
 - (b) any relevant order under section 22 of the Financial Services and Markets Act 2000; and
 - (c) Schedule 2 to the Financial Services and Markets Act 2000.

A2 Authority Obligations

- A2.1 Save as otherwise expressly provided, the Authority’s obligations under the Contract are the Authority’s obligations in its capacity as a contracting counterparty and nothing in the Contract operates as an obligation upon, or in any other way fetters or constrains, the Authority in any other capacity, and the exercise by the Authority of its duties and powers in any other capacity shall not lead to any liability (howsoever arising) on the part of the Authority to the Concessionaire.



- A2.2 The exercise by the Authority of its duties and powers in any other capacity shall not make it liable to the Concessionaire in any way.

A3 Concessionaire's Status

- A3.1 The Concessionaire is an independent contractor and nothing in the Contract creates a contract of employment, a relationship of agency or partnership or a joint venture between the Parties and accordingly neither Party is authorised to act in the name of, or on behalf of, or otherwise bind the other Party save as expressly permitted by the Contract.
- A3.2 The Concessionaire shall not (and shall ensure that any other person engaged in relation to the Contract shall not) say or do anything that might lead another person to believe that the Concessionaire is acting as the agent or employee of the Authority.

A4 Mistakes in Information

The Concessionaire is responsible for the accuracy of all drawings, documentation and information supplied to the Authority by the Concessionaire in connection with the Services and shall pay the Authority any extra costs occasioned by or any Losses resulting from, any discrepancies, errors or omissions therein.

A5 Term

- A5.1 The Services will commence on 1 April 2023 (the "**Commencement Date**") and the Contract will end on 31 March 2027 (the "**End Date**") unless it is terminated early in accordance with the Contract.
- A5.2 The Authority may extend the term of the Contract X2, 12 month periods until 31 March 2029 ("**Extension**"). The terms of the Contract will apply throughout the period of any Extension.

B. THE SERVICES CONCESSION

B1 Basis of the Contract

- B1.1 In consideration of the Concessionaire being granted the right by the Authority to operate the Concession, the Concessionaire shall supply the Services and perform its obligations under the Contract.
- B1.2 The Concessionaire shall operate the Concession:
- (a) in a timely and professional manner;
 - (b) in accordance with the Specification; and
 - (c) in accordance with the timescales and KPIs listed in Schedule 1.
- B1.3 The Concessionaire shall perform its obligations under the Contract:



- (a) with appropriately experienced, qualified, and trained personnel with all due skill, care, and diligence.
- (b) in accordance with Good Industry Practice; and
- (c) in compliance with all applicable Laws.

B1.4 The Concessionaire shall at all times comply with the Quality Standards and, where applicable, shall maintain accreditation with the relevant Quality Standards authorisation body. To the extent that no quality standards have been specified in the Contract, the Concessionaire shall agree the relevant quality standard with the Authority prior to the commencement of supply of the Services, and, in any event, the Concessionaire shall operate the Concession in accordance with the Law and Good Industry Practice.

B1.5 The Concessionaire shall ensure that all Staff supplying the Services do so with all due skill, care and diligence and shall possess such qualifications, skills, and experience as are necessary for the proper supply of the Services. The Concessionaire shall ensure that those Staff are properly managed and supervised.

B1.6 During the Term, the Concessionaire shall:

- (a) at all times have all licences, approvals and consents necessary to enable the Concessionaire and Staff to operate the Concession in accordance with this Contract;
- (b) provide all premises, facilities, and resources (or procure the provision of the same) necessary for the operation of the Concession; and
- (c) not, in operating the Concession, in any manner endanger the safety or convenience of the public.

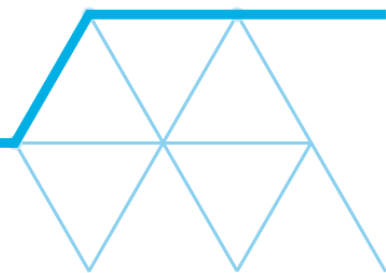
B1.7 The Authority shall not be a party to any contract entered into between a Deputy and the Concessionaire and shall not act as an agent or employee of the Concessionaire in relation to such contract.

B1.8 The terms and conditions contained in the Contract apply to the exclusion of any other terms and conditions the Concessionaire seeks to impose or incorporate, or which are implied by trade, custom, practice or course of dealing.

B1.9 The Concessionaire hereby acknowledges that the Authority does not guarantee an exclusive right to provide a Surety Bond to all Deputies who may need one. Deputies may choose to use acquire a Surety Bond from the Concessionaire or any other provider of Surety Bonds available.

B2 Due Diligence

Save as the Authority may otherwise direct, the Concessionaire is deemed to have completed due diligence in relation to all matters connected with the performance of its obligations under the Contract before submitting its Tender.



B3 Employment

- B3.1 No later than 12 Months prior to the end of the Term, the Concessionaire shall fully and accurately disclose to the Authority all information the Authority may reasonably request in relation to the Staff including the following:
- (a) the total number of Staff whose employment/engagement terminates at the end of the Term, save for any operation of Law;
 - (b) the age, gender, salary or other remuneration, future pay settlements and redundancy and pensions entitlement of the Staff referred to in clause B3.1 (a);
 - (c) the terms and conditions of employment/engagement of the Staff referred to in clause B3.1 (a), their job titles and qualifications;
 - (d) their immigration status;
 - (e) details of any current disciplinary or grievance proceedings ongoing or circumstances likely to give rise to such proceedings and details of any claims current or threatened; and
 - (f) details of all collective agreements with a brief summary of the current state of negotiations with any such bodies and with details of any current industrial disputes and claims for recognition by any trade union.
- B3.2 At intervals determined by the Authority (which shall not be more frequent than once every 30 days) the Concessionaire shall give the Authority updated TUPE Information.
- B3.3 Each time the Concessionaire supplies TUPE Information to the Authority it warrants its completeness and accuracy, and the Authority may assign the benefit of this warranty to any Replacement Concessionaire.
- B3.4 The Authority may use TUPE Information it receives from the Concessionaire for the purposes of TUPE and/or any retendering process in order to ensure an effective handover of all work in progress at the end of the Term. The Concessionaire shall provide the Replacement Concessionaire with such assistance as it shall reasonably request.
- B3.5 If TUPE applies to the transfer of the Services on termination or partial termination of the Contract, the Concessionaire indemnifies and keeps indemnified the Authority, the Crown and any Replacement Concessionaire against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other liabilities which the Authority or the Crown or any Replacement Concessionaire may suffer or incur as a result of or in connection with:
- (a) the provision of TUPE Information;
 - (b) any claim or demand by any Returning Employee (whether in contract, tort, under statute, pursuant to EU Law or otherwise) in each case arising directly or indirectly from any act, fault or omission of the Concessionaire or any Sub-Contractor in respect of any Returning Employee on or before the end of the Term;



- (c) any failure by the Concessionaire or any Sub-Contractor to comply with its obligations under regulations 13 or 14 of TUPE or any award of compensation under regulation 15 of TUPE save where such failure arises from the failure of the Authority or a Replacement Concessionaire to comply with its duties under regulation 13 of TUPE;
- (d) any claim (including any individual employee entitlement under or consequent on such a claim) by any trade union or other body or person representing any Returning Employees arising from or connected with any failure by the Concessionaire or any Sub-Contractor to comply with any legal obligation to such trade union, body or person; and
- (e) any claim by any person who is transferred by the Concessionaire to the Authority and/or a Replacement Concessionaire whose name is not included in the list of Returning Employees.

B3.6 If the Concessionaire is aware that TUPE Information has become inaccurate or misleading, it shall notify the Authority and provide the Authority with up to date and accurate TUPE Information.

B3.7 This clause B3 applies during the Term and indefinitely thereafter.

B3.8 The Concessionaire undertakes to the Authority that, during the 12 Months prior to the end of the Term the Concessionaire shall not (and shall procure that any Sub-Contractor shall not) without Approval (such Approval not to be unreasonably withheld or delayed):

- (a) amend or vary (or purport to amend or vary) the terms and conditions of employment or engagement (including, for the avoidance of doubt, pay) of any Staff (other than where such amendment or variation has previously been agreed between the Concessionaire and the Staff in the normal course of business and where any such amendment or variation is not in any way related to the transfer of the Services);
- (b) terminate or give notice to terminate the employment or engagement of any Staff (other than in circumstances in which the termination is for reasons of misconduct or lack of capability);
- (c) transfer away, remove, reduce or vary the involvement of any other Staff from or in the provision of the Services (other than where such transfer or removal: (i) was planned as part of the individual's career development; (ii) takes place in the normal course of business; and (iii) will not have any adverse impact upon the delivery of the Services by the Concessionaire, (provided that any such transfer, removal, reduction or variation is not in any way related to the transfer of the Services); or
- (d) recruit or bring in any new or additional individuals to provide the Services who were not already involved in providing the Services prior to the relevant period.

C PAYMENT

C1 Fees



- C1.1 The Concessionaire shall provide Services via the Concession at its own cost and expense and the Authority shall have no obligation under the Contract in respect of any payment for Services or for any liability if the Concessionaire is unable to recover its costs in operating the Concession including supplying Services. Risk in the operation of the Concession vests in the Concessionaire.
- C1.2 The amounts charged to Deputies for the provision of Services by the Concessionaire shall not exceed the Fees.
- C1.3 Any revenue received from the operation of the Concession may be retained by the Concessionaire. The Concessionaire shall be responsible for the payment of any taxes, including VAT if applicable, and shall comply with the provision of clause E7.
- C1.4 Subject to clause F4 the Fees shall apply for the Term including any Extension.

D. STATUTORY OBLIGATIONS

D1 Fraud and Bribery

- D1.1 The Concessionaire represents and warrants that neither it, nor to the best of its knowledge any Staff, have at any time prior to the Commencement Date:
- (a) committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act; and/or
 - (b) been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act.
- D1.2 The Concessionaire shall not during the Term:
- (a) commit a Prohibited Act; and/or
 - (b) do or suffer anything to be done which would cause the Authority or any of its employees, consultants, contractors, sub-contractors, or agents to contravene any of the Relevant Requirements or otherwise incur any liability in relation to the Relevant Requirements.
- D1.3 The Concessionaire shall, during the Term:
- (a) establish, maintain, and enforce, and require that its Sub-Contractors establish, maintain and enforce, policies and procedures which are adequate to ensure compliance with the Relevant Requirements and prevent the occurrence of a Prohibited Act; and
 - (b) keep appropriate records of its compliance with its obligations under clause D1.3(a) and make such records available to the Authority on request.
- D1.4 The Concessionaire shall immediately notify the Authority in writing if it becomes aware of any breach of clauses D1.1 and/or D1.2, or has reason to believe that it has or any of the Staff have:



- (a) been subject to an investigation or prosecution which relates to an alleged Prohibited Act;
- (b) been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act; and/or
- (c) received a request or demand for any undue financial or other advantage of any kind in connection with the performance of the Contract or otherwise suspects that any person directly or indirectly connected with the Contract has committed or attempted to commit a Prohibited Act.

D1.5 If the Concessionaire notifies the Authority pursuant to clause D1.4, the Concessionaire shall respond promptly to the Authority's enquiries, co-operate with any investigation, and allow the Authority to Audit any books, records and/or any other relevant documentation.

D1.6 If the Concessionaire is in Default under clauses D1.1 and/or D1.2, the Authority may by notice:

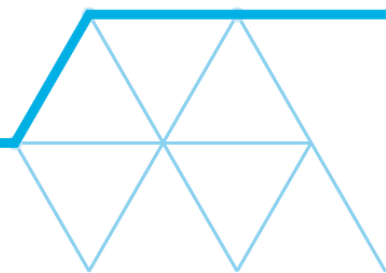
- (a) require the Concessionaire to remove from performance of the Contract any Staff whose acts or omissions have caused the Default; or
- (b) immediately terminate the Contract.

D1.7 Any notice served by the Authority under clause D1.6 shall specify the nature of the Prohibited Act, the identity of the party who the Authority believes has committed the Prohibited Act and the action that the Authority has taken (including, where relevant, the date on which the Contract terminates).

D2 Equality

D2.1 The Concessionaire shall:

- (a) perform its obligations under the Contract in accordance with:
 - i) all applicable equality Law (whether in relation to race, sex, gender reassignment, age, disability, sexual orientation, religion or belief, pregnancy maternity or otherwise);
 - ii) the Authority's equality and diversity policy as given to the Concessionaire from time to time;
 - iii) any other requirements and instructions which the Authority reasonably imposes in connection with any equality obligations imposed on the Authority at any time under applicable equality Law; and



- (b) take all necessary steps and inform the Authority of the steps taken to prevent unlawful discrimination designated as such by any court or tribunal, or the Equality and Human Rights Commission (or any successor organisation).

D3 Health and Safety

D3.1 The Concessionaire shall perform its obligations under the Contract in accordance with:

- (a) all applicable Law regarding health and safety; and
- (b) the Authority's health and safety policy while at Authority premises.

D3.2 Each Party shall notify the other as soon as practicable of any health and safety incidents or material health and safety hazards at Authority premises of which it becomes aware and which relate to or arise in connection with the performance of the Contract. The Concessionaire shall instruct Staff to adopt any necessary associated safety measures in order to manage any such material health and safety hazards.

D4 Modern Slavery Act

D4.1 The Concessionaire shall, and procure that each of its Sub-Contractors shall, comply with:

- (a) all applicable laws, statutes, regulations, and codes from time to time in force including but not limited to the MSA; and
- (b) the Authority's anti-slavery policy as provided to the Concessionaire from time to time ("**Anti-slavery Policy**").

D4.2 The Concessionaire shall:

- (a) implement due diligence procedures for its Sub-Contractors and other participants in its supply chains, to ensure that there is no slavery or trafficking in its supply chains;
- (b) respond promptly to all slavery and trafficking due diligence questionnaires issued to it by the Authority from time to time and shall ensure that its responses to all such questionnaires are complete and accurate;
- (c) prepare and deliver to the Authority each year, an annual slavery and trafficking report setting out the steps it has taken to ensure that slavery and trafficking is not taking place in any of its supply chains or in any part of its business;
- (d) maintain a complete set of records to trace the supply chain of all Services provided to the Authority in connection with the Contract; and
- (e) report the discovery or suspicion of any slavery or trafficking by it or its Sub-Contractors to the Authority and to the Modern Slavery Helpline; and



- (f) implement a system of training for its employees to ensure compliance with the MSA including highlighting to its employees the existence and contact details of the Modern Slavery Helpline.

D4.3 The Concessionaire represents, warrants, and undertakes on an ongoing basis during the Term that:

- (a) it conducts its business in a manner consistent with all applicable laws, regulations and codes including, the Slavery Act and all analogous legislation in place in any part of the world;
- (b) its responses to all slavery and trafficking due diligence questionnaires issued to it by the Authority from time to time are complete and accurate;
- (c) neither the Concessionaire nor any of its Staff or any other persons associated with it:
 - i) has been convicted of any offence involving slavery and trafficking; or
 - ii) has been or is the subject of any investigation, inquiry, or enforcement proceedings by any governmental, administrative, or regulatory body regarding any offence in connection with slavery and trafficking.

D4.4 The Concessionaire shall notify the Authority as soon as it becomes aware of:

- (a) any breach, or potential breach, of the Anti-Slavery Policy; or
- (b) any actual or suspected slavery or trafficking in a supply chain which is connected with the Contract.

D4.5 If the Concessionaire notifies the Authority pursuant to clause D4.4, it shall respond promptly to the Authority's enquiries, co-operate with any investigation, and allow the Authority to Audit any books, Records and/or any other relevant documentation in accordance with the Contract.

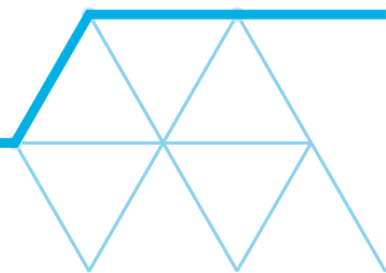
D4.6 If the Concessionaire is in Default under clauses D4.2 or D4.3 the Authority may by notice:

- (a) require the Concessionaire to remove from performance of the Contract any Staff or other persons associated with it whose acts or omissions have caused the Default; or
- (b) immediately terminate the Contract.

E PROTECTION OF INFORMATION

E1 Data Protection and Privacy

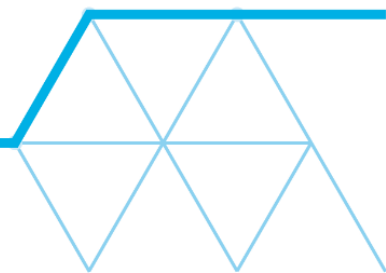
E1.1 The Concessionaire shall:



- (a) (and shall procure that all its Staff) comply with any notification requirements under Data Protection Legislation and both Parties will duly observe all their obligations under Data Protection Legislation which arise in connection with the Contract;
- (b) in conjunction with the Authority, in its own right and in respect of the Services, make all necessary preparations to ensure it is compliant with Data Protection Legislation; and
- (c) provide the Authority with the contact details of its data protection officer or other designated individual with responsibility for data protection and privacy to act as the point of contact for the purpose of observing its obligations in this clause E1.
- (d) notify the Authority immediately if it considers any Authority instructions infringe the Data Protection Legislation;
- (e) at its own cost, provide all reasonable assistance to the Authority in the preparation of any Data Protection Impact Assessment prior to starting any processing. Such assistance may, at the Authority's discretion, include:

E1.2 Notwithstanding the obligation in clause E1.1, the Concessionaire shall:

- (a) notify the Authority immediately if it considers any Authority instructions infringe the Data Protection Legislation;
- (b) prior to the processing of any Personal Data and if requested by the Authority provide a privacy impact assessment to the Authority which shall include;
 - i. a systematic description of the envisaged processing operations and the purpose of the processing;
 - ii. an assessment of the necessity and proportionality on the processing operations in relation to the Services;
 - iii. an assessment of the risks to the rights and freedoms of Data Subjects; and
 - iv. the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data
- (c) in relation to any Personal Data processed in connection with its obligations under the Contract:
 - i) process that Personal Data only in accordance with Schedule 5 unless the Concessionaire is required to do otherwise by Law. If it is so required, the Concessionaire shall promptly notify the Authority before processing the Personal Data unless prohibited by Law;



- ii) ensure that it has in place Protective Measures which are appropriate to protect against a Data Loss Event having taken account of the nature of the data to be protected, harm that might result from a Data Loss Event, the state of technological development and the cost of implementing any measures
- (d) ensure that:
 - i) Staff do not process Personal Data except in accordance with the Contract (and in particular Schedule 5;
 - ii) it takes all reasonable steps to ensure the reliability and integrity of any Staff who have access to Personal Data and ensure that they:
 - A) are aware of and comply with the Concessionaire's duties under this clause E1;
 - B) are subject to appropriate confidentiality undertakings with the Concessionaire 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 Authority or as otherwise allowed under the Contract;
 - D) have undergone adequate training in the use, care, protection, and handling of the Personal Data
- (e) not transfer Personal Data outside the UK or EEA unless Approved and:
 - i) the Authority or the Concessionaire has provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or s.75 of the DPA) as determined by the Authority;
 - ii) the Data Subject has enforceable rights and effective legal remedies;
 - iii) the Concessionaire 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 Authority in meeting its obligations); and
 - iv) the Concessionaire complies with any reasonable instructions notified to it in advance by the Authority with respect to the processing of the Personal Data
- (f) at the written direction of the Authority, delete or return Personal Data (and any copies of it) to the Authority on termination of the Contract unless the Concessionaire is required by Law to retain the Personal Data;
- (g) subject to clause E1.3, notify the Authority immediately if it:
 - i) receives a Data Subject Request (or purported Data Subject Request);



- ii) receives a request to rectify, block or erase any Personal Data;
- iii) receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
- iv) receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data processed under the Contract;
- v) 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
- vi) becomes aware of a Data Loss Event.

E1.3 The Concessionaire's obligation to notify under clause E1.2(g) includes the provision of further information to the Authority in phases as details become available.

E1.4 Taking into account the nature of the processing, the Concessionaire shall provide the Authority with full assistance in relation to either Party's obligations under the Data Protection Legislation and any complaint, communication or request made under clause E1.2(g) (and insofar as possible within the timescales reasonably required by the Authority) including by promptly providing:

- (a) the Authority with full details and copies of the complaint, communication or request;
- (b) such assistance as is reasonably requested by the Authority to enable the Authority to comply with a Data Subject Request within the relevant timescales set out in the Data Protection Legislation;
- (c) the Authority, at its request, with any Personal Data it holds in relation to a Data Subject;
- (d) assistance as requested by the Authority following any Data Loss Event; and
- (e) assistance as requested by the Authority with respect to any request from the Information Commissioner's Office or any consultation by the Authority with the Information Commissioner's Office.

E1.5 The Concessionaire shall maintain complete and accurate records and information to demonstrate its compliance with clause E1. This requirement does not apply if the Concessionaire employs fewer than 250 people unless the Authority determines that the processing:

- (a) is not occasional;
- (b) 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; and



(c) is likely to result in a risk to the rights and freedoms of Data Subjects.

- E1.6 The Concessionaire shall allow audits of its Data Processing activity by the Authority or the Authority's designated auditor.
- E1.7 The Concessionaire shall designate a Data Protection Officer if required by the Data Protection Legislation.
- E1.8 Before allowing any Sub-processor to process any Personal Data in connection with the Contract, the Concessionaire shall:
- (a) notify the Authority in writing of the intended Sub-processor and processing;
 - (b) obtain Approval;
 - (c) enter into a written agreement with the Sub-processor which gives effect to the terms set out in clause E1 such that they apply to the Sub-processor; and
 - (d) provide the Authority with such information regarding the Sub-processor as the Authority reasonably requires.
- E1.9 The Concessionaire remains fully liable for the acts and omissions of any Sub-processor.
- E1.10 Notwithstanding the provisions of clause F4, the Authority may, at any time on not less than 30 Working Days' notice, revise clause E1 by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to the Contract).
- E1.11 The Parties shall take account of any guidance published by the Information Commissioner's Office and, notwithstanding the provisions of clause F4, the Authority may on not less than 30 Working Days' notice to the Concessionaire amend the Contract to ensure that it complies with any guidance published by the Information Commissioner's Office.
- E1.12 In relation to Personal Data processed for Law Enforcement Purposes, the Concessionaire shall:
- (a) maintain logs for its automated processing operations in respect of:
 - i) collection;
 - ii) alteration;
 - iii) consultation;
 - iv) disclosure (including transfers);
 - v) combination; and
 - vi) erasure.



(together the “**Logs**”).

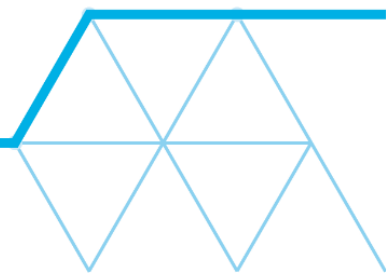
- (b) ensure that:
 - i) the Logs of consultation make it possible to establish the justification for, and date and time of, the consultation; and as far as possible, the identity of the person who consulted the data;
 - ii) the Logs of disclosure make it possible to establish the justification for, and date and time of, the disclosure; and the identity of the recipients of the data; and
 - iii) the Logs are made available to the Information Commissioner’s Office on request
- (c) use the Logs only to:
 - i) verify the lawfulness of processing;
 - ii) assist with self-monitoring by the Authority or (as the case may be) the Concessionaire, including the conduct of internal disciplinary proceedings;
 - iii) ensure the integrity of Personal Data; and
 - iv) assist with criminal proceedings
- (d) as far as possible, distinguish between Personal Data based on fact and Personal Data based on personal assessments; and
- (e) where relevant and as far as possible, maintain a clear distinction between Personal Data relating to different categories of Data Subject, for example:
 - i) persons suspected of having committed or being about to commit a criminal offence;
 - ii) persons convicted of a criminal offence;
 - iii) persons who are or maybe victims of a criminal offence; and
 - iv) witnesses or other persons with information about offences.

E1.13 This clause E1 applies during the Term and indefinitely after its expiry.

E2 Official Secrets Acts and Finance Act

E2.1 The Concessionaire shall comply with:

- (a) the Official Secrets Acts 1911 to 1989; and



(b) section 182 of the Finance Act 1989.

E3 Confidential Information

- E3.1 Except to the extent set out in this clause E3 or if disclosure or publication is expressly allowed elsewhere in the Contract each Party shall treat all Confidential Information belonging to the other Party as confidential and shall not disclose any Confidential Information belonging to the other Party to any other person without the other Party's consent, except to such persons and to such extent as may be necessary for the performance of the Party's obligations under the Contract.
- E3.2 The Concessionaire hereby gives its consent for the Authority to publish the whole Contract (but with any information which is Confidential Information belonging to the Authority redacted) including from time-to-time agreed changes to the Contract, to the general public.
- E3.3 If required by the Authority, the Concessionaire shall ensure that Staff, professional advisors, and consultants sign a non-disclosure agreement prior to commencing any work in connection with the Contract in a form approved by the Authority. The Concessionaire shall maintain a list of the non-disclosure agreements completed in accordance with this clause E3.3.
- E3.4 If requested by the Authority, the Concessionaire shall give the Authority a copy of the list and, subsequently upon request by the Authority, copies of such of the listed non-disclosure agreements as required by the Authority. The Concessionaire shall ensure that Staff, professional advisors and consultants are aware of the Concessionaire's confidentiality obligations under the Contract.
- E3.5 The Concessionaire may disclose the Authority's Confidential Information only to Staff who are directly involved in providing the Services and who need to know the information, and shall ensure that such Staff are aware of and shall comply with these obligations as to confidentiality.
- E3.6 The Concessionaire shall not, and shall procure that the Staff do not, use any of the Authority's Confidential Information received otherwise than for the purposes of the Contract.
- E3.7 Clause E3.1 shall not apply to the extent that:
- (a) such disclosure is a requirement of Law placed upon the Party making the disclosure, including any requirements for disclosure under the FOIA or the EIR;
 - (b) such information was in the possession of the Party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;
 - (c) such information was obtained from a third party without obligation of confidentiality;
 - (d) such information was already in the public domain at the time of disclosure otherwise than by a breach of the Contract (or any other contract between the Authority and the Concessionaire; or



- (e) it is independently developed without access to the other Party's Confidential Information.

E3.8 Nothing in clause E3.1 prevents the Authority disclosing any Confidential Information obtained from the Concessionaire:

- (a) for the purpose of the examination and certification of the Authority's accounts;
- (b) for the purpose of 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;
- (a) to Parliament and Parliamentary committees;
- (d) to any Crown Body or any Contracting Authority and the Concessionaire hereby acknowledges that all government departments or Contracting Authorities receiving such Confidential Information may further disclose the Confidential Information to other government departments or other Contracting Authorities on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any government department or any Contracting Authority; or
- (e) to any consultant, contractor or other person engaged by the Authority

provided that in disclosing information under clauses E3.8 (d) and (e) the Authority discloses only the information which is necessary for the purpose concerned and requests that the information is treated in confidence and that a confidentiality undertaking is given where appropriate.

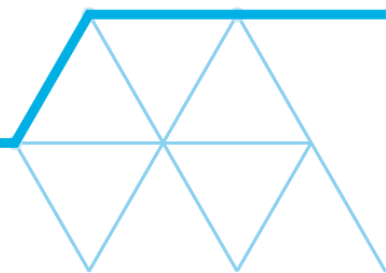
E3.9 The Authority shall use reasonable endeavours to ensure that any government department, Contracting Authority, employee, third party or Sub-Contractor to whom the Concessionaire's Confidential Information is disclosed pursuant to clause E3.6 is made aware of the Authority's obligations of confidentiality.

E3.10 If the Concessionaire does not comply with clauses E3.1 to E3.8 the Authority may terminate the Contract immediately on notice.

E3.11 To ensure that no unauthorised person gains access to any Confidential Information or any data obtained in the supply of the Services, the Concessionaire shall maintain adequate security arrangements and keep it in secure custody (which is appropriate depending upon the form in which such materials are stored and the nature of the Confidential Information contained in those materials).

E3.12 The Concessionaire shall:

- (a) immediately notify the Authority of any breach of security in relation to Confidential Information and all data obtained in the supply of the Services and will keep a record of such breaches;
- (b) use best endeavours to recover such Confidential Information or data however it may be recorded;



- (c) co-operate with the Authority in any investigation as a result of any breach of security in relation to Confidential Information or data; and
- (d) at its own expense, alter any security systems at any time during the Term at the Authority's request if the Authority reasonably believes the Concessionaire has failed to comply with clause E3.11.

E4 Freedom of Information

- E4.1 The Concessionaire acknowledges that the Authority is subject to the requirements of the FOIA and the EIR.
- E4.2 The Concessionaire shall transfer to the Authority all Requests for Information that it receives as soon as practicable and in any event within 2 Working Days of receipt and shall:
 - (a) give the Authority a copy of all Information in its possession or control in the form that the Authority requires within 5 Working Days (or such other period as the Authority may specify) of the Authority's request;
 - (b) provide all necessary assistance as reasonably requested by the Authority to enable the Authority to comply with its obligations under the FOIA and EIR; and
 - (c) not respond to directly to a Request for Information unless authorised to do so in writing by the Authority.
- E4.3 The Authority shall determine in its absolute discretion and notwithstanding any other provision in the Contract or any other agreement whether the Commercially Sensitive Information and any other Information is exempt from disclosure in accordance with the FOIA and/or the EIR.
- E4.4 The Concessionaire acknowledges that the Authority may be required under the FOIA and EIRs to disclose Information (including Commercially Sensitive Information) without consulting or obtaining consent from the Concessionaire.

E5 Publicity, Media and Official Enquiries

- E5.1 Without prejudice to the Authority's obligations under the FOIA, the EIR or any obligations under the Regulations or any policy requirements as to transparency, neither Party shall make any press announcement or publicise the Contract or any part thereof in any way, without the written consent of the other Party.
- E5.2 The Concessionaire shall use reasonable endeavours to ensure that its Staff, professional advisors and consultants comply with clause E5.1.

E6 Audit

- E6.1 The Concessionaire (and its agents) shall:



- (a) keep and maintain until 6 years after the end of the Term, or after the last Surety Bond has expired, whichever is the later, or as long a period as may be agreed between the Parties, full and accurate records of the Contract including the Services supplied under it, and all Fees received from Deputies;
- (b) on request afford the Authority or the Authority's representatives such access to those records and processes as may be requested by the Authority in connection with the Contract;
- (c) make available to the Authority, free of charge, whenever requested, copies of audit reports obtained by the Concessionaire in relation to the Services;
- (d) allow authorised representatives of the Authority and/or the National Audit Office to examine the Concessionaire's records and documents relating to the Contract may, during the Term and for a period of 18 Months thereafter, assess compliance by the Concessionaire of the Concessionaire's obligations under the Contract and provide such copies and oral or written explanations as may reasonably be required, including to;
 - (i) verify the Concessionaire's compliance with the Contract and applicable Law;
 - (ii) identify or investigate actual or suspected fraud, impropriety or accounting mistakes or any breach or threatened breach of security and in these circumstances the Authority has no obligation to inform the Concessionaire of the purpose or objective of its investigations;
 - (iii) identify or investigate any circumstances which may impact upon the financial stability of the Concessionaire and/or any guarantor or their ability to perform the Services;
 - (iv) obtain such information as is necessary to fulfil the Authority's obligations to supply information for parliamentary, ministerial, judicial or administrative purposes;
 - (v) verify the accuracy and completeness of any management information or reports delivered or required by the Contract;
 - (vi) review the Concessionaire's compliance with the Authority's policies and standards; and/or
 - (vii) review the integrity, confidentiality and security of the Authority Data; and
- (e) allow the Comptroller and Auditor General (and his appointed representatives) access free of charge during normal business hours on reasonable notice to all such documents (including computerised documents and data) and other information as the Comptroller and Auditor General may reasonably require for the purposes of his financial audit of the Authority and for carrying out examinations into the economy, efficiency and effectiveness with which the Authority has used its resources. The



Concessionaire shall provide such explanations as are reasonably required for these purposes.

E7 Tax Compliance

- E7.1 If, during the Term, an Occasion of Tax Non-Compliance occurs, the Concessionaire shall:
- (a) notify the Authority in writing of such fact within 5 Working Days of its occurrence; and
 - (b) promptly give the Authority:
 - i) details of the steps it is taking to address the Occasion of Tax Non-Compliance and to prevent the same from recurring, together with any mitigating factors it considers relevant; and
 - ii) such other information in relation to the Occasion of Tax Non-Compliance as the Authority may reasonably require.
- E7.2 If the Concessionaire or any Staff are liable to be taxed in the UK or to pay NICs in respect of consideration received under the Contract, the Concessionaire shall:
- (a) at all times comply with ITEPA and all other statutes and regulations relating to income tax, and SSCBA and all other statutes and regulations relating to NICs, in respect of that consideration; and
 - (b) indemnify the Authority against any income tax, NICs and social security contributions and any other liability, deduction, contribution, assessment or claim arising from or made in connection with the provision of the Services by the Concessionaire or any Staff.

F. CONTROL OF THE CONTRACT

F1 Contract Performance

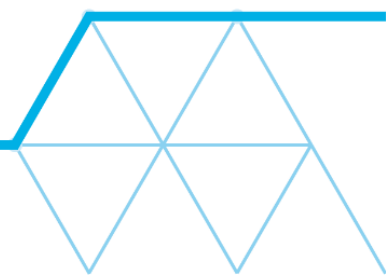
- F1.1 The Concessionaire shall immediately inform the Authority if any of the Services are not being or are unable to be performed, the reasons for non-performance, any corrective action and the date by which that action will be completed.
- F1.2 On or around 12 Months from the Commencement Date and each anniversary of the Commencement Date thereafter, the Authority may carry out a review of the performance of the Concessionaire (a “**Review**”). Without prejudice to the generality of the foregoing, the Authority may in respect of the period under review consider such items as (but not limited to):
- a) the Concessionaire's delivery of the Services;
 - b) whether the Services provide Deputies with best value for money and consideration of any changes which may need to be made to the Services; and
 - c) a review of future requirements in relation to the Services.



- F1.3 The Concessionaire shall provide at its own cost any assistance reasonably required by the Authority to perform Reviews including the provision of data and information.
- F1.4 The Authority may produce a report (a "**Review Report**") of the results of each Review stating any areas of exceptional performance and areas for improvement in the provision of the Services and where there is any shortfall in any aspect of performance reviewed as against the Authority's expectations and the Concessionaire's obligations under the Contract.
- F1.5 The Authority shall give the Concessionaire a copy of the Review Report (if applicable). The Authority shall consider any Concessionaire comments and may produce a revised Review Report.
- F1.6 The Concessionaire shall, within 10 Working Days of receipt of the Review Report (revised as appropriate) provide the Authority with a plan to address resolution of any shortcomings and implementation of improvements identified by the Review Report.
- F1.7 Actions required to resolve shortcomings and implement improvements (either as a consequence of the Concessionaire's failure to meet its obligations under the Contract identified by the Review Report, or those which result from the Concessionaire's failure to meet the Authority's expectations notified to the Concessionaire or of which the Concessionaire ought reasonably to have been aware) shall be implemented at no extra cost to the Authority.
- F1.8 The Concessionaire shall comply with the requirements set out in Schedule 5.

F2 Remedies

- F2.1 If the Authority reasonably believes the Concessionaire has committed a Material Breach it may, without prejudice to its rights under clause H2, do any of the following:
- (a) without terminating the Contract, itself supply or procure the supply of all or part of the Services until such time as the Concessionaire has demonstrated to the Authority's reasonable satisfaction that the Concessionaire will be able to supply the Services in accordance with the Specification;
 - (b) without terminating the whole of the Contract, terminate the Contract in respect of part of the Services only and thereafter itself supply or procure a third party to supply such part of the Services; and/or
 - (c) terminate the Contract in accordance with clause H2.
- F2.2 If the Authority reasonably believes the Concessionaire has failed to supply all or any part of the Services in accordance with the Contract, professional or Good Industry Practice which could reasonably be expected of a competent and suitably qualified person, or any legislative or regulatory requirement, the Authority may give the Concessionaire notice specifying the way in which its performance falls short of the requirements of the Contract or is otherwise unsatisfactory.
- F2.3 If the Concessionaire has been notified of a failure in accordance with clause F2.2 the Authority may direct the Concessionaire to identify and remedy the failure within such time as

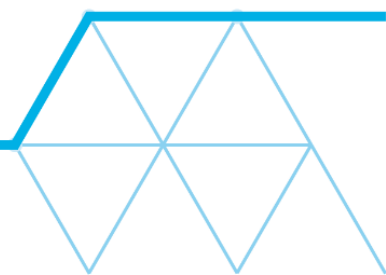


may be specified by the Authority and to apply all such additional resources as are necessary to remedy that failure at no charge to the Authority within the specified timescale.

- F2.4 If the Concessionaire has been notified of a failure in accordance with clause F2.2, it shall:
- (a) use all reasonable endeavours to immediately minimise the impact of such failure to the Authority and to prevent such failure from recurring; and
 - (b) immediately give the Authority such information as the Authority may request regarding what measures are being taken to comply with the obligations in this clause F2.4 and the progress of those measures until resolved to the satisfaction of the Authority.
- F2.5 If, having been notified of any failure, the Concessionaire fails to remedy it in accordance with clause F2.4 within the time specified by the Authority, the Authority may treat the continuing failure as a Material Breach and may terminate the Contract immediately on notice to the Concessionaire.

F3 Transfer and Sub-Contracting

- F3.1 Except where both clauses F3.6 and F3.7 apply, the Concessionaire shall not transfer, charge, assign, sub-contract or in any other way dispose of the Contract or any part of it without Approval. All such actions shall be evidenced in writing and shown to the Authority on request. Sub-contracting any part of the Contract does not relieve the Concessionaire of any of its obligations or duties under the Contract.
- F3.2 The Concessionaire is responsible for the acts and/or omissions of its Sub-Contractors as though they are its own. If it is appropriate, the Concessionaire shall provide each Sub-Contractor with a copy of the Contract and obtain written confirmation from them that they will provide the Services fully in accordance with the Contract.
- F3.3 The Concessionaire shall ensure that Sub-Contractors retain all records relating to the Services for at least 6 years from the date of their creation and make them available to the Authority on request in accordance with clause E9 (Audit). If any Sub-Contractor does not allow the Authority access to the records, then the Authority shall have no obligation to pay any claim or invoice made by the Concessionaire on the basis of such documents or work carried out by the Sub-Contractor.
- F3.4 If the Authority has consented to the award of a Sub-Contract, the Concessionaire shall ensure that:
- (a) the Sub-Contract contains:
 - i) a right for the Concessionaire to terminate the Sub-Contract if the relevant Sub-Contractor does not comply with its legal obligations in data protection, environmental, social or labour law; and
 - ii) obligations no less onerous on the Sub-Contractor than those on the Concessionaire under the Contract in respect of data protection in clause E1



- (b) the Sub-Contractor includes a provision having the same effect as set out in clause F3.4 (a) in any Sub-Contract which it awards; and
- (c) copies of each Sub-Contract are sent to the Authority immediately after their execution.

F3.5 Subject to clause F3.6, the Authority may assign, novate or otherwise dispose of its rights and obligations under the Contract or any part thereof to:

- (a) any Contracting Authority;
- (b) any other body established or authorised by the Crown or under statute in order substantially to perform any of the functions that had previously been performed by the Authority; or
- (c) any private sector body which substantially performs the functions of the Authority,

provided that any such assignment, novation or other disposal shall not increase the burden of the Concessionaire's obligations under the Contract.

F3.6 Any change in the legal status of the Authority such that it ceases to be a Contracting Authority shall not, subject to clause F3.7, affect the validity of the Contract and the Contract shall bind and inure to the benefit of any successor body to the Authority.

F3.7 If the rights and obligations under the Contract are assigned, novated or otherwise disposed of pursuant to clause F3.5 to a body which is not a Contracting Authority or if there is a change in the legal status of the Authority such that it ceases to be a Contracting Authority (in the remainder of this clause both such bodies being referred to as the **"Transferee"**):

- (a) the rights of termination of the Authority in clauses H1 and H2 are available to the Concessionaire in respect of the Transferee; and
- (b) the Transferee shall only be able to assign, novate or otherwise dispose of its rights and obligations under the Contract or any part thereof with the prior consent in writing of the Concessionaire.

F3.8 The Authority may disclose to any Transferee any Confidential Information of the Concessionaire which relates to the performance of the Concessionaire's obligations under the Contract. In such circumstances the Authority shall authorise the Transferee to use such Confidential Information only for purposes relating to the performance of the Concessionaire's obligations under the Contract and for no other purpose and shall take all reasonable steps to ensure that the Transferee gives a confidentiality undertaking in relation to such Confidential Information.

F3.9 Each Party shall at its own cost and expense carry out, or use all reasonable endeavours to ensure the carrying out of, whatever further actions (including the execution of further documents) the other Party reasonably requires from time to time for the purpose of giving that other Party the full benefit of the Contract.

F4 Change



- F4.1 If, after the Commencement Date, the Authority's requirements change, the Authority may request a Change subject to the terms of this clause F4.
- F4.2 The Authority may request a Change by notifying the Concessionaire in writing of the Change and giving the Concessionaire sufficient information to assess the extent of the Change and consider whether any change to the Fees is required in order to implement the Change within a reasonable time limit specified by the Authority. If the Concessionaire accepts the Change it shall confirm it in writing.
- F4.3 If the Concessionaire is unable to accept the Change or where the Parties are unable to agree a change to the Fees, the Authority may:
- (a) allow the Concessionaire to fulfil its obligations under the Contract without the Change; or
 - (b) terminate the Contract immediately except where the Concessionaire has already delivered all or part of the Services or where the Concessionaire can show evidence of substantial work being carried out to fulfil the requirements of the Specification; and in such case the Parties shall attempt to agree upon a resolution to the matter. If a resolution cannot be reached, the matter shall be dealt with under the Dispute Resolution procedure detailed in clause I2.
- F4.4 A Change takes effect only when it is recorded in a CCN validly executed by both Parties.
- F4.5 The Concessionaire is deemed to warrant and represent that the CCN has been executed by a duly authorised representative of the Concessionaire in addition to the warranties and representations set out in clause G2.
- F4.6 Clauses F4.4 and F4.5 may be varied in an emergency if it is not practicable to obtain the Authorised Representative's approval within the time necessary to make the Change in order to address the emergency. In an emergency, Changes may be approved by a different representative of the Authority. However, the Authorised Representative may review such a Change and require a CCN to be entered into on a retrospective basis which may itself vary the emergency Change.

G LIABILITIES

G1 Liability, Indemnity and Insurance

- G1.1 Neither Party limits its liability for:
- (a) death or personal injury caused by its negligence or that of its employees, agents or Sub-Contractors;
 - (b) fraud or fraudulent misrepresentation by it or its employees;
 - (c) any breach of any obligations implied by section 12 of the Sale of Goods Act 1979 or section 2 of the Supply of Goods and Services Act 1982;
 - (d) any breach of clauses D1, E1 or E2; or



(e) any liability to the extent it cannot be limited or excluded by Law.

- G1.2 Subject to clause G1.3, the Concessionaire indemnifies the Authority fully against all claims, proceedings, demands, charges, actions, damages, costs, breach of statutory duty, expenses and any other liabilities which may arise out of the supply, or the late or purported supply, of the Services or the performance or non-performance by the Concessionaire of its obligations under the Contract or the presence of the Concessionaire or any Staff on Authority premises, including in respect of any death or personal injury, loss of or damage to property, financial loss arising from any advice given or omitted to be given by the Concessionaire, or any other loss which is caused directly by any act or omission of the Concessionaire.
- G1.3 The Concessionaire is not responsible for any injury, loss, damage, cost or expense if and to the extent that it is caused by the negligence or wilful misconduct of the Authority or by breach by the Authority of its obligations under the Contract.
- G1.4 The Authority may recover from the Concessionaire the following losses incurred by the Authority to the extent they arise as a result of a Default by the Concessionaire:
- (a) any additional operational and/or administrative costs and expenses incurred by the Authority, including costs relating to time spent by or on behalf of the Authority in dealing with the consequences of the Default;
 - (b) any wasted expenditure or charges;
 - (c) the additional costs of procuring a Replacement Concessionaire for the remainder of the Term and or replacement deliverables which shall include any incremental costs associated with the Replacement Concessionaire and/or replacement deliverables above those which would have been payable under the Contract;
 - (d) any compensation or interest paid to a third party by the Authority; and
 - (e) any fine or penalty incurred by the Authority pursuant to Law and any costs incurred by the Authority in defending any proceedings which result in such fine or penalty.
- G1.5 Subject to clauses G1.1 and G1.4, neither Party is liable to the other for any:
- (a) loss of profits, turnover, business opportunities or damage to goodwill (in each case whether direct or indirect); or
 - (b) indirect, special or consequential loss.
- G1.6 Unless otherwise specified by the Authority, the Concessionaire shall, with effect from the Commencement Date for such period as necessary to enable the Concessionaire to comply with its obligations herein, take out and maintain with a reputable insurance company a policy or policies of insurance providing an adequate level of cover in respect of all risks which may be incurred by the Concessionaire, arising out of the Concessionaire's performance of its obligations under the Contract including:



- (a) professional indemnity insurance in the sum of not less than £25,000,000 (twenty five million pounds) for any advice given by the Concessionaire to a Deputy;
- (b) cover for death or personal injury, loss of or damage to property or any other loss; and
- (c) employer's liability insurance in respect of Staff.
- (d) Such insurance policies shall be maintained for the duration of the Term and for a minimum of 6 years following the end of the Term.
- (e) and the requirements of The Lasting Powers of Attorney, Enduring Powers of Attorney and Public Guardian Regulations 2007 and The Lasting Powers of Attorney, Enduring Powers of Attorney and Public Guardian (Amendment) Regulations 2010, as from time to time amended ("**the Regulations**").

- G1.7 The Concessionaire shall give the Authority, on request, copies of all insurance policies referred to in this clause or a broker's verification of insurance to demonstrate that the appropriate cover is in place, together with receipts or other evidence of payment of the latest premiums due under those policies.
- G1.8 If the Concessionaire does not have and maintain the insurances required by the Contract, the Authority may make alternative arrangements to protect its interests and may recover the costs of such arrangements from the Concessionaire.
- G1.9 The provisions of any insurance or the amount of cover shall not relieve the Concessionaire of any liabilities under the Contract.
- G1.10 The Concessionaire shall not take any action or fail to take any reasonable action, or (to the extent that it is reasonably within its power) permit anything to occur in relation to the Concessionaire, which would entitle any insurer to refuse to pay any claim under any insurance policy in which the Concessionaire is an insured, a co-insured or additional insured person.

G2 Warranties and Representations

- G2.1 The Concessionaire warrants and represents on the Commencement Date and for the Term that:
- (a) it has full capacity and authority and all necessary consents to enter into and perform the Contract and that the Contract is executed by a duly authorised representative of the Concessionaire;
 - (b) in entering the Contract it has not committed any fraud;
 - (c) as at the Commencement Date, all information contained in the Tender or other offer made by the Concessionaire to the Authority remains true, accurate and not misleading, save as may have been specifically disclosed in writing to the Authority prior to execution

of the Contract and in addition, that it will advise the Authority of any fact, matter or circumstance of which it may become aware which would render such information to be false or misleading;

- (d) no claim is being asserted and no litigation, arbitration or administrative proceeding is in progress or, to the best of its knowledge and belief, pending or threatened against it or any of its assets which will or might have an adverse effect on its ability to perform its obligations under the Contract;
- (e) it is not subject to any contractual obligation, compliance with which is likely to have a material adverse effect on its ability to perform its obligations under the Contract;
- (f) no proceedings or other steps have been taken and not discharged (or, to the best of its knowledge, are threatened) for the winding up of the Concessionaire or for its dissolution or for the appointment of a receiver, administrative receiver, liquidator, manager, administrator or similar officer in relation to any of the Concessionaire's assets or revenue;
- (g) it owns, or has obtained or is able to obtain valid licences for, all intellectual property rights that are necessary for the performance of its obligations under the Contract;
- (h) in the 3 years (or period of existence if the Concessionaire has not been in existence for 3 years) prior to the date of the Contract:
 - i) it has conducted all financial accounting and reporting activities in compliance in all material respects with the generally accepted accounting principles that apply to it in any country where it files accounts;
 - ii) it has been in full compliance with all applicable securities and tax laws and regulations in the jurisdiction in which it is established; and
 - iii) it has not done or omitted to do anything which could have a material adverse effect on its assets, financial condition or position as an ongoing business concern or its ability to fulfil its obligations under the Contract;
- (j) it has and will continue to hold all necessary (if any) regulatory approvals from the Regulatory Bodies necessary to perform its obligations under the Contract; and
- (j) it has notified the Authority in writing of any Occasions of Tax Non-Compliance and any litigation in which it is involved that is in connection with any Occasion of Tax Non-Compliance.

G2.2 The Concessionaire confirms that in entering into the Contract it is not relying on any statements, warranties or representations given or made (whether negligently or innocently or whether express or implied), or any acts or omissions by or on behalf of the Authority in connection with the subject matter of the Contract except those expressly set out in the Contract and the Concessionaire hereby waives and releases the Authority in respect thereof absolutely.

H DEFAULT, DISRUPTION AND TERMINATION



H1 Insolvency and Change of Control

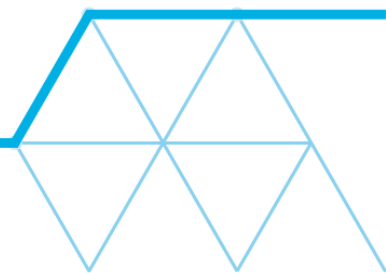
H1.1 The Authority may terminate the Contract with immediate effect by notice and without compensation to the Concessionaire if the Concessionaire is a company and in respect of the Concessionaire:

- (a) a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or of any other composition scheme or arrangement with, or assignment for the benefit of, its creditors;
- (b) a shareholders' meeting is convened for the purpose of considering a resolution that it be wound up or a resolution for its winding-up is passed (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation);
- (c) a petition is presented for its winding up (which is not dismissed within 14 days of its service) or an application is made for the appointment of a provisional liquidator;
- (d) a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets;
- (e) an application order is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given;
- (f) it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986; or
- (g)

any event similar to those listed in H1.1 (a)-(f) occurs under the law of any other jurisdiction.

H1.2 The Authority may terminate the Contract with immediate effect by notice and without compensation to the Concessionaire if the Concessionaire is an individual and:

- (a) an application for an interim order is made pursuant to sections 252-253 of the Insolvency Act 1986 or a proposal is made for any composition scheme or arrangement with, or assignment for the benefit of, the Concessionaire's creditors;
- (b) a petition is presented and not dismissed within 14 days or order made for the Concessionaire's bankruptcy;
- (c) a receiver, or similar officer is appointed over the whole or any part of the Concessionaire's assets or a person becomes entitled to appoint a receiver, or similar officer over the whole or any part of his assets;
- (d) he is unable to pay his debts or has no reasonable prospect of doing so, in either case within the meaning of section 268 of the Insolvency Act 1986;
- (e) a creditor or encumbrancer attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole



or any part of the Concessionaire's assets and such attachment or process is not discharged within 14 days;

- (f) he dies or is adjudged incapable of managing his affairs within the meaning of section 2 of the Mental Capacity Act 2005;
- (g) he suspends or ceases, or threatens to suspend or cease, to carry on all or a substantial part of his business; or
- (h) any event similar to those listed in clause H1.2(a) to (g) occurs under the law of any other jurisdiction.

H1.3 The Concessionaire shall notify the Authority immediately following a merger, take-over, change of control, change of name or status including where the Concessionaire undergoes a change of control within the meaning of section 1124 of the Corporation Taxes Act 2010 ("**Change of Control**"). The Authority may terminate the Contract with immediate effect by notice and without compensation to the Concessionaire within 6 Months of:

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

but is not permitted to terminate where Approval was granted prior to the Change of Control.

H1.4 The Authority may terminate the Contract with immediate effect by notice and without compensation to the Concessionaire if the Concessionaire is a partnership and:

- (a) a proposal is made for a voluntary arrangement within Article 4 of the Insolvent Partnerships Order 1994 or a proposal is made for any other composition, scheme or arrangement with, or assignment for the benefit of, its creditors; or
- (b) a petition is presented for its winding up or for the making of any administration order, or an application is made for the appointment of a provisional liquidator; or
- (c) a receiver, or similar officer is appointed over the whole or any part of its assets; or
- (d) the partnership is deemed unable to pay its debts within the meaning of section 222 or 223 of the Insolvency Act 1986 as applied and modified by the Insolvent Partnerships Order 1994; or
- (e) any of the following occurs in relation to any of its partners:
 - i. an application for an interim order is made pursuant to sections 252-253 of the Insolvency Act 1986 or a proposal is made for any composition scheme or arrangement with, or assignment for the benefit of, his creditors;
 - ii. a petition is presented for his bankruptcy; or



- iii. a receiver, or similar officer is appointed over the whole or any part of his assets;
- (f) any event similar to those listed in clauses H1.4 (a) to (e) occurs under the law of any other jurisdiction.

H1.5 The Authority may terminate the Contract with immediate effect by notice and without compensation to the Concessionaire if the Concessionaire is a limited liability partnership and:

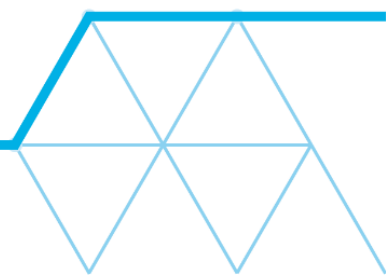
- (a) a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or a proposal is made for any other composition, scheme or arrangement with, or assignment for the benefit of, its creditors;
- (b) an application is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given within Part II of the Insolvency Act 1986;
- (c) any step is taken with a view to it being determined that it be wound up (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation) within Part IV of the Insolvency Act 1986;
- (d) a petition is presented for its winding up (which is not dismissed within 14 days of its service) or an application is made for the appointment of a provisional liquidator within Part IV of the Insolvency Act 1986;
- (e) a receiver, or similar officer is appointed over the whole or any part of its assets; or
- (f) it is or becomes unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986;
- (g) or
- (h) any event similar to those listed in clauses H1.5 (a) to (f) occurs under the law of any other jurisdiction.

H1.6 References to the Insolvency Act 1986 in clause H1.5 (a) are references to that Act as applied under the Limited Liability Partnerships Act 2000 subordinate legislation.

H2 Termination on Default

H2.1 The Authority may terminate the Contract with immediate effect by notice if the Concessionaire commits a Default and:

- (a) the Concessionaire has not remedied the Default to the satisfaction of the Authority within 20 Working Days or such other period as may be specified by the Authority, after issue of a notice specifying the Default and requesting it to be remedied;
- (b) the Default is not, in the opinion of the Authority, capable of remedy; or
- (c) the Default is a Material Breach.



- H2.2 If, through any Default of the Concessionaire, data transmitted or processed in connection with the Contract is either lost or sufficiently degraded as to be unusable, the Concessionaire is liable for the cost of reconstitution of that data and shall reimburse the Authority in respect of any charge levied for its transmission and any other costs charged in connection with such Default.

H3 Termination on Notice

The Authority may terminate the Contract, in whole or in part, at any time and without compensation to the Concessionaire, by giving 3 Months' notice in writing to the Concessionaire.

H4 Consequences of Expiry or Termination

- H4.1 If the Authority terminates the Contract under clause H2 and makes other arrangements for the supply of the Services the Authority may recover from the Concessionaire the cost reasonably incurred of making those other arrangements and any additional expenditure incurred by the Authority throughout the remainder of the Term.

- H4.2 Save as otherwise expressly provided in the Contract:

- (a) termination (including partial termination) or expiry of the Contract shall be without prejudice to any rights, remedies or obligations accrued under the Contract prior to termination (including partial termination) or expiration and nothing in the Contract prejudices the right of either Party to recover any amount outstanding at such termination (including partial termination) or expiry; and
- (b) termination (including partial termination) of the Contract does not affect the continuing rights, remedies or obligations of the Authority or the Concessionaire under clauses D1 (Prevention of Fraud and Bribery), E1 (Data Protection and Privacy), E2 (Official Secrets Acts and Finance Act), E3 (Confidential Information), E4 (Freedom of Information), E6 (Audit), G1 (Liability, Indemnity and Insurance), H6 (Recovery upon Termination), H7 (Retendering and Handover), H8 (Exit Management), H9 (Knowledge Retention), I6 (Remedies Cumulative) and I12 (Governing Law and Jurisdiction).

H5 Disruption

- H5.1 The Concessionaire shall take reasonable care to ensure that in the performance of its obligations under the Contract it does not disrupt the operations of the Authority, its employees or any other contractor employed by the Authority.
- H5.2 The Concessionaire shall immediately inform the Authority of any actual or potential industrial action, whether such action be by its own employees or others, which affects or might affect its ability at any time to perform its obligations under the Contract.
- H5.3 If there is industrial action by Staff, the Concessionaire shall seek Approval for its proposals to continue to perform its obligations under the Contract.



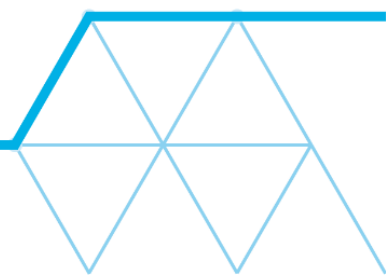
- H5.4 If the Concessionaire's proposals referred to in clause H6.3 are considered insufficient or unacceptable by the Authority acting reasonably, the Contract may be terminated with immediate effect by the Authority.
- H5.5 If the Concessionaire is unable to deliver the Services owing to disruption of the Authority's normal business, the Concessionaire may request a reasonable allowance of time, and, in addition, the Authority will reimburse any additional expense reasonably incurred by the Concessionaire as a direct result of such disruption.

H6 Recovery

- H6.1 On termination of the Contract for any reason, the Concessionaire shall at its cost:
- (a) immediately return to the Authority all Confidential Information and Personal Data in its possession or in the possession or under the control of any permitted suppliers or Sub-Contractors, which was obtained or produced in the course of providing the Services;
 - (b) assist and co-operate with the Authority to ensure an orderly transition of the provision of the Services to the Replacement Concessionaire and/or the completion of any work in progress; and
 - (c) promptly provide all information concerning the provision of the Services which may reasonably be requested by the Authority for the purposes of adequately understanding the manner in which the Services have been provided and/or for the purpose of allowing the Authority and/or the Replacement Concessionaire to conduct due diligence.
- H6.2 If the Concessionaire does not comply with clause H7.1 (a), the Authority may recover possession thereof and the Concessionaire grants a licence to the Authority or its appointed agents to enter (for the purposes of such recovery) any premises of the Concessionaire or its suppliers or Sub-Contractors where any such items may be held.

H7 Retendering and Handover

- H7.1 Within 21 days of being requested by the Authority, the Concessionaire shall provide, and thereafter keep updated, in a fully indexed and catalogued format, all the information necessary to enable the Authority to issue tender documents for the future provision of the Services.
- H7.2 The Authority shall take all necessary precautions to ensure that the information referred to in clause H8.1 is given only to potential providers who have qualified to tender for the future provision of the Services.
- H7.3 The Authority shall require that all potential providers treat the information in confidence; that they do not communicate it except to such persons within their organisation and to such extent as may be necessary for the purpose of preparing a response to an invitation to tender issued by the Authority; and that they shall not use it for any other purpose.
- H7.4 The Concessionaire indemnifies the Authority against any claim made against the Authority at any time by any person in respect of any liability incurred by the Authority arising from any



deficiency or inaccuracy in information which the Concessionaire is required to provide under clause H8.1.

- H7.5 The Concessionaire shall co-operate fully with the Authority during any handover at the end of the Contract. This co-operation includes allowing full access to, and providing copies of, all documents, reports, summaries and any other information necessary in order to achieve an effective transition without disruption to routine operational requirements.
- H7.6 Within 10 Working Days of being requested by the Authority, the Concessionaire shall transfer to the Authority, or any person designated by the Authority, free of charge, all computerised filing, recording, documentation, planning and drawing held on software and utilised in the provision of the Services. The transfer shall be made in a fully indexed and catalogued disk format, to operate on a proprietary software package identical to that used by the Authority.

H8 Exit Management

- H8.1 On termination (including partial termination) of the Contract the Concessionaire shall render reasonable assistance to the Authority to the extent necessary to effect an orderly assumption by a Replacement Concessionaire if required by the Authority, in accordance with the procedure set out in clause H9.
- H8.2 If the Authority requires a continuation of all or any of the Services on expiry or termination of the Contract, either by performing them itself or by engaging a third party to perform them, the Concessionaire shall co-operate fully with the Authority and any such third party and shall take all reasonable steps to ensure the timely and effective transfer of the Services without disruption to routine operational requirements.

H9 Knowledge Retention

The Concessionaire shall co-operate fully with the Authority in order to enable an efficient and detailed knowledge, information and/or data transfer from the Concessionaire to the Authority on the completion or earlier termination of the Contract and in addition, to minimise any disruption to routine operational requirements. To facilitate this transfer, the Concessionaire shall provide the Authority free of charge with full access to its Staff, and in addition, copies of all documents, reports, summaries and any other information requested by the Authority. The Concessionaire shall comply with the Authority's request for information no later than 15 Working Days from the date that that request was made.

I GENERAL

I1 Dispute Resolution

- I1.1 The Parties shall attempt in good faith to negotiate a settlement to any dispute between them arising out of or in connection with the Contract within 20 Working Days of either Party notifying the other of the dispute and such efforts shall involve the escalation of the dispute to the finance director of the Concessionaire and the commercial director of the Authority.
- I1.2 Nothing in this dispute resolution procedure prevents the Parties seeking from any court of competent jurisdiction an interim order restraining the other Party from doing any act or compelling the other Party to do any act.



- I1.3 If the dispute cannot be resolved by the Parties pursuant to clause I1.1 either Party may refer it to mediation pursuant to the procedure set out in clause I1.5.
- I1.4 The obligations of the Parties under the Contract shall not cease or be suspended or delayed by the reference of a dispute to mediation (or arbitration) and the Concessionaire and the Staff shall comply fully with the requirements of the Contract at all times.
- I1.5 The procedure for mediation and consequential provisions relating to mediation are as follows:
- (a) a neutral adviser or mediator (the “**Mediator**”) shall be chosen by agreement of the Parties or, if they are unable to agree upon a Mediator within 10 Working Days after a request by one Party to the other or if the Mediator agreed upon is unable or unwilling to act, either Party shall within 10 Working Days from the date of the proposal to appoint a Mediator or within 10 Working Days of notice to either Party that he is unable or unwilling to act, apply to the Centre for Effective Dispute Resolution to appoint a Mediator;
 - (b) the Parties shall within 10 Working Days of the appointment of the Mediator meet with him in order to agree a programme for the exchange of all relevant information and the structure to be adopted for negotiations. If appropriate, the Parties may at any stage seek assistance from the Centre for Effective Dispute Resolution to provide guidance on a suitable procedure;
 - (c) unless otherwise agreed, all negotiations connected with the dispute and any settlement agreement relating to it shall be conducted in confidence and without prejudice to the rights of the Parties in any future proceedings;
 - (d) if the Parties reach agreement on the resolution of the dispute, the agreement shall be recorded in writing and shall be binding on the Parties once it is signed by their duly authorised representatives;
 - (e) failing agreement, either of the Parties may invite the Mediator to provide a non-binding but informative written opinion. Such an opinion shall be provided on a without prejudice basis and shall not be used in evidence in any proceedings relating to the Contract without the prior written consent of both Parties; and
 - (f) if the Parties fail to reach agreement within 60 Working Days of the Mediator being appointed, or such longer period as may be agreed by the Parties, then any dispute or difference between them may be referred to the Courts unless the dispute is referred to arbitration pursuant to the procedures set out in clause I1.6.
- I1.6 Subject to clause I1.2, the Parties shall not institute court proceedings until the procedures set out in clauses I1.1 and I1.3 have been completed save that:
- (a) the Authority may at any time before court proceedings are commenced, serve a notice on the Concessionaire requiring the dispute to be referred to and resolved by arbitration in accordance with clause I1.7;



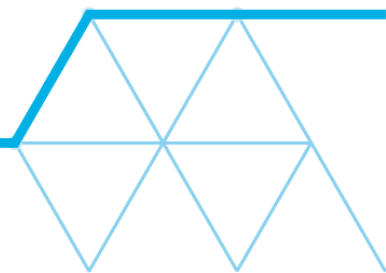
- (b) if the Concessionaire intends to commence court proceedings, it shall serve notice on the Authority of its intentions and the Authority has 21 days following receipt of such notice to serve a reply on the Concessionaire requiring the dispute to be referred to and resolved by arbitration in accordance with clause I1.7; and
- (c) the Concessionaire may request by notice to the Authority that any dispute be referred and resolved by arbitration in accordance with clause I1.7, to which the Authority may consent as it sees fit.

I1.7 If any arbitration proceedings are commenced pursuant to clause I1.6:

- (a) the arbitration is governed by the Arbitration Act 1996 and the Authority shall give a notice of arbitration to the Concessionaire (the “**Arbitration Notice**”) stating:
 - (i) that the dispute is referred to arbitration; and
 - (ii) providing details of the issues to be resolved;
- (b) the London Court of International Arbitration (“**LCIA**”) procedural rules in force at the date that the dispute was referred to arbitration in accordance with I1.7 (b) shall be applied and are deemed to be incorporated by reference to the Contract and the decision of the arbitrator is binding on the Parties in the absence of any material failure to comply with such rules;
- (c) the tribunal shall consist of a sole arbitrator to be agreed by the Parties;
- (d) if the Parties fail to agree the appointment of the arbitrator within 10 days of the Arbitration Notice being issued by the Authority under clause I1.7 (a) or if the person appointed is unable or unwilling to act, the arbitrator shall be appointed by the LCIA;
- (e) the arbitration proceedings shall take place in London and in the English language; and
- (f) the arbitration proceedings shall be governed by, and interpreted in accordance with, English Law.

I2 Force Majeure

- I2.1 Subject to this clause I2, a Party may claim relief under clause G1 from liability for failure to meet its obligations under the Contract for as long as and only to the extent that the performance of those obligations is directly affected by a Force Majeure Event. Any failure or delay by the Concessionaire in performing its obligations under the Contract which results from a failure or delay by an agent, Sub-Contractor or supplier shall be regarded as due to a Force Majeure Event only if that agent, Sub-Contractor or supplier is itself impeded by a Force Majeure Event from complying with an obligation to the Concessionaire.
- I2.2 The Affected Party shall as soon as reasonably practicable issue a Force Majeure Notice, which shall include details of the Force Majeure Event, its effect on the obligations of the Affected Party and any action the Affected Party proposes to take to mitigate its effect.
- I2.3 If the Concessionaire is the Affected Party, it is not entitled to claim relief under this clause I2 to the extent that consequences of the relevant Force Majeure Event:



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

12.4 Subject to clause 12.5, as soon as practicable after the Affected Party issues the Force Majeure Notice, and at regular intervals thereafter, the Parties shall consult in good faith and use reasonable endeavours to agree any steps to be taken and an appropriate timetable in which those steps should be taken, to enable continued provision of the Services affected by the Force Majeure Event.

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

12.6 If, as a result of a Force Majeure Event

an Affected Party fails to perform its obligations in accordance with the Contract, then during the continuance of the Force Majeure Event:

- i) the other Party shall not be entitled to exercise its rights to terminate the Contract in whole or in part as a result of such failure pursuant to clause H2.1; and
- ii) neither Party shall be liable for any Default arising as a result of such failure.

12.7 The Affected Party shall notify the other Party as soon as practicable after the Force Majeure Event ceases or no longer causes the Affected Party to be unable to comply with its obligations under the Contract.

12.8 Relief from liability for the Affected Party under this clause 12 ends as soon as the Force Majeure Event no longer causes the Affected Party to be unable to comply with its obligations under the Contract and is not dependent on the serving of a notice under clause 12.7.

I3 Notices and Communications

13.1 Subject to clause 13.3, where the Contract states that a notice or communication between the Parties must be “written” or “in writing” it is not valid unless it is made by letter (sent by hand, first class post, recorded delivery or special delivery) or by email or by communication via Jaggear.

13.2 If it is not returned as undelivered a notice served in:

- (a) a letter is deemed to have been received 2 Working Days after the day it was sent; and
- (b) an email is deemed to have been received 4 hours after the time it was sent provided it was sent on a Working Day



or when the other Party acknowledges receipt, whichever is the earlier.

- 13.3 Notices pursuant to clauses I1, I2, I7 or to terminate the Contract or any part of the Services are valid only if served in a letter by hand, recorded delivery or special delivery.
- 13.4 Notices shall be sent to the addresses set out below or at such other address as the relevant Party may give notice to the other Party for the purpose of service of notices under the Contract:

(a) For the Authority:

Contact Name: N/A

Address: Ministry of Justice, 5 Wellington Place, Leeds LS1 4AP

Email: ccmdfinancialservices@justice.gov.uk

(b) For the Concessionaire:

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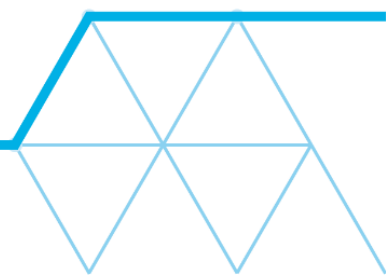
I4 Conflicts of Interest

- 14.1 The Concessionaire shall take appropriate steps to ensure that neither the Concessionaire nor any Staff is placed in a position where, in the reasonable opinion of the Authority, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Concessionaire and the duties owed to the Authority under the Contract. The Concessionaire will notify the Authority immediately giving full particulars of any such conflict of interest which may arise.
- 14.2 The Authority may terminate the Contract immediately by notice and/or take or require the Concessionaire to take such other steps it deems necessary if, in the Authority's reasonable opinion, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Concessionaire and the duties owed to the Authority under the Contract. The actions of the Authority pursuant to this clause I4 shall not prejudice or affect any right of action or remedy which shall have accrued or shall thereafter accrue to the Authority.

I5 Rights of Third Parties

A person who is not a Party has no right under the Contracts (Rights of Third Parties) Act 1999 ("**CRTPA**") to enforce the Contract but this does not affect any right or remedy of any person which exists or is available otherwise than pursuant to the CRTPA and does not apply to the Crown.

I6 Remedies Cumulative



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

I7 Waiver

- I7.1 The failure of either Party to insist upon strict performance of any provision of the Contract, or the failure of either Party to exercise, or any delay in exercising, any right or remedy do not constitute a waiver of that right or remedy and do not cause a diminution of the obligations established by the Contract.
- I7.2 No waiver is effective unless it is expressly stated to be a waiver and communicated to the other Party in writing in accordance with clause I3.
- I7.3 A waiver of any right or remedy arising from a breach of the Contract does not constitute a waiver of any right or remedy arising from any other or subsequent breach of the Contract.

I8 Severability

If any part of the Contract which is not of a fundamental nature is held invalid, illegal or unenforceable for any reason by any court of competent jurisdiction, such part shall be severed and the remainder of the Contract shall continue in full effect as if the Contract had been executed with the invalid, illegal or unenforceable part eliminated.

I9 Entire Agreement

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

I10 Change in Law

- I10.1 The Concessionaire is neither relieved of its obligations to supply the Services in accordance with the terms and conditions of the Contract nor entitled to an increase in the Fees as the result of:
- (a) a General Change in Law; or
 - (b) a Specific Change in Law where the effect of that Specific Change in Law on the Services is reasonably foreseeable at the Commencement Date.
- I10.2 If a Specific Change in Law occurs or will occur during the Term (other than as referred to in clause I10.1(b)), the Concessionaire shall:
- (a) notify the Authority as soon as reasonably practicable of the likely effects of that change, including whether any:
 - (i) Change is required to the Services, the Fees or the Contract; and
 - (ii) relief from compliance with the Concessionaire's obligations is required; and



(b) provide the Authority with evidence:

(i) that the Concessionaire has minimised any increase in costs or maximised any reduction in costs, including in respect of the costs of its Sub-Contractors; and

(ii) as to how the Specific Change in Law has affected the cost of providing the Services.

I10.3 Any variation in the Fees or relief from the Concessionaire's obligations resulting from a Specific Change in Law (other than as referred to in clause I10.1(b)) shall be implemented in accordance with clause F4.

I11 Counterparts

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

I12 Governing Law and Jurisdiction

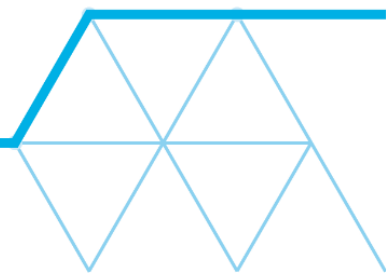
Subject to clause I1, the Contract, including any matters arising out of or in connection with it, are governed by and interpreted in accordance with English Law and are subject to the jurisdiction of the Courts of England and Wales. The submission to such jurisdiction does not limit the right of the Authority to take proceedings against the Concessionaire in any other court of competent jurisdiction, and the taking of proceedings in any other court of competent jurisdiction does not preclude the taking of proceedings in any other jurisdiction whether concurrently or not.



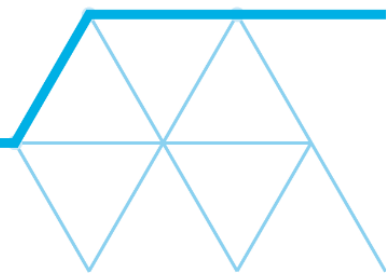
SCHEDULE 1 – KPI's

Service Levels

Ref	Descriptor	Metric	Target
KPI1	<p>The Concessionaire shall resolve OPG or CoP queries within 2 Working Days.</p> <p>The Concessionaire shall aim to resolve the majority of such queries on first contact. For more complex cases the Concessionaire has up to 2 working days to respond.</p>	Time taken to resolve OPG or CoP queries: 2 working days.	2 Working Days
KPI2	The Concessionaire shall provide the MI Reports to OPG and the CoP by the 5 th Working Day of each Month.	Working Day on which OPG and CoP receive MI Reports (including number of days early or late).	5 th Working Day of the Month
KPI3	<p>The Concessionaire shall process all Surety Bonds received that have been completed fully and correctly by Deputies with the corresponding premium payment within 2 Working Days of receipt of the aforementioned documentation.</p>	<p>Time taken to process correctly completed Surety Bond applications: within 2 working days.</p> <p>The Concessionaire must notify OPG of the number of cases where Surety Bonds could not be issued within the agreed timescales, including the time outstanding and cause as part of the M.I report (See KPI 2)</p>	2 Working Days
KPI4	The Concessionaire shall refer cases back to the deputy, within 2 working days, where there are issues with applications or payments, these cases should form part of the M.I suite, (see KPI2)	<p>Time taken to process incorrectly completed Surety Bond applications: within 2 working days</p> <p>Number of cases where Surety Bonds could not be issued within the agreed timescales, including the time outstanding and cause should form part of the M.I suite (KPI2)</p>	2 Working Days



KPI5	The Concessionaire shall refer cases back to the CoP due to investigations discovering a County Court Judgement, Bankruptcy Order, Debt Relief Order or Individual Voluntary Arrangement, and ensure they are sent back within 2 Working Days of discovery. No further action will be undertaken by the Concessionaire until instructions are received from the CoP regarding the action required.	Time taken to return applications requiring a referral back to the CoP: 2 working days	2 Working Days
KPI6	Any claims cheques received from the Insurer as a result of the Surety Bond being made forfeit by the CoP will be sent out according to instructions received within 2 Working Days of receipt.	Time taken to issue cheques received from the insurer as a result of the Surety Bond being called in by the CoP.	2 Working Days
KPI7	All complaints managed in accordance with a documented complaints procedure and any complaints citing the Concessionaire for poor service will require being monitored in terms of complaints made and speed of response.	<p>Percentage of live Surety Bonds with complaints citing the Concessionaire for poor service. Should not form above 5% of surety bonds held, where it does exceed 5% OPG will review the complaints.</p> <p>Time taken for complaints to be resolved, within 5 working days.</p> <p>Volume of complaints, reasons and response time data should be included in the M.I Suite (KPI2).</p>	<p>No more than 5% of live Surety Bonds annually.</p> <p>Response time within 5 working days.</p>



SCHEDULE 2 – Fees

Please note that the premium percentage rates in the table above relate to the years of the bond being in place (not the years of the agreement between the Court of Protection and the Supplier).

For example: a bond that starts in 2022 would pay the Year 1 premium. If that bond were renewed on its anniversary, the Year 2 premium would be charged for the second year. This pattern would continue up to 'Year 5'. If the bond continued to be renewed after Year 5, the Year 5 premium would continue to be charged for each subsequent year until the bond is discharged.

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	% premium rate based on the value of the bond
Year 1	
Year 2	
Year 3	
Year 4	
Year 5 and subsequent years	

Where a bond has a value of £21,000 (as set by the Court of Protection), the Supplier shall offer a Deputy the option of either an annual premium (as detailed in Question 1) or a single one-off premium payment option which covers the lifetime of the deputyship.

In the box below, please provide your fee for a single, one-off premium, which covers the lifetime of the deputyship for bonds valued at £21,000:

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- a) Three single premium bonds
- b) A bond with a value of £120,000 in place for 1 year - £
- c) A bond with a value of £120,000 in place for 2 years -
- d) Two bonds with a value of £120,000 each in place for 4 years -
- e) A bond with a value of £120,000 in place for 5 years -
- f) A bond with a value of £120,000 in place for 7 years -
- g) A bond with a value of £120,000 in place for 8 years -



SCHEDULE 3 - CHANGE CONTROL

Contract Change Notice ("CCN")

CCN:	
Contract Reference Number & Title	
Change Title	
Number of Pages	

WHEREAS the Concessionaire and the Authority entered into a Contract to provide the Services dated (the "**Original Contract**") and now wish to amend the Original Contract.

IT IS AGREED as follows

1. The Original Contract is amended as set out in this CCN:

Change Requestor / Originator		
Summary of Change		
Reason for Change		
Revised Contract Value	Original Contract Value	£
	Previous Contract Changes	£
	Contract Change Note [x]	£
	New Contract Value	£
Revised Fees Schedule		
Revised Specification (See Annex [x] for Details)		
Revised Term		
Change in Contract Manager(s)		
Other Changes		

2. Save as amended in the CCN all other terms of the Original Contract remain effective.
3. The CCN takes effect from the date on which both Parties sign below.

SCHEDULE 4 - COMMERCIALLY SENSITIVE INFORMATION

- 1 Without prejudice to the Authority's general obligation of confidentiality, the Parties acknowledge that the Authority may have to disclose Information in or relating to the Contract following a Request for Information pursuant to clause E5 (Freedom of Information).
- 2 In this Schedule 4 the Parties have sought to identify the Concessionaire's Confidential Information that is genuinely commercially sensitive and the disclosure of which would be contrary to the public interest.
- 3 Where possible the Parties have sought to identify when any relevant Information will cease to fall into the category of Information to which this Schedule 4 applies.
- 4 Without prejudice to the Authority's obligation to disclose Information in accordance with the FOIA and the EIR, the Authority will, acting reasonably but in its sole discretion, seek to apply the commercial interests exemption set out in s.43 of the FOIA to the Information listed below.

CONCESSIONAIRE'S COMMERCIALLY SENSITIVE INFORMATION	DATE	DURATION CONFIDENTIALITY	OF

IN WITNESS of which this CCN has been duly executed by the Parties.

SIGNED for and on behalf of the
Lord Chancellor

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set out by the Freedom of Information Act

SIGNED for and on behalf of [xx]

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set out by the Freedom of Information Act



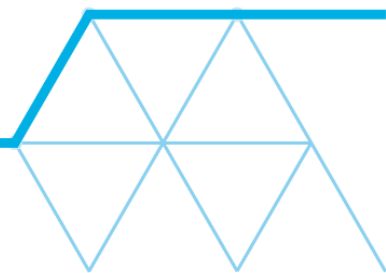
SCHEDULE 5 – DATA PROCESSING

1. The contact details of the Authority's Data Protection Officer are: data.compliance@justice.gov.uk. **or** Data Protection Officer, 102 Petty France, London, SW1H 9AJ.

The contact details of the Concessionaire's Data Protection Officer are: **The text has been redacted under the exemptions set out by the Freedom of Information Act**

- 2.
3. The Concessionaire shall comply with any further written instructions with respect to processing by the Authority.
4. Any such further instructions shall be incorporated into this Schedule 9.

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 of the contract. Example: The processing is needed in order to ensure that the Concessionaire can effectively deliver the contract to provide a service to members of the public]</i>
Duration of the processing	<i>[Clearly set out the duration of the processing including dates]</i>
Nature and purposes of the processing	<i>[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 being Processed	<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	<i>[Describe how long the data will be retained for, how it be returned or destroyed]</i>
Unless requirement under union or member state law to preserve that type of data	

SCHEDULE 6 – DATA STORAGE

Data Storage, Processing, Management, Transfer and Destruction

- 1.1 The Parties recognise the need for Authority Data to be safeguarded and for compliance with the Data Protection Legislation. To that end, the Concessionaire shall inform the Authority the location within the United Kingdom where Authority Data is stored, processed and managed. The import and export of Authority Data from the Concessionaire System must be strictly controlled and recorded.
- 1.2 The Concessionaire shall inform the Authority of any changes to the location within the United Kingdom where Authority Data is stored, processed and managed and shall not transmit, store, process or manage Authority Data outside of the United Kingdom without Approval which shall not be unreasonably withheld or delayed provided that the transmission, storage, processing and management of Authority Data offshore is within:
 - 1.2.1 the EEA; or another country or territory outside the EEA if that country or territory ensures an adequate level of protection by reason of its domestic law or of the international commitments it has entered into which have been defined as adequate by the European Commission.
- 1.3 The Concessionaire System shall support the requirement of the Authority to comply with Government policy and Cabinet Office guidance on Offshoring by assessing, as required, any additional security risks associated with the storage, processing and/or transmission of any data and/or information offshore, including by an offshore Concessionaire (which may include the use of ‘landed resources’), taking account of European Union requirements to confirm the ‘adequacy’ of protection of Personal Data in the countries where storage, processing and/or transmission occurs. No element of the Concessionaire System may be off-shored without Approval.



- 1.4 The Concessionaire shall ensure that the Concessionaire System provides internal processing controls between security domains to prevent the unauthorised high domain exporting of Authority Data to the low domain if there is a requirement to pass data between different security domains.
- 1.5 The Concessionaire shall ensure that any electronic transfer of Authority Data:
 - 1.5.1 protects the confidentiality of the Authority during transfer through encryption suitable for the impact level of the data;
 - 1.5.2 maintains the integrity of the Authority Data during both transfer and loading into the receiving system through suitable technical controls for the impact level of the data; and
 - 1.5.3 prevents the repudiation of receipt through accounting and auditing.
- 1.6 The Concessionaire shall:
 - 1.6.1 protect Authority Data, including Personal Data, whose release or loss could cause harm or distress to individuals and ensure that this is handled as if it were confidential while it is stored and/or processed;
 - 1.6.2 ensure that OFFICIAL-SENSITIVE information, including Personal Data is encrypted in transit and when at rest when stored away from the Concessionaire's controlled environment;
 - 1.6.3 on demand, provide the Authority with all Authority Data in an agreed open format;
 - 1.6.4 have documented processes to guarantee availability of Authority Data if it stops trading;
 - 1.6.5 securely destroy all media that has held Authority Data at the end of life of that media in accordance with any requirements in the Contract and, in the absence of any such requirements, in accordance with Good Industry Practice;



- 1.6.6 securely erase any or all Authority Data held by the Concessionaire when requested to do so by the Authority;
- 1.6.7 ensure that all material used for storage of Confidential Information is subject to controlled disposal and the Concessionaire shall:
- (a) destroy paper records containing Personal Data by incineration, pulping or shredding so that reconstruction is unlikely; and
 - (b) dispose of electronic media that was used for the processing or storage of Personal Data through secure destruction, overwriting, erasure or degaussing for re-use.



SCHEDULE 7 – MANAGEMENT INFORMATION AND MONITORING

The PG and CoP will require management information **from the Supplier** in relation to the provision of surety. The Supplier shall attend meetings with the PG and the CoP quarterly, and as necessary. **The Supplier shall obtain information from the Insurer(s) upon request by the OPG/CoP.** The Supplier shall supply management information on a monthly basis including, but not limited to, the following:

- 1 The Concessionaire shall supply reports each Month to the OPG and the CoP on the:
 - 1.1 total number of live Surety Bonds (split into annual/single);
 - 1.2 Volumes and value of new Surety Bonds (lay/professional split);
 - 1.3 Volume and value of transferred Surety Bonds, (lay/professional split);
 - 1.4 Volume and value of renewed Surety Bonds (lay/professional split);
 - 1.5 total amount of security provided;
 - 1.6 average value of security provided;
 - 1.7 number of Surety Bonds over £1 million;
 - 1.8 Concessionaire's commission on each Surety Bond;
 - 1.9 underwriter for each Surety Bond (if multiple insurers are appointed);
 - 1.10 lapsed Surety Bonds;
 - 1.11 Surety Bonds awaiting discharge;
 - 1.12 value of premiums collected;
 - 1.13 average Surety Bond premium;
 - 1.14 amended security;
 - 1.15 non-compliant Deputies/unpaid premiums (number of cases, number of Deputies, amount outstanding and age of debt);
 - 1.16 number of claims and why the claims arose (e.g. negligence, theft, poor decisions);
 - 1.17 value of claims;



- 1.18 trends;
- 1.19 number of complaints received in previous Month and in total;
- 1.20 average time taken to process Surety Bonds;
- 1.21 average time taken to pay out Surety Bonds; and
- 1.22 number of credit checks carried out;
- 1.23 average value of security provided;
- 1.24 size of premiums collected

(together the “**MI Reports**”).

The supplier shall continue to share this information with OPG, monthly and on request, after the contract end date, while they still hold bonds.

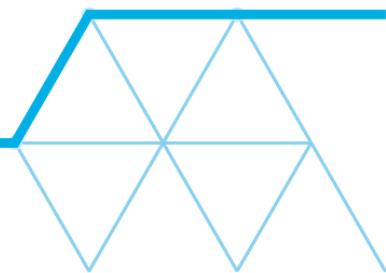
- 2 The Concessionaire shall provide MI Reports to the OPG and the CoP after the end of the Term until it no longer holds Surety Bonds.
- 3 The Concessionaire shall attend meetings with the OPG and CoP at least each quarter to discuss:
 - 3.1 the throughput of requests from Deputies;
 - 3.2 the number of Deputies contracting with the Concessionaire;
 - 3.3 a review of expenditure in regard to requests from Deputies;
 - 3.4 any potential changes to legislation which affect the Authority or Deputies; and
 - 3.5 the MI reports.
- 4 The Concessionaire shall:
 - 4.1 highlight any discrepancies in information shared by the Authority to help protect vulnerable people in respect of case numbers, levels of security and the status of cases, whether lapsed or closed;
 - 4.2 inform the Authority in writing of any updates or amendments to Surety Bonds;
 - 4.3 acknowledge written queries of the OPG and the CoP within 2 Working Days; and
 - 4.4 provide a process for dealing with complaints from Deputies, the OPG and the CoP.



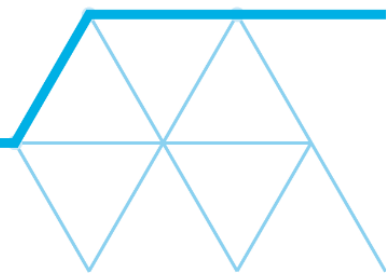
- 4.5 The Supplier shall be deemed to have satisfied himself as regards the nature and extent of the Services to be performed. No claims by the supplier for additional payments shall be allowed on the grounds of misunderstanding or misinterpretation due to lack of knowledge of the requirements as set out in this Specification.

SCHEDULE 8 – Specification Schedule

Bond Provider Duties	Bond Providers Services to OPG (Office of the Public Guardian)	Bond Providers Services to Customer
<ul style="list-style-type: none"> • Provision of unconditional, irrevocable on demand surety bonds. • Provision of surety bonds to all prospective deputies regardless of amount. • Clearly defined rates for Deputyships. • Surety Bond to remain active for 7 years after bond discharged by the CoP and 2 years after the death of P. • Obligation to service the needs of deputies and CoP/OPG for a life of the bond which may extend more than 20 years even after the end of the contract. • Counter indemnity not required. • Bond details held on an online database. All collected information added to the database. • Automated premium renewal notice. • Helpline for OPG 	<ul style="list-style-type: none"> • Deal with OPG / CoP (Court of Protection) queries within 2 working days. • Daily spreadsheet of new Surety Bonds. • Monthly MI (Management Information) – must include: <ol style="list-style-type: none"> 1. Information about non-payments of bond premium. 2. Change of deputy details 3. Death notifications 4. Daily information on new bonds which have been taken out. 5. Running total value for the year. • Applications requiring referral back to CoP – 2 working days. • The Supplier shall provide monthly MI to the Authority, detailing as a minimum the volume and nature of calls/emails/enquiries/comments received. • OPG to be informed if the bond provider makes an application to CoP and the details of that application. • Time to issue cheque received from insurer in the event of security being called in by CoP – 2 working days. • Complaints management procedure – provide clear information of the to the OPG. 	<ul style="list-style-type: none"> • Process bonds (correctly applied and premium paid) within 2 working days. • Refer incomplete or wrongly completed applications back to customer within 2 working days. • Provide transaction receipt • Confirmation that CoP/OPG have been advised. • Deputy helpline and contact details e.g.: email address. • The Supplier shall offer services to deputies both by digital and analogue means. This shall include a telephone helpline and a monitored inbox for queries via email, to be open during working hours (9am-5pm), as well as detailed information on the Supplier's website



<ul style="list-style-type: none"> • Team to support beyond contract period. • Credit checking – this helps inform CoP about bad risks. • Use only suitable insurers. • Comply with FCA (Financial Conduct Authority) regulations around complaints. • Have a robust chase and non-compliance process and share that alongside the resulting MI with the OPG. 	<ul style="list-style-type: none"> • Max number of live complaints 0.1% of all bonds. • Training for CoP / OPG available. • Schedule E. Information Security. • Cyber Security Certificate 	
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IN WITNESS of which the Contract is duly executed by the Parties on the date which appears at the head of page 1. The Parties confirm that an electronic signature is a valid means of establishing the authenticity and/or integrity of the Contract.

SIGNED for and on behalf of the Lord
Chancellor

The text has been redacted under the exemptions
set out by the Freedom of Information Act

SIGNED for and on behalf of [xx]

The text has been redacted under the exemptions
set out by the Freedom of Information Act

