

Pollution prevention

Proactively managing activities to minimise and control pollution

Our activities require the use of materials and substances such as fuels, oils and solvents that could pose an environmental risk if not managed properly. Our HSEMS puts controls in place to prevent spills, leaks and incidents. There are opportunities to further prevent pollution through designing-out or minimising the use of harmful substances where possible, as well as good management practices.

Achievements

We have assessed the risk of pollution and ensured controls and contingencies are built into local emergency plans. Our HSEMS, along with training for staff and contractors, helps to encourage good management practices, but there is more that could be done to improve some of our operating premises, and those of our main suppliers. Opportunities to 'design-out' pollution will be taken, where possible, for new premises or during refurbishment.

Audits are carried out to check that procedures are being followed at our buildings, construction sites and main suppliers' operational premises. We follow an incident reporting procedure to establish trends and inform the audit and remedial works programme.

Objectives

- We will embed best practice to prevent pollution
- We will minimise the risk of pollution and ensure no pollution incidents occur as a result of our activities

Targets

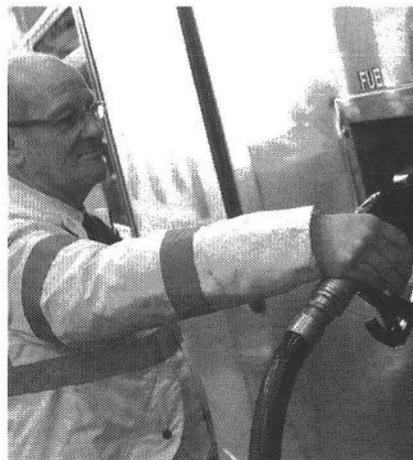
- Zero pollution incidents each year

We will achieve this target by:

- Annually assessing and reducing risk for our highest risk sites
- Improving processes for reporting and investigating environmental incidents

Measuring progress

We will measure and report annually against our pollution prevention target and on progress with our delivery programmes.



■ We regularly deliver spill prevention training

The built environment

Respecting, protecting and improving the built environment and enhancing the travel experience and wider quality of life that London offers

We are helping to achieve the London-wide aim of improving the built environment, or urban realm. This contributes to the quality of life in the Capital and helps to create a strong sense of place, for example at interchanges.

Through sustainable design and construction, we can reduce exposure to pollution and noise and help to prevent crime. We aim to lead the way in designing measures to manage rainwater run-off and make the city increasingly resilient to more frequent extreme weather events.

In addition, many of our buildings, stations and assets have a strong heritage that contributes to London's identity, that we have a responsibility to preserve.

Achievements

Steps have been taken to enhance the pedestrian environment by removing clutter, recognising the needs of people with disabilities and improving the appearance of the urban realm. In addition to improving our own networks, we support work through the boroughs' Local Implementation Plans.

Huge efforts have been made to improve cycling infrastructure, stations and interchanges, which is helping to enhance London's reputation as a place to visit and do business. Working with other transport authorities and partners, we have achieved excellent design on schemes including Windrush Square in Brixton, Kingsland High Street in Hackney, the King's Cross terminal

and new Crossrail stations. Several projects have received honours, including Civil Engineering Environmental Quality Assessment awards and Building Research Establishment Environmental Assessment Method awards, in recognition of best practice.

We share experience and good practice with borough councils, housing associations and built environment professionals through guidance documents that make up the Streetscape toolkit and supporting Urban Design London to share best practice.

Objectives

- We will develop a target for the number of schemes achieving an improvement in urban realm scores
- We will improve the built environment to support an integrated, safe and seamless travel experience
- We will protect and restore our heritage assets
- We will embed sustainable design and maintenance solutions to enhance development of the built environment
- We will apply a holistic approach to design governance across the organisation
- We are recognised as a leader in design standards for the built environment

The natural environment

Respecting, protecting and enhancing the natural environment and its contribution to the quality of life

We will achieve these objectives by:

- Implementing a programme to update design and material guidance and, in 2014, we will publish:
 - Refreshed London cycling design standards
 - Refreshed Streetscape guidance for the TLRN
 - Guidance for the development of our stations and interchanges
 - Pedestrian Design Guidance
- Surveying, recording and understanding our assets and their heritage value, to identify opportunities for conservation and restoration

- Exploring and developing a method to measure improvements in the quality of the built environment starting in 2015
- Continuing to work with English Heritage, conservation officers and other interested stakeholders to share information and develop best practice
- Communicating the value of the built environment across our organisation

Measuring progress

We will measure and report annually on progress against our built environment activities and delivery plans.

We have significant land holdings across London, particularly along track sides and the verges of the TLRN. These spaces provide vital habitat for flora and fauna as well as green links through the Capital. The natural environment is a key contributor to improving the quality of life in London.

In addition, adding 'green infrastructure' can provide ecosystem services including ecological benefits, capturing polluting particulate matter, providing shading and cooling and reducing the speed and nature of run-off water.

The pressures on the natural environment continue to increase as there is more competition for space, both on and off our networks. We are also seeing a rise in pests, diseases and weed species such as Japanese knotweed.

Achievements

LU's Biodiversity Action Plan and the Green Estate Management Plan for the TLRN set out our plans to continue managing the natural environment responsibly, and to look for opportunities to enhance the value of our land as a habitat and resource to be enjoyed by residents and visitors.

We have robust processes in place to protect the natural environment and install green infrastructure whenever possible. These also help us to react quickly to threats, such as outbreaks of oak processionary moth caterpillars.

Objectives

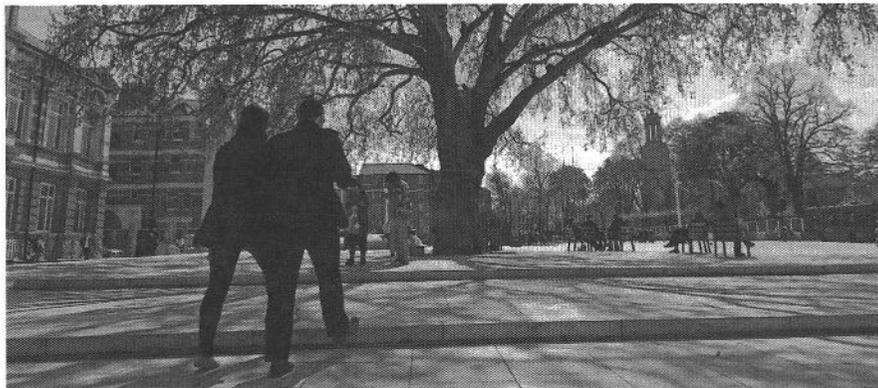
- We will protect, manage and enhance the natural environment within our land holding
- We will develop the habitat and biodiversity potential of the natural environment
- We will develop a valuation system to measure losses and gains, building on the experience we gained when working with the boroughs to place a value on street trees
- We will manage the natural environment to help alleviate the impacts of extreme weather and climate change

Target

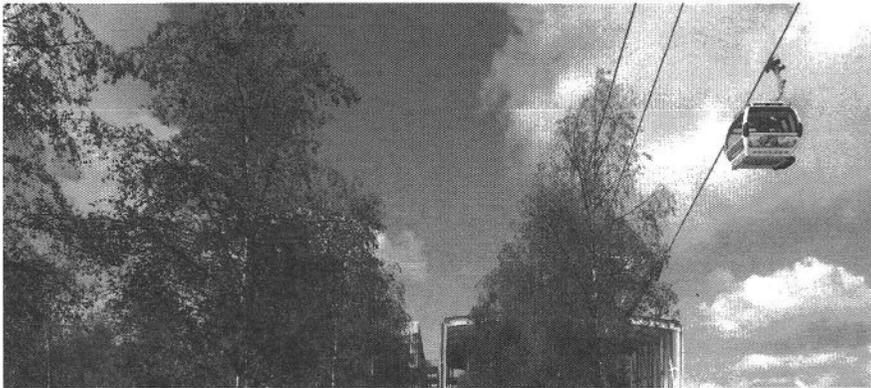
- We will measure and report on the percentage of our land holding with improved habitat and biodiversity quality

We will achieve this by:

- Publishing a refreshed Green Estate Management Plan for the TLRN
- Communicating the value of the natural environment across the organisation, including improving skills and competence relating to key biodiversity issues
- Developing a method to measure biodiversity losses and gains starting in 2015
- Surveying and recording the biodiversity value of our assets to identify priority areas for protection and enhancement as part of management plans



■ We deliver schemes to improve all aspects of the urban realm



■ The Emirates Air Line

- Developing and improving plans to inform future management and enhancement of the natural environment and to help reduce the impacts of extreme weather events and climate change. Starting in 2015, this will include:
- Continuing to work with Natural England, the Forestry Commission, the London Tree Officers Association, RSPB and other interested stakeholders to share information and develop best practice

- Biodiversity protection and enhancement
- Succession planting
- Control of pest and diseases
- Control of harmful weeds and invasive plants

Measuring progress

We will measure and report annually on progress against our objectives and target for improved habitat and biodiversity quality.

© Transport for London
Windsor House
42–50 Victoria Street
London SW1H 0TL

June 2014

tfl.gov.uk

D314006_EnvironmentStrategy_170614

Appendix 3: Environmental Planned General Inspection Template

F5456 A2 LU COO Asset – Stations EPGI Checklist

Asset Area:		Location Inspected:		
EPGI conducted by:		Date:		
Contact Number:		Conducted: E/H, T/H, Both		
Accountable DER:		PGI No.	EPGI/APS/ / - . (e.g. PGI/APS/SYS/07-001)	
Contact Number:				
DLO/Contractor:		SPC Name:		
Sub-Contractor:		Supplier Contact No.		
NOTE: Please obtain a copy of the PiCER and/or Evacuation Register, from the Customer Service Supervisor/Manager, to show all the people involved with inspected works Site and attach to this PGI Form when complete.				
Summary of Works: (Planned Works/Maintenance/Fault/Inspection/Survey/Project/Minor Works etc)				
<ul style="list-style-type: none"> Refer to QUENSH for specific guidance to on-site requirements. Refer to Site File for site specific risk assessments and method statements. 				
Instructions:				
YES: if satisfactory or assessment complete – NO: if unsatisfactory and list on sub-standards condition form – N/A: if not applicable.				
Note: If the space provided is insufficient to record document reference numbers, use the reverse of this page to record the details.				
QUENSH Clause/ Legislation	QUESTION	YES(Y) NO(N) or N/A	IF NO ENTER HAZARD CODE	REFERENCE NUMBERS, DATES DUE FOR RENEWAL, COMMENTS
Site Preparation				
EPA 1990 PtII	Is waste generated on site taken to transfer station or back to work compound?			
	Is waste/litter segregated, labelled (identified) to avoid pests & odour?			
	Is waste stored away from the nearest sensitive receptor?			
	Are compound are blank transfer/consignment notes available?			
	Are spoils re-used on site where ever possible to avoid land fill disposal?			
WFD Directive 2008	Does the Site File contain the waste carriers Licence for removing waste from site?			
HASAWA 1974	Has SPC notified his employers of any changes to MS and works scope that may be required?			
SWMP 2008 WEEE 2013	Is the site waste management plan or arrangement available (if CDM notifiable project is F10 in site file)?			
	Does the site waste management plan include the arrangement for the removal of liquid waste, WEEE & waste exemptiong (for projects >£250k)?			
S1552 para 32	Is the site being well maintained free from clutter, spills, litter and settled dust?			
Nuisance (inc: dust, odours, noise, vibration, smoke, other emissions)				
EPA 1990 Pts I+III & CNWR 2005 CVWR 2005	Are environmental nuisance's being controlled, for example: <ul style="list-style-type: none"> Dust suppression/damping down Noise screening/silencing Vibration control Position and intensity of lighting Plant emissions (inc odour) 			
	CNWR 2005	Is noise being controlled in accordance with the best practical means?		

QUENSH Clause/ Legislation	QUESTION	YES(Y) NO(N) or N/A	IF NO ENTER HAZARD CODE	REFERENCE NUMBERS, DATES DUE FOR RENEWAL, COMMENTS
CNWR 2005 CoPA 1974	Do noise levels fall within any agreed section 61 consents? NOTE: Have all personnel or contractors been informed on the site that a section 61 CoPA has been issued and the conditions that must be maintained?			
HA 1980	Are pavements, roadways free from obstruction by unnecessary site activities (vehicles, materials etc)?			
ASBA 2003	Could activities be re-planned using best practical means to reduce negative environmental impacts?			
Hazardous Substances				
HASAWA 1974 applied to EHS	Are potentially hazardous substances correctly identified & labelled?			
	Does the method statement provide instruction on the correct use, storage and emergency procedures are in place in case of spillages and disposal etc			
	Are employees aware of the risks associated with the hazardous substance in use also in case of emergency or spillage? NOTE: Have staff received environmental training and are able to identify asbestos, Japanese knot weed etc.			
COSHH 2002	Are all substances used on site are accompanied with a COSHH data sheet? • Please reference the document numbers			
	Are staffs aware of the COSHH regulations?			
	Are hazardous liquids bunded? Bunds must hold <110% capacity of the containers when stored or in use.			
	Have hazardous liquids & gases been identified & maintained by competent individual			
S1552 44.3	Are hazardous materials being transported in accordance with the MS and or MOM licence?			
CAWR 2002	Has an asbestos survey been conducted?			
	Are staff aware of the procedure if asbestos is discovered?			
Atmospheric Pollution				
PUWER 1998	Are equipment/vehicles properly maintained to prevent the emissions to the atmosphere? (dust, odours, noise, vibration, smoke, other emissions)			
Pollution Of Water Systems & Land Contamination				
WRA Act Amended 2009	Are fluids discharges, ingress and waterways being adequately managed?			
	Are receptors (e.g. drains) been identified and protected in the event of emergency			
	Are spill kits available and ready for use			
EA 1995	Are generators and compressors being used with drip trays and has the fuel feed cable from the fuel container armoured or protected?			
	Is there evidence of unreported incidents, including spillages & leaks?			
Natural Resources & Energy Consumption				
S1552	Are water supplies, gas and electrical appliances turned off when not in use? NOTE: Including temporary site accommodation in disused station areas and portable cabins, etc.			
	Are new materials stored in a manner that avoids damage?			

QUENSH Clause/ Legislation	QUESTION	YES(Y) NO(N) or N/A	IF NO ENTER HAZARD CODE	REFERENCE NUMBERS, DATES DUE FOR RENEWAL, COMMENTS
S1552	Are vehicles, site plant and machinery turned off or isolated when not in use?			
	Is waste minimised by not over-producing site manufactured products e.g. cement, plaster etc?			
Harm To Wildlife, Landscape & Heritage				
S1552	Are the local flora and fauna protected during access/egress to the site			
	Have protected species or breeding birds, mammals been considered			
TCPA 1990	If the work is carried out on a listed building, has English Heritage or other LU been consulted and approved (including the fixing of temp fencing, bunting, hoarding, lighting and signs)?			
	Does the site have local authority consents for any obstruction of pavement, roadway including parking bays and car parks?			
	Does the site have enough security to prevent theft, vandalism etc?			
End Of Inspection Criteria – Please Agree Findings, Then Sign And Date The EPGI Form				
Name of Inspector: (Print Name)		Contact number:		
Signature of Inspector:		Date:		
SPC/Site Manager: (Print Name)		Contact number:		
Signature of SPC/Site Manager:		Date:		

Hazard Codes

Classification	Description	Actions and Timescales
A1	The identified condition(s) should be rectified within 24 hours or work must cease immediately and not restart until appropriate controls have been put in place to reduce the hazard classification to at least A2.	Contravention of a legal requirement and/or LU standards and/or practice likely to cause, death, permanent disability, loss of body part, extensive loss / impact on structure, equipment, materials, major pollution, destruction of local eco-systems, habitat or other environmental impact.
A2	The identified condition(s) should be rectified as soon as practicable in less than 14 days or as directed by the inspecting authority.	Contravention of Health and Safety and Environmental legal requirements and/or LU regulations, standards, procedures, industry standard good practices or failure to adequately contain and store material, fuels or waste.
B	The identified condition(s) should be rectified as soon as practicable in less than 28 days.	A condition or practice likely to cause injury, illness, pollution, destruction of local eco- systems, habitat, or extensive loss / damage to equipment, materials and structures. Less severe or disruptive than Class A1, or A2
C	The identified condition(s) should be rectified as soon as practicable in less than 3 months.	A condition or practice likely to cause injury, illness, pollution, destruction of local eco- systems, habitat, or extensive loss / damage to equipment, materials and structures. Less severe or disruptive than Class B.
GP	None required	Good Practice – this information should be shared with other areas and contractors to promote learning and continuous improvement.
Obs	None required	Observation – this finding is not a concern, but other areas maybe showing higher levels of compliance. You should seek to improve your methods.

Abbreviations

QUENSH Clause/Legislation abbreviations	
Abbreviation	Legislation
ASBA	Anti-social Behaviour Act 2003
CNWR	Control of Noise at Work Regulations 2005
CoPA	Control of Pollution Act 1974
COSHH	Control of Substances Hazardous to Health 2002 (COSHH)
CVWR	Control of Vibration at Work Regulations 2005
EA	Environment Act 1995
EPA 1990 PtII	Environmental Protection Act 1990 Part II
HA	Highways Act 1980
HASAWA	The Health and Safety at Work etc Act 1974
HASAWA applied to EHS	The Health and Safety at Work etc. Act 1974 (application to Environmentally Hazardous Substances) (Amendment) Regulations 2007
PUWER	Provision and Use of Work Equipment Regulations 1998
SWMP	Site Waste Management Plan Regulations (2008)
TCPA 1990	Town and Country Planning Act 1990
WEEE	The Waste Electrical and Electronic Equipment Regulations 2013
WFD 2008	Waste Framework Directive 2008/98/EC
WRA Act Amended 2009	The Water Resources Act 1991 (Amendment) (England and Wales) Regulations 2009

Appendix 4

F5410 A3

Site Noise and Vibration Evaluation and Control

1.1 Purpose

The purpose of this form is to identify:

1. What controls are needed to reduce noise and vibration from your worksite
2. If your work needs A Section 61 Consent
3. If your work needs a letter drop and liaison with local residents or stakeholders

1.2 Guidance

This form must be completed when:

- 1) Local environmental risk assessment identifies noise and vibration as a issue.
- 2) TfL Pathway Project Management Framework Applicability Questionnaire identifies construction is taking place.

The Environmental Management Plan must be updated accordingly once this form has been completed. Risks must be transferred to the Risk Register/ARM / as appropriate

This form must be approved by the Project Manager (or equivalent in AP) and reviewed by an HSE Manager or Environment Manager. Review helps ensure effective internal communications in advance of works.

Before completing this form please read the Management of Site Noise from Maintenance and Construction Work Activities ([G1374](#)) document. G1374 contains a list of Best Practicable Means to control noise. Also in Appendix 1 of G1374 an events timeline is provided detailing the main actions to complete when dealing with noisy work.

1.3 Site Noise and Vibration Evaluation and Control

Note: Best Practicable Means to control noise and vibration needs to be applied at all times, even if a Section 61 is not needed.

Part 1: Works details

1	Location of works	
2	Job reference number	
3	Job title	
4	Start date on site (including enabling works)	
5	End date	

Printed copies of this document are uncontrolled.

Page 1 of 3



6	Hours of work	
7	Scope of work	
8	Brief description of the work activities (including enabling works).	
9	Are other works, including 3rd party work, taking place near to your work site?	

Part 2: Site noise and vibration evaluation				
	Question	Yes	No	Notes
1	Are there residential properties / schools / places of worship, or other noise or vibration sensitive premises nearby?			Please include a site plan and photos showing the location of the work and the nearest receptors. State approximate distances to receptors.
2	If the site access is separate from the worksite - are there residential properties / schools / places of worship, or other noise or vibration sensitive premises near the access point?			Please include a site plan and photos showing the location of the work and the nearest receptors. State approximate distances to receptors. Will works be carried out in multiple locations?
3	If your work is near a station according to the <u>Noise Sensitivity Register</u> / <u>Web GIS</u> is it a red or amber station?			
4	Have there been complaints before in the area where you are working?			You can find out from the Community Relations Team.
5	Will works take place at unsocial hours?*			If yes, state duration of such works? If yes, explain why this work cannot be done in normal daytime working hours
6	Will noisy equipment be used? For example: Diesel generator Angle grinder Chainsaw Breaker Digger Piling rig			Please provide plant dB levels, if available.
7	Will there be materials or waste moved in and out of the site?			Provide details



8	Will materials be loaded and unloaded at street level near residents			Provide details
9	Are there designated parking places and welfare facilities?			How many employees on site? How many vehicles on site? Where will staff congregate?
10	Will disruptive works continue for 3 or more nights?			
11	Will disruptive works continue for 10 or more days?			
12	Will noise or vibration be generated frequently or continuously? i.e. for more than half the shift			
13	Will people hear or feel noise and vibration from outside the worksite?			

*Unsocial hours are from 1800 to 0800 weekdays, 1300 Saturday to 0800 Monday morning and throughout Bank Holidays.

If yes is answered to any questions above then it is likely a Section 61 consent will be needed. Consult your HSE Manager or Environment team

Does this site need a Section 61 consent?	Yes	No	Maybe
Reason for decision			
Action to be taken if the answer is Yes or Maybe			
Does this site need a letter drop or some other public liaison? A letter drop is needed as part of a Section 61. However if S61 is not needed but work is still noisy a letter drop may still be required.	Yes	No	Maybe
Reason for decision			
Action to be taken if the answer is Yes or Maybe			

Best Practicable Means will always apply even if a Section 61 is not needed.

	Name & Role	Date
Completed by		
Approved by		
Reviewed by		



Appendix 5

Waste Management Plan (WMP) (Stages 3-6)

Purpose

To:

- ensure continuous compliance with legal duty of care obligations.
- improve how waste, and materials, is managed throughout the project and asset lifecycle; reducing whole life cost.
- meet TfL objectives and targets to reduce the amount of waste generated by projects and to reuse, recover and recycle 99% of non-hazardous materials by 2031, in line with the London Plan.

Applicability

This product must be completed for all programmes, projects, and delivery portfolios that produce waste.

Works with an Estimated Final Cost (EFC) greater than or equal to £250,000:

Must use SMARTWaste to document their WMP.

Work with an overall EFC greater than £250,000 but has multiple sites with a value less than £250,000 each; a high level programme, project/portfolio waste management plan, covering the scope of all works, rather than each individual site/item of work, must be developed.

Designers must capture decisions taken to minimise resource use and design out waste in a Design Waste Management Plan (DWMP). The DWMP must be passed onto the principal contractor (TfL or supplier) in an accessible manner, using template below.

Works with an EFC less than £250,000:

A separate SMARTWaste WMP is not required. All waste and materials management arrangements can be recorded in the design plans and construction phase Environmental Management Plan (EMP) for the works.

All TfL Facilities projects must use their template below to record and submit waste data.

Templates

- [Design Waste Management Plan](#)
- [SMARTWaste](#)

Issue No.:	A5	Issue date:	December 2015
		Review date:	December 2018



- TfL Facilities: Small Projects Waste Proforma
- Contractors are encouraged to use SMARTWaste template, for which a TfL project licence can be freely assigned. They can use their own waste management template as long as it delivers compliance and improved waste and materials management performance for both TfL and the contractor. The contractor's template must be based on best practice templates, e.g. the Waste and Resource Action Programme (WRAP) WMP template, and WRAP Netwaste Tool or BRE SMARTWaste tool.

Contents

- Content is defined by the templates.

Quality criteria

- Contractors, including designers, must be made aware of TfL's objectives and targets relating to waste and materials management during the procurement process. Contractors must be made aware that appropriate waste management targets will be set in the final contract to ensure compliance.
- A DWMP and WMP must be produced before works start on site.
- All design decision taken to reduce waste must be captured within the DWMP.
- The client, designer and principal contractor must sign the document before works commence on site to confirm quality of the document and declare that waste will be managed in line with their legal duty of care obligations.
- The document must be updated to reflect progress of the works (minimum every 6 months) for projects over £250,000 and for all projects on completion.
- The principal contractor must complete the document and return it once the project is complete and be involved with Lesson Learnt, where appropriate.
- Waste management data must be reported on a periodic basis, as instructed by the TfL client.

Further reference:

- WRAP's Designing out Waste: a design team guide for Civil Engineering
- WRAP's Designing out Waste: a design team guide for Buildings
- WRAP's Netwaste Tool
- Guidance is also contained in the templates above.

Document Management

WMP must be filed in accordance with the project filing structure described in the Planning and Controls handbook.

Waste Management Plan (WMP) (Stages 3-6)

Number PD0052
Issue no: A5
Issue date: September 2014

Roles and responsibilities

Responsible (Responsible for producing all or part of quality product)	Accountable (Accountable for ensuring timely delivery of quality product)	Consult (Must be consulted when product is being produced)	Inform (A copy of the signed-off product must be sent to)
Project Manager	Project Manager	Project Engineer Designer LU/LR/Corporate: HSE Manager or Environment Manager ST: Environment Manager	

Feedback

If you have any queries, feedback or improvement suggestions about this Product Description then please contact tflppm@tfl.gov.uk.

Document history

Revision	Date	Reason for Change	Author
A2	08/04/2013	Issued for use	IPPM
A3	05/12/2013	Amendments to product description and new template included	TfL HSE SIG
A4	03/09/2014	Amendments to include TfL Facilities works and new template included	TfL HSE SIG
A5	03/12/2015	DRACCT 03483	TfL HSE SIG

SCHEDULE 9: DEED OF NOVATION

THIS DEED is made [●] day of [●] 20[●]

BETWEEN:

TRANSPORT FOR LONDON or **TfL**, a statutory corporation established under the Greater London Authority Act 1999 of 55 Broadway, London SW1H 0BD (the "Company" which expression shall include its successors, transferees and assignees); and

[●] a company registered in [England and Wales] under number [●] and having its registered office at [●] (the "Supplier"); and

[●] a company registered in [England and Wales] under number [●] and having its registered office at [●] (the "New Company").

WHEREAS:

- (A) The Company has an agreement dated [●] and referenced [insert contract number] with the Supplier for the provision of [describe in brief the scope of work/services] (the "Contract").
- (B) The Company wishes to transfer [part of] its benefit and burden under the Contract to the New Company.
- (C) The Supplier and the New Company have agreed to such transfer upon the terms and conditions of this Deed.

IT IS AGREED AS FOLLOWS:

- 1. In this Deed:
 - 1.1 "Transfer Date" means [●].
- 2. With effect from the Transfer Date:
 - 2.1 the New Company undertakes to perform the obligations of the Company under the Contract and be bound by its terms in every way as if the New Company is and had been named at all times as a Party to the Contract in lieu of the Company;
 - 2.2 the Supplier releases and discharges the Company from all demands and claims whatsoever in respect of the Contract and accepts the liability of the New Company in relation to the Contract in lieu of the liability of the Company and agrees to be bound by the terms of the Contract in every way as if the New Company were and had been a Party to the Contract at all times in lieu of the Company;
 - 2.3 for the avoidance of doubt, it is hereby expressly agreed that:
 - (A) any and all rights, claims, counter-claims, demands and other remedies of the Supplier against the Company accrued under or in connection with the Contract prior to the date hereof shall be exercisable and enforceable by the Supplier against the New Company; and

(B) any and all rights, claims, counter-claims, demands and other remedies of the Company against the Supplier accrued under or in connection with the Contract prior to the date hereof shall be exercisable by the New Company against the Supplier.

2.4 the Company transfers its rights and obligations under the Contract to the New Company.

3. A person who is not a Party to this Deed may not enforce any of its terms by virtue of the Contracts (Rights of Third Parties) Act 1999.

Executed as a deed by the Parties and delivered on the date of this Deed

Executed as a deed by affixing the Common Seal of)

Transport for London)

in the presence of:)

.....

[Authorised Signatory]

Executed as a Deed by [SUPPLIER])

acting by).....

) Authorised Signatory

and).....

) Authorised Signatory

Executed as a Deed by [NEW COMPANY])

acting by).....

) Authorised Signatory

and).....

) Authorised Signatory

**SCHEDULE 10: FORM OF PARENT COMPANY GUARANTEE AND PERFORMANCE
BOND**

THIS GUARANTEE is made the _____ day of _____ 201[●]

BETWEEN:

- (1) [●] a company registered in England and Wales under number [●] and having its registered office at [•] (the "Guarantor");
- (2) [●] a company registered in England and Wales under number [●] and having its registered office at Windsor House, 42-50 Victoria Street, London SW1H 0TL (the "Company" which expression shall include its successors in title and assigns); and
- (3) [●] a company registered in England and Wales under number [●] and having its registered office at [•] (the "Supplier").

WHEREAS:

- (A) This Guarantee is supplemental to a contract (the "Contract") for the carrying out of [●] at [●] made between (1) the Company and (2) the Supplier.
- (B) The Guarantor has agreed to guarantee to the Company the due and punctual performance of the Contract by the Supplier in the manner hereinafter appearing.
- (C) The Supplier is a party to this Guarantee in order to confirm its request that the Guarantor provide this Guarantee on the terms set out herein.

NOW IT IS HEREBY AGREED as follows:

1. The Guarantor unconditionally guarantees to the Company the proper and punctual performance and observance by the Supplier of all its obligations, warranties, duties, undertakings and responsibilities under the Contract and shall forthwith make good any default thereunder on the part of the Supplier and the Guarantor shall pay or be responsible for the payment by the Supplier to the Company of all sums of money, liabilities, awards, losses, damages, costs, charges and expenses that may be or become due and payable under or arising out of the Contract in accordance with its terms or otherwise by reason or in consequence of any such default on the part of the Supplier.
2. This Guarantee shall be a continuing guarantee and indemnity and accordingly shall remain in full force and effect until all obligations, warranties, duties and undertakings now or hereafter to be carried out or performed or observed by the Supplier under or arising out of the Contract have been duly and completely performed and observed in full.
3. The Guarantee is in addition to and not in substitution for any other security or warranty which the Company may at any time hold for the performance of any obligations, warranties, duties and undertakings under the Contract and may be enforced by the Company without first taking any proceedings or exhausting any right or remedy against the Supplier or any other person or taking any action to enforce any other security, bond or guarantee.

4. The Guarantor shall be under no greater obligation or greater liability under this Guarantee than it would have been under the Contract if it had been named as the Supplier in the Contract.
5. The obligations and liabilities hereunder shall remain in full force and effect and shall not be affected, lessened, impaired or discharged by:
 - (A) any alteration or variation to the terms of the Contract;
 - (B) any alteration in the extent or nature or sequence or method or timing or scope of the works, services or supplies to be carried out under the Contract;
 - (C) any extension of time being given to the Supplier or any other indulgence or concession to the Supplier or any forbearance, forgiveness or any other thing done, omitted or neglected to be done under the Contract;
 - (D) any other bond, security or guarantee now or hereafter held for all or any part of the obligations of the Supplier under the Contract;
 - (E) the release, modification, exchange or waiver of any such bond, security or guarantee;
 - (F) any amalgamation or reconstruction or dissolution including liquidation of the Supplier;
 - (G) the making of a winding up order, the appointment of a provisional liquidator, the passing of a resolution for winding up, liquidation, administration, receivership or insolvency of the Supplier;
 - (H) any legal limitation, disability or incapacity relating to the Supplier (whether or not known to the Guarantor);
 - (I) any invalidity in, irregularity affecting or unenforceability of the obligations of the Supplier under the Contract;
 - (J) the termination of the Contract; or
 - (K) anything the Company or the Supplier may do or omit or neglect to do including, but without limitation, the assertion of or failure or delay to assert any right or remedy of the Company or the pursuit of any right or remedy by the Company.
6. Until all amounts which may be or become payable and all liabilities, obligations, warranties, duties and undertakings in respect of the Supplier's obligations have been irrevocably paid, performed or discharged in full, the Guarantor shall not, after a claim has been made or by virtue of any payment, performance or discharge by it under this Guarantee:
 - (A) be subrogated to any rights, security or moneys held, received or receivable by the Company or be entitled to any right of contribution or indemnity in respect of any payment made or moneys received on account of the Guarantor's liability under this Guarantee;

- (B) claim, rank, prove or vote as a creditor of the Supplier or its estate in competition with the Company unless the Company so directs; or
 - (C) receive, claim or have the benefit of any payment distribution or security from or on account of the Supplier, or exercise any right of set-off against the Supplier unless the Company so directs.
7. This Guarantee is irrevocable.
8. The benefit of this Guarantee may be assigned by the Company at any time to any assignee of the benefit of the whole of the Contract. No further or other assignments shall be permitted.
9. The Guarantor:
- (A) gives the guarantee contained in this Guarantee as principal obligor and not merely as surety;
 - (B) agrees to indemnify the Company on written demand against any loss or liability suffered by it if any provision set out in the Contract guaranteed by the Guarantor becomes unenforceable, invalid or illegal, and
 - (C) waives any right it may have of first requiring the Company to proceed against, or enforce any other rights or security or claim payment from, any person before claiming from the Guarantor under this Guarantee.
10. Until all amounts which may be or become payable in respect of the Supplier's obligations have been irrevocably paid in full by the Guarantor, the Company may:
- (A) refrain from applying or enforcing any other moneys, security or rights held or received by the Company in respect of those amounts, or apply and enforce the same in such manner and order as it sees fit (whether against those amounts or otherwise) and the Guarantor shall not be entitled to the benefit of the same; and
 - (B) hold in a suspense account any moneys received from the Supplier on account of these Supplier's obligations or on account of the Guarantor's liability under this Guarantee.
11. The Company is entitled to make any number of demands under this Guarantee.
12. The invalidity, illegality or unenforceability in whole of or in part of any provisions of this Guarantee shall not affect the validity, legality and enforceability of the remaining part or provisions of this Guarantee.
13. This Guarantee may be executed in any number of counterparts each of which shall be an original and all of such counterparts taken together shall be deemed to constitute one and the same instrument.
14. No person other than the Company and its subsidiaries (as defined in section 1159 of the Companies Act 2006) shall have any right to claim or remedy under or pursuant to this Guarantee and the provisions of the Contracts (Rights of Third Parties) Act 1999 are hereby excluded.

15. This Guarantee, executed and delivered as a deed, shall be governed by and interpreted according to the laws of England and the Courts of England shall have exclusive jurisdiction save that the Company shall have the right to bring proceedings in the courts of any other jurisdiction in which any of the Guarantor's assets may be situated.

16. [For non-UK resident Guarantors only:

For the purposes of this Guarantee the Guarantor hereby appoints [•] of [•] [to be a London address] to accept service of process on its behalf, and service on the said [•] at the said address shall be deemed to be good service on the Guarantor; and the Guarantor hereby irrevocably agrees not to revoke or terminate such appointment).]

Executed as a deed by the Parties and delivered on the date of this Guarantee

Executed as a Deed by [GUARANTOR])
acting by).....
) Authorised Signatory
and).....
) Authorised Signatory

Executed as a deed by affixing the Common Seal of)
[COMPANY])
in the presence of:-)

.....
[Authorised Signatory]

Executed as a Deed by [SUPPLIER])
acting by).....
) Authorised Signatory
and).....
) Authorised Signatory

SCHEDULE 11: FORM OF ON DEMAND PERFORMANCE BOND WITH APPENDIX 1

BOND

(Letterhead of Guarantor)

To: [Company name] (its successors in title and assigns)

Contract Bond No. [•]

1. Whereas our clients [•] (the "Supplier") have entered into a contract with you dated [•] (the "Contract") in respect of [•], we [•] (the "Guarantor", which term shall include our successors in title and assigns) hereby irrevocably undertake as a primary obligation upon first demand in writing made by you upon us from time to time or at any time to pay to you on each occasion the sum demanded by you within five (5) banking days upon service of your demand.

PROVIDED THAT:

1. This Bond shall come into force on the date hereof.
2. Any demand hereunder shall be substantially in the form of Appendix 1 (Form of Demand from the Company to the Guarantor) to this Bond, and as between you and us the facts set out in that demand shall be: (a) deemed to be true and (b) accepted by us as conclusive evidence for the purposes of this Bond that the amount claimed in the demand is due and payable to you hereunder, it being our intention that the event upon which payment must be made hereunder is the service of your demand without any rights on our part to raise any objections, irrespective of the validity or the effectiveness of the Contract and the obligations arising thereunder and irrespective of the underlying facts or their significance under the Contract.
3. All sums payable under this Bond shall be paid in pounds sterling to such bank account as may be specified in your demand in immediately available funds, free of any restriction or condition and free and clear of and without any deduction or withholding whether for or on account of tax, by way of set-off, or otherwise, except to the extent required by law.
4. For the purpose of this paragraph 4, the expression "Expiry Date" means [•]. Our liability hereunder shall be limited as follows:
 - (A) we shall have no liability in respect of any demand received after the Expiry Date; and
 - (B) in respect of a demand or demands received on or before the Expiry Date, our liability shall not exceed the aggregate sum of £ [Amount of Bond to be Confirmed].
5. Our obligations hereunder shall remain in full force and effect and shall not in any way be affected, reduced or discharged by:
 - (A) any alteration to the terms of the Contract made by agreement between you and the Supplier; and/or

- (B) any defence, counterclaim, set-off or other deduction available to the Supplier under the Contract; and/or
 - (C) any alteration in the extent or nature or sequence or method or timing of the works/services to be carried out under the Contract; and/or
 - (D) any time being given to the Supplier or any other indulgence or concession to the Supplier or any forbearance, forgiveness or any other thing done, omitted or neglected to be done under the Contract; and/or
 - (E) any other bond, security or guarantee now or hereafter held by you for all or any part of the obligations of the Supplier under the Contract; and/or
 - (F) the release or waiver of any such other bond, security or guarantee; and/or
 - (G) any amalgamation or reconstruction or dissolution including liquidation or change in control or constitution of the Supplier; and/or
 - (H) the termination of the Contract; and/or
 - (I) any other event which might operate to discharge a guarantor at law or in equity.
6. Terms defined in the Contract and not otherwise defined herein shall have the same meaning in this Bond unless inconsistent with the context.
 7. This Bond shall be governed by, and interpreted according to, the laws of England and the Courts of England shall have exclusive jurisdiction in relation to any claim, dispute or difference concerning this Bond and any matter arising from it save that you shall have the right to bring proceedings in the Courts of any other jurisdiction in which any of our assets may be situated.
 8. This Bond may be assigned or transferred without our prior consent to any member of the TfL Group. Any other assignment or transfer of this Bond by either Party shall require the consent of the other Party, such consent not to be unreasonably withheld or delayed.
 9. This Bond may not be amended, varied or supplemented in any manner whatsoever without your prior written consent, other than in accordance with its express terms.
 10. Each of the provisions of this Bond is severable and distinct from the others, and if at any time any such provision is or becomes ineffective, inoperable, invalid or unenforceable it shall be severed and deemed to be deleted from this Bond, and in such event the remaining provisions of this Bond shall continue to have full force and effect.
 11. All bank charges and other fees payable in relation to or in connection with this Bond are for the account of the Supplier and you shall have no liability or responsibility therefor.
 12. Except to the extent it is inconsistent with the express terms of this Bond, this Bond is subject to the ICC Uniform Rules for Demand Guarantees, 2010 revision, ICC Publication No. 758.

Executed as a deed by the Parties and delivered on the date of this Bond.

Executed as a Deed by [GUARANTOR])
acting by).....
) Authorised Signatory
and).....
) Authorised Signatory

Executed as a deed by affixing the Common Seal of)
[COMPANY])
in the presence of:-)

.....
[Authorised Signatory]

APPENDIX 1: FORM OF DEMAND FROM THE COMPANY TO THE GUARANTOR

Dear Sirs

[Contract Title]

Contract No: [●] (the "Contract")

We refer to the Bond given by you to us dated [●].

An event has occurred of the type described in Clause [●] of the Contract.

We hereby demand payment from you of the sum of £[●] under the Bond. Please make payment by CHAPS made payable to [Company name / bank account details].

Yours faithfully

.....
[Company name]
55 Broadway
London
SW1H 0BD

SCHEDULE 12: FORM OF COLLATERAL WARRANTY

THIS AGREEMENT is made the _____ day of _____ 201[●]

BETWEEN: -

- (1) **TRANSPORT FOR LONDON** or **TfL**, a statutory corporation established under the Greater London Authority Act 1999 of 55 Broadway, London SW1H 0BD (the "Company" which expression shall include its successors, transferees and assignees);
- (2) [●] a company registered in England and Wales under number: [●] and having its registered office at [●] (the "Sub-Contractor"); and
- (3) [●] a company registered in England and Wales under number: [●] and having its registered office at [●] (the "Supplier").

WHEREAS:-

- (A) The Company has entered into a contract with the Supplier (the "Main Contract") pursuant to which the Supplier is to undertake and complete the following services: [●] (the "Services").
- (B) The Sub-Contractor has submitted a tender to the Supplier for the carrying out and completion of certain parts (the "Sub-Contract Services") of the Services referred to above as more particularly described in the tender.

NOW IN CONSIDERATION of the payment of £1 (one pound) by the Company to the Sub-Contractor (receipt of which the Sub-Contractor hereby acknowledges) IT IS HEREBY AGREED as follows:

1. The Sub-Contractor warrants to the Company that:
 - (A) the Sub-Contract Services have been and will be carried out with the skill and care to be expected of appropriately qualified and experienced professional contractors with experience in carrying out works or services of a similar type, nature and complexity to the Sub-Contract Services;
 - (B) reasonable skill and care has been and will continue to be exercised in connection with:
 - (1) the design of any goods, works or services to the extent that the Sub-Contractor has or will be responsible for such design;
 - (2) the selection of all goods and materials comprised in the Sub-Contract Services (in so far as such goods and materials have been or will be selected by the Sub-Contractor);
 - (3) the satisfaction of any performance specification or requirement in so far as the same are included or referred to in the contract between the Supplier and the Sub-Contractor in relation to the Sub-Contract Services (the "Sub-Contract");

- (4) the execution and completion of the Sub-Contract Services;
 - (5) the Sub-Contract Services will, on completion of the Main Contract, comply with all Applicable Laws and Standards (as such capitalised terms are defined in the Main Contract);
- (C) the Sub-Contract Services will be reasonably fit for the purposes for which they are intended (awareness of which purposes the Sub-Contractor hereby acknowledges) and in particular but without limitation will be so fit for the period and with a rate of deterioration reasonably to be expected of high quality, reliable, well designed and engineered goods, materials and construction; and
- (D) it has the right to grant to the Company all licences (including without limitation all rights to sub-licence) of all intellectual property rights as contemplated in this Framework Agreement.

For the purposes of construing the warranties in this Clause 1 references to the Sub-Contract Services shall include any part of the Sub-Contract Services. Each warranty shall be construed as a separate warranty and shall not be limited by reference to, or reference from, the terms of any other warranty or any other term of the Sub-Contract.

2. The Sub-Contractor shall, save in so far as he is delayed by any event in respect of which the Supplier is granted an extension of time under the Main Contract for completion of the Services:
- (A) execute and complete the Sub-Contract Services in accordance with the provisions of the Sub-Contract; and
 - (B) ensure that the Supplier shall not become entitled to any extension of time for completion of the Services or to claim any additional payment under the Main Contract due to any failure or delay by the Sub-Contractor.
3. The Sub-Contractor shall from time to time supply the Company and the Supplier with such information as either may reasonably require.
4. To the extent that the intellectual property rights in any and all Documents have not already vested in the Company or the Supplier, the Sub-Contractor hereby grants to the Company an irrevocable, non-exclusive, non-terminable, royalty-free licence to copy and make full use of any and all Documents and all amendments and additions to them and any works, designs or inventions of the Sub-Contractor incorporated or referred to in them for the following purposes:
- (A) understanding the Services;
 - (B) operating, maintaining, repairing, modifying, altering, enhancing, re-figuring, correcting, replacing, re-procuring and re-tendering the Services;
 - (C) extending, interfacing with, integrating with, connecting into and adjusting the Services;

- (C) Where paragraph (A)(c) applies and the Supplier has failed to make available to the Company a Level 1 Non-Conformance Report, the notice referred to in paragraph (B) shall also set out the deadline by which the Supplier is required to serve on the Company a report (the "Level 2 Non-Conformance Report") setting out the Level 2 Required Action and the Level 2 Rectification Period.
- (D) All Level 2 Non-Conformances will be escalated to the Supplier's Managing Director and senior management of the Company and shall be reviewed (whether resolved or not) every Quarter at the Quarterly at the Quarterly Review Meetings, as held in accordance with Schedule 17 (Contract Management).

4.7 **Level 3 Non-Conformance**

- (A) Paragraph (B) shall apply where:
 - (1) the Supplier fails to make available to the Company by the deadline notified under paragraph 4.6(C) a Level 2 Non-Conformance Report; or
 - (2) the Supplier fails to undertake the Level 2 Required Action within the Level 2 Rectification Period; or
 - (3) having undertaken the Level 2 Required Action, the Supplier fails to rectify the Level 2 Non-Conformance within the Level 2 Rectification Period; or
 - (4) a further Non-Conformance occurs within 2 months of the end of the Level 2 Rectification Period which is of the Same Type as the Level 2 Non-Conformance; or
 - (5) a further Non-Conformance occurs during the Level 2 Rectification Period that is of the Same Type as the Level 2 Non-Conformance.
- (B) Where one or more of the circumstances described in paragraph (A) applies, this shall be a Level 3 Non-Conformance and shall be deemed a material breach which entitles the Company to terminate the Framework Agreement and/or any or all Call-Off Contract(s) in whole or in part in accordance with Clause 50 (Termination on Supplier Default)

5. **Appointment of substitute supplier**

In the event of a Level 1, Level 2 or Level 3 Non-Conformance, the Company shall be entitled to appoint another supplier (which may be another Framework Supplier) to perform the relevant Services and/or rectify the relevant Non-Conformance in respect of the relevant Call-Off Contract and recover from the Supplier any costs reasonably incurred by the Company in obtaining such substitute services from such other supplier(s). Such costs shall at the Company's option either:

- (A) be deducted from any payment due to the Supplier whether under the relevant Call-Off Contract, another Call-Off Contract or otherwise; or
- (B) be the subject of a demand for payment from the Company which, shall be payable by the Supplier as a debt due within 14 days.

6. Suspension from Mini-Competitions

- 6.1 If the Supplier achieves a score of "Unacceptable" in respect of any one or more KPIs on two or more occasions in any twelve (12) month rolling period the Company shall by written notice to the Supplier suspend the Supplier's right to participate in any Mini-Competitions in relation to which the relevant Call-Off Contract has not yet been awarded until the later of:
- (A) the date six months from the date of such notice; and
 - (B) such time as the Supplier has rectified the relevant Non-Conformance in accordance Level1 Rectification Period and Level 1 Required Action and/or the Level 2 Rectification Period and Level 2 Required Action agreed with the Company in accordance with the Escalation Procedure to the satisfaction of the Company.
- 6.2 The Company's Representative will inform the Supplier in writing of suspension from participation in future Mini-Competitions under the Framework Agreement pursuant to this paragraph 6.
- 6.3 The Company's Representative will inform the Supplier in writing when the Supplier is permitted to re-commence participation in future Mini-Competitions under the Framework Agreement in accordance with Paragraph 6.1 above.

7. Termination of the Framework Agreement

- 7.1 The Company shall be entitled to terminate the Framework Agreement if the Supplier has been suspended from participation in Mini-Competitions in accordance with Paragraph 6 (above) on two or more occasions.

SCHEDULE 13a: Appendix 1 – Contract Performance Scorecard

Supplier:	
Contract Year:	
Quarter:	
Date of Report:	

Key Performance Indicator (KPI)	Quarter 1	Quarter 2	Quarter 3	Quarter 4
1 Compliant delivery				
2 Correction of Defects				
3 Financial Reporting				
4 Health & Safety Reporting				
5 Environmental Reporting				
6 Lost Time Injuries				

Key: Meets Requirements
 Below Requirements
 Unsatisfactory

- (4) the execution and completion of the Sub-Contract Services;
 - (5) the Sub-Contract Services will, on completion of the Main Contract, comply with all Applicable Laws and Standards (as such capitalised terms are defined in the Main Contract);
- (C) the Sub-Contract Services will be reasonably fit for the purposes for which they are intended (awareness of which purposes the Sub-Contractor hereby acknowledges) and in particular but without limitation will be so fit for the period and with a rate of deterioration reasonably to be expected of high quality, reliable, well designed and engineered goods, materials and construction; and
- (D) it has the right to grant to the Company all licences (including without limitation all rights to sub-licence) of all intellectual property rights as contemplated in this Framework Agreement.

For the purposes of construing the warranties in this Clause 1 references to the Sub-Contract Services shall include any part of the Sub-Contract Services. Each warranty shall be construed as a separate warranty and shall not be limited by reference to, or reference from, the terms of any other warranty or any other term of the Sub-Contract.

2. The Sub-Contractor shall, save in so far as he is delayed by any event in respect of which the Supplier is granted an extension of time under the Main Contract for completion of the Services:
- (A) execute and complete the Sub-Contract Services in accordance with the provisions of the Sub-Contract; and
 - (B) ensure that the Supplier shall not become entitled to any extension of time for completion of the Services or to claim any additional payment under the Main Contract due to any failure or delay by the Sub-Contractor.
3. The Sub-Contractor shall from time to time supply the Company and the Supplier with such information as either may reasonably require.
4. To the extent that the intellectual property rights in any and all Documents have not already vested in the Company or the Supplier, the Sub-Contractor hereby grants to the Company an irrevocable, non-exclusive, non-terminable, royalty-free licence to copy and make full use of any and all Documents and all amendments and additions to them and any works, designs or inventions of the Sub-Contractor incorporated or referred to in them for the following purposes:
- (A) understanding the Services;
 - (B) operating, maintaining, repairing, modifying, altering, enhancing, re-figuring, correcting, replacing, re-procuring and re-tendering the Services;
 - (C) extending, interfacing with, integrating with, connecting into and adjusting the Services;

- (D) enabling the Company to carry out the operation, maintenance repair, renewal and enhancement of the TfL Network and/or Sites (as such capitalised terms are defined in the Main Contract);
- (E) executing and completing the Services; and
- (F) enabling the Company to perform its functions and duties as Infrastructure Manager and Operator of the TfL Network and/or Sites (as such capitalised terms are defined in the Main Contract)

provided always that the Supplier shall not be liable for the consequences of any use of the Documents as aforesaid for any other purpose. Such licence shall carry the right to grant sub-licences and shall be transferable to third parties without the prior consent of the Sub-Contractor.

For the purposes of this Clause, the term "Documents" shall mean documents, items of information, data, reports, drawings, specifications, plans, software, designs, inventions and any other materials provided by or on behalf of the Sub-Contractor in connection with the Sub-Contract (whether in existence or to be made).

5. The Sub-Contractor agrees:

- (A) on request at any time to give the Company or any persons authorised by the Company access to the material referred to in Clause 4 and at the Company's expense to provide copies of any such material; and
- (B) at the Sub-Contractor's expense to provide the Company with a set of all such material on completion of the Sub-Contract Services.

6. The Parties hereby agree that:

- (A) this Framework Agreement shall be personal to the Sub-Contractor;
- (B) the Company may assign the benefit of this Framework Agreement to any third party;
- (C) the rights and remedies contained in this Framework Agreement are cumulative and shall not exclude any other right or remedy available to either Party in law or equity.

7. The Sub-Contractor warrants and undertakes to the Company that he has maintained and will continue to maintain all insurances required to be maintained pursuant to the terms of the Sub-Contract and that, insofar as he is responsible for the design of the Sub-Contract Services, he has professional indemnity insurance with a limit of indemnity of not less than two million pounds (£2,000,000) in respect of each and every claim which may be made against the Sub-Contractor in respect of the Sub-Contract Services. The Sub-Contractor shall maintain such professional indemnity insurance for a period of 12 years from completion of the Services provided such insurance remains available at commercially reasonable rates and shall notify the Company forthwith if such insurance ceases to be so available. When deciding whether such insurances are available at commercially reasonable rates, no account shall be taken of any increase in the premium or imposition of terms which arise as a result of the Sub-Contractor's insurance claims record.

8. If any dispute of any kind whatsoever arises between the Parties in connection with this Framework Agreement or the Sub-Contract Services which raises issues which are in opinion of the Company the same as or substantially the same as issues raised in a related dispute (the "Related Dispute") between the Company and the Supplier and such Related Dispute has already been referred to a conciliator or arbitrator appointed under the provisions to that effect contained in the Main Contract, then the Sub-Contractor hereby agrees that the Company may at his discretion by giving notice in writing to the Sub-Contractor refer the dispute arising out of this Framework Agreement or the Sub-Contract Services to the adjudicator, conciliator, arbitrator or other Party (the "Appointed Party") appointed to determine the Related Dispute. In this event the Appointed Party shall have power to give such directions for the determination of the dispute and the Related Dispute as he may think fit and to make such awards as may be necessary in the same way as if the procedure of the High Court as to joining one or more defendants or joint co-defendants or third parties was available to the Parties and to him.

9.

(A) Neither the Sub-Contractor nor the Supplier shall exercise or seek to exercise any right which may be or become available to it to terminate or treat as terminated the Sub-Contract or discontinue or suspend the performance of any of its duties or obligations thereunder or treat the Sub-Contract as determined without first giving to the Supplier or the Sub-Contractor (as applicable) not less than twenty five (25) Working Days prior written notice of its intention to do so, with a copy to the Company, specifying the Sub-Contractor's or Supplier's grounds for terminating or treating as terminated the Sub-Contract or discontinuing or suspending its performance thereof or treating the Sub-Contract as determined.

(B) If the Main Contract is terminated for any reason, within twenty five (25) Working Days of such termination the Company may give written notice to the Sub-Contractor and to the Supplier (a "Step-in Notice") that the Company or its appointee shall henceforth become the Supplier under the Sub-Contract in accordance with the terms of sub-Clause (C) below.

(C) With effect from the date of the service of any Step-in Notice:

(1) the Company or its appointee shall be substituted in the Sub-Contract as the Supplier thereunder in place of the Supplier and references in the Sub-Contract to the Supplier shall be construed as references to the Company or its appointee;

(2) the Sub-Contractor shall be bound to continue with the performance of its duties and obligations under the Sub-Contract and any exercise or purported exercise by the Sub-Contractor prior to the date of the Step-in Notice of any right to terminate or treat as terminated the Sub-Contract or to discontinue or suspend the performance of any of its duties or obligations thereunder or to treat the Sub-Contract as automatically determined shall be of no effect;

(3) the Company shall become bound by the terms and conditions of the Sub-Contract in respect of all obligations and duties of the Supplier thereunder which fall to be performed after the date of the Step-in Notice and shall promptly thereafter make payment of any amounts

properly due to the Sub-Contractor as at the date of the Step-in Notice and still outstanding; and

(4) the Supplier shall be released from further performance of the duties and obligations of the Supplier under the Sub-Contract after the date of the Step-in Notice, but without prejudice to any rights and remedies of:

(a) the Sub-Contractor against the Supplier in respect of any matter or thing done or omitted to be done by the Supplier on or before the date of the Step-in Notice; and

(b) the Supplier against the Sub-Contractor in respect of any matter or thing done or omitted to be done by the Sub-Contractor on or before the date of the Step-in Notice.

(D) Notwithstanding anything contained in this Framework Agreement and notwithstanding any payments which may be made by the Company to the Sub-Contractor, the Company shall not be under any obligation to the Sub-Contractor and the Sub-Contractor shall not be under any obligation to the Company unless the Company shall have served a Step-in Notice pursuant to Clause (B) above.

10. The Sub-Contractor's liabilities, duties and obligations hereunder shall be no greater and of no longer duration than the liabilities, duties and obligations which the Sub-Contractor owes to the Supplier under the Sub-Contract.
11. The Sub-Contractor further undertakes to indemnify the Company from and against the consequences of any breach by the Sub-Contractor of any of the warranties, covenants and undertakings contained in this Framework Agreement.
12. The rights and benefits conferred upon the Company by this Framework Agreement are in addition to any other rights and remedies that the Company may have against the Sub-Contractor including, without prejudice to the generality of the foregoing, any remedies in negligence.
13. Nothing contained in this Framework Agreement shall in any way limit the obligations of the Supplier to the Company arising under the Main Contract or otherwise undertaken by the Supplier to the Company in relation to the Sub-Contract Services.
14. No amendment to this Framework Agreement shall be valid unless it is in writing and signed by all Parties.
15. Any person who is not a Party to this Framework Agreement may not enforce any of its terms under the Contracts (Rights of Third Parties) Act 1999.
16. This Framework Agreement shall be governed by and construed in accordance with English law and shall be subject to the exclusive jurisdiction of the Courts of England and Wales.

Executed as deed by the Parties and delivered on the date of this Framework Agreement.

Executed as a deed by)
affixing the Common Seal of)
Transport for London in the)
presence of [●]

Authorised Signatory

Executed as a Deed by)
[SUB-CONTRACTOR] acting)
by [•]

Authorised Signatory

And)
)
)

Authorised Signatory

Executed as a Deed by)
[SUPPLIER] acting by [•]

Authorised Signatory

And)
)

Authorised Signatory

SCHEDULE 13: PERFORMANCE MEASUREMENT

SCHEDULE 13a: PERFORMANCE MEASUREMENT MECHANISM

1. Definitions

"Abatement" means a reduction from the payment due to the Supplier under a Call-Off Contract, calculated in accordance with Schedule 13b at each payment assessment made by the Company's Representative.

"Below Requirements" has, in respect of each KPI, the meaning given to it in respect of that KPI in Schedule 13b (Performance Measurement).

"Contract Performance Scorecard" means the report to be produced by the Company at the end of each Quarter pursuant to paragraph 3 of this Schedule 13a (Performance Measurement Mechanism).

"Escalation Procedure" means the escalation procedure in respect of the Supplier's performance under Call-Off Contracts set out at paragraph 4 of this Schedule 13a (Performance Measurement Mechanism).

"Key Performance Indicator" or "KPI" means any or all, as the case may be, of the topics set out in paragraph 2 of Schedule 13b "Key Performance Indicator (KPI)" in Schedule 13b (Performance Measurement) which are applicable to all and any Call-Off Contracts.

"Level 1 Non-Conformance" means the Supplier's performance in respect of any KPI being assessed by the Company as:

- (a) "Below Requirements" on two or more occasions in any twelve (12) month rolling period; or
- (b) "Unsatisfactory" on any occasion.

"Level 1 Non-Conformance Report" has the meaning given to it in paragraph 4.5(A) of this Schedule 13a (Performance Measurement Mechanism).

"Level 1 Rectification Period" has the meaning given to it in paragraph 4.5(A)(c) of this Schedule 13a (Performance Measurement Mechanism).

"Level 1 Required Action" has the meaning given to it in paragraph 4.5.2(b) of this Schedule 13a (Performance Measurement Mechanism).

"Level 2 Non-Conformance Report" has the meaning given to it in paragraph 4.5.2(a) of this Schedule 13a (Performance Measurement Mechanism).

"Level 2 Rectification Period" has the meaning given to it in paragraph 4.6(B) of this Schedule 13a (Performance Measurement Mechanism).

"Level 2 Required Action" has the meaning given to it in paragraph 4.6(B) of this Schedule 13a (Performance Measurement Mechanism).

"Non-Conformances" has the meaning given to it in paragraph 4.2 (Escalation Procedure) of this Schedule 13a (Performance Measurement Mechanism), which

shall include Level 1 Non-Conformances, Level 2 Non-Conformances and Level 3 Non-Conformances as applicable.

"Same Type" has the meaning given to it in paragraph 4.6(A) (f) of this Schedule 13a (Performance Measurement Mechanism).

"Unacceptable" has, in respect of each KPI, the meaning given to it in respect of that KPI in Schedule 13b (Performance Measurement).

"Unsatisfactory" has, in respect of each KPI, the meaning given to it in respect of that KPI in Schedule 13b (Performance Measurement).

2. Overview

2.1 This Schedule 13 (Performance Measurement) comprises the performance measurement mechanism ("PMM") applicable to all Call-Off Contracts, in order to incentivise the Supplier to deliver the Services in accordance with the requirements of all such Call-Off Contracts and, without prejudice to the Company's other rights and remedies under or in connection with each Call-Off Contract and/or the Framework Agreement (as applicable), to provide the Company with a remedy where the Supplier fails to do so.

2.2 The PMM set out in this Schedule 13 (Performance Measurement) shall come into effect on the date that the Company issues its first Call-Off Contract under the Framework Agreement and shall be applicable to all Call-Off Contracts and the whole of the Services to be provided under each of those Call-Off Contracts.

2.3 The PMM comprises and incorporates:

- (A) A range of Key Performance Indicators set out in Schedule 13b (Performance Measurement);
- (B) Schedule 13b (Performance Measurement) which sets out the details as to how the KPIs are to be measured, the frequency and methodology of monitoring performance and the performance level required; and
- (C) Schedule 13b (Performance Measurement) which also sets out the method of calculation of the Abatement (if any) in respect of the Supplier's failure to provide the Services in accordance with any Call-Off Contract.

2.4 In respect of each KPI, a failure by the Supplier to meet the required level of performance set out in Schedule 13b (Performance Measurement) shall entitle the Company to:

- (A) enact the Escalation Procedure subject to and in accordance with paragraph 4; and/ or
- (B) if applicable to the relevant KPI and Call-Off Contract as set out in that Call-Off Contract, recover Abatements from the Supplier in the circumstances set out in Schedule 13b (Performance Measurement); and/or
- (C) appoint an alternative supplier to carry out the relevant Services which are the subject of the Non-Conformance and recover its costs in accordance with paragraph 5 of Schedule 13a (Performance Measurement Mechanism).

- 2.5 The Company shall be entitled to:
- (A) enact suspension of participation in future Mini-Competitions subject to and in accordance with paragraph 6; and/or
 - (B) terminate the Framework Agreement and/or any Call-Off Contract in accordance with paragraph 7 of Schedule 13a (Performance Measurement Mechanism).
- 2.6 At the end of each Quarter, the sum of all Abatements due under a Call-Off Contract in respect of such Quarter calculated pursuant to Schedule 13b (Performance Measurement) and the Call-Off Contract shall at the Company's option either:
- (A) be deducted from any payment due to the Supplier whether under the relevant Call-Off Contract, another Call-Off Contract or otherwise; or
 - (B) be the subject of a demand for payment from the Company, which shall be payable by the Supplier as a debt due within 14 days.

3. Reporting

- 3.1 The Supplier will provide the reports required pursuant to Schedule 17 (Contract Management) in relation to its performance, including measurements against each of the KPIs.
- 3.2 A Contract Performance Scorecard will be produced by the Company in relation to all Call-Off Contracts for each Contract Year. The Contract Performance Scorecard will be updated by the Company and submitted to the Supplier's Representative at the end of each Quarter incorporating an analysis of the performance of each of the KPI's during the Quarter.
- 3.3 An example of the Contract Performance Scorecard is included in Appendix 1 to this Schedule 13a (Performance Measurement Mechanism).

4. Escalation Procedure

- 4.1 In the event that in relation to a Call-Off Contract:
- (A) the Supplier's performance against one or more of the KPIs is assessed in the Quarterly Contract Performance Scorecards as a Non-Conformance; and/or
 - (B) the Supplier is in breach of any of its obligations under the Call-Off Contract,
- the Escalation Procedure may be invoked by the Company and the Company shall be entitled to do so in its absolute discretion.
- 4.2 The purpose of the Escalation Procedure is to provide a structured framework within which the Parties can address poor performance of the Services against timescales and deliverable targets. For the purposes of the Escalation Procedure, incidents of poor performance will be termed "Non-Conformances".
- 4.3 The Escalation Procedure operates with three levels, as set out in paragraphs 4.4 to 4.8 of this Schedule 13a (Performance Measurement Mechanism), with the lowest level of Non-Conformance being a Level 1 Non Conformance. Where Non-Conformances are escalated, they shall receive an appropriate level of management