



CONTRACT

Between

**The Driver and Vehicle Licensing Agency,
on behalf of the Secretary of State for Transport
(the “DVLA”)**

and

[XXXXXXXXXX CUSTOMER NAME]

for

the Provision of Data for a Fee

**regarding the Keeper of a Vehicle at the Date of an Event
using an Electronic Service
(the “KADOE Service”)**

Protect - Personal Data

The following handling instructions apply to this document:

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PART A

GENERAL PROVISIONS

A1. **Parties to this Contract**

A1.1. This Contract is made between the Parties:

(1) the **Secretary of State for Transport** acting through the **Driver and Vehicle Licensing Agency**, whose principal office is at Longview Road, Morriston, Swansea SA6 7JL (the “DVLA”); and

(2) [**CUSTOMER NAME**] a company registered under company number **XXXXXXXXXX** whose registered office is at **XXXXXXXXXX** (the “Customer”).

A2. **Purpose of this Contract**

A2.1. The purpose of this Contract is to set out the basis upon which the DVLA agrees to provide Data regarding the Keeper of a Vehicle at the Date of an Event to the Customer on request, using the electronic service detailed in the KADOE External Interface Specification (the “KADOE Service”), and the Customer agrees to pay the DVLA for that service.

A3. **The Customer’s Status**

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

A4. The DVLA's Obligations

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

A4.2. The DVLA is an executive agency of the Department for Transport and has no separate legal personality from that Department.

A5. Compliance with the Law and Industry Best Practice

A5.1. The Customer shall at all times comply with Law and Industry Best Practice in carrying out its obligations under the Contract.

A6. Membership of an Accredited Trade Association

A6.1. The Customer shall at all times be a member of a DVLA Accredited Trade Association ("ATA") and maintain membership of the ATA and comply with the ATA's Code of Practice or Conduct.

A6.2. The Customer shall notify the DVLA immediately if the Accredited Trade Association finds any non-compliance issues, if any sanctions are applied or points placed on the Customer's membership licence, or if its membership or Approved Operator status is suspended or ended. In these circumstances, the DVLA may suspend or terminate the KADOE Service without further notice.

A7. The Customer's Declaration Of Good Standing

A7.1. One of the Customer's directors shall sign the Declaration of Good Standing at **ANNEX A** to confirm that each and every Related Person satisfies the requirements in the Declaration.

A7.2. The Customer shall notify the DVLA immediately of any circumstances which occur at any time during the life of this Contract which mean that the requirements of the Declaration of Good Standing are no longer met.

A7.3. The Customer shall ensure that no person who discloses that he or she has a Relevant Conviction, or who is found by the Customer to have any Relevant Convictions (whether as a result of a police check or through the Criminal Records Bureau procedures or otherwise), is allowed access to the Data or to the KADOE Service without the prior and express written consent of the DVLA.

A8. Notices

A8.1. Except as otherwise expressly provided within the Contract, no notice or other communication from one Party to the other shall have any validity under the Contract unless made in writing by or on behalf of the Party concerned.

A8.2. Any notice or other communication which is to be given by either Party to the other shall be given by letter, sent by hand, first class post, recorded delivery or special delivery or by electronic mail. Such letters to the DVLA shall be written on the Customer's headed paper and addressed to the DVLA Representative. Such letters to the Customer shall be addressed to the Commercial Manager listed in **ANNEX B** at the Customer's registered office. Provided the relevant communication is not returned as undelivered, the notice or communication is deemed to have been given 2 Working Days after the day on which the letter was posted, or 4 hours in the case of electronic mail, or at such earlier time as the other Party acknowledges receipt of such letters or items of electronic mail.

A8.3. If the Customer intends to change its company name or its registered office address as recorded at Companies House, or intends to use a different trading name, the Customer's Commercial Manager shall give

the DVLA notice of the change in writing on the Customer's headed paper.

A9. Conflicts of Interest

A9.1. The Customer shall take appropriate steps to ensure that neither the Customer nor any Staff is placed in a position where, in the reasonable opinion of the DVLA, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Customer and the duties owed to the DVLA under the provisions of this Contract. The Customer shall disclose to the DVLA full particulars of any such conflict of interest which may arise.

A9.2. The DVLA reserves the right to terminate the Contract immediately by notice in writing and/or to take such other steps it deems necessary where, in the reasonable opinion of the DVLA, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Customer and the duties owed to the DVLA under the provisions of the Contract. The actions of the DVLA pursuant to this clause shall not prejudice or affect any right of action or remedy which shall have accrued or shall thereafter accrue to the DVLA.

A10. Definitions and Interpretation

A10.1. In this Contract unless the context otherwise requires the following provisions have the meanings given to them below:

“ATA” means a DVLA Accredited Trade Association.

“Business to Business Gateway” means the DVLA system that delivers a set of electronic message based services for all high volume business to business transactions and is housed in a secure environment that adheres to the e-Government Information Framework (“e-GIF”) standards.

“Commencement Date” means the commencement date of the KADOE Service notified to the Customer under clause B11 (**Commencement of the KADOE Service**).

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

- i) was public knowledge at the time of disclosure (otherwise than by breach of clause G1 (**Confidential Information**));
- ii) was in the possession of the receiving Party, without restriction as to its disclosure, before receiving it from the disclosing Party;
- iii) is received from a third party (who lawfully acquired it) without restriction as to its disclosure;
- iv) is independently developed without access to the Confidential Information.

“Contract” means this written agreement between the DVLA and the Customer consisting of these clauses and any attached Schedules and annexes.

“Contracting Authority” means any contracting authority as defined in Regulation 3 of the Public Contracts Regulations 2006.

“Conviction” means, other than for minor road traffic offences, any previous or pending prosecutions, convictions, cautions and binding-over orders (including any spent convictions as contemplated by section 1(1) of the Rehabilitation of Offenders Act 1974 by virtue of the exemptions specified in Part II of Schedule 1 of the Rehabilitation of Offenders Act 1974 (Exemptions)

Order 1975 (SI 1975/1023) or any replacement or amendment to that Order, or being placed on a list kept pursuant to the safeguarding of Vulnerable Groups Act 2006;

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

“Data” means data from the vehicles register described in the KADOE External Interface Specification, including in response to each request the name and address listed on the vehicles register as the name and address of the registered keeper of the vehicle on the relevant date. The Data includes Personal Data as defined by the DPA.

“Data Controller”, “Data Processor”, “Data Subject”, “Personal Data”, and “Processing” shall have the meanings prescribed under the section 1 of the DPA.

“Days” shall mean calendar days, save where the context otherwise requires.

“Default” means any breach of the obligations of the relevant Party (including but not limited to fundamental breach or breach of a fundamental term) or any other default, act, omission, negligence or negligent statement of the relevant Party or the Staff in connection with or in relation to the subject matter of the Contract and in respect of which such Party is liable to the other.

“Dispute” means any dispute, difference or question of interpretation arising out of or in connection with this Contract, including any dispute, difference or question of interpretation relating to the KADOE Service or protection of the Data or any matter where this Contract directs the Parties to resolve any issue by reference to the Dispute Resolution Procedure.

“DPA” means the Data Protection Act 1998 and subordinate legislation made under it, together with any relevant guidance and/or codes of practice issued by the Information Commissioner.

“DVLA” means the Secretary of State for Transport, his Department, Executive Agencies of the Department and persons authorised to act on his behalf.

“DVLA Chosen Supplier” means the person that provides the line installation and configuration which enables connection to the DVLA’s Business to Business Gateway for the Customer, through which the Data is requested from the DVLA and transmitted to the Customer.

“DVLA Representative” means a competent person appointed by the DVLA to be its representative in relation to the performance of the Contract.

“Equipment” means the Customer’s equipment, plant, materials and such other items used by the Customer in the performance of its obligations under the Contract, or otherwise used to access or store Data.

“Force Majeure” means any cause affecting the performance by a Party of its obligations arising from acts, events, omissions, happenings or non-happenings beyond the reasonable control of the Party concerned and which is not attributable to any act or failure to take preventative action by that Party. Such causes include fire; flood; violent storm; earthquake; pestilence; explosion; malicious damage; riots; war or armed conflict; acts of terrorism; nuclear, biological or chemical warfare; or any other disaster, natural or man-made.

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

“Industry Best Practice” means at any time the exercise of that degree of skill, care, diligence, prudence, efficiency, foresight, standards, practices, methods,

procedures and timeliness which would be expected at such time from a leading and expert company within the Industry, such company seeking to comply with its contractual obligations in full and complying with all applicable laws.

“KADOE Service” means the provision of Data regarding the Keeper of a Vehicle at the Date of an Event using the electronic service detailed in the KADOE External Interface Specification electronic service.

“Intellectual Property Rights” means patents, inventions, trade marks, service marks, logos, design rights (whether registrable or otherwise), know how, confidential information, trade marks discoveries, inventions, applications for any of the foregoing, copyright, database rights, domain names, trade or business names, moral rights and other similar rights or obligations whether registrable or not in any country (including but not limited to the United Kingdom) and the right to sue for passing off. In each case it includes these rights and interests in every part of the world for their full terms, including any renewals and extensions, and the right to receive any income from them and any compensation in respect of their infringement.

“Law” means any applicable Act of Parliament, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, exercise of the royal prerogative, enforceable community right within the meaning of Section 2 of the European Communities Act 1972, regulatory policy, guidance or industry code, judgement of a relevant court of law, or directives or requirements or any Regulatory Body which the Customer is bound to comply.

“Link Provider” means the person that provides the secure technical link to the DVLA’s Business to Business Gateway for the Customer, through which the Data is requested from the DVLA and transmitted to the Customer.

“Loss” of any Data means any instance where the Data has been lost, misplaced or destroyed, where unauthorised persons have gained or been allowed access to the Data, or where, due to the breakdown of, or failure to comply with protective security policies or measures including technical and

procedural measures, there is a potential that unintended or unauthorised access to the Data may be possible.

“Malicious Software” means any software program or code intended to destroy, interfere with, corrupt, or cause undesired effects on program files, data or other information, executable code or application software macros, whether or not its operation is immediate or delayed, and whether the malicious software is introduced wilfully, negligently or without knowledge of its existence.

“Material Breach” means a breach (including an anticipatory breach) which is not minimal or trivial in its consequences to the other Party. In deciding whether any breach is material no regard shall be had to whether it occurs by some accident, mishap, mistake or misunderstanding.

“Month” means calendar month.

“Notice to Keeper” means a notice to the registered keeper of the vehicle as defined in paragraph 8 of Schedule 4 to the Protection of Freedoms Act 2012.

“OFT Debt Collection Guidance” means any guidance and/or codes of practice issued by the Office of Fair Trading from time to time for businesses engaged in the recovery of consumer credit debts, including the Guidance Document on the Use, Format and Content of Standard Debt Collection Letters produced by the Credit Services Association and the Debt Buyers and Sellers Group in association with the Office of Fair Trading at http://www.offt.gov.uk/shared_offt/business_leaflets/consumer_credit/debt-letters.pdf.

“Parking Charge” means:

(a) a sum in the nature of a fee or charge, arising under the terms of a contract (including a contract arising only when the vehicle was parked on the land) between:

- the driver and the owner or occupier of the land; or

- a person authorised, under or by virtue of arrangements made by the owner or occupier of the land, to enter into a contract with the driver requiring the payment of parking charges in respect of the parking of the vehicle on the land; and

(b) a sum in the nature of damages arising as a result of trespass or other tort committed by parking the vehicle on land, provided that adequate notice of the sum was given to the driver of the vehicle (when the vehicle was parked on the land).

Adequate notice means the display of one or more notices that:

- specify the sum as the charge for unauthorised parking and are adequate to bring the charge to the notice of drivers who park vehicles on the relevant land, and
- comply with any applicable requirements prescribed in regulations under paragraph 12 to Schedule 4 to the Protection of Freedoms Act 2012.

“Party” means a party to the Contract.

“Premises” means the location where the Data is to be supplied to the Customer, or accessed, stored or destroyed by the Customer.

“Probationary Period” means the mandatory period of 26 weeks within which a minimum of 300 valid manual requests must be made by any new applicant wishing to join the KADOE Service. If less than 300 valid manual requests are made within the six month period, the Probationary Period will be extended for the length of time taken to make 300 valid manual requests. The Probationary Period will begin when the Customer has made their first valid manual request after confirming their intention to join the KADOE Service.

“Protective Markings” means the markings given to Her Majesty’s Government (HMG) documents and information that indicates the level of protective security that should be applied to that document or information. The Government Protective Marking System/Scheme (GPMS) is described in the

Cabinet Office document, “HMG Security Policy Framework” which is published on the Cabinet Office website.

“Reasonable Cause” means the purpose for which the Data is provided by the DVLA to the Customer via the KADOE Service as stated in clause B2 of this Contract.

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

“Related Persons” means the Customer, its directors, the Commercial Manager, the Data Manager and the other Key Staff.

“Relevant Conviction” means a Conviction which the Customer, acting reasonably and in accordance with Industry Best Practice, deems to preclude a person from being involved in any way with use of the Data or lawful debt collection on behalf of the Customer;

“Removable Media” means all physical items and devices that can carry and transfer electronic information. Examples include but are not limited to DVDs, CDs, floppy disks, portable hard disk drives, USB memory sticks, flash drives, portable music and video players including mobile phones, hand held devices such as Smartphones and Personal Digital Assistants and laptop computers.

“Schedule” means a schedule attached to, and forming part of, the Contract.

“Staff” means all persons employed by the Customer to perform its obligations under the Contract together with the Customer’s servants, agents, suppliers and sub-contractors used in the performance of its obligations under the Contract.

“Variation” has the meaning given to it in clause H5 (**Variation**).

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

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

A10.2. The interpretation and construction of this Contract shall be subject to the following provisions:

- a) words importing the singular meaning include where the context so admits the plural meaning and vice versa;
- b) words importing the masculine include the feminine and the neuter;
- c) reference to a clause is a reference to the whole of that clause unless stated otherwise;
- d) reference to any statute, enactment, order, regulation or other similar instrument shall be construed as a reference to the statute, enactment, order, regulation or instrument as amended by any subsequent enactment, modification, order, regulation or instrument as subsequently amended or re-enacted;
- e) reference to any person shall include natural persons and partnerships, firms and other incorporated bodies and all other legal persons of whatever kind and however constituted and their successors and permitted assigns or transferees;
- f) the words “include”, “includes” and “including” are to be construed as if they were immediately followed by the words “without limitation”; and
- g) any obligation on a Party to do any act or thing includes an obligation to procure that it be done and any obligation on a Party not to do any act or thing includes an obligation not to allow that act or thing to be done and to use its best endeavours to prevent such act or thing being done by a third party; and

- h) headings are included in the Contract for ease of reference only and shall not affect the interpretation or construction of the Contract.

PART B

THE PROVISION OF DATA UNDER THE CONTRACT

B1. The DVLA's Legal Powers to Share the Data

B1.1. The DVLA has the legal power, under regulation 27 of the Road Vehicles (Registration and Licensing) Regulations 2002, as amended, to: *“make any particulars contained in the register available for use by any person who can show to the satisfaction of the Secretary of State that he has reasonable cause for wanting the particulars to be made available to him.”*

B2. Purpose For Which Data Is Provided

B2.1. The DVLA shall provide each requested item of Data to the Customer via the KADOE Service for the Reasonable Cause of enabling the Customer to:

- a) seek recovery of unpaid Parking Charges in accordance with the Accredited Trade Association Code of Practice, and using the procedure in Schedule 4 to the Protection of Freedoms Act 2012 (where the vehicle was parked on private land in England or Wales on a particular date); and
- b) otherwise seek recovery from a driver of unpaid Parking Charges in accordance with the Accredited Trade Association Code of Practice (where the vehicle was parked on private land in Scotland or Northern Ireland by that driver on a particular date, or where the Customer has chosen not to pursue, or is not in a position to pursue the vehicle keeper by utilising conditions in Schedule 4 of the Protection of Freedoms Act 2012).

B2.2. The Customer shall use each item of the Data only for the Reasonable Cause for which it was provided. The Customer understands that each item of the Data may be used only in relation to the particular date,

event and purpose for which it was requested and must not be re-used for any other date, event or purpose.

B2.3. Before making each request for Data, the Customer shall gather evidence to demonstrate that it has Reasonable Cause to request that Data. This evidence may include scans, images, photographs, correspondence and any other evidence that the Customer may rely on to show its compliance with the requirements of this Contract and of the relevant Accredited Trade Association's Code of Practice.

B2.4. The Customer shall hold the Data on only one database and shall not copy the Data nor link it to another database without the prior written permission of the DVLA.

B3. The KADOE Service

B3.1. The DVLA shall provide to the Customer a copy of the KADOE External Interface Specification, which describes:

- a) the technical requirements for the secure link to the DVLA's Business to Business Gateway through which the Data is requested and received; and
- b) the nature and format of the Data that the DVLA will provide in response to each request (under "Response Details XML Structure"). This is data from the vehicles register, and includes Personal Data.

B3.2. The Data shall include the name and address listed on the vehicles register as the name and address of the registered keeper of the vehicle on the relevant date.

B4. Link Providers

B4.1. The Customer may seek the DVLA's prior written agreement to the Customer sub-contracting with a Link Provider to provide the secure technical link to the DVLA's Business to Business Gateway through which the Data shall be requested and received by the Customer.

B4.2. If the DVLA terminates the supply to the Link Provider for any reason unconnected with the conduct of the Customer, the Customer may request and receive the Data using a paper service until the Customer can re-connect to the KADOE Service through a Link Provider.

B5. Time Limits for Data Requests

B5.1. The Customer may request Data using the KADOE Service relating to events that occurred on or after the Commencement Date of the KADOE Service.

B5.2. The Customer may request Data relating to events that occurred on the day that the request is made, or in the preceding 26 weeks.

B6. Requirements for Requests for Data

B6.1. In making each request for Data, the Customer shall correctly identify the registration mark of the vehicle concerned and the date of the relevant event.

B6.2. In making each request for Data, the Customer shall provide the correct "AA" Code to identify that Customer as the source of the request. If no "AA" Code is given, the Data shall not be provided.

B6.3. The DVLA and its IT supplier shall endeavour to provide the KADOE Service 24 hours per day. However, request files must be submitted before 16.00 hours on Monday to Fridays, and must otherwise be in accordance with the KADOE External Interface Specification. Where possible, the DVLA will notify the Customer in advance when the KADOE Service will be unavailable during maintenance.

B7. Accuracy of the Data

B7.1. The DVLA shall take all reasonable steps to ensure that the Data is accurate and up to date before it is transmitted to the Customer, but the DVLA cannot warrant the accuracy of the Data provided. The

DVLA does not accept any liability for any inaccurate information supplied to it by the keeper of the vehicle or any other source beyond its control.

B7.2. The Customer shall ensure before relying on any item of Data that the Data provided matches the information in the request (for example, so that the model, type and colour of the vehicle match) and shall not seek to recover payment where the Data provided does not match the vehicle information in the request.

B8. Geographical Extent of the Data

B8.1. The KADOE Service provides access to Data relating to vehicles kept by registered keepers whose addresses are in Great Britain.

B8.2. The DVLA shall notify the Customer if in the future the KADOE Service also provides access to Data relating to vehicles kept by registered keepers whose addresses are in Northern Ireland.

B9. Data That Is Not Available Via Any Electronic Service

B9.1. The KADOE Service does not provide access to Data from vehicle keeper records that are marked as unavailable for release through any electronic channel. Particular records may be marked in this way because of the keeper's personal or domestic reasons, where DVLA casework or an investigation is ongoing, and for other reasons.

B10. Technical Requirements for Secure Transmission of the Data

B10.1. The Data shall be transmitted to the Customer by the DVLA's IT supplier through DVLA's Electronic Business to Business ("B2B") Gateway. The Customer warrants that it has ensured that the method of provision of the Data by the DVLA's IT supplier is suitable and satisfactory to meet the Customer's needs.

B10.2. The Customer shall ensure that it has (or that its Link Provider has), sufficient technical knowledge and expertise to understand, implement

and support the KADOE Service. This shall include technical resource capable of setting up, managing and problem-solving issues involving key technologies of Secure File Transfer Protocol (SFTP) and networking, particularly including firewall configuration and network address translation.

B11. Commencement of the KADOE Service

B11.1. The DVLA shall notify the Customer of the Commencement Date of the KADOE Service after:

a) the Customer has completed a mandatory Probationary Period to the satisfaction of the DVLA and completed, signed and returned an original Variable Direct Debit instruction for payment of the fees for Data requests;

b) the Customer has:

B11.1.b.1. signed and returned the Contract, including the Declaration of Good Standing, the List of Customer's Key Staff, and the Annual Data Governance and Contract Compliance Assessment form; and

B11.1.b.2. been allocated an "AA" Code to be used to identify the Customer when making each request for Data; and

c) the Customer or its Link Provider has:

B11.1.c.1. completed a DVLA site survey questionnaire;

B11.1.c.2. completed, signed and returned the relevant DVLA Code of Connection;

B11.1.c.3. completed, signed and returned an original Variable Direct Debit Instruction for payment of the line rental and connection fees;

B11.1.c.4. obtained connectivity to the relevant network supplied by DVLA's chosen supplier;

- B11.1.c.5. deployed an FTP server and client that utilises Open SSH;
 - B11.1.c.6. performed basic testing with the DVLA; and
 - B11.1.c.7. completed and satisfied the exit criteria for End to End Connected testing and User Acceptance testing.
- B11.2. The DVLA shall monitor the quality of the KADOE Service from its IT supplier into the B2B Gateway and report to the Customer any issues discovered. The Customer or its Link Provider shall monitor the quality of the KADOE Service the Customer receives from the B2B Gateway, and the Customer shall report to the DVLA any issues discovered.

PART C

USE OF THE DATA

C1. Signage, Terms & Conditions and Correspondence

C1.1. The Customer shall ensure that signage, terms and conditions of service for parking customers and correspondence with data subjects comply with the Law and with the requirements of the ATA's Code of Practice or Conduct.

C2. First Written Correspondence with Registered Keeper (Scotland or Northern Ireland)

C2.1. Where the Customer is seeking to recover payment relating to parking on private land in Scotland or Northern Ireland, the Customer shall include in its first written correspondence with the registered keeper of the vehicle:

- a) a statement of the Reasonable Cause under which the subject's Data was provided to the Customer by the DVLA;
- b) a statement as to whether the Customer's right to seek payment of the parking charge for unauthorised parking of the vehicle on the land on the relevant date is as owner of the land, on the basis of a contractual right to occupy or to have possession of the land, or acting as agent of the landowner;
- c) an explanation that the Data was provided to the Customer to enable the Customer to identify the driver of the vehicle on the relevant date and to seek payment by the driver of the unpaid parking charges;
- d) details of the complaints procedures by which a Data Subject can notify the DVLA and the Information Commissioner if they believe their data has been used inappropriately.

C3. Debt Collection

C3.1. The Customer shall abide by the OFT Debt Collection Guidance whenever it seeks to recover payment of unpaid Parking Charges from any person.

C4. The Customer's Key Staff

C4.1. The Customer shall complete the list at **ANNEX B** ("Customer's Key Staff") of the individuals who have direct responsibilities for the use of the Data and for the Customer's other obligations under this Contract, giving their names and business addresses and other contact details and specifying the capacities in which they are concerned with the Data.

C4.2. As a minimum, the list shall include details of the Customer's registered office, as recorded by Companies' House and:

- a) the manager who shall be responsible for the Customer's general contractual matters and shall receive Notices under clause A8.2 sent to the Customer's registered office, and who shall be referred to in this Contract as the Commercial Manager; and
- b) the manager who is responsible for the management of the Customer's data, to be referred to in this Contract as the Data Manager.

C4.3. The Customer shall inform the DVLA immediately of any changes in personnel listed in **ANNEX B** or their business contact details.

C5. The DVLA Representative and Points of Contact

C5.1. The DVLA shall provide a list to the Customer of the DVLA Representative and other individuals whom the Customer may contact in relation to this Contract.

C6. Reviews and Meetings

- C6.1. The Customer shall upon receipt of reasonable notice and during normal office hours attend all meetings arranged by the DVLA at the Customer's Premises for the discussion of matters connected with the performance of the Contract.
- C6.2. Without prejudice to any other requirement in this Contract, the Customer shall provide such reports on the performance of the Contract or any other information relating to the Customer's requests for and use of the Data as the DVLA may reasonably require.
- C6.3. The DVLA shall review the Contract with the Customer annually. Where required by the DVLA, the parties shall meet in person or via video or telephone conference to review:
- a) the ongoing need for the KADOE Service as defined and any consequential variation to the terms of the Contract;
 - b) the Reasonable Causes for which the Data is provided;
 - c) the performance of the KADOE Service;
 - d) the volume of Data which the DVLA is providing to the Customer;
 - e) the security arrangements governing the Customer's safe receipt of the Data and the Customer's further use of the Data;
 - f) the arrangements that the Customer has in place relating to the retention and secure destruction of the Data;
 - g) any audits that have been carried out that have relevance to the way that the Customer is Processing the Data;
 - h) any security incidents that have occurred with the Data;
 - i) the continued registration of the Customer's company under the same registered number;

- j) the Customer's continued membership and compliance with the ATA's Code of Practice or Conduct;
- k) the Customer's continued Good Standing as set out in clause A7;
- l) the training and experience of the Customer's Staff in their duties and responsibilities under the DPA;
- m) evidence of signage used to show terms and conditions of use of private land or premises by vehicle drivers;
- n) evidence of tickets or notices issued to vehicle users;
- o) copies of landowner agreements relating to the land used by vehicles;
and
- p) other evidence that the Customer relies on to show its compliance with the requirements of this Contract and of the relevant Accredited Trade Association's Code of Practice to support requests for Data made by the Customer.

PART D

DATA PROTECTION

D1. The Data Protection Act 1998 (“DPA”)

- D1.1. The Parties shall comply with the requirements of the Data Protection Act 1998 and subordinate legislation made under it, together with any relevant guidance and/or codes of practice issued by the Information Commissioner. All these requirements are referred to in this Contract as the “DPA”.
- D1.2. The terms “Data”, “Data Controller”, “Data Processor”, “Data Subject”, “Personal Data”, and “Processing” used in this Contract shall have the meanings prescribed under section 1 of the DPA.
- D1.3. The Parties agree that the Data constitute Personal Data as they relate to a living individual who can be identified from those Data.
- D1.4. Section 4(4) of the DPA states that it is the duty of the Data Controller to comply with the data protection principles (as listed in Schedule 1 of the DPA). The Customer, separately from the DVLA, shall be the Data Controller of each item of Data received from the DVLA from the point of receipt of that Data by the Customer or its Link Provider and shall be responsible for complying with the principles of the DPA in relation to its further Processing of that Data.
- D1.5. The Customer shall (and shall ensure that each member of its Staff) comply with any notification requirements under the DPA.
- D1.6. The Customer notes that the Data that the DVLA provides to the Customer was originally collected for the purposes of exercising the DVLA’s statutory functions of licensing and registering vehicles.
- D1.7. The DVLA is satisfied that providing the data to the Customer for the Reasonable Causes is compliant with the first and second principles of

the DPA in that it is collected and provided lawfully and fairly for the for the purpose of supporting the lawful use of vehicles.

D1.8. The Customer shall answer any subject access or other requests made under Part 2 of the DPA that it receives for the Data, whilst it is still Processing those Data.

D1.9. If at any time the DVLA has any concerns that the Customer may have lost or misused data, or otherwise failed to comply with its obligations under the DPA, the DVLA may report its concerns to the Information Commissioner's Office, which has power to investigate the Customer's compliance with the DPA.

D2. **Data Security**

D2.1. The DVLA and its IT supplier shall ensure the safe transmission of the Data to the Business to Business Gateway in accordance with the 7th Principle of the DPA and Her Majesty's Government Security Policy Framework.

D2.2. The Customer shall ensure the Data is safely transmitted from the Business to Business Gateway to its own systems in accordance with the 7th Principle of the DPA.

D2.3. The Customer shall comply with all the security requirements of the DVLA, including as a minimum those set out in **SCHEDULE 2 (MINIMUM DATA SECURITY REQUIREMENTS)** and any other requirements that the DVLA shall make from time to time.

D2.4. The Customer shall notify the DVLA immediately of any breach of the security requirements of this Contract or any requirements of the DPA.

D3. **Malicious Software**

D3.1. The Customer shall, as an enduring obligation throughout the term of this Contract, use the latest versions of anti-virus software available

from an industry accepted anti-virus software vendor to check for and remove Malicious Software from the ICT Environment.

D3.2. Notwithstanding clause D3.1, if Malicious Software is found, the Parties shall co-operate to reduce the effect of the Malicious Software and, particularly if Malicious Software causes loss of operational efficiency or loss or corruption of Data, assist each other to mitigate any losses and to restore the KADOE Service to their desired operating efficiency.

D3.3. Any cost arising out of the actions of the Parties taken in compliance with the provisions of clause D3.2 shall be borne by the Parties as follows:

- a) by the Customer or Link Provider where the Malicious Software originates from the Customer's or Link Provider's software, any third party software or the Customer's or Link Provider's data;
- b) by the DVLA if the Malicious Software originates from the DVLA's software or the Data.

D4. Transfer of the Data outside the UK

D4.1. The Customer shall seek and obtain the prior and express written consent of the DVLA before causing or permitting the Data to be transferred, stored, accessed, viewed or processed outside of the European Economic Area, whether electronically or by any other means, by a Data Processor used by the Customer or otherwise.

D4.2. The Customer shall notify the DVLA before causing or permitting the Data to be transferred, stored, accessed, viewed or processed outside of the UK but inside of the European Economic Area, whether electronically or by any other means, by a Data Processor used by the Customer or otherwise.

D4.3. There is a formal approval route with DfT and the Cabinet Office for any offshoring activities.

D4.4. Where approval is granted the Customer shall disclose the Data only to the extent agreed and in accordance with any conditions attached to the giving of that approval.

D5. Restrictions on Disclosure of the Data

D5.1. The Customer shall respect the confidentiality of the Data and shall not disclose it to any person, except in the following circumstances:

- a) to a sub-contractor who acts as the Customer's Data Processor, with whom the Customer shall have entered into a written contract that requires the Data Processor to abide by requirements in **SCHEDULE 2** and the terms for sub-contractors set out **SCHEDULE 3**;
- b) to a sub-contractor who engages in debt collection, with whom the Customer shall have entered into a written contract which requires the sub-contractor to abide by the requirements in **SCHEDULE 2**, and the OFT Debt Collection Guidance;
- c) with the prior written agreement of the DVLA (which may be given or refused at the absolute discretion of the DVLA):

D5.1.c.1. provided that the Customer shall have entered into a written contract which requires the sub-contractor to abide by the requirements in **SCHEDULE 2**, and the terms for sub-contractors set out in **SCHEDULE 3**; and

D5.1.c.2. in accordance with any other conditions attached to the giving of that consent; or

d) if required to do so by Law.

D6. Retention of Data and Evidence

D6.1. In accordance with the DPA, the Customer shall retain each item of Data only for as long as is necessary with reference to the reasonable cause for which it was shared.

D6.2. The Customer shall arrange for the secure destruction or deletion of each item of Data, in accordance with the requirements of the 7th Principle of the DPA, as soon as it is no longer necessary to retain it.

D6.3. The Customer shall retain for two years from the date of the request, to allow inspection by the DVLA, the evidence that the Customer relies on to show its compliance with the requirements of this Contract and of the relevant ATA's Code of Practice or Conduct. Such evidence shall include evidence relating to any mismatched or incorrect enquiries, which the Customer shall ensure are cross-referenced to the correct enquiry with a full audit trail also retained.

D7. The Customer's Vetting and Disciplinary Policies

D7.1. The Customer shall maintain policies for vetting, hiring, training and disciplining Staff and shall comply with these in respect of each person who has access to the KADOE Service. The minimum requirements for such vetting procedures are set out in **SCHEDULE 2**.

D8. The Customer's Internal Compliance Checks

D8.1. The Customer shall ensure that its business processes, records of customer interactions and transactions, audit procedures on business activities and financial reporting are appropriate and effective to ensure proper use of the Data in compliance with this Contract and the requirements of the DPA. The minimum requirements for such internal compliance are set out in **SCHEDULE 2**.

D8.2. The Customer shall carry out its own internal compliance checks at least annually and shall notify the DVLA in writing within 28 Days of the outcome of such checks using the Annual Data Governance and Contract Compliance Assessment form.

D9. Audits, Reviews, etc.

D9.1. The Customer shall share with the DVLA the outcome of any other checks, audits or reviews that have been carried out on its activities as a Data Controller that are relevant to the Processing of the Data.

D9.2. The Customer shall notify the DVLA immediately of any audits that are being carried out by the Information Commissioner's Office under sections 41A or 42 of the DPA that are relevant to the Processing of the Data.

D10. Incidents

D10.1. The Customer shall notify the DVLA immediately of any losses or misuse of the Data and keep the DVLA informed of any communications about that breach with: the individuals whose Personal Data is affected; the Information Commissioner's Office; or the media.

D10.2. The Customer understands that as the Data Controller it shall be responsible for taking any action necessary to resolve any such incident.

D11. Inspection by the DVLA

D11.1. The DVLA reserves the right to carry out an inspection at any time of the Customer's compliance with the terms of this Contract. Where possible, the DVLA shall give the Customer 7 Days' written notice of any such inspection.

D11.2. The Customer agrees to co-operate fully with any such inspection and to allow the DVLA access to its Premises, Equipment, Evidence and Staff for the purposes of the inspection.

D11.3. The DVLA may at any time check the electronic trail relating to any activity made by the Customer and contact the person responsible for such activity.

D11.4. The DVLA may, by written notice to the Customer, forbid access to the Data, or withdraw permission for continued access to the Data, to:

- a) any member of the Staff; or
- b) any person employed or engaged by any member of the Staff;

whose access to or use of the Data would, in the reasonable opinion of the DVLA, be undesirable.

D11.5. The decision of the DVLA as to whether any person is to be forbidden from accessing the Data and as to whether the Customer has failed to comply with this clause shall be final and conclusive.

D12. **Action on Complaint**

D12.1. Where a complaint is received about the Customer or the manner in which its services have been supplied or work has been performed or procedures used or about any other matter connected with the performance of the Customer's obligations under the Contract or the use of Data, the DVLA may notify the Customer, and where considered appropriate by the DVLA, investigate the complaint. The DVLA may, in its sole discretion, acting reasonably, uphold the complaint and take further action in accordance with **PART J** of the contract.

PART E

PAYMENT

E1. Payment

- E1.1. In consideration of the DVLA's provision of the KADOE Service under the Contract, the Customer shall pay to the DVLA the fees set out in **Part 1 - Customer Fees of SCHEDULE 1 (FEES)**, and any VAT chargeable in respect of the fees, using the processes listed in **SCHEDULE 1**.
- E1.2. The Link Provider shall pay the fees listed in
- E1.3. **Part 2 – Link Provider Fees of SCHEDULE 1**. Alternatively, where the Customer has its own direct link with the DVLA Business to Business Gateway and so is acting as its own Link Provider, the Customer shall pay those “Link Provider Fees”.
- E1.4. The Link Provider shall pay the fees listed for:
- a) the ongoing availability of the DVLA Business to Business Gateway system and the KADOE Service; and
 - b) any technical work by the DVLA that is required to support and maintain the KADOE Service.
- E1.5. Where the Link Provider is installing its first DVLA Business to Business Gateway link, the Link Provider shall also pay in advance to the DVLA the fees listed for the installation and set up of a direct link to the DVLA Business to Business Gateway system in accordance with the KADOE External Interface Specification.
- E1.6. Where the Link Provider already has a DVLA Business to Business Gateway link for another DVLA service, the Link Provider shall also pay in advance to the DVLA the fees listed for the KADOE Service to

be added to the existing DVLA Business to Business Gateway link, in accordance with the KADOE External Interface Specification.

E2. The Customer's Failure to Pay

E2.1. If a Direct Debit is returned unpaid, the Customer shall be contacted by the DVLA and alternative payment requested by CHAPS (Clearing House Automated Payment System) within 28 days.

E3. The Link Provider's Failure to Pay

E3.1. Part 2 – Link Provider Fees of **SCHEDULE 1**, the DVLA may suspend access to the KADOE Service to the Link Provider (and therefore to the Customer) until all amounts due are paid in full.

E4. Fee Review by the DVLA

E4.1. The DVLA may review the fees listed in **SCHEDULE 1** at any time and the DVLA reserves the right to increase these fees. Unless the Parties agree otherwise, the Contract Price shall increase by not more than the percentage change in the current (at the time of writing of the notice of the price review) Office of National Statistics' Retail Prices Index (RPI), from the same index 12 months earlier. No price variation shall be retrospective.

E4.2. The fees described in **SCHEDULE 1** related to link installation and connectivity may also be subject to change in line with any reviews carried out by the DVLA's chosen supplier.

E4.3. Where possible, the DVLA shall give reasonable prior written notice of any reviews that may affect the amounts charged under this Contract.

E4.4. The DVLA shall give the Customer and any Link Provider at least 28 Days' notice of any increase in the fees listed in **SCHEDULE 1**.

E5. Deductions

E5.1. The Customer shall make all payments due to the DVLA without any deduction whether by way of set-off, counterclaim, discount, abatement or otherwise unless the Customer has a valid court order requiring an amount equal to such deduction to be paid by the DVLA to the Customer.

PART F

STATUTORY OBLIGATIONS

F1. Prevention of Corruption

F1.1. The Customer shall not offer or give, or agree to give, to the DVLA or any other public body or person employed by or on behalf of the DVLA or any other public body any gift or consideration of any kind as an inducement or reward for doing, refraining from doing, or for having done or refrained from doing, any act in relation to the obtaining or execution of the Contract or any other contract with the DVLA or any other public body, or for showing or refraining from showing favour or disfavour to any person in relation to the Contract or any such contract.

F1.2. If the Customer, its Staff or anyone acting on the Customer's behalf, engages in conduct prohibited by clause F1.1 or the Bribery Act 2010, the DVLA may:

- a) terminate and recover from the Customer the amount of any loss suffered by the DVLA resulting from the termination; or
- b) recover in full from the Customer any other loss sustained by the DVLA in consequence of any breach of that clause.

F2. Prevention of Fraud

F2.1. The Customer shall take all reasonable steps, in accordance with Industry Best Practice, to prevent Fraud by Staff and the Customer (including its shareholder, members, and directors) in connection with the receipt of the KADOE Service.

F2.2. The Customer shall notify the DVLA immediately if it has reason to suspect that any Fraud has occurred or is occurring or is likely to occur.

F2.3. If the Customer or its Staff commits Fraud in relation to this or any other contract with the Crown (including the DVLA) the DVLA may:

- a) terminate the Contract and recover from the Customer the amount of any loss suffered by the DVLA resulting from the termination; or
- b) recover in full from the Customer any other loss sustained by the DVLA in consequence of any breach of this clause.

F3. Discrimination

F3.1. The Customer must not unlawfully discriminate either directly or indirectly or by way of victimisation or harassment against a person on such grounds as age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, colour, ethnic or national origin, sex or sexual orientation, and without prejudice to the generality of the foregoing the Customer must not unlawfully discriminate within the meaning and scope of the Equality Acts 2006 and 2010, the Human Rights Act 1998 or other relevant or equivalent legislation, or any statutory modification or re-enactment thereof.

F3.2. The Customer shall take all reasonable steps to secure the observance of clause F3.1 by all Staff.

F4. The Contracts (Rights of Third Parties) Act 1999

F4.1. A person who is not a party to the Contract shall have no right to enforce any of its provisions which, expressly or by implication, confer a benefit on him, without the prior written agreement of both Parties. This clause does not affect any right or remedy of any person which exists or is available apart from the Contracts (Rights of Third Parties) Act 1999 and does not apply to the Crown.

F5. Health & Safety

F5.1. The Customer shall promptly notify the DVLA of any health & safety hazards which may arise in connection with the performance of its

obligations under the Contract, including but not limited to, on inspection by the DVLA.

- F5.2. While on the Customer's Premises, the DVLA shall comply with any health and safety measures implemented by the Customer in respect of Staff and other persons working there.
- F5.3. The DVLA shall notify the Customer immediately in the event of any incident occurring in the performance of its obligations under the Contract on the Premises where that incident causes any personal injury or damage to property which could give rise to personal injury.
- F5.4. The Customer must comply with the requirements of the Health & Safety at Work etc. Act 1974 and any other acts, orders, regulations and codes of practice relating to health & safety, which may apply to Staff and other persons working on the Premises in the performance of its obligations under the Contract.

PART G

PROTECTION OF INFORMATION

G1. Confidential Information

G1.1. Except to the extent set out in this clause or where disclosure is expressly permitted elsewhere in this Contract, each Party shall:

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

G1.2. Clause G1.1 shall not apply to the extent that:

- a) such disclosure is a requirement of Law placed upon the Party making the disclosure, including any requirements for disclosure under the FOIA, Code of Practice on Access to Government Information or the Environmental Information Regulations;
- b) such information was in the possession of the Party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;
- c) such information was obtained from a third party without obligation of confidentiality;
- d) such information was already in the public domain at the time of disclosure otherwise than by a breach of this Contract;
- e) it is independently developed without access to the other Party's Confidential Information;
- f) such disclosure is necessary for the performance of this Contract; or
- g) disclosure is required to comply with inspection or audit requirements of this Contract.

- G1.3. The Customer may only disclose the DVLA's Confidential Information to the Staff who are directly involved in the supply of the Data through the KADOE Service 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.
- G1.4. The Customer shall not, and shall ensure that the Staff do not, use any of the DVLA's Confidential Information received otherwise than for the purposes of this Contract.
- G1.5. At the written request of the DVLA, the Customer shall procure that those members of the Staff identified in the DVLA's notice signs a confidentiality undertaking prior to commencing any work in accordance with this Contract.
- G1.6. Nothing in this Contract shall prevent the DVLA from disclosing the Customer's Confidential Information (including audit and inspection reports):
- a) to any Crown body or any other Contracting Authority. All Crown Bodies or Contracting Authorities receiving such Confidential Information shall be entitled to further disclose the Confidential Information to other Crown Bodies or other Contracting Authorities on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any Crown body or any Contracting Authority;
 - b) to any consultant, contractor or other person engaged by the DVLA or any person conducting an Office of Government Commerce gateway review;
 - c) for the purpose of the examination and certification of the DVLA's accounts;

d) for any examination pursuant to section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the DVLA has used its resources.

G1.7. The DVLA shall use its reasonable endeavours to ensure that any government department, Contracting Authority, employee, third party or sub-contractor to whom the Customer's Confidential Information is disclosed pursuant to clause G1.6 is made aware of the DVLA's obligations of confidentiality.

G1.8. Nothing in this clause shall prevent either Party from using any techniques, ideas or know-how gained during the performance of the Contract in the course of its normal business to the extent that this use does not result in a disclosure of the other Party's Confidential Information or an infringement of Intellectual Property Rights.

G2. Publicity and Media

G2.1. The Customer shall notify the DVLA immediately if any circumstances arise which could result in publicity or media attention to the Customer which could adversely reflect on the DVLA or the KADOE Service.

G2.2. The Customer shall not create or approve any publicity implying or stating that the DVLA has a connection with any service provided by the Customer without the prior written consent of the DVLA.

G3. Intellectual Property Rights

G3.1. All Intellectual Property Rights in the Contract and any publications or data relating to the Contract, in any guidance, specifications, instructions, toolkits, plans, drawings, databases, software, patents, patterns, models, designs or other material furnished or made available to the Customer by or on behalf of the DVLA shall remain the property of the DVLA.

G3.2. The Customer shall not, and shall ensure that the Staff shall not, (except when necessary for the performance of the Contract) without

the prior written consent of the DVLA, use or disclose any Intellectual Property Rights in any of the material listed in clause G3.1.

G4. Crown Copyright and Publication

G4.1. All copyright and rights in the nature of copyright, unregistered design rights, registered design rights, patent rights and all other rights of a like nature arising in relation to the Contract, shall vest in and be the absolute property of the DVLA. Nothing in the Contract shall in any way derogate from the rights of DVLA under any legislation relating to patents, copyrights, registered design rights or design rights.

G4.2. Under delegated powers of Crown Copyright, the DVLA shall be the proprietor of the copyright in respect of the Contract and any data or publications relating to this copyright.

PART H

CONTROL OF THE CONTRACT

H1. **Transfer and Sub-Contracting**

H1.1. Except that the Customer may sub-contract its Processing of the Data to a Data Processor and may sub-contract to a debt collector the recovery of unpaid Parking Charges from any person in accordance with clause D5.1, the Customer shall not assign, sub-contract or in any other way dispose of the Contract or any part of it without the prior written permission of the DVLA.

H1.2. Sub-contracting any part of the Contract shall not relieve the Customer of any of its obligations or duties under the Contract. The Customer shall be responsible for the acts and omissions of its sub-contractors as though they are its own. Where the DVLA has consented to the placing of sub-contracts, copies of each sub-contract shall, at the request of the DVLA, be sent by the Customer to the DVLA as soon as reasonably practicable.

H1.3. Subject to clause H1.5, the DVLA may assign, novate or otherwise dispose of its rights and obligations under the Contract or any part thereof to:

- a) any Contracting Authority (as defined in clause A10);
- b) any other body established by the Crown or under statute in order substantially to perform any of the functions that had previously been performed by the Authority; or
- c) any private sector body which substantially performs the functions of the DVLA under this contract;

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

- H1.4. Any change in the legal status of the DVLA such that it ceases to be a Contracting Authority shall not, subject to clause H1.3, affect the validity of the Contract. In such circumstances, the Contract shall bind and inure to the benefit of any successor body to the DVLA.
- H1.5. If there is a change in the legal status of the DVLA such that it ceases to be a Contracting Authority (in the remainder of this clause such body being referred to as the “Transferee”):
- a) the rights of termination of the DVLA in this contract shall be available to the Customer in the event of respectively, the bankruptcy or insolvency, or Default 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 Customer.
- H1.6. The DVLA may disclose to any Transferee any Confidential Information of the Customer which relates to the performance of the Customer’s obligations under the Contract. In such circumstances the DVLA shall authorise the Transferee to use such Confidential Information only for purposes relating to the performance of the Customer’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.
- H1.7. Each Party shall at its own cost and expense carry out, or use all reasonable endeavours to ensure the carrying out of, whatever further actions (including the execution of further documents) the other Party reasonably requires from time to time for the purpose of giving that other Party the full benefit of the provisions of the Contract.

H2. **Insolvency**

H2.1. The Customer shall notify the DVLA immediately in writing where the Customer is a company and in respect of the Customer:

- a) a proposal is made for a voluntary arrangement within Part 1 of the Insolvency Act 1986 or of any other composition scheme or arrangement with, or assignment for the benefit of, its creditors; or
- b) a shareholders' meeting is convened for the purpose of considering a resolution that it be wound up or a resolution for its winding-up is passed (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation); or
- c) a petition is presented for its winding up (which is not dismissed within 14 Days of its service) or an application is made for the appointment of a provisional liquidator or a creditors' meeting is convened pursuant to section 98 of the Insolvency Act 1986; or
- d) a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets; or
- e) an application order is made either for the appointment of an administrator or for an administration order, and administrator is appointed, or notice of intention to appoint an administrator is given; or
- f) it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986; or
- g) being a "small company" within the meaning of section 247(3) of the Companies Act 1985, a moratorium comes into force pursuant to Schedule 1A of the Insolvency Act 1986; or
- h) any event similar to those listed in this clause occurs under the law of any other jurisdiction.

H2.2. The Customer shall notify the DVLA immediately in writing where the Customer 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 Customer's creditors; or
- b) a petition is presented and not dismissed within 14 Days or order made for the Customer's bankruptcy; or
- c) a receiver, or similar officer is appointed over the whole or any part of the Customer's assets or a person becomes entitled to appoint a receiver, or similar officer over the whole or any part of his assets; or
- d) the Customer is unable to pay his debts or has no reasonable prospect of doing so, in either case within the meaning of section 268 of the Insolvency Act 1986; or
- e) a creditor or 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 Customer's assets and such attachment or process is not discharged within 14 Days; or
- f) he suspends or ceases, or threatens to suspend or cease, to carry on all or a substantial part of his business.

H3. **Change of Control**

H3.1. The Customer shall seek the prior written agreement of the DVLA to any change of control within the meaning of section 450 of the Corporation Taxes Act 2010 ("Change of Control"). Where the DVLA has not given its written agreement before the Change of Control, the DVLA may terminate the Contract by notice in writing with immediate effect within 26 weeks of:

- a) being notified that that change of control has occurred; or
- b) where no notification has been made, the date that the DVLA becomes aware of that change of control.

H4. **Waiver**

H4.1. 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 shall not constitute a waiver of that right or remedy and shall not cause a diminution of the obligations established by the Contract.

H4.2. No waiver shall be effective unless it is expressly stated to be a waiver and it is communicated to the other Party in writing in accordance with clause A8 (**Notices**).

H4.3. A waiver of any right or remedy arising from a breach of the Contract shall not constitute a waiver of any right or remedy arising from any other or subsequent breach of the Contract.

H5. **Variation**

H5.1. No variation of this agreement shall be effective unless it is in writing and signed by the Parties.

H5.2. If the Customer requests a Variation, it must give the DVLA sufficient information to assess the extent of the Variation and to consider whether any change to the fees is required in order to implement the Variation.

H5.3. If the DVLA accepts any Variation requested by the Customer, the DVLA shall notify the Customer of the date when the Variation shall take effect.

H5.4. If the DVLA requests a Variation, it may specify a period within which the Customer shall respond to the request for the Variation. Such period shall be reasonable having regard to the nature of the Variation.

If the DVLA considers it appropriate to require the Customer to confirm its agreement to the Variation by signing any document detailing that Variation (including a version of the Contract amended to include the Variation), the Customer shall return a signed copy of that document to the DVLA within the reasonable period specified by the DVLA pursuant to this clause.

H6. Severability

H6.1. If any court or competent authority finds that any provision of this agreement (or part of any provision) is invalid, illegal or unenforceable, that provision or part-provision shall, to the extent required, be deemed to be deleted with the minimum modification necessary to make it legal, valid and enforceable and the validity and enforceability of the other provisions of this agreement shall not be affected.

H7. Remedies Cumulative

H7.1. Except as otherwise expressly provided by 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 shall not be deemed an election of such remedy to the exclusion of other remedies.

H8. Entire Agreement

H8.1. This Contract constitutes the entire agreement between the Parties in respect of the KADOE Service between the DVLA and the Customer. This Contract supersedes all prior negotiations and contracts between the parties and all representations and undertakings made by one part to another, whether written or oral, except that this clause shall not exclude liability in respect of any Fraud or fraudulent misrepresentation.

H8.2. In the event of, and only to the extent of, any conflict between the clauses of the Contract, any document referred to in those clauses

and the Schedules, the conflict shall be resolved in accordance with the following order of precedence:

- a) the clauses of the Contract;
- b) the Schedules; and
- c) any other document referred to in the clauses of the Contract.

PART I

LIABILITY, INDEMNITY, MITIGATION AND INSURANCE

I1. **Liability**

- I1.1. Neither Party excludes or limits liability to the other Party for:
- a) death or personal injury caused by its negligence; or
 - b) Fraud; or
 - c) fraudulent misrepresentation.
- I1.2. Subject always to clause I1.1 and separately from the indemnity in clause I2, the liability of each Party to the other arising in connection with this Agreement (whether in respect of breach of contract, tort, negligence or otherwise) shall be limited in respect of all Defaults arising in any one year to one hundred thousand pounds (£100,000).
- I1.3. The Customer's liability for direct loss or damage to the DVLA caused by the Customer's Default shall include liability for additional operational and administrative costs and wasted expenditure that arises as a direct consequence of the Default.
- I1.4. The DVLA's liability for direct loss or damage to the Customer caused by the DVLA's Default shall include loss of profits, business revenue, and goodwill that arise as a direct consequence of the Default.
- I1.5. All Equipment used by the Customer or its Link Provider to access the KADOE Service shall be used at the Customer's own risk and the DVLA shall have no liability for any loss of or damage to any Equipment unless the Customer or its Link Provider is able to demonstrate that such loss or damage was directly caused or contributed to by the DVLA's Default.
- I1.6. Subject to clauses I1.1 and I2, in no event shall either Party be liable to the other for any loss of savings (whether anticipated or otherwise).

I1.7. Subject to clauses I1.1 and I2, in no event shall either Party be liable to the other for any indirect or consequential or special loss or damages.

I2. Indemnity

I2.1. Subject to clause I2.2 and I2.4, the Customer shall indemnify the DVLA and keep the DVLA indemnified fully for six years after the termination of the Contract against all claims, proceedings, actions, and any damages, costs, expenses and any other liabilities (including legal fees) incurred by, awarded against or agreed to be paid by the DVLA that arise out of a claim relating to the performance or non-performance by the Customer of its obligations under the Contract. Such indemnity shall include losses in respect of any death or personal injury, loss of or damage to property, or any other loss which is caused directly or indirectly by any act or omission of the Customer.

I2.2. The Customer shall not be responsible for any injury, loss, damage, cost or expense if and to the extent that it is caused by the negligence or wilful misconduct of the DVLA or by breach by the DVLA of its obligations under the Contract.

I2.3. The DVLA shall notify the Customer in writing of any such claim and will not, without first consulting with the Customer, make an admission relating to the claim.

I2.4. Subject to clause I1.1, the Customer's total aggregate liability in respect of the indemnities in clause I2.1 shall not exceed one million pounds (£1,000,000).

I3. Mitigation

I3.1. Each Party shall at all times take all reasonable steps to minimise and mitigate any loss for which that Party is entitled to bring a claim against the other Party under clause I2 or I1.

14. Insurance

- 14.1. The Customer shall effect and maintain with a reputable insurance company a policy or policies of insurance providing an adequate level of cover in respect of all insurable risks which may be incurred by the Customer, arising out of the Customer's performance of its obligations under the Contract, including death or personal injury, loss of or damage to property or any other loss.
- 14.2. The Customer shall ensure that the amount of such insurance cover will be adequate to enable the Customer to satisfy both the indemnities referred to in clause I2 and the liability referred to in clause I1.
- 14.3. Such insurance shall be maintained for the duration of supply of the KADOE Service and for a minimum of 6 (six) years following the termination of the Contract.
- 14.4. The Customer shall give the DVLA, 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.
- 14.5. If, for whatever reason, the Customer fails to give effect to and maintain the insurances required by the provisions of the Contract the DVLA may make alternative arrangements to protect its interests and may recover the costs of such arrangements from the Customer.
- 14.6. The provisions of any insurance or the amount of cover shall not relieve the Customer of any liabilities under the Contract.

15. **Warranties and Representations**

15.1. The Customer warrants and represents that:

- a) it has full capacity and authority and all necessary consents (including where its procedures so require, the consent of its parent company) to enter into and perform its obligations under the Contract and that the Contract is executed by a duly authorised representative of the Customer;
- b) in entering the Contract it has not committed any Fraud;
- c) no claim is being asserted and no litigation, arbitration or administrative proceeding is presently in progress or, to the best of its knowledge and belief, pending or threatened against it or any of its assets which will or might have a material adverse effect on its ability to perform its obligations under the Contract;
- d) it is not subject to any contractual obligation, compliance with which is likely to have a material adverse effect on its ability to perform its obligations under the Contract;
- e) no proceedings or other steps have been taken and not discharged (nor, to the best of its knowledge, are threatened) for the winding up of the Customer 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 Customer's assets or revenue;
- f) It owns, has obtained or is able to obtain, valid licences for all Intellectual Property Rights that are necessary for the performance of its obligations under the Contract;
- g) in the three 3 years prior to the date of the Contract:

15.1.g.1. 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;

15.1.g.2. it has been in full compliance with all applicable securities and tax laws and regulations in the jurisdiction in which it is established; and

15.1.g.3. 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.

PART J

DEFAULTS, DISRUPTION, SUSPENSION & TERMINATION

J1. Break

J1.1. Without prejudice to any other rights or remedies that the Parties may have, either Party may terminate the Contract by giving the other Party at least 28 Days' notice in writing.

J2. Termination for Material Breach

J2.1. A Party (the "Initiating Party") may terminate the Contract by written notice with immediate effect given to the other Party (the "Breaching Party") on or at any time after the occurrence of an event specified in clause J2.2.

J2.2. The events are the Breaching Party committing:

- a) an irremediable Material Breach of this Contract;
- b) a remediable Material Breach of an obligation under this Contract and failing to remedy the breach to the satisfaction of the DVLA within 26 weeks starting on the day of receipt of written notice from the Initiating Party giving details of the Default and requesting the Breaching Party to remedy the Default; or
- c) any three or more Defaults, whether simultaneously or singly at any time during the operation of the Contract, irrespective of whether any or all of such breaches is minimal or trivial in nature.

J2.3. For the purposes of clauses J2.2.a) and J2.2.b), a Material Breach is remediable if time is not of the essence in performance of the obligation and if in the reasonable opinion of the DVLA the Material Breach is capable of remedy within the 26 week period.

J3. Suspension of the KADOE Service

- J3.1. If it comes to the attention of the DVLA that the Customer has committed any Default (including Material Breaches and all other Defaults), the DVLA may suspend the KADOE Service without further notice and with immediate effect and investigate the nature and effect of the breach.
- J3.2. The DVLA shall from time to time issue guidance on its principles on suspending the KADOE Service and terminating contracts to supply data using the KADOE Service. The guidance may include guidance concerning: types of Defaults which the DVLA may consider to be Material Breaches; guidance as to specific types of breach that the DVLA will consider to be remediable; how such breaches may be remedied; how long suspension may last; when following any period of suspension the Customer may resume making requests and in relation to which dates of events such requests may be made; and guidance as to which types of breach the DVLA may consider to be irreparable.

J4. Effect of Suspension

- J4.1. If the DVLA suspends the KADOE Service at any time, the Customer shall co-operate with any further investigation, audit or review that the DVLA requires to be carried out in relation to the Data provided to the Customer.
- J4.2. The DVLA may refuse to resume the KADOE Service until the Customer provides assurances that the matter resulting in the suspension has been resolved to the satisfaction of the DVLA, and takes specified actions within a reasonable period set by the DVLA.
- J4.3. The DVLA may require that a re-inspection is carried out after the KADOE Service is resumed, to check the Customer's compliance with the contract and the DPA.

J4.4. The DVLA shall require the Customer to pay the reconnection fee and the fee for any re-inspection, as set out in **SCHEDULE 1 (FEES)**, before it will resume the KADOE Service.

J4.5. During any suspension period, the DVLA shall not provide Data to the Customer either through the Business to Business KADOE system or through any paper service.

J5. Insolvency

J5.1. Where the DVLA is notified in writing of any of the circumstances listed in clause H2 (**Insolvency**), the DVLA may suspend the KADOE Service without further notice and with immediate effect and investigate further whether any of the Customer's directors or any liquidator, receiver, administrative receiver, administrator, or other officer is capable of ensuring that the provisions of this Contract and of the DPA are complied with. If the DVLA is not satisfied that any such person shall ensure such compliance, the DVLA may terminate the Contract by written notice with immediate effect.

J6. Other Termination Rights

J6.1. The DVLA may terminate the Contract by written notice with immediate effect if in the reasonable view of the DVLA, during any period of suspension of the KADOE Service the Customer:

- a) fails to co-operate with any investigation, audit or review:
- b) fails to provide any assurances or take any actions within the reasonable period set by the DVLA under clause J4.2; or
- c) fails to provide assurances that satisfy the DVLA (acting reasonably) that the Customer has complied and shall continue to comply with the requirements of this Contract and of the DPA.

J6.2. The DVLA may terminate the Contract by written notice with immediate effect if the Customer fails to pay the DVLA undisputed

sums of money when due by variable direct debit in two or more consecutive weeks.

J6.3. The DVLA may terminate the Contract by written notice with immediate effect if the Customer is found to be in breach of any aspect of the Law that could, in the reasonable opinion of the DVLA, bring the DVLA into disrepute.

J6.4. The DVLA may terminate the Contract by written notice with immediate effect if the Customer is an individual and he has died or is adjudged incapable of managing his affairs within the meaning of Part 7 of the Mental Capacity Act 2005.

J7. Consequences of Suspension and Termination

J7.1. After the KADOE Service has been suspended or the Contract has been terminated or both, the Customer shall continue to comply with its obligations under this Contract and under the DPA in relation to the Data which it holds, including as to the proper use of the Data, retention of the Data and secure destruction of the Data.

J7.2. Save as otherwise expressly provided in the Contract:

a) termination of the Contract shall be without prejudice to any rights, remedies or obligations accrued under the Contract prior to termination or expiration and nothing in the Contract shall prejudice the right of either Party to recover any amount outstanding at such termination or expiry; and

b) termination of the Contract shall not affect the continuing rights, remedies or obligations of the DVLA or the Customer under any provision of this agreement which expressly or by implication is intended to come into or to continue in force on or after termination of this agreement.

J8. Supply of Data to Related Persons After Termination

J8.1. If it comes to the attention of the DVLA that the Customer committed any Default in its obligations in relation to the Data prior to termination of the Contract, or if the DVLA has reason to believe that the Customer did not comply with its duties in relation to the Data under the DPA, the DVLA shall reserve the right to refuse to provide any further Data by any means to the Customer, its directors or to any other Company of which those directors are a member, for at least 26 weeks starting on the date of Termination of the Contract.

J9. Disruption

J9.1. The DVLA shall immediately inform the Customer of any actual or potential industrial action, whether such action is taken by their own employees or others, which affects or might affect its ability at any time to perform its obligations under the Contract.

J9.2. The DVLA shall not be liable to the Customer for any additional expense or loss incurred by the Customer as a result of such disruption.

J9.3. The Customer shall immediately inform the DVLA of any actual or potential industrial action, whether such action is taken by their own employees or others, which affects or might affect its ability at any time to perform its obligations under the Contract.

J9.4. In the event of industrial action by the Staff, the Customer shall seek the prior written permission of the DVLA to its proposals to continue to perform its obligations under the Contract.

J9.5. If the Customer's proposals referred to in clause J9.4 are considered insufficient or unacceptable by the DVLA acting reasonably, then the Contract may be terminated with immediate effect by the DVLA by notice in writing.

J10. Force Majeure

- J10.1. Neither Party shall be liable to the other Party for any delay in performing, or failure to perform, its obligations under the Contract (other than a payment of money) to the extent that such delay or failure is a result of Force Majeure. Notwithstanding the foregoing, each Party shall use all reasonable endeavours to continue to perform its obligations under the Contract for the duration of such Force Majeure. However, if such Force Majeure prevents either Party from performing its material obligations under the Contract for a period in excess of 26 weeks, either Party may terminate the Contract with immediate effect by notice in writing.
- J10.2. Any failure or delay by either Party in performing its obligations under the Contract which results from any failure or delay by an agent, sub-contractor or supplier shall be regarded as due to Force Majeure only if that agent, sub-contractor or supplier is itself impeded by Force Majeure from complying with an obligation to the Party.
- J10.3. If either Party becomes aware of Force Majeure which gives rise to, or is likely to give rise to, any failure or delay on its part as described in this clause it shall immediately notify the other by the most expeditious method then available and shall inform the other of the period for which it is estimated that such failure or delay shall continue.
- J10.4. If the Customer is unable to perform any of its Data protection obligations under the Contract as a result of Force Majeure, it shall ensure its Data protection obligations are fulfilled by alternative means and shall notify the DVLA immediately giving detailed information as to how it shall ensure that the Data is protected.

PART K

LAW AND DISPUTE RESOLUTION

K1. Governing Law and Jurisdiction

K1.1. Subject to the provisions of this Contract regarding Dispute Resolution, the DVLA and the Customer accept the exclusive jurisdiction of the courts of England and Wales and agree that the Contract and all non-contractual obligations and other matters arising from or connected with it are to be governed and construed according to English Law.

K2. Dispute Resolution

K2.1. 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 those people nominated in **ANNEX B** and the DVLA Representative and any other staff listed by the DVLA for that purpose.

K2.2. Nothing in this Dispute resolution procedure shall prevent the Parties from seeking from any court of competent jurisdiction an interim order restraining the other Party from doing any act or compelling the other Party to do any act.

K2.3. If the Dispute cannot be resolved by the parties pursuant to clause K2.1, they shall refer it to mediation pursuant to the procedure set out in clause K2.5 unless (a) the DVLA considers that the Dispute is not suitable for resolution by mediation; or (b) the Customer does not agree to mediation.

K2.4. If a Dispute is referred to mediation or arbitration, the obligations of the Parties under the Contract shall not otherwise cease, or be suspended or delayed by the reference of a Dispute to mediation (or arbitration)

and the Customer and the Staff shall comply fully with the requirements of the Contract and of the DPA at all times.

K2.5. The procedure for mediation and consequential provisions relating to mediation are as follows:

- a) a mediator (the “**Mediator**”) shall be chosen by agreement between 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 to be held. If considered appropriate, the Parties may at any stage seek assistance from the Centre for Effective Dispute Resolution or other mediation provider to provide guidance on a suitable procedure.
- c) Unless otherwise agreed, all negotiations connected with the Dispute and any settlement agreement relating to it shall be conducted in confidence and without prejudice to the rights of the Parties in any future proceedings.
- d) 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.

- f) If the Parties fail to reach agreement in the structured negotiations 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 the arbitration procedures set out in clause K2.7

K2.6. Subject to clause K2.2, the Parties shall not institute court proceedings until the procedures set out in clauses K2.1 and K2.3 have been completed save that:

- a) the DVLA may at any time before court proceedings are commenced serve a notice on the Customer requiring the Dispute to be referred to and resolved by arbitration in accordance with clause K2.7.
- b) if the Customer intends to commence court proceedings, it shall serve written notice on the DVLA of its intentions and the DVLA shall have 21 Days following receipt of such notice to serve a reply on the Customer requiring the Dispute to be referred to and resolved by arbitration in accordance with clause K2.7.
- c) the Customer may request by notice in writing to the DVLA that any Dispute be referred and resolved by arbitration in accordance with clause K2.7, to which the DVLA may consent as it sees fit.

K2.7. In the event that any arbitration proceedings are commenced pursuant to clause K2.6:

- a) the arbitration shall be governed by the provisions of the Arbitration Act 1996;
- b) the DVLA shall give a written notice of arbitration to the Customer (the “**Arbitration Notice**”) stating:

K2.7.b.1. that the Dispute is referred to arbitration; and

K2.7.b.2. providing details of the issues to be resolved;

- c) the London Court of International Arbitration (“**LCIA**”) procedural rules in force at the date that the Dispute was referred to arbitration in accordance with clause 36.7(b) shall be applied and are deemed to be incorporated by reference to the Contract and the decision of the arbitrator shall be binding on the Parties in the absence of any material failure to comply with such rules;
- d) the tribunal shall consist of a sole arbitrator to be agreed by the Parties;
- e) if the Parties fail to agree the appointment of the arbitrator within 10 Days of the Arbitration Notice being issued by the DVLA under clause K2.7 b) or if the person appointed is unable or unwilling to act, the arbitrator shall be appointed by the LCIA;
- f) the arbitration proceedings shall take place in London and in the English language; and
- g) the arbitration proceedings shall be governed by, and interpreted in accordance with, English Law.

PART L

SIGNATURES

IN WITNESS of the obligations in this Contract, it has been duly executed by the Parties.

SIGNED for and on behalf of the Secretary of State for Transport acting through the Driving and Vehicle Licensing Agency

SIGNED for and on behalf of

[CUSTOMER NAME]

Signature.....

Signature.....

Name Paul Cattroll

Name

Position Head of Commercial Services Group

Position

Company Registration

Number:.....

Company Registered Office

Address:.....

.....

.....

Date

Date

Internal Use Only:

Fee Paying KADOE Service – Parking Companies version
Version 3.0 4 Nov 2013

SCHEDULE 1

FEES

Part 1 - Customer Fees

A1. Service Enquiry Fees

A1.1. The Customer shall pay a fee of £2.50 for each valid request transaction conducted using the KADOE Service.

A1.2. The Customer shall also pay for enquiries that return the following error codes:

Error Code	Description	Business / System Error	Fee
E2200	KADOE - No trace	Business	£2.50
E2201	KADOE - Scrapped marker set – vehicle details provided	Business	£2.50
E2202	KADOE - Exported marker set – vehicle details provided	Business	£2.50
E2203	KADOE - Void main file record	Business	£2.50
E2204	KADOE - MOD Record	Business	£2.50
E2205	KADOE - BFG Record	Business	£2.50
E2206	KADOE - Invalid VRM	Business	£2.50
E2207	KADOE - Invalid Date of Event	Business	£2.50
E2208	KADOE - Invalid date of Enquiry	Business	£2.50
E2209	Enquiry is outside of permitted validity period	System	£2.50
E1101	Authorisation Failed	System	£0
E1105	Failed schema validation	System	£0
E2001	Integration Header not included within input message	System	£0
E2230	System exception encountered processing the file	System	£0
E9999	KADOE - Unknown system error	System	£0

A2. Payment Of Service Enquiry Fees

A2.1. The Direct Debit submission to BACS shall generally be made by the 3rd Working Day following the week of account. If a Bank Holiday intervenes the Direct Debit submission shall generally be made by the 4th working day following the end of the week of the account. The week of account shall run from Friday to Thursday.

A3. Direct Debit Guarantee

A3.1. This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.

A3.2. If there are any changes to the amount, date or frequency of the Customer's Direct Debit DVLA shall notify the Customer in advance of the Customer's account being debited or as otherwise agreed. If the Customer requests DVLA to collect a payment, confirmation of the amount and date shall be given to the Customer at the time of the request.

A3.3. If an error is made in the payment of the Customer's Direct Debit by the DVLA or by the Customer's bank or building society, the Customer shall be entitled to a full and immediate refund of the amount paid from the Customer's bank or building society.

A3.4. If the Customer receives a refund that the Customer is not entitled to, the Customer shall pay it back when the DVLA asks the Customer to do so.

A3.5. The Customer may cancel a Direct Debit at any time by simply contacting the Customer's bank or building society. Written confirmation will be required and the Customer shall also notify the DVLA.

A3.6. The Customer shall notify the DVLA in advance of any changes to its bank account details so that a new Agreement Form can be completed and the previous instruction cancelled.

A3.7. All enquiries about, and changes to, the Direct Debit, and alternative payment by CHAPS should be addressed to: DVLA, Accounting and Revenue Unit, Revenue Section, C3 East, Longview Road, Swansea, SA6 7JL.

A4. DVLA Technical Fees For Support And Maintenance

A4.1. Where technical work is required in order to support and maintain the KADOE Service after suspension of the KADOE Service to the Customer, the Customer shall pay the DVLA's technical costs. Those costs are as follows:

Reconnection work to re-enable access to the KADOE service after suspension	£1,370
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A4.2. The DVLA shall commence reconnection work following any suspension of the KADOE Service after payment of the fee has been received by the DVLA.

Part 2 – Link Provider Fees

A5. Payment of Fees by Link Provider (or Customer)

A5.1. This Part of this Schedule sets out the fees that shall be paid to the DVLA by the Customer's Link Provider to whom the Customer has sub-contracted the provision of the secure technical link to the DVLA's Business to Business Gateway through which the Data shall be requested and received by the Customer (under clause B4).

A5.2. Where the Customer does not sub-contract with a Link Provider but instead obtains its own secure technical link to the DVLA's Business to

Business Gateway, the Customer shall pay to the DVLA the Link Provider fees set out in this Part of this Schedule.

A6. Line Installation And DVLA Technical Set Up Fees

A6.1. The fees for line installation and connection (by DVLA's chosen supplier), and set up of the direct link to DVLA's Business to Business Gateway, or to add the KADOE Service to the Link Provider's existing connection in accordance with the KADOE External Interface Specification (subject to additional VAT where notified by the DVLA) are as follows:

Item		Charge	
One-off Fees			
1	DVLA Chosen Supplier Line Installation Fees	(a) Installation – Based on 1Mb bandwidth GCF over 2Mb Access Bearer. This is a one-off cost, unless Link Provider requires a new line installed (e.g. change of location)	£2,996.20
		(b) GPS and PSN percentages fees *please see the explanations below	GPS ¹ – 2.5% of total PSN ² – 0.95% of total
2	DVLA Chosen Supplier Closed User Group Joining Fee		£2,050
3	DVLA Technical Set Up Costs	a) If Link Provider has not already got a direct link	£17,274
		b) If Link Provider has already got a direct link for another DVLA service and wishes to add KADOE	£8,599.50
Annual Recurring Fees			
4	DVLA Chosen Supplier Line Rental	(a) Annual Rental	£5719.41
		(b) GPS and PSN percentage fees * Please see the explanations below.	GPS ¹ – 2.5% of total PSN ² – 0.95% of total

Fees	(c) Distance Charge Distance charge is the cost of the distance from the site to the nearest PoP (“Point of Presence”). Typically this can range from £50.00 to £5000.00 depending on the Postcode. This will be made known to the Link Provider following completion of the Site Survey.	Typically ranging from £50 to £5000
	(d) Parallel running (more than one line) e.g when a company is moving site and decommissioning one router and installing another at the new site	£110 per week (plus VAT at the prevailing rate)

Note 1: Government Procurement Service fees relate to:

- Government Procurement Service management fees to enable the continued management of GCF, as the Framework Authority;
- Fees towards the ongoing work to review compliance assessments, annually.

Note 2: Public Services Network fees relate to:

- PSN fees in relation to the continued alignment towards the PSN strategy;
- PSN is a set of standards and an operating model between suppliers that create the effect of one infrastructure. It is mandated for central government.

A6.2. The fees listed in A6.1 above shall not apply if these have already been paid under a different DVLA Business to Business Gateway Data Product.

A6.3. In event of the Link Provider moving location, or adding a location, and a new line needing to be installed and tested, the Link Provider shall pay the fees numbered 1 and 3 in the table for each new location.

A6.4. The Link Provider shall also pay any additional fees stated in **Item 4** in the table that may apply, subject to the number of concurrent active sites and depending on the postcode of any new locations.

A7. **DVLA Technical Fees For Support And Maintenance**

A7.1. Where technical work is required in order to support and maintain the KADOE Service, the Link Provider shall pay the DVLA’s technical costs. Those costs are as follows:

1	Admin Changes / Updates affecting sFTP transfer (e.g. Link Provider wishing to change their target server or update their SSH certificate)	£1,574.00
2	Allocation of existing Customer to a new Link Provider (e.g. where existing DVLA KADOE Service Customer changes to a different Link Provider)	£685
3	Addition of a new third party customer (e.g. Link Provider wishing to add a new third party customer)	£685
4	Change of site affecting IP address (e.g. Link Provider wishing to change their IP address)	£4,729
5	Adding a new "H Code" into the DVLA's vehicle database. (this is dependent on the business type / model)	£685
6	Admin changes (e.g. a change of company name)	£343

A8. Payment Of Set Up Or Maintenance Fees

A8.1. In order to collect the line installation, set up, annual line rental and DVLA technical fees, as described in this Schedule, the following process must be followed:

- a) a purchase order (including purchase order number) must be raised by the Link Provider and provided to the DVLA for the fees referred to above, as and when requested by the DVLA;
- b) an invoice shall be raised by the DVLA and issued to the Link Provider quoting the purchase order number;
- c) the Link Provider shall make payment for the amount required within 30 Days of receipt of the DVLA's invoice.

A8.2. The line installation work (conducted by DVLA's chosen supplier) and DVLA technical set up work described in this Schedule shall not commence until payment of the relevant fees has been received by the DVLA.

SCHEDULE 2

MINIMUM DATA SECURITY REQUIREMENTS

1. Data Security Requirements

1.1. The minimum security requirements, which are required by clause D2, are as follows:

- a) Data, including back-up data, must be retained in secure premises and locked away;
- b) Data, including back-up data, must be protected from unauthorised access, release or loss;
- c) A User ID and password must be required to enter all databases on which the Data is stored;
- d) A unique User ID and password must be allocated to each person with access to the Data or the KADOE Service;
- e) User IDs must not be shared between Staff;
- f) Access to the Data must be minimised so that only where necessary are individuals given the following levels of access:
 - ability to view material from single identifiable records
 - ability to view material from many identifiable records
 - functional access, including: searching, amendment, deletion, printing, downloading or transferring information;
- g) An electronic trail relating to any activity involving the Data must be retained, identifying the User ID and individual involved in each activity;
- h) The Data must not be accessed from, copied onto or stored on Removable Media (including laptops, removable disks, CDs, USB

memory sticks, PDAs and media card formats, mobile phones and Smartphones);

- i) All manual and electronic enquiries must be logged centrally and stored by the Customer;
- j) Enquiries must be checked by senior staff on a regular basis;
- k) Senior Staff must conduct reconciliation checks between incoming and outgoing enquiry volumes on a regular basis;
- l) Data must be used only for the Reasonable Causes for which it was obtained;
- m) Data must be kept only for as long as necessary, as required by clause D6.1 of the Contract;
- n) Paper records must be destroyed by incineration, pulping or shredding finely so that reconstruction is unlikely;
- o) Electronic data must be securely destroyed or deleted in accordance with current guidance from the Information Commissioner's Office as soon as it is no longer needed;
- p) Data received by post must be available only to appropriately trained and experienced Staff, who must abide by the requirements of this Contract and of the DPA;
- q) All records containing personal information, including a hard copy of the record (VQ7), screen prints, reports or other data which have been supplied or derived from the DVLA's system in any format must be retained in a secure manner;
- r) All premises and buildings in which the Data is stored must be secure;
- s) The Customer must be registered with the Information Commissioner and the permission must cover all activities actually carried out;

- t) Information must not be passed to Third Parties except with the prior written permission of the DVLA; and
- u) Any conditions required by the DVLA in giving permission for disclosure to Third Parties must be satisfied.

2. Inspection, Internal Compliance and Audit

2.1. The Annual Data Governance and Contract Compliance Assessment form shall be completed annually and shall confirm whether or not the following requirements have been complied with:

- a) all of the Data Security requirements in paragraph 1 of this Schedule; and
- b) the required statements of the Reasonable Causes, the Customer's entitlement to seek payment of the parking charge, details of the DVLA's and the Office of the Information Commissioner's complaints procedures and of the ATA appeals procedure, were included in the first written communication with every vehicle keeper.

3. Minimum Requirements for the Customer's Staff Vetting and Disciplinary Procedures

3.1. The minimum requirements for the Customer's Staff Vetting Procedures, which are required by clause D7 of this Contract, are as follows:

- a) The Customer shall confirm the identity of all new Staff.
- b) The Customer shall confirm the references and qualifications of all Staff.
- c) The Customer shall require all persons who are to have access to the KADOE Service or to the Data to complete and sign a written declaration of any unspent criminal Convictions.

- d) The Customer shall ensure that no person who discloses that he or she has a Relevant Conviction, or who is found by the Customer to have any Relevant Conviction (whether as a result of a police check or through the Criminal Records Bureau procedures or otherwise), is allowed access to the Data or to the KADOE Service without the prior written consent of the DVLA.
- e) The Customer shall not allow any person with unspent criminal convictions to have access to the KADOE Service or to the Data, except with the prior written permission of the DVLA.
- f) The Customer shall require all persons who are to have access to the KADOE Service or to the Data to complete and sign an agreement to use the KADOE Service and the Data only for the Reasonable Causes set out in this Contract and in accordance with the Customer's procedures.
- g) The Customer shall require that each person who has access to the Data shall sign a document confirming that the person shall use the Data and the KADOE Service only in accordance with the Customer's procedures and only for the Reasonable Cause.
- h) The Customer shall ensure that each person who has access to the KADOE Service or the Data shall act with all due skill, care and diligence and shall possess such qualifications, skills and experience as are necessary for the proper use of the KADOE Service and the Data.
- i) The Customer shall ensure that each person who is authorised to use the KADOE Service has been trained in the operation of the system and its associated procedures. The Customer shall keep documentary records of attendance on such training by each person.
- j) The Customer shall ensure that each person who has access to the Data is appropriately trained in and aware of his or her duties and responsibilities under the DPA and this Contract.

- k) The Customer shall create and maintain a unique user account ID for each person who has access to the KADOE Service.
- l) The Customer shall maintain a procedure for authorising the creation of user accounts and for the prompt deletion of accounts that are no longer required.
- m) The Customer's disciplinary policy shall state that misuse of the KADOE Service or the Data by any person shall constitute gross misconduct and may result in summary dismissal of that person. The Customer shall notify such misuse to the DVLA and the person involved shall be refused all future access to DVLA Data.

SCHEDULE 3

REQUIRED TERMS FOR CONTRACTS WITH SUB-CONTRACTORS

1. In accordance with clause D5.1, the following terms must be included in the written contract between the Customer and any sub-contractor with access to the Data:

Z1. Data Protection

- Z1.1. For the purposes of this contract, the terms “Data Controller”, “Data Processor”, “Data Subject”, “Personal Data”, “Process” and “Processing” shall have the meanings prescribed under the DPA.

- Z1.2. The sub-contractor shall comply (and shall ensure that every member of its Staff complies) with any notification requirements under the DPA and both Parties will duly observe all their obligations under the DPA which arise in connection with the Contract.

- Z1.3. The Sub-contractor acknowledges that the Data constitutes Personal Data to which the DPA applies and that the Customer is the Data Controller of the Data.

- Z1.4. The Sub-contractor shall process the Data only in accordance with instructions from the Customer (which may be specific instructions or instructions of a general nature) as set out in this agreement or otherwise notified by the Customer.

- Z1.5. The Sub-contractor shall comply with all applicable Laws, including the DPA.

- Z1.6. The Sub-contractor shall process the Data only to the extent and in such manner as is necessary to achieve the Reasonable Causes or as is required by Law or any Regulatory Body.

- Z1.7. The Sub-contractor shall implement technical and organisational measures to protect the Data against unauthorised or unlawful Processing and against accidental loss, destruction, damage,

alteration or disclosure. These measures shall be appropriate to the harm which might result from any unauthorised or unlawful Processing, accidental loss, destruction or damage to the Data and having regard to the personal nature of the Data which is to be protected. These measures shall as a minimum satisfy the requirements in [paragraph 1 of **SCHEDULE 2**] to this contract.

- Z1.8. The Sub-contractor shall take reasonable steps to ensure the reliability of its Staff and agents who may have access to the Data.
- Z1.9. The Sub-contractor shall not transfer the Data to any sub-contractor except with the prior written permission of the Customer who shall have sought and received the prior written permission of the DVLA to that transfer, which shall include the requirement that the Sub-contractor has entered into a written contract with the sub-contractor which includes all of the provisions in this [**SCHEDULE 3**].
- Z1.10. The Sub-contractor shall not cause or permit the Data to be transferred, stored, accessed, viewed or processed outside of the European Economic Area, whether electronically or by any other means, without the prior written consent of the Customer, who shall first have sought and obtained the prior written consent of the DVLA.
- Z1.11. The Sub-contractor shall not cause or permit the Data to be transferred, stored, accessed, viewed or processed outside of the UK but inside of the European Economic Area without the prior written consent of the Customer, who shall first have notified the DVLA.
- Z1.12. The Sub-contractor shall ensure that all Staff and agents required to access the Data are informed of the confidential nature of the Data and comply with the obligations set out in this contract.
- Z1.13. The Sub-contractor shall ensure that none of the Staff and agents publish disclose or divulge any of the Data to any third parties unless directed in writing to do so by the Customer.

- Z1.14. The Sub-contractor shall not disclose any of the Data to any third parties in any circumstances other directed in writing to do so by the Customer.
- Z1.15. The Sub-contractor shall notify the Customer within five Working Days if it receives a request from a Data Subject to have access to that person's Personal Data, or a complaint or request relating to the Customer's obligations under the DPA.
- Z1.16. The provisions of this contract shall apply during the period that the Sub-contractor processes the Data on behalf of the Customer and indefinitely after the end of that period.
- Z1.17. The Sub-contractor shall ensure that no person who discloses that he or she has a Relevant Conviction, or who is found by the Sub-contractor to have any Relevant Conviction (whether as a result of a police check or through the Criminal Records Bureau procedures or otherwise), is allowed access to the Data or to the KADOE Service without the prior written consent of the DVLA.

Z2. Compliance and Inspection

- Z2.1. The Sub-contractor shall carry out its own internal compliance checks at least annually, which include at least the matters listed in [paragraph 2 of **SCHEDULE 2**]. The Sub-contractor shall notify the Customer in writing within 28 Days of the outcome of such checks using the Annual Data Governance and Contract Compliance Assessment form.
- Z2.2. The Customer reserves the right to carry out an inspection at any time of the Sub-contractor's compliance with the terms of the contract. The Customer shall give the Sub-contractor 28 Days' written notice of any such inspection.

- Z2.3. The Sub-contractor agrees to co-operate fully with any such inspection and to allow the Customer access to its Premises, Equipment and Staff for the purposes of the inspection.
- Z2.4. The Sub-contractor shall share with the Customer the outcome of any other checks, audits or reviews that have been carried out on its activities as a Sub-contractor, to the extent that they have relevance to the Processing of the Data.
- Z2.5. The Sub-contractor shall notify the Customer immediately of any audits that are being carried out by the Information Commissioner's Office under sections 41A or 42 of the DPA, to the extent that they have relevance to the Processing of the Data.

Z3. **Termination**

- Z3.1. If at any time the Customer becomes aware that the Sub-contractor has breached the requirements of clause Z1 or Z2 of this contract, the Customer may terminate the contract immediately.

Z4. **Interpretation**

- Z4.1. In this contract unless the context otherwise requires the following provisions shall have the meanings given to them below:

"Conviction" means, other than for minor road traffic offences, any previous or pending prosecutions, convictions, cautions and binding-over orders.

"DPA" means the Data Protection Act 1998 and any subordinate legislation made under such 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.

“The Data” means the name and address of the registered keeper of a vehicle, as provided to the Customer by the Driver and Vehicle Licensing Agency (the “DVLA”).

“Data Controller”, “Data Subject”, “Personal Data”, “Process” and “Processing” shall have the meaning prescribed under the DPA.

“Law” means any applicable Act of Parliament, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, exercise of the royal prerogative, enforceable community right within the meaning of Section 2 of the European Communities Act 1972, regulatory policy, guidance or industry code, judgment of a relevant court of law, or directives or requirements or any Regulatory Body of which the Data Processor is bound to comply.

“Reasonable Cause” means the purpose for which the Data was provided to the Customer

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

“Relevant Conviction” means a Conviction which the Customer, acting reasonably, deems to preclude that person from being involved in any way with use of the Data and lawful debt collection on behalf of the Customer;

“Staff” means all persons employed by the Data Processor to perform its obligations under the Agreement together with the Data Processor’s servants, agents, suppliers [and sub-contractors] used in the performance of its obligations under the Agreement.

“Sub-contractor” means [INSERT NAME OF DATA PROCESSOR, DEBT COLLECTOR OR OTHER SUB-CONTRACTOR WHO HAS ACCESS TO THE DATA].

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

ANNEX A

DECLARATION OF GOOD STANDING

1. I declare that neither I nor any of the other Related Persons (the Customer, its directors, the Commercial Manager, the Data Manager and the Key Staff):

- has been convicted of any criminal offence under the Data Protection Act 1988,
- (a)** including under section 55(1) (unlawfully obtaining personal data), section 55(4) (selling personal data) and section 55(5) (offering to sell personal data).
- (b)** has been convicted of any criminal offence relating to the conduct of his business or profession;
- (c)** is the subject of any previous or pending prosecutions, convictions, cautions and binding-over orders that are not spent, other than for minor road traffic offences;
- (d)** has committed an act of grave misconduct or serious misrepresentation in the course of the person's business or profession;
- (e)** has failed to fulfil any obligations relating to the payment of social security contributions under the law of any part of the United Kingdom or of the relevant State in which the person is established;
- (f)** has failed to fulfil any obligations relating to the payment of taxes under the law of any part of the United Kingdom or of the relevant State in which the person is established;
- (g)** has failed to fulfil any obligations to file accounts under section 441 of the Companies Act 2006;
- (h)** as an individual:
- is bankrupt;
 - has had a receiving order or administration order or bankruptcy restrictions order made against him;
 - has made any composition or arrangement with or for the benefit of his creditors;
 - has made any conveyance or assignment for the benefit of his creditors;
 - appears unable to pay or to have no reasonable prospect of being able to pay, a debt within the meaning of Section 268 of the Insolvency Act 1986, or article 242 of the Insolvency (Northern Ireland) Order 1989;
 - in Scotland, has granted a trust deed for creditors or become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of his estate; or
 - is the subject of any similar procedure under the law of any other state;
- (i)** as a partnership constituted under Scots law, has granted a trust deed or

become otherwise apparently insolvent, and is the subject of a petition presented for sequestration of its estate;

- (j) as a company or any other entity within the meaning of Section 255 of the Enterprise Act 2002:
- has passed a resolution and is the subject of an order by the court for the company's winding up otherwise than for the purpose of bona fide reconstruction or amalgamation;
 - has had a receiver, manager or administrator on behalf of a creditor appointed in respect of the company's business or any part thereof; and
 - is the subject of similar procedures under the law of any other state;
- (k) is guilty of serious misrepresentation in providing any information required of him in relation to this Declaration of Good Standing;

2. I declare neither I nor any of the Related Persons (the Customer, its directors, the Commercial Manager, the Data Manager and the Key Staff) has been convicted of any of the following offences:

- (a) conspiracy within the meaning of Section 1 or 1A of the Criminal Law Act 1977 where that conspiracy relates to participation in a criminal organisation as defined in Article 2(1) of Council Joint Action 98/733/JHA (as amended)¹;
- (b) corruption within the meaning of Section 1 or 2 of the Public Bodies Corrupt Practices Act 1889 or Section 1 of the Prevention of Corruption Act 1906 (as amended);
- (c) any offence under the Bribery Act 2010;
- (d) fraud, where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union, within the meaning of:
- (i) the offence of cheating the Revenue;
 - (ii) the offence of conspiracy to defraud;
 - (iii) fraud or theft within the meaning of the Theft Act 1968 and the Theft Act 1978;
 - (iv) fraudulent trading within the meaning of Section 458 of the Companies

¹ Official Journal of the European Union reference: OJ 1998 L351/1, available at: <http://eur-lex.europa.eu/Notice.do?val=229955:cs&lang=en&list=229955:cs.&pos=1&page=1&nb1=1&pgs=10&hwords=&checktexte=checkbox&visu=#texte>

Act 1985 or section 993 of the Companies Act 2006;

- (v) defrauding the Customs within the meaning of the Customs and Excise Management Act 1979 and the Value Added Tax Act 1994;
- (vi) an offence in connection with taxation in the European Community within the meaning of Section 71 of the Criminal Justice Act 1993;
- (vii) destroying, defacing or concealing of documents or procuring the extension of a valuable security within the meaning of Section 20 of the Theft Act 1968; and
- (viii) fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006;
- (e) money laundering within the meaning of the Money Laundering Regulations 2003 and the Proceeds of Crime Act 2002; and
- (f) any other offence within the meaning of Article 45(1) of the Public Sector Directive.

**Customer's
name:**

**Name of
person
signing this
Declaration:**

**Position of
person
signing this
Declaration:**

Signed:

Date:

ANNEX B

CUSTOMER'S KEY STAFF

**WITH DIRECT RESPONSIBILITIES FOR THE DATA AND FOR THE
OTHER OBLIGATIONS UNDER THE CONTRACT**

1. The contact details of the Customer's Key Staff with responsibility for the Data and the performance of the Contract, as referred to in clause C2 of this Contract, are set out in this Annex.

1.1. The contact details of the Commercial Manager referred to in clause C4.2.a) are:

Name:.....

Job Title:.....

Business Address (The Customer's Registered Office, as recorded at Companies' House):

.....

.....

.....

Postcode:.....

Business telephone number:.....

Business mobile telephone number:.....

Business Email address:.....

1.2. The contact details of the Data Manager referred to in clause C4.2.b) are:

Name:.....

Job Title:.....

Business Address:.....

.....

.....

.....

Postcode:.....

Business telephone number:.....

Business mobile telephone number:.....

Business Email address:.....

1.3. The contact details of any other Key Staff, who are responsible for the Data or for supervision of the Staff with access to the Data, should be provided below and on continuation sheets attached to this **ANNEX B**.

ANNEX C

ANNUAL DATA GOVERNANCE AND CONTRACT COMPLIANCE ASSESSMENT

in accordance with clause D8

Note: this form, once approved by DVLA, will form part of the contractual agreement with your company. Depending on the information provided DVLA may need to carry out further investigation before approval to use the KADOE Service is granted or continued.

This form must be completed annually, upon request from DVLA.

Company Name:.....

Registration Number on ICO's Register of Data Controllers:.....

Companies House Registration Number:.....

1. Data Governance Assessment

	Question	Answer
1	Who will have access to the data supplied by DVLA? <i>Note: include all organisations within the information supply chain, e.g. business partners, outsourced Link Providers, Intermediaries</i>	
2	How will the data be transmitted to third parties? <i>Note: include all parties within the information supply chain stated in Q1</i>	

3	<p>How and where will the data be stored, and will there be set retention periods?</p> <p><i>Note: include all parties within the information supply chain stated in Q1</i></p>	
4	<p>How will the data be disposed of when no longer required?</p> <p><i>Note: include all parties within the information supply chain stated in Q1</i></p>	
5	<p>What technical and organisational security measures will be in place to prevent any unauthorised or unlawful processing of the personal data?</p>	
6	<p>Will you be transferring personal data to a country outside of the UK, but within the European Economic Area? If so where?</p> <p><i>Note: transferring also includes access to data from outside the UK, and storage of data outside the UK.</i></p>	
7	<p>Will you be transferring personal data to a country outside of the European Economic Area? If so where, and what arrangements will be in place to ensure that</p>	

	<p>there are adequate safeguards over the data?</p> <p><i>Note: transferring also includes access to data from outside the UK, and storage of data outside the UK.</i></p>	
8	<p>Please provide the full address where the data is held within your organisation and the full name and contact details of the Data Manager, responsible for the data at that address.</p>	

2. Contract Compliance Assessment

	Question	Comments	Yes	No
	<i>NOTE: You MUST tick yes or no to each question</i>			
1	Data is only used for the purposes permitted in your contract			
2	Schedule 2 Data Security Requirements have all been complied with.			
3	Continued good standing and no change of Director / person responsible for DVLA data			
4	Valid Data Protection number			

5	Continued registration of the company under the same registered number			
6	Customer's continued membership of the relevant DVLA Accredited Trade Association (ATA)			
7	Continued training and experience of the Customer's staff in their duties and responsibilities under the DPA			
	Question	Comments	Yes	No
	<i>NOTE: Please tick yes or no, only if applicable</i>			
8	If you have commenced transferring KADOE data outside of the European Economic Area, please confirm permission has been obtained from DVLA and attach evidence of how conditions applied to that permission have been complied with.			
9	Any security incidents that have occurred with the data have been reported to DVLA and mitigating action now in place to prevent			

	reoccurrence.			
10	Please confirm whether there have been any changes to your hard copy address			

I confirm that [CUSTOMER NAME] has complied fully with the data governance and control requirements and procedures in the Contract. Any exceptions have been reported to the DVLA during this period.

I confirm that the answers given above are correct, complete and up to date.

Signed by the Customer's Data Manager:

Signature
Name
Tel
Email
Date