

SD090 AGENCY AGREEMENT
BETWEEN THE
SECRETARY OF STATE FOR WORK AND PENSIONS
AND
THE SCOTTISH MINISTERS
IN RESPECT OF CARER'S ALLOWANCE FOR
PEOPLE RESIDENT IN SCOTLAND

V3.0

Key personnel	Name	Role
Author	[REDACTED]	Department of Work and Pensions (DWP) Scottish Devolution Programme. Scottish Government Formal Agreements Coordinator Scottish Government Formal Agreements Coordinator
Approver	Teresa Mchugh Lisa Baron-Broadhurst	DWP Programme Director, Scottish Devolution Programme Scottish Government Programme Director Social Security Scotland
Owner	Emma Haddad James Wallace	DWP Director General, Service Excellence Deputy Director, Finance and Corporate Services, Social Security Scotland

Document change control

Version	Date issued	Summary of changes
V3.0	10.8.2020	Baselined Document

TABLE OF CONTENTS

1. THE AGREEMENT.....	4
2. PURPOSE.....	4
3. DURATION	4
4. DERIVATION	5
5. DELIVERY OF CARER'S ALLOWANCE	6
6. REVISIONS AND CHANGES TO CARER'S ALLOWANCE	7
7. DISPUTES	7
8. LITIGATION	7
9. BUSINESS CONTINUITY.....	9
10. MANAGEMENT INFORMATION	9
11. FINANCIAL ARRANGEMENTS.....	9
12. AUDIT.....	10
13. OPERATIONAL ENGAGEMENT	10
14. COMMUNICATIONS.....	10
15. FREEDOM OF INFORMATION REQUESTS, PARLIAMENTARY QUESTIONS, MINISTERIAL CORRESPONDENCE AND 'TREAT OFFICIAL' CORRESPONDENCE.....	11
16. DATA SUBJECT RIGHTS.....	11
17. DATA CONTROLLER ARRANGEMENTS	12
SIGNATORIES	14

1. THE AGREEMENT

- 1.1 This Agency Agreement (hereafter referred to as 'this Agreement') is entered into between the Secretary of State for Work and Pensions of Caxton House, Tothill Street, London, SW1H 9NA (SSWP) and the Scottish Ministers of Victoria Quay, Edinburgh EH6 6QQ.
- 1.2 References to the Scottish Government (SG), the Scottish Ministers or Social Security Scotland will, as appropriate, be read as also including reference to each of the other entities.
- 1.3 References to Secretary of State for Work and Pensions shall be read as including reference to the Department for Work and Pensions (DWP), as appropriate, and vice versa.

2. PURPOSE

- 2.1 Pursuant to section 93 of the Scotland Act 1998, the Secretary of State for Work and Pensions may perform, on behalf of the Scottish Ministers, functions specified under the Scotland Act 1998 (Agency Arrangements) (Specification) Order 2018 – Statutory Instrument (S.I.) 626 of 2018. The Scottish Ministers have asked and the Secretary of State for Work and Pensions agrees to perform those functions, in accordance with this Agreement, insofar as they relate to the delivery of Carer's Allowance to people residing in Scotland.

3. DURATION

- 3.1 The Initial Agreement commenced on 3 September 2018 immediately upon transfer of executive competence for Carer's Allowance to the Scottish Ministers, in accordance with the Scotland Act 2016 (Transitional) Regulations 2017 – S.I. 444/2017. The Initial Agreement lasted for two years, until 2 September 2020.
- 3.2 This Agreement replaces the Initial Agreement. It shall be effective from and including 3 September 2020 and, unless terminated earlier in accordance with its terms, will remain effective up to and including 31 December 2022 ('the Term').
- 3.3 This Agreement may be varied by mutual written agreement of both parties at any time during the Term. Both Parties will review this Agreement twelve (12) months after the commencement date of this agreed extension and set out any changes in a revised Agreement.
- 3.4 No less than twelve (12) months before the end of the Term, DWP and the Scottish Ministers will have agreed an exit plan for the orderly transition of the delivery of Carer's Allowance to the Scottish Ministers or, in practice, Social Security Scotland, which will deliver the services for Ministers. DWP and Social

Security Scotland will maintain and update the exit plan throughout the Term.

- 3.5 If either party wishes to terminate this Agreement before the end of the Term, a period of twelve (12) months' written notice will be given to the other party.

4. DERIVATION

- 4.1 This Agreement forms an annex to the 'Memorandum of Understanding between the Scottish Ministers and DWP on joint working arrangements covering the implementation of devolved provisions in the Scotland Act 2016 relating to Social Security and Employment Support Services in Scotland', and will be read in conjunction with the following documents and any subsequent arrangements which are agreed and support this Agreement, insofar as they are not replaced or terminated in the future:

Document	Version/Date
Concordat between The Department for Work and Pensions and Scottish Government	July 2010
Memorandum of Understanding and Supplementary Agreements on Devolution between the United Kingdom Government, the Scottish Ministers, the Welsh Ministers, and the Northern Ireland Executive Committee (MoU on devolution)	October 2013
Memorandum of Understanding between Scottish Government (SG) and Department for Work and Pensions (DWP) on joint working arrangements covering the implementation of devolved provisions in the Scotland Act 2016 relating to Social Security and Employment Support Services in Scotland (the " DWP/SG Single MoU ")	January 2019
The agreement between the Scottish Government and the United Kingdom Government on the Scottish Government's fiscal framework	February 2016
Scottish Devolution: A Framework for Audit and Accountability	March 2019
Initial Agency Agreement between the Secretary of State for Work and Pensions and the Scottish Ministers in respect of Carer's Allowance for People Resident in Scotland – V2.0	September 2018
Scottish Devolution: Financial Arrangements for Formal Agreements	February 2020
Scottish Devolution: Financial Summary to support Carer's Allowance Agency Agreement	Date of signing of this Agreement
DWP and Scottish Government Joint Communications Framework	July 2017

5. DELIVERY OF CARER'S ALLOWANCE

- 5.1 DWP will, on behalf of, and as agreed with, the Scottish Ministers, continue to process new claims to Carer's Allowance for an interim period, [REDACTED].
- 5.2 [REDACTED]
- 5.3 [REDACTED]
- 5.4 [REDACTED]
- 5.5 Information on the DWP Carer's Allowance can be found in the DWP Decision Makers Guide. This is an approved guide to help Carer's Allowance Case Managers make decisions. It is a plain English representation of social security law and case law. It can be found on www.Gov.UK at:
- [Decision Makers Guide](#)
- [Decision Makers Guide – Vol. 10 Chapter 60 – Carer's Allowance](#)
- 5.6 Any recent updates and/or amendments to the DWP Decision Makers Guide can be found [here](#).
- 5.7 [REDACTED]
- 5.8 For the Term of this Agreement, the Scottish Government will maintain parity with DWP's rates of Carer's Allowance as part of the normal uprating cycle.
- 5.9 For the Term of this Agreement, the Scottish Government will maintain parity with DWP in terms of the eligibility criteria to all Carer's Allowance claims.
- 5.10 There will be no difference in the application of debt policy to Carer's Allowance as delivered in Scotland by DWP, during the Term of this Agreement. This will include but will not be limited to recovery methods and rates, hardship considerations, priority order, write-off, and waivers.
- 5.11 For surveillance matters, the Scottish Government laid the Regulation of Investigatory Powers (Prescription of Offices, etc. and Specification of Public Authorities) (Scotland) Amendment Order 2018 (the 2018 Order). This amended the Regulation of Investigatory Powers (Prescription of Offices, etc. and Specification of Public Authorities) (Scotland) Order 2010 (the 2010 Order) which prescribes offices, ranks and positions for the purposes of section 8(1) of the Regulation of Investigatory Powers (Scotland) Act 2000 (the 2000 Act). Under that section individuals holding such offices, ranks and positions as are prescribed, may grant authorisations under sections 6 and 7 of the 2000 Act for the use of directed surveillance and covert human intelligence sources respectively. Article 2(2) of the 2018 Order prescribes the person holding the position of Chief Executive of Social Security Scotland as being authorised to

grant authorisations. Social Security Scotland is part of the Scottish Administration. The Scottish Administration is a relevant public authority for the purposes of section 8 of the 2000 Act.

- 5.12 A new operational process has been developed and agreed between both parties that reflects the 2018 Order (as in paragraph 5.11) that is now in force for benefits administered under Agency Agreements.

6. REVISIONS AND CHANGES TO CARER'S ALLOWANCE

- 6.1 DWP agrees to inform the Scottish Ministers as soon as practically possible of any changes to Carer's Allowance or supporting legislation that may impact on or require changes to the functions carried out on behalf of the Scottish Ministers. Both parties would need to agree whether a revision to this Agreement is required.
- 6.2 Both parties shall act transparently and will work in a practical way in resolving any issues that may arise, in the spirit of co-operation, trust, respect and confidentiality. This Agreement will be reviewed through the Joint Ministerial Working Group on Welfare.
- 6.3 DWP and the Scottish Ministers will consider proposed future delivery of carers benefits for people resident in Scotland following the end of the Term of this Agreement. Should the Scottish Ministers ask DWP to continue to carry out functions relating to Carer's Allowance beyond the expiry of the Term and DWP agree to do so, both parties will need to agree, and set out in a revised agreement, the arrangements at least twelve (12) months before the end of this Agreement.

7. DISPUTES

- 7.1 The process for dispute resolution is outlined in Section 6 (Escalation) of the DWP/SG Single MoU.

8. LITIGATION

- 8.1 The Scottish Ministers will notify DWP and Office of the Advocate General (OAG), by email, within three (3) working days of the receipt of any pre-action correspondence, initial writ, petition or claim in the Sheriff Court or any petition for judicial review in the Court of Session in relation to Carer's Allowance or any other devolved benefit which is being administered by DWP, or any legal challenge in relation to data protection, which is raised by a person resident in Scotland and/or relates to a decision or action of DWP made from the date that this Agreement becomes effective until the expiry of the Term. DWP will conduct any such litigation on the basis of business as usual arrangements.
- 8.2 DWP agree to inform the Scottish Ministers, as soon as practically possible, of the progress of any judicial review or challenge in relation to data protection, or

any decision in such litigation proceedings, which has an impact on the delivery of Carer's Allowance or any other devolved benefit to people resident in Scotland which is being administered by DWP. DWP will conduct any such litigation on the basis of business as usual arrangements.

- 8.3 DWP and the Scottish Ministers agree in relation to any challenges brought in a tribunal by a claimant resident in Scotland, or where the claim relates to decisions or actions of DWP in relation to Carer's Allowance that:
- DWP will conduct any such litigation at the First tier and Upper Tribunal in accordance with their business as usual processes and procedures,
 - DWP will liaise, where necessary, with OAG to conduct any litigation conducted in the Upper Tribunal, and
 - where appropriate OAG will instruct Standing Junior Counsel from the Advocate General's panel or Senior Counsel authorised by the Advocate General to appear on behalf of DWP and conduct litigation in accordance with DWP policy.
- 8.4 The decisions or actions of DWP mentioned at paragraph 8.3 are ones which are made by DWP before or since the transfer of executive competence or during the Term of this Agreement.
- 8.5 The Scottish Ministers agree to notify DWP, by email, within three (3) working days of any challenge which is brought in a tribunal by a claimant resident in Scotland which relates to decisions or actions of DWP in relation to Carer's Allowance which were made before or since the transfer of executive competence or during the Term of this Agreement.
- 8.6 The Scottish Ministers agree that, within three (3) working days of initial receipt of any correspondence, initial writ, petition or claim referred to in paragraph 8.1 above, they will issue an acknowledgement to the pursuer or claimant noting that their correspondence, initial writ, petition or claim has been forwarded to DWP and OAG. DWP will respond to any such pre-action correspondence, initial writ, petition or claim in accordance with business as usual arrangements.
- 8.7 Where, as a result of a decision of a Tribunal or higher courts, or because DWP itself becomes aware of an administrative error which occurs prior to or since the transfer of executive competence or during the Term of this Agreement, a Legal Entitlement and Administrative Practices (LEAP) exercise is necessary, where the LEAP exercise relates to Carer's Allowance and impacts claimants resident in Scotland, DWP agree to inform the Scottish Ministers, as soon as practically possible, of the need to conduct a LEAP exercise and how it will conduct any such LEAP exercise. DWP will plan, organise and administer any such LEAP exercise in accordance with business as usual arrangements.

- 8.8 DWP and the Scottish Ministers agree that cases will not be transferred from DWP to Social Security Scotland should there be any ongoing litigation, conducted in accordance with the above paragraphs, at the time that case was due to transfer during the Term of this Agreement.
- 8.9 DWP and the Scottish Ministers agree that any litigation which has not concluded at the end of the Term of this Agreement will continue to be administered by DWP, conducted in accordance with the above paragraphs, beyond the end of the Term until the conclusion of that litigation.
- 8.10 All writs should be served on OAG.

9. BUSINESS CONTINUITY

- 9.1 If the DWP business continuity plans are invoked which affect delivery of Carer's Allowance to people resident in Scotland, DWP will advise the Scottish Government of the issue, impact and resulting action as soon as reasonably practicable. via the Single Point of Contact (SPoC) below.

SG SPoC
[REDACTED]

10. MANAGEMENT INFORMATION

- 10.1 DWP and the Scottish Ministers have agreed Management Information (MI) will be supplied to Social Security Scotland to enable them to discharge accountabilities on the following principles relating to the delivery of Carer's Allowance:
- DWP will not create new MI reports that detail performance, specifically for claimants resident in Scotland.
 - MI will only be supplied showing performance, at a Great Britain level, of delivering the functions discharged on behalf of the Scottish Ministers. DWP will not supply data specific to Scotland, unless it is currently available and easy to access.
 - MI required to inform future delivery is outside of the scope of this Agreement.

11. FINANCIAL ARRANGEMENTS

- 11.1 DWP will recharge the Scottish Ministers agreed Delegated Expenditure Limit costs associated with the delivery of Carer's Allowance to people resident in Scotland, as detailed in the Financial documents detailed in Section 4

(Derivation).

12. AUDIT

- 12.1 DWP and the Scottish Ministers will abide by the principles of audit and accountability as set out in the jointly agreed document Scottish Devolution: A Framework for Audit and Accountability, as referenced in Section 4 (Derivation) of this agreement.
- 12.2 DWP and the Scottish Ministers remain subject to their overall existing accountabilities to the UK and Scottish Parliaments, and their associated audit bodies.
- 12.3 DWP and the Scottish Ministers will abide by the principles in the Agreement between the Scottish Government and the United Kingdom Government on the Scottish Government's fiscal framework as referenced in Section 4 (Derivation) of this Agreement, Paragraph 39 of which states that 'All costs incurred by the UK Government where the Scottish Government is expected to meet the costs will be subject to audit'.

13. OPERATIONAL ENGAGEMENT

- 13.1 Both parties will work in a practical way to promote a positive shared claimant experience. A link between Service Delivery colleagues in Social Security Scotland and DWP will be established to provide an opportunity for ongoing communication and shared understanding between officials on the operational delivery of Carer's Allowance. Both parties will act in the spirit of co-operation, trust, respect and confidentiality.

14 COMMUNICATIONS

- 14.1 DWP and Social Security Scotland have agreed a communications approach ensuring a seamless claimant experience. Communications in relation to Carer's Allowance will be as in the agreed document DWP and Scottish Government Joint Communications Framework as referenced in Section 4 (Derivation) of this agreement. Social Security Scotland and DWP have agreed the following principles:
- Social Security Scotland will notify DWP if they are to issue any communication related to this Agreement, and of any related issues, at the earliest possible opportunity prior to publication/issue.
 - DWP will notify Social Security Scotland if they are to issue any communication related to this Agreement, and of any related issues, at the earliest possible opportunity prior to publication/issue.

- DWP will not make any changes to Carer's Allowance communications to distinguish between people residing in Scotland or England and Wales, other than for the purposes of data subject rights as noted in section 16 (Data Subject Rights) of this agreement. For the avoidance of doubt DWP will be operating on the basis of business as usual arrangements with regard to communications for Carer's Allowance.

15 FREEDOM OF INFORMATION REQUESTS, PARLIAMENTARY QUESTIONS, MINISTERIAL CORRESPONDENCE AND 'TREAT OFFICIAL' CORRESPONDENCE

- 15.1 Each party is to follow existing processes and obligations for requests to that party, and having regard to the MoU on devolution as well as the Concordat between DWP and the Scottish Government as referred to in section 4 (Derivation) of this Agreement.
- 15.2 Each party will assist and cooperate with each other where appropriate to enable each to meet its obligations.
- 15.3 This agreement does not supersede any legal obligations under the Freedom of Information Act 2000 (FoIA) and the Freedom of Information (Scotland) Act 2002 (Fol(S)A).

16 DATA SUBJECT RIGHTS

- 16.1 For the purposes of this Agreement, the term 'Data Subject' will have the same meaning as in section 3 (5) Data Protection Act 2018 (DPA) and as referred to in the definition of Personal Data under Article 4 (1) General Data Protection Regulation (GDPR).
- 16.2 The terms 'Personal Data', 'Controller', 'Processing' and 'Process' will have the same meaning as in Article 4 of the GDPR.
- 16.3 All current Data Protection Legislation and guidance will apply, including but not limited to;
- (a) the GDPR,
 - (b) Part 2, Chapter 3 of the DPA 2018 (the applied GDPR),
 - (c) the DPA 2018
 - (d) regulations made under the DPA 2018,
 - (e) regulations made under section 2(2) of the European Communities Act 1972 which relate to the GDPR or the Data Protection Directive (EU) 2016/680 (the Law Enforcement Directive)

(f) the Privacy and Electronic Communications (EC Directive) Regulations 2003, and

(g) the guidance and codes of practice issued by the Information Commissioner.

- 16.4 Requests regarding rights of a Data Subject under Chapter 3 of the GDPR will be dealt with by DWP as a Controller in accordance with DWP policies.
- 16.5 When the Scottish Ministers receive a request pertaining to rights of a Data Subject under the GDPR, concerning Carer's Allowance, the Scottish Ministers will acknowledge the request and will forward the said request to DWP within three (3) working days of initial receipt. The acknowledgement will inform the Data Subject that their request has been forwarded to DWP. DWP will then respond on behalf of both DWP and the Scottish Government, in accordance with its business as usual arrangements.
- 16.6 All other functions exercisable to comply with the current Data Protection Legislation, in relation to Personal Data being processed by DWP for Carer's Allowance, will be exercised by DWP in accordance with its existing practices.

17 DATA CONTROLLER ARRANGEMENTS

- 17.1 DWP and the Scottish Ministers will be Joint Controllers within the meaning of Article 26 of the GDPR. A Joint Case Transfer Strategy, will detail the data controllership during case transfer.
- 17.2 It is agreed between the Parties that DWP will administer Carer's Allowance on the basis of business as usual arrangements as set out under Section 5 (Delivery of Carer's Allowance) of this Agreement.
- 17.3 The Processing of all Personal Data subject to this Agreement which is necessary for administering Carer's Allowance by DWP, will be under DWP's existing data policies. DWP's Personal Information Charter can be found via the following link - [DWP Personal Information Charter](#), and it contains more information about how DWP handles/processes Personal Data.
- 17.4 For the avoidance of doubt, Scottish Ministers' responsibilities under Article 26(3) of the GDPR, will be fulfilled by referring the matter to DWP, which will respond to the Data Subject in accordance with its existing practices.
- 17.5 DWP in their capacity as a Joint Data Controller, as per this Agreement, will take all reasonable steps to ensure that all information is up to date and accurate. This will be done in accordance with DWP's business as usual arrangements as detailed in Section 5 (Delivery of Carer's Allowance) of this agreement.

17.6 Each party will be responsible for ensuring that their organisation and the data processing they are responsible for is fully compliant with all current data protection legislation.

SIGNATORIES

Print name: **Emma Haddad**

Date: **13 August 2020**

A duly authorised officer for and on behalf of the Secretary of State for Work and Pensions

Signed by:

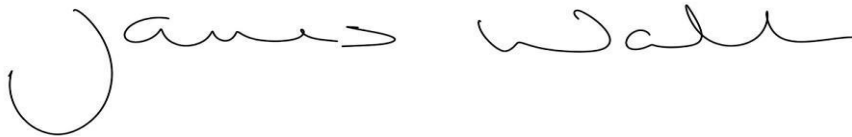
A handwritten signature in black ink, appearing to read 'Haddad', written in a cursive style.

Print name: **James Wallace**

Date: **13 August 2020**

A duly authorised officer for and on behalf of Scottish Ministers

Signed by:

A handwritten signature in black ink, appearing to read 'James Wallace', written in a cursive style.