SCANNING, VALIDATION AND STORAGE SERVICES

SCHEDULE 3

AUTHORITY RESPONSIBILITIES

Version: Final 230420

Authority Responsibilities

1 INTRODUCTION

1.1 The responsibilities of the Authority set out in this Schedule shall constitute the Authority Responsibilities under this Agreement. Any obligations of the Authority in Schedule 2.1 (Services *Description*) and Schedule 4.1 (*Supplier Solution*) shall not be Authority Responsibilities and the Authority shall have no obligation to perform any such obligations unless they are specifically stated to be "Authority Responsibilities" and cross referenced in the table in Paragraph 3.

1.2 The responsibilities specified within this Schedule shall be provided to the Supplier free of charge, unless otherwise agreed between the Parties.

2 GENERAL OBLIGATIONS

The Authority shall:

(a) perform those obligations of the Authority which are set out in the Clauses of this Agreement and the Paragraphs of the Schedules (except Schedule 2.1 (*Services Description*) and Schedule 4.1 (*Supplier Solution*));

(b) use its reasonable endeavours to provide the Supplier with access to appropriate members of the Authority's staff, as such access is reasonably requested by the Supplier in order for the Supplier to discharge its obligations throughout the Term the Termination Assistance Period;

(c) provide sufficient and suitably qualified staff to fulfil the Authority's roles and duties under this Agreement and as defined in the Implementation Plan;

(d) use its reasonable endeavours to provide such documentation, instructions and guidance, data and/or other information that the Supplier reasonably requests that is necessary to perform its obligations under the terms of this Agreement provided that such documentation, data and/or information is available to the Authority and is authorised for release by the Authority; and

(e) procure for the Supplier such agreed access and use of the Authority Premises (as a licensee only) and facilities (including relevant IT systems) as is reasonably required for the Supplier to comply with its obligations under this Agreement, such access to be provided during the Authority's normal working hours on each Working Day or as otherwise agreed by the Authority (such agreement not to be unreasonably withheld or delayed).

3 SPECIFIC OBLIGATIONS

The Authority shall, in relation to this Agreement perform the Authority's responsibilities identified as such in this Agreement the details of which are set out below:

Specific Authority Obligation (SAO)	**Document**	**Location (Paragraph)**
SAO 1	Schedule 2.1 (*Services Description*)	Paragraph 3.1 SVS Requirement SVS 3.8 The Authority will provide details to the Supplier of nominated Authority departments for the forwarding of non-application mail that falls within the below categories: - not linked to an in-flight application - not an agreed form requiring scanning - not an orphan document Examples include, but are not limited to, legal documents, letters of complaint, letters marked private and confidential, invoices.
SAO 2	Schedule 2.1 (*Services Description*)	Paragraph 3.1 SVS Requirement SVS 3.19 The Authority will provide the Supplier details of the document data/meta data related to received documentation for both paper forms and documents that needs to be captured and made available to the Authority. The data/meta data will include, but not be limited to, document type.
SAO 3	Schedule 2.1 (*Services Description*)	Paragraph 3.3 SVS Requirement SVS 3.34 The Authority will provide the Supplier designated bank account details for the receipt of payments.
SAO 4	Schedule 2.1 (*Services Description*)	Not Used

Specific Authority Obligation (SAO)	**Document**	**Location (Paragraph)**
SAO 5	Schedule 2.1 (*Services Description*)	Paragraph 4.1 SVS Requirement SVS 4.1 and 4.2 The Authority will provide the Supplier with instructions, guidance and reference material to perform the Service in the Document Handling Units.
SAO 6	Schedule 2.1 (*Services Description*)	Paragraph 4.1 SVS Requirement SVS 4.7 The Authority will provide validation training for the Supplier's Staff.
SAO 7	Schedule 2.1 (*Services Description*)	Paragraph 4.1 SVS Requirement SVS 4.11 The Authority will regularly work with the Supplier to assess and improve validation processes.
SAO 8	Schedule 2.1 (*Services Description*)	Not Used .
SAO 9	Schedule 2.1 (*Services Description*)	Paragraph 4.3 SVS Requirement SVS 4.14 The Authority will provide the Supplier with information on the ICAO photograph standards acceptance criteria and exceptions to these criteria as required.
SAO 10	Schedule 2.1 (*Services Description*)	Paragraph 5.1 SVS Requirement SVS 5.10 The Authority will work with the Supplier to develop a solution for the receipt and action of rescan requests from HM Passport Office
SAO 11	Schedule 2.1 (*Services Description*)	Paragraph 5.4 SVS Requirements SVS 5.23, SVS 5.24 SVS, 5.25 and SVS 5.26 The Authority will provide access and accommodation at additional Authority sites for the Supplier to provide, support and maintain scanning functionality (software and hardware) as required.

Specific Authority Obligation (SAO)	**Document**	**Location (Paragraph)**
SAO 12	Schedule 2.1 (*Services Description*)	Paragraph 7.1 SVS Requirement SVS 7.10 The Authority will provide the Supplier with access to existing Secure Delivery arrangements, managed and paid for by the Authority enabling the Supplier to facilitate transfers of relevant documents from the Document Handling Units to Authority sites as required.
SAO 13	Schedule 2.1 (*Services Description*)	Paragraph 7.1 SVS Requirements SVS 7.16, SVS 7.19 and SVS 7.20 The Authority will provide the Supplier with access to existing Secure Delivery or standard mail arrangements as required, managed and paid for by the Authority, enabling the Supplier to facilitate the return of relevant documents from the Document Handling Units to the customer.
SAO 14	Schedule 2.1 (*Services Description*)	Paragraph 7.1 Requirements SVS 7.27 The collection and destruction of Confidential Waste will be managed under existing Authority arrangements with no costs passed on to the Supplier.
SAO 15	Schedule 2.1 (*Services Description*)	Paragraph 7.1 SVS Requirements SVS 7.24 The Authority will provide the Supplier with SVS service-related stationery items, including all envelopes as requested. No cost will be passed on to the Supplier.

Specific Authority Obligation (SAO)	**Document**	**Location (Paragraph)**
SAO 16	Schedule 2.1 (*Services Description*)	Paragraph 7.1 SVS Requirements SVS 7.25 The Authority and other Suppliers will collaborate with the Supplier to support the capture of data regarding Secure Delivery collection.
SAO 17	Schedule 2.1 (*Services Description*)	Paragraph 8.1 SVS Requirements SVS 8.6 The Authority will provide consultation with the Supplier to maintain restricted access to Document Handling Units.
SAO 18	Schedule 2.1 (*Services Description*)	Paragraph 8.1 SVS Requirements SVS 8.14 The Authority will provide sign off and full agreement before any changes relating to security can be implemented. The Supplier will not make amendments to any security access/procedures or policy without full collaboration with the Authority.
SAO 19	Schedule 2.1 (*Services Description*)	Paragraph 8.3 SVS Requirements SVS 8.22 The Authority will collaborate in the building, maintenance and operation of the interface(s) between the Authority systems and the Supplier's System.
SAO 20	Schedule 2.1 (*Services Description*)	Paragraph 8.5 SVS Requirements SVS 8.32 The Authority shall share the Risk Register's for the scanning and validation and storage service with the Supplier
SAO 21	Schedule 2.1 (*Services Description*)	Paragraph 8.9 SVS Requirements SVS 8.54 The Authority will work with the Supplier to provide details for inclusion in the Supplier Guidance. Furthermore, the Supplier Guidance must be reviewed and agreed with the Authority at regular intervals, with both the Supplier and Authority contributing.

Specific Authority Obligation (SAO)	**Document**	**Location (Paragraph)**
SAO 22	Schedule 2.1 (*Services Description*)	Paragraph 8.9 SVS Requirements SVS 8.55 The Authority shall promptly notify the Supplier of any changes to the Authority's policies, processes or procedures that materially affect this Agreement and / or delivery of the Services
SAO 23	Schedule 2.1 (*Services Description*)	Paragraph 8.10 SVS Requirements SVS 8.58 The Authority will enable the Supplier Access to the Authority's IT services and Application Programming Interfaces (APIs) owned and managed the Authority as required.
SAO 24	Schedule 2.1 (*Services Description*)	Paragraph 8.10 SVS Requirements SVS 8.61 The Authority will assist and collaborate with the Supplier with its provision of a documented Service Support Model in the form of a Service Description Specification detailing the ITIL processes, Service Boundaries and their Service Levels.
SAO 25	Schedule 2.1 (*Services Description*)	Paragraph 8.11 SVS Requirements SVS 8.106 The Authority shall work with the Supplier to identify opportunities to introduce innovation, reduce cost and waste and ensure sustainable development.

Specific Authority Obligation (SAO)	**Document**	**Location (Paragraph)**
SAO 26	Schedule 2.1 (*Services Description*)	Paragraph 8.12 Locations and On-Site Support The two Document Handling Units will have a small number of HM Passport Office staff embedded in each, i.e. the Civil Servant Embedded Team (CSET). For 'Operational Services' delivery this will consist of a maximum of 20 staff per DHU (the HMPO core CSET team size), although the Authority may decide to provide additional staff for 'early life support' or exceptionally high volume periods. If the supplier requests additional support from the Authority for more than the HMPO core CSET team size, the extra resource costs will be funded by the Supplier. The size of the CSET is expected to decrease during the contract, following agreement of both Parties, once the supplier is proficient in the new processes e.g. Validation. Changes to the HMPO core CSET team size will be agreed via a Change Request. The staff in the embedded team will work 37 hours per week across standard daytime business hours Monday to Friday. The primary functions of these staff will be to: • Advise the Supplier, when consulted, on document validation when the pass/fail outcome for a document is not immediately clear. • Answer questions relating to document categorisation and validation (for example, an unknown document type or assistance with interpreting HM Passport Office's reference material). • Provide a point for decision making, as required, and escalation to the Public Protection Directorate. • Perform sample checks to assure the quality of processes and procedures.

Specific Authority Obligation (SAO)	**Document**	**Location (Paragraph)**
SAO 27	Schedule 2.1 (*Services Description*)	Paragraph 8.12 SVS Requirements SVS 8.111 The Authority will collaborate with the Supplier to agree ways of working to ensure embedded Authority staff have access to the same facilities as that of the Supplier's staff.
SAO 28	Schedule 2.1 (*Services Description*)	Paragraph 8.13 SVS Requirements SVS 8.122 The Authority will provide the Supplier with details of the Authority's policies and procedures, data and instructions to enable the Supplier to provide the Services including Implementation and Transition.
SAO 29	Schedule 4.1 (*Supplier Solution*)	Supplier Response SVS ITT Question 2.1 Implementation Plan page 9 - Key Implementation Assumptions A001 The Authority will ensure that In-Flight Applications of any type processed by the incumbent Supplier will be taken through to their conclusion by the incumbent Supplier.
SAO 30	Schedule 4.1 (*Supplier Solution*)	Supplier Response SVS ITT Question 2.1 Implementation Plan page 10 - Dependencies D001 The Authority will allocate a transition manager to work with the Supplier order to facilitate transition from the existing service to the new Service provided by the Supplier.
SAO 31	Schedule 4.1 (*Supplier Solution*)	Supplier Response SVS ITT Question 2.1 Implementation Plan page 10 - Dependencies D002 The Authority will provide interface control documents for all Authority interfaces with the Supplier in a timely manner so as not to delay the commencement of the Service.

Specific Authority Obligation (SAO)	**Document**	**Location (Paragraph)**
SAO 32	Schedule 4.1 (*Supplier Solution*)	Supplier Response SVS ITT Question 2.1 Implementation Plan page 10 - Dependencies D006 The Authority will align to the Supplier testing to the Supplier's requirements. A Test Plan will be developed collaboratively as described further in Schedule 6.2 (*Testing and Assurance Procedure*).
SAO 33	Schedule 4.1 (*Supplier Solution*)	Supplier Response SVS ITT Question 2.1 Implementation Plan page 10 - Dependencies D009 The Authority will provide test samples for system testing.
SAO 34	Schedule 4.1 (*Supplier Solution*)	Supplier Response SVS ITT Question 2.1 Implementation Plan page 10 - Dependencies D010 The Authority will provide resources to enable testing of the Service including a technology lead.
SAO 35	Schedule 4.1 (*Supplier Solution*)	Supplier Response SVS ITT Question 2.1 Implementation Plan page 10 - Dependencies D012 The Authority will allow Supplier Personnel access to Authority sites for the purposes of knowledge transfer.
SAO 36	Schedule 4.1 (*Supplier Solution*)	Supplier Response SVS ITT Question 2.1 Implementation Plan page 10 - Dependencies D013 During transition to the new Service the Authority will ensure mail is redirected to the DHU's from the Authority sites as required.

Specific Authority Obligation (SAO)	**Document**	**Location (Paragraph)**
SAO 37	Schedule 4.1 (*Supplier Solution*)	Supplier Response SVS ITT Question 2.1 Implementation Plan page 10 - Dependencies D014 The Authority will update the contact details for passport applicants to send applications to reflect the new Service.