

# **Framework Schedule 6 (Order Form Template and Call-Off Schedules)**

## **PROVISION OF SCHEME MEDICAL ADVISOR**

**CONTRACT REFERENCE: CCSM22A01**

**CONTRACT FOR CABINET OFFICE**

## Order Form

CALL-OFF REFERENCE:	CCSM22A01
THE BUYER:	Cabinet Office
BUYER ADDRESS	70 Whitehall, London, SW1A 2AS
THE SUPPLIER:	Health Management Ltd
SUPPLIER ADDRESS:	<b>REDACTED TEXT under FOIA Section 40, Personal Information</b>
REGISTRATION NUMBER:	04369949
DUNS NUMBER:	423823389
VAT NUMBER	439 5437 65

### APPLICABLE FRAMEWORK CONTRACT

This Order Form is for the provision of the Call-Off Deliverables and dated 5<sup>th</sup> May 2023.

It's issued under the Framework Agreement with the reference number RM6182 Occupational Health, Employee Assistance Programmes and Eye Care Services for the provision of medical advisor services.

CALL-OFF LOT(S):  
Lot 2 – Occupational Health on a National Basis

### CALL-OFF INCORPORATED TERMS

The following documents are incorporated into this Call-Off Contract. Where numbers are missing we are not using those schedules. If the documents conflict, the following order of precedence applies:

1. This Order Form including the Call-Off Special Terms and Call-Off Special Schedules.
2. Joint Schedule 1(Definitions and Interpretation) RM6182.
3. The following Schedules in equal order of precedence:

## Framework Schedule 6 (Order Form Template and Call-Off Schedules)

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- Joint Schedules for RM6182
    - Joint Schedule 2 (Variation Form)
    - Joint Schedule 3 (Insurance Requirements)
    - Joint Schedule 4 (Commercially Sensitive Information)
    - Joint Schedule 10 (Rectification Plan)
    - Joint Schedule 11 (Processing Data)
  - Call-Off Schedules for RM6182
    - Call-Off Schedule 1 (Transparency Reports)
    - Call-Off Schedule 2 (Staff Transfer)
    - Call-Off Schedule 3 (Continuous Improvement)
    - Call-Off Schedule 5 (Pricing Details)
    - Call-Off Schedule 7 (Key Supplier Staff)
    - Call-Off Schedule 8 (Business Continuity and Disaster Recovery)
    - Call-Off Schedule 9 (Security)
    - Call-Off Schedule 10 (Exit Management)
    - Call-Off Schedule 13 (Implementation Plan and Testing)
    - Call-Off Schedule 14 (Service Levels)
    - Call-Off Schedule 15 (Call-Off Contract Management)
    - Call-Off Schedule 16 (Benchmarking)
    - Call-Off Schedule 20 (Call-Off Specification)
4. CCS Core Terms (version 3.0.8)
  5. Joint Schedule 5 (Corporate Social Responsibility) RM6182
  6. Call-Off Schedule 4 (Call-Off Tender)

No other Supplier terms are part of the Call-Off Contract. That includes any terms written on the back of, added to this Order Form, or presented at the time of delivery.

### CALL-OFF SPECIAL TERMS

The following Special Terms are incorporated into this Call-Off Contract:

Special Term 1 – Call off Schedule 24 (Security Management)

CALL-OFF START DATE: 1<sup>st</sup> day of November 2023

CALL-OFF EXPIRY DATE: 31<sup>st</sup> day of October 2026

CALL-OFF INITIAL PERIOD: Three (3) years with an option to extend for one (1) further year.

### CALL-OFF DELIVERABLES

Option B: See details in Call-Off Schedule 20 (Call-Off Specification)

### MAXIMUM LIABILITY

The limitation of liability for this Call-Off Contract is stated in Clause 11.2 of the Core Terms.

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The Estimated Year 1 Charges used to calculate liability in the first Contract Year is up to a maximum of £972,142.36. The total contract value (excluding the extension option) shall not exceed £2,881,341.00 ex VAT.

### **CALL-OFF CHARGES**

Option B. See details in Call-Off Schedule 5 (Pricing Details)

### **REIMBURSABLE EXPENSES**

None

### **PAYMENT METHOD**

Invoicing monthly in arrears. Payment via BACS.

The Employer (Buyer) to each Order shall pay all sums due to the Supplier twenty-eight (28) days follow receipt of a valid invoice, submitted monthly in arrears.

Payment can only be made following satisfactory delivery of pre-agreed certified products and deliverables.

Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs.

Invoices should be submitted to each Employer (Buyer) who draws down the services of this contract and specific invoicing addresses will be provided on receipt of a valid Purchase Order

### **BUYER'S INVOICE ADDRESS:**

Specific to each Contracting Authority / Buyer using the service.

### **BUYER'S AUTHORISED REPRESENTATIVE**

Specific to each Contracting Authority / Buyer using the service.

### **BUYER'S ENVIRONMENTAL POLICY**

Specific to each Contracting Authority / Buyer using the service.

### **BUYER'S SECURITY POLICY**

Specific to each Contracting Authority / Buyer using the service.

### **SUPPLIER'S AUTHORISED REPRESENTATIVE**

**REDACTED TEXT under FOIA Section 40, Personal Information**

### **SUPPLIER'S CONTRACT MANAGER**

**REDACTED TEXT under FOIA Section 40, Personal Information**

**PROGRESS REPORT FREQUENCY**

On the first Working Day of each calendar month

**PROGRESS MEETING FREQUENCY**

Quarterly on the first Working Day of each quarter

**KEY STAFF**

**REDACTED TEXT under FOIA Section 40, Personal Information**

**KEY SUBCONTRACTOR(S)**

N/A

**COMMERCIALLY SENSITIVE INFORMATION**

**REDACTED TEXT under FOIA Section 43, Commercial Interests**

**SERVICE CREDITS**

Not applicable

**ADDITIONAL INSURANCES**

Not applicable

**GUARANTEE**

Not applicable

**SOCIAL VALUE COMMITMENT**

Not applicable

<b>For and on behalf of the Supplier:</b>		<b>For and on behalf of the Buyer:</b>	
Signature:	<b>REDACTED TEXT under FOIA Section 40, Personal Information</b>	Signature:	<b>REDACTED TEXT under FOIA Section 40, Personal Information</b>
Name:	<b>REDACTED TEXT under FOIA Section 40, Personal Information</b>	Name:	<b>REDACTED TEXT under FOIA Section 40, Personal Information</b>
Role:	<b>REDACTED TEXT under FOIA Section 40, Personal Information</b>	Role:	<b>REDACTED TEXT under FOIA Section 40, Personal Information</b>
Date:	<b>REDACTED TEXT under FOIA Section 40, Personal Information</b>	Date:	<b>REDACTED TEXT under FOIA Section 40, Personal Information</b>

## **Call-Off Schedule 4 (Call-Off Tender)**

**REDACTED TEXT under FOIA Section 43, Commercial Interests**

## Call-Off Schedule 20 (Call-Off Specification)

### PURPOSE

- 1.1 This Specification sets out the requirements for the provision of medical and associated administrative Services to the Principal Civil Service Pension Scheme, the Civil Service Compensation Scheme, the Civil Service Injury Benefits Scheme, the Partnership Pension Account III Health Benefits Scheme, the (Civil Service and Others) Pension Scheme and the Royal Mail Statutory Pension Scheme – hereafter collectively known as ‘the Schemes’.
- 1.2 The following is a brief description of each of the current Schemes, of which will further be referred to as ‘the Schemes’:
- 1.3 Principal Civil Service Pension Scheme (PCSPS) – This is one of the occupational pension schemes for civil servants. It is a salary-related pension scheme, and is divided into three sections:
  - 1.3.1 2002 Section (Section I) – This section of the PCSPS is known as Premium and generally covers employees who commenced employment between 01 October 2002 and 29 July 2007, together with former members of either premium or classic (see below), who returned to civil service employment after a break of less than five years. Members who were in service on 30 September 2002 had the option to transfer into premium; remain in classic; or join premium but have their service before 01 October 2002 provide benefits similar to those in the classic – this option is known as Classic Plus.
  - 1.3.2 1972 Section (Section II) – This section of the PCSPC, known as Classic, covers members who commenced employment before 01 October 2002, and who did not opt to join the premium. Deferred and pensioner members of the PCSPS whose service ended before 01 October 2002 are all covered by classic.
  - 1.3.3 2007 Section (Section III) – This section of the PCSCP, known as Nuvos, generally covers members who commenced employment on or after 30 July 2007. It provides pension benefits calculated on a ‘whole career’ basis with a pension age of 65. In contrast, premium and classic provide ‘final salary’ pensions and have a pension age of 60.
- 1.4 Civil Service Compensation Scheme (CSCS) – This scheme provides compensation for early severance and early retirement (other than medical retirement). In addition, it covers compensation for personal injury.
- 1.5 Civil Service Injury Benefits Scheme (CSIBS) – This scheme provides injury benefits for civil servants, those employed by organisations covered by the PCSPS, people

employed for the purposes of HM Government, and Government Ministers, who are injured or killed on duty. Before 01 October 2002, the injury benefit provisions formed part of the PCSPS (1972 section).

- 1.6 Partnership Pension Account Ill Health Benefits Scheme (PPAIHBS) – This scheme provides lump sum benefits to individuals with a Partnership Pension Account who are medically retired. The Partnership Pension Account is a stakeholder scheme into which the Employer makes a significant contribution, and is open to those who opted not to or were unable to join the PCSPS or Alpha (see below).
- 1.7 Public Service (Civil Service and Others) Pension Scheme Regulation (Alpha) – This scheme was launched in April 2015, and covers all civil servants who were/are in active service when or after the scheme was launched. Civil servants who were previously part of the PCSPS will have dual membership of their previous scheme and their new Alpha scheme. Civil servants starting employment after April 2015 will hold their pension solely in the Alpha scheme. Initially, all but specific groups of older members of the PCSPS were moved to Alpha on 1 April 2015 (or on a date between 1 April 2015 and 31 January 2022). But, following a court case, this was changed so that any person who joined the PCSPS before 1 April 2012 remained in the PCSPS until 1 April 2022, from which date all civil servants (and those covered by the Civil Service pension arrangements) became active members of Alpha.
- 1.8 Royal Mail Statutory Pension Scheme (RMSPS) - Applications for Early Payment of Royal Mail Pension Benefits on Ill Health Grounds or in the event of severance from the Royal Mail, and becoming ex-employees, circumstances may arise where individuals can seek to have their pension benefits released earlier than the scheme's normal retirement age. RMSPS members may belong to one of three Sections of the pension scheme: A, B or C. There are slightly different criteria as between A & B, and C as reflected in pension scheme rules and literature.
- 1.9 Full guidance for all the above schemes can be found using the following links:
  - <http://www.civilservicepensionscheme.org.uk/about-us/scheme-rules/>
  - <https://www.royalmailsp.co.uk/>

## **2. BACKGROUND TO THE CONTRACTING AUTHORITY**

- 2.1 The Civil Service Pensions Team within the Cabinet Office (the Buyer) is responsible for managing the Schemes outlined above on behalf of the Civil Service. This is done through the management of the appointed third-party scheme administrator(s) (Scheme Administrator).

## **3. BACKGROUND TO REQUIREMENT/OVERVIEW OF REQUIREMENT**

- 3.1 The Schemes outlined above are provided to all Civil Service<sup>1</sup> employees, and employees of bodies listed on Schedule 1 of the Superannuation Act 1972 and employees of the Royal Mail Group. These are therefore statutory schemes of which both

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<sup>1</sup> 'Civil Service' means the Civil Services of the United Kingdom, and of the devolved administrations in Scotland and Wales (but not Northern Ireland).



membership and benefit entitlement is governed by the relevant scheme rules/regulations. Alongside, however separate, in respect of the Schemes (excluding RMSPS) is the Civil Service Management Code, which sets out the mandatory retirement policy.

- 3.2** The third-party scheme administrator for CSPA, has responsibility for administering the Schemes (excluding RMSPS) for current and past employees of the Civil Service/Schedule 1 bodies.
- 3.3** The RMSPS appointed third party scheme administrator has responsibility for administering the RMSPS. The Cabinet Office took on Scheme management for the RMSPS in 2012. The same Cabinet Office team that oversees the management of the Civil Service arrangements also looks after the RMSPS. The RMSPS has been closed to new members since 2012.
- 3.4** This Contract is to provide the Services on a UK wide basis to ensure that all pension scheme members are able to access the Services. The Services to be provided by the Supplier under this Contract are of a specialist nature and are fully outlined below under the 'Scope' section of this Specification. Authorised Service Users (defined in paragraph 4 (definitions)) will be able to draw down any or all of these Services from (the Supplier) under this Contract.
- 3.5** Please note that there are a number of employees who may need to transfer from the incumbent Supplier at the start of the new Contract. Anonymised details of these staff can be found in Attachment 6 – Anonymised Staff TUPE List, of this Bid Pack.

#### **4. DEFINITIONS**

Expression or Acronym	Definition
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The Schemes	<p>means when used is referring to the following:</p> <ul style="list-style-type: none"><li>• Principal Civil Service Pension Scheme,</li><li>• the Civil Service Compensation Scheme,</li><li>• the Civil Service Injury Benefits Scheme,</li><li>• the Partnership Pension Account Ill Health Benefits Scheme,</li><li>• the (Civil Service and Others) Pension Scheme and,</li><li>• the Royal Mail Statutory Pension Scheme.</li></ul>
RMSPS	means Royal Mail Statutory Pensions Scheme
CSPS	means Civil Service Pensions Scheme
PCSPS	means Principal Civil Service Pensions Scheme
MEP	means Members of European Parliament
SSMA	means Scheme Medical Advisor
Employers	means a body or organisation or government department with employees who are active members of the Schemes or are deferred or pensioner members of those organisations and collectively known as 'Employers'. If there is any doubt as to whether a commissioning party is covered by this Contract will seek clarification from the Buyer.
Third Party Provider	means a body or organisation acting on behalf of an Employer body or organisation or government department or Third-party administrator under Contract with the Buyer to deliver Scheme related Services.
Authorised Service User	<p>means the following:</p> <p>(a) an Employer; and</p> <p>(b) any Third-Party Provider,</p> <p>authorised by the Buyer, from time to time, to place orders to procure Deliverables under this Contract.</p>

## **5. SCOPE OF REQUIREMENT**

**5.1 This Contract is for the provision of medical advice and recommendations using specialist professional skills and judgement regarding entitlement to the Schemes' benefits in accordance with the Schemes' rules by performing procedures including, but not limited to:**

- 5.1.1 Examining occupational health case papers, other medical papers and any other documents relevant to the case;**
- 5.1.2 Arranging any additional essential medical examinations or reports and arranging payment by relevant Authorised Service Users of fees for these, as described in paragraph 8 (Management Information/Reporting) under Scope;**
- 5.1.3 Providing relevant Authorised Service Users and the Buyer with information regarding the progression of cases;**
- 5.1.4 Notifying or advising Authorised Service Users as appropriate as to whether the qualifying criteria are met;**
- 5.1.5 Advising on cost effective procedures, referral and report forms design;**
- 5.1.6 Dealing with appeals against a refusal to support an application;**
- 5.1.7 Creating / adopting and communicating a process and appropriate documents to receive and respond to complaints (covering all parties) about the quality of service delivered under this Contract;**
- 5.1.8 Maintaining statistics and records required by the Buyer;**
- 5.1.9 Providing further information to the Buyer and or Authorised Service Users as they may reasonably require.**
- 5.1.10 The Supplier shall ensure that any medical advice and recommendations given are representative of the consensus of the published evidence.**
- 5.1.11 The Supplier shall ensure that all practitioners providing medical advice in relation to this Contract are qualified in accordance with the provisions of this Specification.**
- 5.1.12 The Supplier shall develop and maintain an effective working relationship with occupational health advisers within each relevant Authorised Service User, so as to avoid any unnecessary duplication of effort and costs.**
- 5.1.13 The Supplier will have in place prior to Contract commencement a proposed protocol for developing such relationships and establishing responsibilities of the Supplier.**
- 5.1.14 If the Supplier provides occupational health advice or other Services to an Authorised Service User through a separate Contract, the Supplier must demonstrate to the Buyer's reasonable satisfaction how any such advice will be independent of advice given under this Contract.**

- 5.1.15 Prior to Contract commencement the Supplier will have in place a framework of how advice given on the Scheme Medical Advice Contract will remain independent.
- 5.1.16 The Supplier shall ensure that the Services provided to Authorised Service Users and the relevant Schemes' members (stakeholders) is consistent and of high quality, regardless of their location.
- 5.1.17 The Supplier must maintain integrity and impartiality at all times when delivering these Services, and must be in accordance with the rules of natural justice, i.e. that no one should be a judge on their own cause, and those who are subject to decisions which affect their interest have a right to be heard before those decisions are taken.
- 5.1.18 The Supplier shall provide advice and Services on a case-by-case basis in consultation with the Buyer and relevant Authorised Service Users (as appropriate).
- 5.1.19 The Supplier shall deliver the Services with professionalism, skill, care and diligence in accordance with good professional practices. The Supplier shall continuously review its practices, to ensure that procedures are reasonable and appropriate to the circumstances, keeping abreast of good practice, legislative changes and other requirements. Throughout the Contract term, the Supplier shall endeavour to continuously improve its professional and administrative activities.
- 5.1.20 The Supplier shall deliver the Services through a secure digital solution, reducing the need to post hard copy forms from Employers, and where appropriate other third parties, to the Supplier. Please refer to the Business Systems and Data Requirements document for further information.
- 5.1.21 Transition of historic data from the incumbent.
- 5.1.22 The Supplier shall provide a detailed plan for delivering a smooth transition of service from the incumbent provider, including adapting existing processes as necessary and implementing a digital solution for roll out to Employers /and other Authorised Service Users. Please refer to the Transition Requirements Annex E for further information.
- 5.1.23 The Supplier shall provide a detailed strategy for engaging with the Employer base to facilitate buy-in and support for the implementation and roll out of the digital solution. Please refer to the Engagement Requirements Annex D for further information.

## **6. THE REQUIREMENT**

### **General**

6.1 The Supplier shall have a developed digital platform for medical information to be uploaded by the Employer and where appropriate other Authorised Service Users, for review by the Supplier. Such a platform shall be sufficiently tailored to the requirements of this Contract so that users are easily able to upload such information.

**6.2** The Supplier shall take all steps necessary to secure the evidence required in order to facilitate the decision-making process or provide advice on each case as appropriate. Such steps may include, but are not limited to;

6.2.1 arranging or conducting further medical examinations and;

6.2.2 obtaining further medical reports.

### **Ill-Health Retirement Requirements**

6.3 The Supplier will make assessments on whether a scheme's member meets the criteria for the payment of ill health retirement benefits as follows;

6.3.1 For members of PCSPS 2002 section, the key criteria are set out in rule D.14;

6.3.2 For members of PCSPS 1972 section, the key criteria are set out in rule 1.12;

6.3.3 For members of PCSPS 2007 section, the key criteria are set out in rule E.7;

6.3.4 For members of the Alpha scheme, the key criteria are set out in Chapter 6, and;

6.3.5 For those covered by the PPAIHBS, the key criteria are set out in rule B.1.

6.3.6 For members of RMSPS pre-1971, the key criteria are set out in sections A & B. In particular for section B the definition for Retirement on Ill Health Grounds is identified in rule 1 and key criteria as set out in rule 21.4; and,

6.3.7 For those members of RMSPS who joined on or after 1st April 1987, the key criteria are set out in section C rule 9C.

6.3.8 The Supplier shall issue a medical retirement certificate, where relevant, and explanatory report in a form agreed with the Buyer and/or the relevant Authorised Service User (as applicable).

6.4 Additionally, for members of PCSPS 2002 and 2007 sections and the Alpha scheme, the Supplier will make assessments on whether the member meets the criteria for:

6.4.1 Lower tier ill health retirement, as set out in PCSPS 2002 section rule D.4(3)(a); PCSPS 2007 section rule E.7(4); Alpha scheme Chapter 6 clause 72; or;

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- 6.4.2 Upper tier ill health retirement, as set out in PCSPS 2002 section rule D.4(3)(b); PCSPS 2007 section rule E.7(5); Alpha scheme Chapter 6 clause 73, or;
- 6.5 If the Supplier is unable to advise whether the member meets the upper or lower tier criteria, they should advise on whether a provisional ill health award is appropriate, as set out in rule D.4 of the 2002 section; E11 of the 2007 section or Alpha scheme Chapter 6 part 75. If this is the case, the Supplier should also recommend which level is most appropriate based on the member's current condition and when the case should be reviewed (no more than five years from the date of the provisional recommendation). If the provisional recommendation is lower tier, the member may ask for a review earlier than the date the Supplier has given, if they have new medical evidence that shows deterioration in their health.
- 6.6 If a member meets the upper tier criteria the Supplier shall also recommend the frequency with which the case should be reviewed (a maximum interval of five years), reviews do not continue beyond pension age.
- 6.7 For the circumstances outlined in paragraphs 5 (Scope of Requirement) and 6 (The Requirement), the Supplier will conduct a review of the member's medical condition at the appropriate time, and advise on what level (upper or lower tier) the member's ill health pension should be based.
- 6.8 The Supplier shall acknowledge all applications for ill health retirement benefits uploaded to the digital platform from the Employer within two (2) Working Days of receipt.
- 6.9 If additional information is required for the Supplier to be able to advise on the outcome of the assessment, the Supplier shall notify the relevant Employer of this within five (5) Working Days of receiving the application. This notification will inform the Employer of the reason for the delay and outline when a full response to the application will be issued.
- 6.10 If a member meets the relevant criteria for ill health retirement the Supplier shall notify the relevant Employer and provide a medical retirement certificate (indicating if upper or lower tier, where appropriate, and any review recommendations). If a member does not meet the criteria for ill health retirement the Supplier shall notify the relevant Employer providing a medical refusal certificate.
  - 6.10.1 In both circumstances the Supplier shall provide an explanatory report to the member, and if consent has been received on application, to the relevant Employer;
  - 6.10.2 The member if consent has not been provided within the original application will receive the explanatory report 4 Working Days prior to the relevant Employer unless the explanatory report is not accepted by the member (challenge to accuracy);
  - 6.10.3 The final determination notification to the relevant Employer shall be made via the digital platform, however on-going progress and status tracking of

cases will be able to be reviewed and viewed in real time by the relevant Employer.

- 6.11 Where required the Supplier will assess a member under the HMRC severe ill health criteria and provide the outcome on a certificate.

N.B. Members that meet HM Revenue and Customs (HMRC) 'severe ill health' criteria are exempt from the Annual Allowance tax charge. As the HMRC severe ill health criteria is more stringent than the Scheme's criteria for ill health retirement an additional assessment is required.

### **Early Payment of Preserved Awards (PCPS 1972 Section Only)**

- 6.12 The Supplier will provide advice on whether deferred members of the 1972 sections may have preserved benefits brought into payment before pension age on the grounds of ill health, as set out in PCSPS rule 3.14. The Supplier will consider each application and supporting evidence to determine whether it is established that the illness would have led to retirement on medical grounds had the member remained in the Civil Service.

### **Ill Health Retirement Appeals (including Early Payment of Preserved Awards and retrospective Ill Health Retirement)**

- 6.13 The Supplier will deal with appeals from scheme members against a decision that the criteria for ill health retirement are not met; or the tier of benefits that is awarded.
- 6.14 The Supplier will follow the procedure for reviewing appeals that is outlined below. This is to ensure and demonstrate that consideration of the appeal has been made independently of any stage in the procedures which precede it.

**Stage 1** – The Supplier will comprehensively review the medical evidence relating to the appeal (including any new medical evidence the individual has provided) and determine whether a prima facie case has been made or whether the original decision was correct. The Supplier will notify the relevant Employer of the outcome of the appeal via the digital platform that is being used for the delivery of this Contract.

**Stage 2** – If the appeal is rejected at Stage 1 then, where new medical evidence has been provided by the relevant Employer or member, the Supplier will arrange for the case to be considered by another physician, and notify the Employer of the outcome.

**Stage 3** – Where it is determined that a prima facie case has been made, the Supplier shall convene an independent medical review board which shall conduct the review and prepare and issue a report on its findings.

**Stage 4** - On receipt of the review board report the Supplier will notify the relevant Employer of the outcome of the appeal. The notification will detail the outcome of the

appeal at that point giving reasons why the original decision has been upheld or changed.

## **Injury Benefits Requirements**

- 6.15 The Supplier shall provide advice so the relevant Authorised Service User can decide whether a member has suffered a qualifying injury as defined by CSIBS rule 1.3 or (if the injury occurred before 01 October 2002) former rule 11.3 of the PCSPS, and whether there is a causal link between a specified injury and the Schemes member's official duty.
- 6.16 Where the member becomes entitled to be considered for the payment of injury benefit the Supplier will provide an assessment of the degree to which the qualifying injury has impaired the member's earning capacity. Any assessment will be placed in one of the categories contained in CSIBS rule 1.7 (or former rule 11.7 of the PCSPS as the case may be).
- 6.17 In addition, where the injury was sustained on or after 01 April 2003, the Supplier will advise whether the injury is 'wholly' (more than 90%) or 'mainly' (between 50% and 90%) attributed to the nature of the duty. Where the injury is mainly but not wholly attributed to the nature of the duty, the Supplier will advise whether attribution is 'low' (50%-70%) or 'medium' (71%-90%).
- 6.18 The Supplier will give advice on any appeal from a member against a decision that there is no causal link between a specified injury and the member's official duty, or against assessments of impairment of earning capacity and (where appropriate) apportionment, reviewing the medical evidence.
- 6.19 The Supplier will give advice in accordance with CSIBS rule 1.10 (or former PCSPS rule 11.10 as the case may be) on the member's request for a review of benefit following a deterioration of their condition (does not apply to injuries sustained on or after 01 April 2003).

## **Injury Benefit & Upper Tier Review Appeals**

- 6.20 The supplier should refer to the Civil Service Pension Scheme 'Medical and Appeals Guidance' documentation for further information on requirements.

## **Personal Injury Compensation**

- 6.21 The Supplier will provide the relevant Employer with advice on the permanency of disability and prospects of future employment for the purposes of determining the level of payment under the personal injury compensation arrangements in section 10 of the CSCS.



## **Allocation of Benefits**

- 6.22 The Supplier shall, upon request by the relevant Employer, provide the Employer with a medical assessment of the good health of a member based on a medical examination and in accordance with rule D.13 (members of the 2002 section), rule E.21 (members of the 2007 section), rules 5.1-5.11 and appendix 8 to the rules (members of the 1972 section) or Part 6 Chapter 6 (Alpha scheme).
- 6.23 The medical assessment described at paragraph 6.3 to 6.11 above shall be used by the relevant Employer to decide whether the member can allocate part of their PCSPS pension to a dependent in accordance with the relevant rules.

## **Child's Pension for Life**

- 6.24 The Supplier shall, upon request, provide the scheme administrator with a medical assessment of the beneficiary of a child's pension under the scheme to determine whether, on the balance of probabilities, they are permanently unable to engage in gainful employment because of physical or mental impairment.

## **Disputes**

- 6.25 The Supplier will be required to give advice to the relevant Employer and or Authority in resolving disputes under the Occupational Pension Schemes (Internal Dispute Resolution Procedures) Regulations 1996 and cases investigated by the Pensions Ombudsman or relevant regulators within five (5) Working Days.
- 6.26 The relevant Employer and/or the Buyer will specify the nature of the advice required on a case by case basis and shall require that the advice is provided by the Supplier's senior physician or, when absent, by an appropriate deputy.
- 6.27 Where there is need to obtain further evidence that is likely to prevent the Supplier from issuing notification of advice within ten (10) days of receiving the referral, the Supplier shall issue an interim reply to the Buyer and/or relevant Employer describing the reasons for the delay and explaining when a full reply to the referral is likely to be issued.
- 6.28 The Supplier will agree to investigate relevant industry best practice guidance in regards to compensating members complaints that are deemed to have been upheld on review by the Supplier, in relation to performance of the Supplier. If precedence can be determined then the authority would expect the Supplier to agree with the Buyer, a mechanism for compensating members accordingly.
- 6.29 The Supplier shall provide a response to all cases referred by the Buyer / relevant Employer under the Occupational Pension Schemes (Internal Dispute Resolution Procedures) Regulations 1996 within ten (10) Working Days of receipt.

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- 6.30 The Supplier shall provide a response to all cases referred by the Authority / Employer which are the subject of an investigation by the Pensions Ombudsman or other relevant regulator within five (5) Working Days of receipt.

### **Ad Hoc Medical Issues**

- 6.31 The Supplier will give advice to the Buyer, Employer and/or any other Authorised Service User on ad hoc medical issues relating to the schemes requiring professional consideration.
- 6.32 The Supplier will give advice to the Buyer and/or any Authorised Service User on any medical issue pertaining to the MEP scheme.
- 6.32.1 The Supplier shall provide a substantive response to ad hoc medical issues, including referrals under the MEP scheme, and other correspondence within:
- 6.32.2 The timescales agreed with the Buyer and/or any Authorised Service User in 95% of cases;
- 6.32.3 Fifteen (15) Working Days from receipt in 95% of cases where no specific timescale is agreed with the Buyer and/or any Authorised Service User; and
- 6.32.4 Twenty (20) Working Days from receipt in 99% of cases.

### **Additional Information Including Service Standards**

- 6.33 The Supplier shall ensure appropriate guidance and training, as needed, is provided to relevant Employers and/or any other Authorised Service User to ensure referrals are submitted in the appropriate format and that all necessary information is supplied in accordance with the guidance.
- 6.34 The Supplier will, from the outset of the Contract, commit to delivering administrative excellence, including using:
- 6.34.1 A secure electronic digital platform for the movement of casework and other sensitive material for use by Employers, the Buyer and any other Authorised Service User;
- 6.34.2 A file tracking and management system;
- 6.34.3 Clear management support and dedicated point(s) of escalation for the Buyer and Authorised Service Users; and
- 6.34.4 Provision of management information.
- 6.35 Except where specified below in paragraph 6.53, the Supplier will acknowledge all referrals within two (2) Working Days of receipt.

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- 6.36 In any case where the Supplier requires additional information from a third party in order to complete the referral, the Supplier will within five (5) Working Days of receipt of the referral inform the relevant Employer of the need to obtain additional information.
- 6.37 For each referral the Supplier will provide a submission to the Authorised Service User, which:
  - 6.37.1 Is legible;
  - 6.37.2 Is clear, unambiguous and free of complex medical terminology;
  - 6.37.3 Can be readily understood by a non-medical audience;
  - 6.37.4 Gives full consideration to all available evidence;
  - 6.37.5 Provides cogent reasons for not accepting professional advice in support of the application; and
  - 6.37.6 Indicates whether the medical advice provided contains any harmful information if disclosed to the member.

### **III Health Retirement Benefits Applications (including Early Payment of Preserved Awards)**

- 6.38 Where no further medical information is required, the Supplier shall issue a notification of assessment under the relevant scheduled Services within ten (10) Working Days of receiving the application in order to receive 100% of the fee.
  - 6.38.1 If the decision is made between eleven (11) and twenty (20) Working Days following receipt of the application, the initial referral fee shall be reduced by 25%;
  - 6.38.2 If the decision is made between twenty-one (21) and thirty (30) Working Days following receipt of the application, the initial referral fee shall be reduced by 50%;
  - 6.38.3 If the decision is made between thirty-one (31) and forty (40) Working Days following receipt of the application, the initial referral fee shall be reduced by 75%;
  - 6.38.4 If the decision is made after forty-one (41) Working Days following receipt of the application, no initial referral fee shall be levied.
  - 6.38.5 Reductions to the initial referral fee shall not be applied in instances where a decision is delayed due to reasons outside of the Supplier's control.
- 6.39 The Supplier shall meet the time limit for receiving 100% of the fee in 95% of the cases as a minimum.

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- 6.40 Where the Supplier is requested they will assess the member against the HMRC's severe ill health criteria, at the same time as the ill health retirement assessment.
- 6.41 The Supplier will notify the relevant Employer of the outcome via the digital platform and provide a certificate.
- 6.42 Included in bid proposals should be outline recommendations for how the following cases will operate:
  - 6.42.1 Timescales for returning inadequate referrals with clear notes of why it is inadequate and guidance of what is required to allow a review to be carried out;
  - 6.42.2 Provision of a 72 hour fast track service for exceptional cases of terminal illness, where the member's life expectancy is less than the timescales specified in the service standards.

### **III Health Retirement Appeals**

- 6.43 The Supplier will conduct an initial review (stage 1) of the papers submitted on appeal within ten (10) Working Days of receipt, and if not met, the fee due shall be reduced by 25%.
- 6.44 Where appropriate the Supplier will complete a further review (stage 2) looking to see if a 'prima facie' case for medical retirement exists. Where it does not, the Supplier will notify the relevant Employer, within ten (10) Working Days and if further medical evidence is provided showing that a 'prima facie' does exist, the Supplier shall have a further twenty (20) Working Days to consider any new evidence, and if not met, the fee due shall reduce by 25%.
- 6.45 Where there is doubt that the scheme criteria has been met following the action above, the Supplier will within five (5) Working Days appoint the Chair of an independent Medical Appeal Board (Stage 3) providing all data necessary to enable them to convene the Appeal Board.
- 6.46 The Supplier shall use all reasonable efforts and means to ensure that the Appeal Board is convened and that the Board's decision is taken as soon as is practicable. The Supplier will keep the relevant Employer informed of progress on a regular basis.
- 6.47 On receipt of the Appeal Board's decision the Supplier will in 95% of cases report the finding to the Employer within ten (10) Working Days, and if not met, the fee due shall reduce by 25%.
- 6.48 The Supplier shall meet the time limit for receiving 100% of the fee in 95% of the cases as a minimum.
- 6.49 Specific Appeals guidance and processes can be found in supporting documentation and the above is in relation to Service Level performance guidance.
- 6.50 Included in bid proposals should be outline recommendations for how the following cases will operate:

- 6.50.1 Timescales for returning inadequate referrals with clear notes of why it is inadequate and guidance of what is required to allow a review to be carried out.

## **Injury Benefits Applications**

- 6.51 From receipt of Referral to Outcome (Advice and Certificate) where no further medical information is required, the Supplier shall within ten (10) Working Days of receiving the application, issue the relevant advice to the relevant employer or third party to receive 100% of the fee.
  - 6.51.1 If the decision is made between eleven (11) and twenty (20) Working Days following receipt of the application, the initial referral fee shall be reduced by 25%;
  - 6.51.2 If the decision is made between twenty-one (21) and thirty (30) Working Days following receipt of the application, the initial referral fee shall be reduced by 50%;
  - 6.51.3 If the decision is made between thirty-one (31) and forty (40) Working Days following receipt of the application, the initial referral fee shall be reduced by 75%;
  - 6.51.4 If the decision is made after forty-one (41) Working Days following receipt of the application, no initial referral fee shall be levied.
  - 6.51.5 Reductions to the initial referral fee shall not be applied in instances where a decision is delayed due to reasons outside of the Supplier's control.
- 6.52 The Supplier shall meet the time limit for receiving 100% of the fee in 95% of the cases as a minimum.
- 6.53 Included in bid proposals should be outline recommendations for how the following cases will operate:
  - 6.53.1 Timescales for returning inadequate referrals with clear notes of why it is inadequate and guidance of what is required to allow a review to be carried out.

## **Third Party Reports (All categories of work)**

- 6.54 Where a report from a third party is required, the Supplier shall:
  - 6.54.1 Request the report within five (5) Working Days of receiving the referral from the Authorised Service User;

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- 6.54.2 Send a reminder (first) to the third party if further medical evidence report has not been received within fifteen (15) Working Days from the date of the initial request;
  - 6.54.3 Issue a further reminder (second) if the medical evidence report has not been received within ten (10) Working Days from the first reminder;
  - 6.54.4 Issue a further reminder (third) if the medical evidence report has not been received within ten (10) Working Days from the second reminder;
  - 6.54.5 If ten (10) Working Days have passed from the third reminder and the further medical evidence report has not been received, the case shall be returned to the relevant Employer, and the reasons explained;
  - 6.54.6 Upon receipt of the medical evidence report the Supplier shall issue a notification of decision to the service standards set out for a Health Standard Questionnaire, Ill Health Retirement Case, or an Injury Benefit Application where no further medical information is required;
  - 6.54.7 The cost and fee associated with obtaining the medical evidence report shall not be subject to any rebate.
- 6.55 The Supplier shall not return an application to the relevant Employer until the actions represented by 6.54.1 to 6.54.4 under Third Party Reports, where necessary, have been carried out.
- 6.56 Where an application is returned to the relevant Employer under 6.54.5 of Third-Party Reports, the full charge of the relevant primary referral product shall be levied.
- 6.57 Where an application is re-referred with the relevant medical information (third party report) now in place, the fee for advice provided by the Supplier shall from the outset be reduced by 25%. The notification of decision shall be made as set out in the relevant service standard where no further medical information is required, with the final fee reflecting the timing of the Supplier's response in the normal way.

### **Consultations (All categories of work)**

- 6.58 Consultations where possible should be held virtually or by telephone except where a 'face-to-face' consultation is essential. The Supplier shall:
- 6.58.1 Issue an appointment letter to the member within ten (10) Working Days of the receipt of the case;
  - 6.58.2 The appointment date offered shall be within ten (10) Working Days of notifying the applicant that a consultation is required;
  - 6.58.3 If further medical information is required the case shall be processed in accordance with the service standards details in the appropriate part of this Specification;

- 6.58.4 If the case is complete following the consultation the Supplier shall issue a notification of decision to the service standards set out for an Ill Health Retirement Case, or an Injury Benefit Application where no further medical information is required;
- 6.58.5 The fee associated with the consultation shall not be subject to any rebate.

### **Do Not Attend (DNA) and Cancellations**

- 6.59 In the event that the member or former member cancels or does not attend two (2) appointments offered giving less than 48 hours' notice, the Supplier shall return the referral to the relevant Employer and charge the relevant fees as disclosed in this schedule, as follows:
  - 6.59.1 No notice given = 100% of Appointment Fee
  - 6.59.2 Less than 24 hours' notice given = 90% of Appointment Fee
  - 6.59.3 Between 24 and 47 hours' notice given = 50% of Appointment Fee

### **Ill Health Retirement Upper Tier Reviews**

- 6.60 Before considering whether the member continues to meet the criteria for the upper tier, the Supplier will send correspondence, in a form agreed with the Buyer and/or relevant Authorised Service User, to the member within five (5) Working Days of receipt of the member's details from the Scheme's paying authority. Should the member not reply within fifteen (15) Working Days, a reminder by recorded delivery will be issued on the day following the 15th working day.
- 6.61 All upper tier review cases should be dealt with in the manner specified as the service requirement for Ill Health Retirement, except that:
  - 6.61.1 Before recommending that upper tier benefits are reduced to lower tier, the Supplier shall offer a face-to-face or virtual consultation to the member.

### **Complaints under the Internal Dispute Resolution (IDR) procedures and cases referred by the Pensions Ombudsman**

- 6.62 The contractor shall provide a response to all cases referred by the client/employer under the Occupational Pensions Scheme IDR Regulations 1996 within ten (10) working days of receipt. Any difficulties in meeting this requirement must be notified to the client/employer immediately.

- 6.63 The contractor shall provide a response to all cases referred by the client which are the subject of an investigation by the Pensions Ombudsman within five (5) working days of receipt. Any difficulties in meeting this requirement must be notified to the client immediately.

## **Management of Medical Issues**

- 6.64 The Supplier shall ensure that the only persons providing medical advice and recommendations to the Buyer or its Authorised Service Users in relation to the Contract are accredited specialists in occupational health medicine and on the Specialist Register of the General Medical Council (GMC), as a minimum, holding a diploma in Occupational Medicine (D Occ Med) or is an Associate of the Faculty of Occupational Medicine (AFOM), or have achieved an equivalent European qualification. Ideally signatories for completing certificates should be a Member or Fellow of the Faculty of Occupational Medicine (MFOM or FFOM) or European equivalent. The Supplier will provide the Authority with a list of the names of all such qualified personnel who it is intended will provide Services under the Contract.
- 6.65 All advice under the Contract is to be given by Medical Doctors who are familiar with the provisions of the Schemes and Civil Service employment.
- 6.66 Only persons qualified as in paragraph 6.61 above may act as authorised signatories for the purpose of completing certificates for medical retirement and early payment of preserved awards.
- 6.67 Wherever possible, the Supplier shall also ensure that the persons advancing medical advice and recommendations to the Buyer and Authorised Service Users in relation to the Contract:
- 6.67.1 Have experience in providing medical advice recommendations similar to those required under the Contract, e.g. under the provisions of an occupational or personal pension scheme; and
  - 6.67.2 Are prepared to attend any expert working groups established by the Buyer or the Buyer's policy advisers to consider the issues posed by any difficult medical conditions.
- 6.68 All persons providing medical advice under the Contract will maintain and continue their professional education and development in accordance with best practice as identified by the Faculty of Occupational Medicine.

## **7. KEY MILESTONES AND DELIVERABLES**

- 7.1 The following Contract milestones/deliverables shall apply:



	Description	Timeframe or Delivery Date
1. Implement a digital solution to deliver the Schemes' Medical Assessment requirements.	Demonstration of the agreed system.	Within week 12 of Contract Award or no later than 31/10/23
2. Processes mapped and illustrated	Document Suite of Processes as agreed with <b>the Buyer</b> .	Within week 12 of Contract Award or no later than 31/10/23
3. Plan and migrate data	Sign off between incumbent and appointed Supplier that all data has been transferred and checked. As per Annexe B Business Systems and Data <b>requirements</b> .	Within week 12 of Contract Award or no later than 31/10/23
4. Handover from incumbent SMA	Sign off between incumbent that all new cases will now be raised with new Supplier <b>on appointed</b>	Within week 12 of Contract Award or no later than 31/10/23

## **8. MANAGEMENT INFORMATION/REPORTING**

**8.1 The Supplier shall provide the following management information to the Buyer and the Employers at no additional cost to the fees listed.**

**8.2 On a **monthly** basis the Supplier will provide the Buyer with a report containing the following information:**

**8.2.1 Numbers of Ill Health Retirement Cases received, completed and outstanding;**

**8.2.2 Numbers of Injury Benefit Cases received, completed and outstanding;**

**8.2.3 The prescribed standards met per individual Service Standard for subparagraph 8.2.1) to 8.2.2 above.**

- 8.2.4      **On a quarterly basis the Supplier will provide the Buyer with a report containing the following information;**
- 8.2.5      **Ill health retirement cases (PCSPS 2002 and 2007 sections and Alpha scheme);**
- 8.2.6      **Number of cases where ‘upper tier’ medical retirement approved (broken down on a monthly basis);**
- 8.2.7      **Number of cases where ‘lower tier’ medical retirement approved (broken down on a monthly basis);**
- 8.2.8      **Number of cases where medical retirement was rejected (broken down on a monthly basis);**
- 8.2.9      **Number of cases tested for HMRC Severe Ill Health criteria and split of those that met and those that did not meet the criteria (broken down on a monthly basis);**
- 8.2.10     **Ill Health Retirement cases (PCSPS 1972 section and PPAIHBS);**
- 8.2.11     **Number of cases where medical retirement approved (broken down on a monthly basis);**
- 8.2.12     **Number of cases where medical retirement is rejected (broken down on a monthly basis).**
- 8.2.13     **Medical Appeals:**
- a. Number of appeals received;
  - b. Number of appeals upheld after review;
  - c. Number of appeals upheld and rejected by the 3rd stage independent Medical Appeals Board;
  - d. Number of cases where time limits met at review;
  - e. Number of 3rd stage independent Medical Appeals Board cases where time limit met.
- 8.2.14     **Injury Benefits:**
- a. Number of cases referred for advice by Employers to enable them to decide whether injury qualified for benefits;
  - a. Number of cases where advice given to Employers recommends that qualifying injury should be accepted;
  - b. Number of cases meeting each level of impairment of earnings capacity.
- 8.2.15     **Early payment of preserved awards (PCSPS 1972 section & RMSPS):**
- a. Number of cases where early payment is supported (by month);
  - b. Number of cases where early payment is not supported (by month);
  - c. The prescribed standards met per individual Service Standard for clause A & B under Early payment of preserved awards (PCSPS 1972 section & RMSPS).

- 8.2.16 **Upper tier reviews:**
- b. Number of cases reviewed;
  - c. Number of cases where advice is that the conditions for upper tier are no longer satisfied.
- 8.3 The digital platform developed/utilised by the Supplier for the delivery of this Contract shall allow for the following information (as a minimum) to be stored and maintained by the Supplier for each case:
- 8.4
- 8.4.1 **Age / date of birth;**
  - 8.4.2 **Gender;**
  - 8.4.3 **Employer;**
  - 8.4.4 **Work location / region;**
  - 8.4.5 **Type of job;**
  - 8.4.6 **International Classification of Diseases code;**
  - 8.4.7 **Whether or not an application was successful;**
  - 8.4.8 **Type of application (i.e. in service or early payment of preserved award);**
  - 8.4.9 **Date of decision;**
  - 8.4.10 **Whether upper or lower tier was recommended (for PCSPS 2002 and 2007 sections only);**
  - 8.4.11 **Whether a provisional recommendation was made (for PCSPS 2002 and 2007 sections only).**
- 8.5 The Supplier will produce an Annual Report (in a format to be agreed with the Buyer) reporting on all aspects of medical advice provided by the Supplier in the previous financial year, including any trends identified. The Supplier shall also give the Buyer access to the database described in Annex B in a usable format. This report shall be produced within two (2) calendar months from the end of the financial year to which the report refers. The report shall be produced at no additional cost to the Buyer.
- 8.5.1 The Annual Report shall also include a breakdown of performance against all service standards, including requests for advice on complaints, allocation of benefits and ad hoc referrals. Statistics on injury benefit cases shall be broken down by medical condition and employing department.
- 8.6 The Supplier shall, upon request by the Buyer, supply the Buyer with such other management information and statistics in relation to the Services as the Buyer or its relevant Employers may reasonably require.
- 8.7 The Supplier shall provide the information outlined within this Management Information section, following the end of the period to which the information relates as follows, unless otherwise specified:

- 8.7.1 **Monthly within 10 Working Days from the 1st of the month;**
- 8.7.2 **Quarterly within fifteen (15) Working Days from the end of the March, June, September and December each year.**
- 8.8 The Supplier shall use its professional judgement to bring to the Buyer's attention at any time any incidences of problem, or potential problems in meeting the deadlines specified in paragraph 8.7.
- 8.9 The digital platform developed/utilised for the delivery of these Services shall allow for a tracking and retrieval system which will allow Employers to know immediately the status of any case referred. On a **monthly** basis the Supplier shall inform relevant Employers, at no cost, of outstanding cases and, where delay has occurred, the anticipated date of completion.

## **9. VOLUMES**

- 9.1 **The average volume of new cases is likely to be around 2,414 per annum based on previous years' volumes (including IHR 1,400, EPPA 229 and IB 785). New applications are expected to account for around 84% of cases, with serious ill health cases being around 5%. First and second stage appeals account for the remainder of cases 11%. In addition, 1,280 medical examinations are carried out on average per annum. No data is held on the number of calls/emails (communications) received directly by the incumbent Supplier but we do not expect this to top more than 1,500 per annum.**
- 9.2 During the first month of agreement commencement date the Buyer envisages that a volume of circa 700 cases (status to be determined during transition planning) will carry across from the incumbent Supplier titled as Work In Progress cases. Depending on the process put forward and agreed with all parties, a cost matrix negotiation as appropriate may be invoked to determine appropriate pricing at predetermined stages.
- 9.3 It is likely that 1,700 reassessment cases will be presented to the Supplier in addition to the volumes above, due to the 2015 McCloud Judgement, known as Remedy cases. Clearance of this one off workstream is expected over a 12-month period. If reassessment of these cases is determined to be delivered outside of existing scope for pricing (IHR Assessment), then this may invoke a cost matrix renegotiation, at the request of either party.

## **10. CONTINUOUS IMPROVEMENT**

- 10.1 The Supplier will commit itself to a programme of continuous improvement, both through professional medical training and development of administrative performance.

10.2 The Supplier will, in conjunction with the Buyer, draw up a timetable for implementing changes and improvements to administrative procedures. The timetable will be subject to review periodically (and at least every 12 months) by the Supplier and the Buyer. As a minimum this will include:

- 10.2.1 **Appointment of an Implementation Manager (immediately upon award of the Contract);**
- 10.2.2 **Liaise with existing incumbent Supplier, third party administrators and Employers (as required) to ensure a smooth transition of Services (immediately);**
- 10.2.3 **Appointment of a Project Manager (from the start of the Contract);**
- 10.2.4 **Introduce a dedicated helpline to provide advice and information to Employers/ and other Authorised Service Users (from the start of the Contract);**
- 10.2.5 **Provide opportunities for departmental occupational health advisers to attend training events run and organised by the Supplier (from the start of the Contract).**

10.3 The Supplier will submit a plan for developing/utilising and implementing a digital platform to administer the Services from. This plan will include:

- 10.3.1 **How Employers will be involved in providing advice and guidance on how best to develop of the digital platform offering;**
- 10.3.2 **Timescales for the utilisation of the digital platform;**
- 10.3.3 **Timetable of activities for launching the digital platform to Employers , and any training sessions that will form part of this as also determined in Annex D: Engagement Requirements;**
- 10.3.4 **How issues faced by Employers will be addressed by the Supplier.**

10.4 **Changes to the way in which the Services are to be delivered must be brought to the Buyer's attention and agreed prior to any changes being implemented.**

## **11. SUSTAINABILITY**

11.1 **Not applicable.**

## **12. QUALITY**

12.1 **The Supplier will be accountable to the Buyer for the quality of the Services provided and will need to demonstrate its approach to maintaining a quality service through any planned and unplanned service disruption.**

- 12.2 The quality of the recommendation reports must be to the satisfaction of the Buyer and meet Medical Services Professional Standards – a link to GMC guidance can be found [here](#) - and the appointed Supplier will make sure that there are adequate quality control checks and reporting in place, and undertaken by the Chief Medical Officer, to provide assurance that standards are maintained, that there is consistency across medical recommendations and medical assessment reports.

## **13. PRICE**

- 13.1 Prices are to be submitted via the e-Sourcing Suite Attachment 4 – Price Schedule excluding VAT and including all other expenses relating to Contract delivery.

## **14. STAFF AND CUSTOMER SERVICE**

- 14.1 The Supplier shall provide a sufficient level of resource throughout the duration of the Contract in order to consistently deliver a quality service.
- 14.2 The Supplier's staff assigned to the Contract shall have the relevant qualifications and experience to deliver the Contract to the required standard.
- 14.3 The Supplier shall ensure that staff understand the Buyer's Vision and objectives and will provide excellent customer service to the Buyer's throughout the duration of the Contract.

## **15. SERVICE LEVELS AND PERFORMANCE**

- 15.1 Service levels for this Contract are outlined and defined in Call off Schedule 14 – Service Levels included in the bid pack.

## **16. SECURITY AND CONFIDENTIALITY REQUIREMENTS**

- 16.1 The Supplier must be compliant with the Call Off Schedule 24 (Security Management) which stipulates what the certification and security obligations will be on the Supplier such as ISO 27000:2013, Cyber Essentials Plus certification, hosting, vetting, testing requirements, as well as the security controls alongside other non-negotiable requirements.
- 16.2 The Supplier must operate their Services to legislative standards including General Data Protection Regulations (GDPR) and Data Protection Act 2018. For the purposes of any agreement, Data Controller and Data Processor responsibilities will be defined within Joint Schedule 11 – Processing Data.

## **17. PAYMENT AND INVOICING**

- 17.1** Authorised Service Users mostly compiling of government department Employers (we estimate to be approx. 130 in number), placing orders for Deliverables under this Contract shall pay all sums due to the Supplier directly (calculated in accordance with the prices and charging mechanisms within this Contract for such Deliverables) twenty eight (28) days following receipt of a valid invoice, submitted monthly in arrears.

**17.2** Payment can only be made following satisfactory delivery of pre-agreed certified products and deliverables.

**17.3** Before payment by the relevant Employer can be requested, each invoice must include a detailed elemental breakdown of work completed and the associated fees and expenses.

**17.4** Invoices should be submitted to each Employer who draws down the Services of this Contract and specific invoicing addresses will be provided on receipt of a valid Purchase Order from each Authorised Service User.

## **18. CONTRACT MANAGEMENT**

**18.1** The performance of the Contract shall be reviewed on a monthly basis between the Buyer and Supplier in order to maintain performance against Key Performance Indicators (KPIs) as detailed within this Specification. This will include a face to face meeting for an in-depth review of: performance; service standards; trends revealed by referrals; management of ill health retirement related issues; any other relevant matters as they arise.

**18.2** The Supplier shall be responsible for monitoring performance of the Contract and provide the Buyer with full detail of any aspects of performance which fail to meet the requirements of the Contract, unless otherwise notified by the Buyer.

**18.3** Key Performance Indicators and Service Level agreements shall be determined within Schedule 14 – Service Levels.

**18.4** Attendance at Contract Review meetings shall be at the Supplier's own expense.

## **19. LOCATION**

**19.1** The location of the Services will be carried out at the successful Supplier's location to be defined and agreed with the Buyer.

## **ANNEX A – GOVERNANCE REQUIREMENTS**

### **Brief Introduction**

The Supplier shall ensure the Medical Services provided are fit for purpose, and mirrors best practice in comparable other Services. Members and Employers (Authorised service users) will receive good levels of service and the Services will provide good value for money.

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Good governance and transparency in reporting is essential to deliver this. The Medical Services Contract, whilst managed by the Cabinet Office is essentially a service provided for Authorised service users. For the Injury Benefit awards however, the Civil Service Pension Scheme Administrator is the decision maker, as delegated by the Authority, and not the Employer (Authorised service user). The outcome the Authority seeks to achieve is for a governance structure that will support the efficient management of this Contract and the Services and provide assurance and transparency to oversight bodies and key stakeholders (Authorised service users). The governance should enable a collaborative working relationship between the Authority and the Supplier.

The Authority requires the Medical Services Supplier to:

- ensure any Contract Changes are managed via the overarching Change Control Procedure and Services are provided in line with the Contract and Call Off Schedules:
  - 7 (Key Supplier Staff),
  - 8 (Service Continuity Plan and Corporate Resolution Planning),
  - 14 (Service Levels), including in particular the Performance Indicator,
  - 15 (Contract Management),
  - 16 (Benchmarking) and
  - 24 (Security Management)
- work with Employers (Authorised service users) and stakeholders as appropriate to embed continuous improvement into the Services.
- deliver against Statement of Requirements as set out in Attachment 3 - Statement of Requirements.



## 2. Governance and Transparency Requirements

2.1 The Supplier shall consider the below Governance and Transparency Requirements in conjunction with:

- a) all applicable Laws; and
- b) with Call Off Schedules:
  - 7 (Key Supplier Staff),
  - 8 (Service Continuity Plan and Corporate Resolution Planning),
  - 14 (Service Levels), including in particular the Performance Indicator,
  - 15 (Contract Management),
  - 16 (Benchmarking) and
  - 24 (Security Management)

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverables (s) include
<b>GOV 1.1</b>	Demonstrate and provide clear evidence to reassure the Authority of the quality of decision making, efficiency and effectiveness of the Supplier's operations and compliance with applicable Laws, Standards, and other requirements set out or referred to in this Agreement.	Demonstrating compliance with the Standards and other requirements of this Agreement and any General Medical Council requirements and guidance.
<b>GOV 1.2</b>	Establish and maintain effective management structures, a governance structure that has clear lines of responsibility with roles, responsibilities and escalation procedures.	Deliverables shall include: <ul style="list-style-type: none"> <li>● documented governance structure for the Supplier.</li> </ul>
<b>GOV 1.3</b>	Provide Performance Monitoring Reports in accordance with Call Off Schedule 14 (Service Levels) which are	Deliverables shall include the provision of:

Ref	Requirement	Key output(s) / Deliverables (s) include
	<p>transparent, comprehensive and accurate reports of the Supplier's performance of the Services.</p> <p>Demonstrate how the Supplier will benchmark its service provision against other Scheme Medical Advisors in accordance with Schedule 16 (Benchmarking)</p>	<ul style="list-style-type: none"> <li>• Management Information that is timely, accurate and concise showing the Supplier's performance against the Performance Indicators at any given point; and</li> <li>• Performance Monitoring Reports in accordance with Call Off Schedule 14 (Service Levels) and Schedule 16 (Benchmarking).</li> </ul> <p>The Deliverables described immediately above to be approved by the Authority prior to the Operational Services Commencement Date.</p>
GOV 1.4	<p>The Authority requires that the Management Information provision is in line with the requirements set out in Call Off Schedule 15 (Contract Management) thus providing transparency.</p>	<p>Deliverables shall include the provision of:</p> <ul style="list-style-type: none"> <li>• the right Management Information and reports described in Call Off Schedule 15 (Contract Management).</li> </ul> <p>The format and content of the Deliverables described immediately above to be approved by the Authority prior to the Operational Services Commencement Date and the Management Information to be provided following the Operational</p>

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Ref	Requirement	Key output(s) / Deliverables (s) include
		Services Commencement Date in accordance with the requirements in this Agreement.
<b>GOV 1.5</b>	<p>Attend and contribute effectively to the governance Groups as set out in Call off Schedule 15 (Call Off Contract Management). The Supplier shall:</p> <ul style="list-style-type: none"> <li>• ensure attendance by named individuals to ensure each Authority Group Member has at all times a counterpart Supplier Group Member of equivalent seniority and expertise;</li> <li>• provide sufficient Supplier Group Members to attend Group meetings to ensure the meetings are quorate;</li> <li>• when needed, provide empowered deputies to attend Group meetings; and</li> <li>• ensure Supplier Group Members adhere to terms of reference for the relevant governance Groups.</li> </ul>	Establish and maintain a collaborative working relationship between the Authority and the Supplier including embedding the behavioural and cultural changes required to support collaborative working and effective decision making.
<b>GOV 1.6</b>	Provide an organogram of management structure for the Services as set out in Call Off Schedule 7 (Key Supplier Staff)	Provision of an organogram identifying clear lines of responsibility with roles and responsibilities.
<b>GOV 1.7</b>	Have in place an effective Service Continuity Plan (including a Business Continuity Plan, robust cyber security protocols and Disaster Recovery Plan) to ensure continuity of Services and/or rapid recovery of Services including in the event of a Disaster.	All business systems and infrastructure changes to be reviewed and assessed in relation to any impact on the Service Continuity Plan in accordance with the requirements set out or referred to in Schedule 8 (Service Continuity Plan and Corporate Resolution Planning).

## **ANNEX B - BUSINESS SYSTEMS AND DATA**

# **Summary**

## **1 Outcome**

The Civil Service Pension Scheme (CSPS) and Royal Mail Statutory Pension Scheme (RMSPS) provide a provision for ill health retirement for those who qualify under the terms of the scheme rules.

We seek to engage with a Supplier who can deliver a platform that can record, store and maintain data and information required to process ill health retirement cases for both schemes. We seek to deliver a service that provides high levels of transparency throughout the process to members of both schemes and also to participating Employers of the CSPS. Additionally, as the Scheme Manager, the Authority requires clear and timely management information to ensure that it is able to meet its obligations to members and Employers and requires the Supplier to provide early notification of anticipated issues so they can be mitigated before they materialise.

The CSPS also provides injury benefits for those injured during the course of their duties, and the Supplier will need to implement a platform capable of storing the data and information required to process these cases.

Both Schemes provide an appeals process, in the event that a member wishes to challenge the outcome of the Scheme Medical Advisor's decision, and the Supplier will be required to record all information relating to appeals and the subsequent outcome of the case.

## 2 Business System Requirements

- 2.1 The Supplier shall consider the below Business Systems Requirements in conjunction with:
- a) all applicable Laws; and
  - b) Schedule 2.2 (Performance Levels) including in particular the Performance Indicators.

### SMBS 1 Infrastructure Requirements.

The Supplier shall:

Ref	Requirement
SMBS 1	Successfully implement an infrastructure capable of supporting the business software solutions required to meet the Authority Requirements and provide the Services in accordance with this Contract using a secure and scalable architecture.

### SMBS 1.1 Hardware and Maintenance Requirements.

The Authority seeks a Supplier who can host and support their infrastructure in a secure environment, as approved by the Authority's Security Working Group (SWG). All document management and data, including medical records will be stored within the Supplier's IT ecosystem.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SMBS 1.1.1	Utilise scalable hardware solutions to enable effective and efficient processing that caters for the activities of the schemes.	Upon reasonable request from the Authority, demonstrate to the Authority how the Supplier System will scale during peaks and troughs.
SMBS 1.1.2	Ensure, in accordance with Schedule 5 ( <i>Software and Supplier Equipment</i> ), all hardware elements of the Supplier System are appropriately serviced and maintained in accordance with the manufacturer's or Supplier's guidance, and updated to ensure the products are covered by support agreements.	Documented and signed off hardware support, maintenance and upgrade plan.

## SMBS 1.2 Back up Requirements.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SMBS 1.2.1	Ensure that a complete and effective backup process exists to safeguard against hardware failures, malicious attacks and corruption.	Documented backup process and test certificate evidenced to the Authority.
SMBS 1.2.2	A full back up of all Authority Data must have a “Recovery Point Objective” (RPO) of at least twenty-four (24) hours from the current point in time. That is, all data sources will never lose more than twenty-four (24) hours-worth of work in the event of a Disaster.	Documented backup process and test certificate evidenced to the Authority.

## SMBS 1.3 Business Continuity and Disaster Recovery Requirements

The Authority expects all business systems and infrastructure changes to be subject to business continuity and disaster recovery (BCDR) plans. The Authority’s BCDR requirements are set out or referred to in Schedule 8 (*Business Continuity*) of the Contract.

## SMBS 1.4 Application Programming Interface (“API”) Requirements.

As part of the Authority’s drive to increase automation of pensions related administration processes and tasks, in order to deliver business efficiencies and improve the overall service for members and participating Employers (Authorised service user) of the CSPA, the Authority requires seamless interaction between the Supplier and the Authority’s wider stakeholders (Authorised service user) - in particular, the Pension Scheme Administrator(s). The Authority requires the Supplier to work closely with the Pension Scheme Administrators to deliver operational efficiencies, improved data quality and minimise the risk of a data breach (including any Personal Data Breach) and, most importantly, improve the Member experience. However, this must be balanced with the security risk of penetration and malicious attacks on the Supplier Solution and the Services.

**The Supplier shall:**

Ref	Requirement	Key output(s) / Deliverable(s)
SMBS 1.4.1	Develop secure and scalable API capability, allowing only authenticated and authorised third parties to integrate and operate seamlessly with the Authority Data, Databases and technology platforms (within the Supplier System).  This must include a documented API specification for integration purposes and support for those who will use the APIs.	Test certificate for the API functionality.
SMBS 1.4.2	Establish in accordance with the Security Management Plan a security agreement and interface with authorised third parties, to be approved by the Authority's Security Working Group (SWG).	Signed off Security Management Plan and interface, agreed with the SWG.
SMBS 1.4.3	Establish a security matrix detailing access levels of all parties using the API gateway.	Signed off security matrix, agreed with the Authority's SWG.

## **SMBS 2 Security Requirements.**

**The Supplier shall:**

Ref	Requirement
<b>SMBS 2</b>	Data security in relation to Authority Data, Databases and member medical records is of paramount importance to the Authority and must underpin the design and decisions made as part of implementing the service. As such, security measures must be agreed with the Authority's SWG. The Authority's SWG requirements must be considered and addressed by the Supplier as part of the Supplier Solution to these Business Systems Requirements. The Authority's security requirements are detailed in Special Term 1 – Schedule 24 (Security) of this Agreement.

## **SMBS 3 Medical Platform Requirements**

**The Supplier shall:**

Ref	Requirement
<b>SMBS 3</b>	Implement a digital solution to deliver the Schemes' Medical Assessment requirements detailed in the Core requirements document and aligned to the Authority's security requirements set out in Special Term 1 Schedule 24 (Security) of this Contract.

## **SMBS 3.1 System Requirements.**

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**The Supplier shall:**

Ref	Requirement	Key output(s) / Deliverable(s)
SMBS 3.1.1	Ensure that the digital solution is capable of storing all historic data from the incumbent Scheme Medical Advisor (SMA).	Architectural blueprints maintained by the Supplier and available to the Authority on request.
SMBS 3.1.2	Implement a scalable, flexible, secure and sustainable digital solution that can be developed with the changing needs of the Schemes. Changes include changes to pension legislation and scheme rules.	
SMBS 3.1.3	Implement a digital solution that ensures reporting on pension scheme metrics is distinct between the different schemes i.e. CSPA (including partnership) versus RMSPS. The solution should be flexible enough to cater for any new schemes introduced by the Authority.	Demonstration of Supplier solution.
SMBS 3.1.4	Document the Database schema and metadata, including relationships between any table data sets and provide to the Authority upon request.	Signed off entity relationship diagram and data dictionary by the Authority.
SMBS 3.1.5	Provide a solution that is capable of uploading data from the incumbent SMA and downloading data upon a transition of Services to another provider.	Demonstration of solution/audit capabilities.
SMBS 3.1.6	Ensure roles are regularly audited and support a principle of “least privilege” user access rights. Upon reasonable request, the Authority will request evidence of how the Supplier is monitoring user privileges.	Signed off security policy.
SMBS 3.1.7	Provide a digital solution that allows participating Employers of the CSPA to initiate ill health retirement and injury benefit cases through a secure browser-based solution.	Demonstration of solution.
SMBS 3.1.8	Provide a solution that allows participating Employers of the CSPA to submit an application form (including in PDF format) to initiate ill health retirement and injury benefit cases.	
SMBS 3.1.9	Provide a digital solution that allows the administrator of the RMSPS to initiate ill health retirement cases through a secure browser-based solution.  Note: There is no requirement for the RMSPS to initiate injury benefit cases.	
SMBS 3.1.10	Provide a solution that allows the administrator of the RMSPS to submit an application form (including in PDF format) to initiate ill health retirement cases.	



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SMBS 3.1.11	Provide a solution that allows the CSPA administrator to submit ill health retirement and injury benefit applications through a secure browser-based solution and an API (Requirement SMBS 1.4). A response to the API submission should be returned to the Administrator.	
SMBS 3.1.12	Ensure that the solution to SMBS 3.1.7 - 3.1.11 can also be used for the submission and initiation of the Appeals process.	
SMBS 3.1.13	Provide a solution that allows the CSPA administrator to submit injury benefit applications including in pdf format.	
SMBS 3.1.14	Provide a digital solution capable of recording all data relating to the case management of ill health retirement and injury benefit claims from members.	
SMBS 3.1.15	Ensure that with regards SMBS 3.1.14, the outcome is stored on the Supplier's system, and a review date is diarised for "Upper Tier" benefits and the outcome of the review.	
SMBS 3.1.16	<p>Provide transparency of the case management and progress to authorised users. This will include allowing members to track progress of their own case, authorised Employers (Authorised service user) to track progress of their employees' or ex-employees' cases and the administrator of both schemes to track progress of member cases of their respective schemes. Additionally, the Authority, as Scheme Manager, must be able to track members' case progress.</p> <p>Note: the CSPA administrator must not have any access to RMSPS data, and vice versa.</p>	
SMBS 3.1.17	Ensure that in addition to SMBS 3.1.16, an API response is available to the Scheme Administrator(s) that can be used to integrate into their own platform and case management systems.	
SMBS 3.1.18	In meeting requirement SMBS 3.1.16, ensure that participating Employers (Authorised service user) of the CSPA can only view progress of cases which they initiated.	
SMBS 3.1.19	Ensure that in meeting requirement SMBS3.1.18, that different authorised users within the same Employer (buyer) can view cases initiated by another authorised user. That is, a case initiated by an authorised user for an Employer buyer) should be accessible to all authorised users working for that Employer (buyer).	
SMBS 3.1.20	<p>Ensure all users of the system are provided with guidance and support using clear and jargon-free language.</p> <p>Authorised user lists must be regularly reviewed and access permissions kept up to date through a defined process.</p>	Guidance notes and access control processes signed

		off by the Authority.
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## SMBS 3.2 Document Management Requirements

The Authority requires the Supplier to ensure the Document Management System (DMS) within the Supplier solution will manage documents produced by the Supplier to provide the service and documents received from Stakeholders (Authorised service user) or other parties via different communication channels, such as email, post and forms submitted online.

**The Supplier shall:**

Ref	Requirement	Key output(s) / Deliverable(s)
SMBS 3.2.1	Ensure incoming documents are consistently scanned, quality assured, correctly indexed and stored using a robust, secure and scalable document management system.	Demonstration of system capabilities.
SMBS 3.2.2	Ensure the document management system has the capability to hide sensitive documents for those members or Employers (Authorised service user) deemed by the Authority as “sensitive Employers”. Only authorised users for those “sensitive Employers” may have access to these member documents.	
SMBS 3.2.3	Ensure documents produced by the Supplier are indexed and stored appropriately.	
SMBS 3.2.4	Ensure the Document Management System is capable of uploading documents from an incumbent Supplier and downloading documents in the event of a future transition to another Supplier.	
SMBS 3.2.5	Ensure that the Document Management System is transparent to authorised external stakeholders via a secure browser-based solution. This includes, but is not limited to, members being able to see their own documentation as appropriate, and Employers (Authorised service user) having visibility of their members’ outcome reports.	
SMBS 3.2.7	Maintain a clear log of document permissions to ensure only authorised internal and external users have access to medical information.	
SMBS 3.2.7	Ensure an audit history is maintained throughout the life of the Contract to track updates and additional information provided by external stakeholders.	
SMBS 3.2.8	Ensure that documents can be reported on through effective indexing referred to in requirement SMBS 3.2.1	

## SMBS 4 Engagement Requirements

Ref	Requirement
<b>SMBS 4</b>	The Authority's ambition is to increase digital engagement with Members and Employers (Authorised service user). However, the Supplier solution must cater for Members and Employers (Authorised service user) wishing to speak with an individual to discuss queries. Queries from members are generally raised via their Employers (Authorised service user) - or ex-Employers for former members.

## SMBS 4.1 Email, Telephony and Contact Management Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SMBS 4.1.1	Implement an intelligent telephony system that directs callers to the most appropriate support.	Demonstration of an effective call management system to Authority.
SMBS 4.1.2	Log call information. The Supplier shall ensure calls are recorded for training and audit purposes. The Supplier shall log the nature of the call for continuous improvement of the digital support available. The Supplier shall ensure that when engaging with an Employer (buyer) about a specific member, the engagement is logged against the relevant Member record, so that the Scheme administrator (s) can view the contact history as necessary.	Demonstration of an effective call management system to Authority.
SMBS 4.1.3	Provide call centre staff with access to the case management system, training and an up-to-date knowledge database to provide the knowledge and information resources needed to enable Supplier staff to fully respond to and resolve non-complex queries at the first point of contact with, for example, an Employer or Scheme administrator. The Supplier Solution must be able to initiate workflow case management where appropriate.	Demonstration of an effective call management system to Authority.
SMBS 4.1.4	Provide call centre staff with a solution to log calls and refer more complex queries such as highly complex or highly sensitive (public profile or highly vulnerable) cases to Medical teams.	Demonstration of an effective call management system to Authority.
SMBS 4.1.5	Report on the volume and nature of calls.	Agreed reporting information.

Ref	Requirement	Key output(s) / Deliverable(s)
SMBS 4.1.6	Ensure callers are informed when calls are being recorded including the purpose for recording the call.	Demonstration of an effective call management system to Authority.
SMBS 4.1.7	Provide support for those external stakeholders who wish to engage with the Supplier using email. The Supplier shall ensure clear Help Desk email addresses are made available to the Scheme administrator(s) for publication on their Scheme websites and the Supplier shall ensure call response times are followed in accordance with the Target Performance Levels set out in Call Off Schedule 14 (Service Levels) of this Agreement.	Demonstration of email contact management system to Authority.
SMBS 4.1.8	Ensure emails are indexed/linked to Member records including full history of the email chain.	Demonstration of email contact management system to Authority.

## SMBS 5 Reporting Requirements

The Supplier shall:

Ref	Requirement
<b>SMBS 5</b>	Ensure reporting is clear, available in real time, produced in formats appropriate to the needs of the Authority and adaptable upon reasonable request.

## SMBS 5.1 Specific Reporting Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SMBS 5.1.1	Ensure reports defined in Attachment 3 – Statement of Requirements are available via a secure browser-based solution.	Demonstration of Supplier Solution for reporting.
SMBS 5.1.2	Ensure reports are capable of being downloaded in a format that is not proprietary to the Supplier.	Demonstration of Supplier Solution for reporting.

Ref	Requirement	Key output(s) / Deliverable(s)
SMBS 5.1.3	Ensure only authorised users can access the reporting functionality and that access permissions are kept up to date through a defined process.	Demonstration of Supplier Solution for reporting.
SMBS 5.1.4	Make available dashboard reports via a secure browser-based solution to provide Authority staff with access to real time information and reporting including the volume of “work in progress”.	
SMBS 5.1.5	Ensure that the secure online reporting facility is available outside business hours, allowing for reasonable levels of maintenance and updates to the systems.	

## SMBS 6 Data Management

The Supplier shall:

Ref	Requirement
<b>SMBS 6</b>	Implement a data management solution for all Authority Data stored and processed by the Supplier. The solution must ensure the solution is secure, scalable and accessible to those with a valid need to access the Authority Data.

### SMBS 6.1 Data Management Strategy & Plan (DMSP)

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SMBS 6.1.1	Produce, maintain and implement a DMSP that sets out how the Supplier will manage the quality, accuracy and completeness of Authority Data required to deliver the service. The DMSP will contain:  a) An inventory of Authority Data and related Databases managed by or on behalf of the Supplier including how each data field is used by the Supplier in delivering the service, who has access to the Authority Data and where and how it is stored;	The Supplier shall provide the DMSP and obtain the Authority’s approval of the DMSP within thirty (30) days from the Operational Commencement Start Date.

Ref	Requirement	Key output(s) / Deliverable(s)
	<p>b) Details of how Authority Data will be collected, loaded and validated by the Supplier to deliver all Services to the Authority;</p> <p>c) A clear data model articulating the Database structure for all Authority Data;</p> <p>d) A strategy for complying at all times with Data Protection Legislation;</p> <p>e) A strategy for effective data management to measure, improve and maintain data quality throughout the duration of this Agreement;</p> <p>f) A clearly defined data retention period for medical records and associated member data;</p> <p>g) A defined mechanism for the destruction of data in line with the data retention period.</p>	

## SMBS 7 Data Migration

In the event of a transition from one Supplier to another, we require the Supplier to determine which data sets should be migrated from the incumbent SMA to facilitate the continuation of Services for inflight cases or cases that may result in an appeal. This should be carried out with the support of the incumbent Supplier.

**The Supplier shall:**

Ref	Requirement	Key output(s) / Deliverable(s)
SMBS 7.1	<p>Plan, manage and implement the data migration from the Incumbent Supplier using a clear and transparent migration plan to be shared and agreed with the Authority.</p> <p>This requirement is the same as that detailed in the Transition requirement SMT 8.2.</p>	A clear and detailed migration plan with test evidence and a reconciliation of migrated data presented to the Authority during the transition phase and “go-live” milestone.

## SMBS 8 Data Security

**The Supplier shall:**

Ref	Requirement
SMBS 8	Perform its obligations set out in Special Term 1 Schedule 24 ( <i>Security</i> ).

## ANNEX C – FINANCIAL REQUIREMENTS

### SUMMARY

## 1 Outcome

The Supplier shall provide the Authority with timely financial information and transact direct with Employers (Authorised service user).

## 2 Requirements

### 2.1 Overview

The Supplier shall carry out all activities necessary to:

Ref.	Requirement	Success Measures
2.1	Provide to the Authority on a monthly basis financial information showing all transactions completed on behalf of the Authority.	Provision of reports
2.2	<p>Accurately prepare all relevant payment documentation such as remittance advices and authorisations for Employers (Authorised service user).</p> <p>The Supplier shall deal directly with Employers (Authorised service user) in respect of payments and remittances. The Authority is not liable for any financial transactions that may take place.</p>	Demonstrate documentation

## **ANNEX D – ENGAGEMENT REQUIREMENTS**

### **Summary**

#### **1. Brief introduction – Communication and Engagement**

The key required outcome is improved quality and effectiveness of communications with members, Employers (Authorised service user) and stakeholders during the process. In addition to this, other outcomes include:

- Members understand the process and are supported in meeting their role within it
- Members can access support both prior to and during the process to track progress and query where appropriate.
- Members understand associated processes such as right of appeal.
- Authorised service user understand the process, their role and level of responsibility within it and are better able to support members through the process.
- Other third party stakeholders (e.g. shared Services providers, HMRC/other Government departments) understand their roles and responsibilities and are able to obtain the information and support necessary to provide an efficient and effective service to members, Employers and the scheme.



# Requirements

## 2. Overview

### Requirements

#### 2.1 Communication and Engagement – All Stakeholders (Authorised service user)

This section defines the overarching engagement requirements at a high level and links into the following subsections for lower level requirements.

The Authority requires the Supplier as a minimum to:

- Establish an overarching strategic view and understanding of communication and engagement.
- Identify (including through appropriate segmentation) and analyse the roles, needs and responsibilities of Stakeholders (Authorised service user) so that the Supplier's overarching Scheme engagement strategy is clear on the roles, needs and priorities and can then more easily develop into lower level engagement plans and strategies within the Scheme.
- Ensure engagement strategy demonstrates an understanding of engaging/communicating at or prior to key stages both reactively and proactively (as applicable).
- Adopt and maintain an engagement approach, methods and styles which are based at all times on ensuring inclusivity to maximise engagement despite any cognitive impairment, accessibility, equality and/or disability issues for individual Members.

The Supplier shall carry out all activities necessary to:

Ref.	Requirement	Success Measures
2.1	Design, develop and agree with the Authority annually, an effective three year rolling communication and engagement strategy that aligns with the scheme's strategic aims, and reflects the varied membership demographics and Employer sizes and the changing needs of members, Employers (Authorised service user) and stakeholders. They should include but not be limited to;	Detailed and included in requirement

	<ul style="list-style-type: none"> <li>• a complete and accurate understanding of Stakeholders (Authorised service user) and their key interactions (both existing and in the foreseeable future) using information, feedback and segmentation techniques which it shall document and provide to the Authority;</li> <li>• methods for building Members', Employers (Authorised service user) and other Stakeholders' trust in the Scheme;</li> <li>• a strategy to address the changing needs and responsibilities of the Stakeholders (Authorised service user) during the Contract, employing innovation techniques through continuous improvement;</li> <li>• an approach which is inclusive of all Stakeholders (Authorised service user).</li> </ul>	
<b>2.2</b>	<p>Ensure its communications strategy is aligned and fully integrated with the overarching engagement strategy agreed with the Authority. Plans, materials and activities are fully inclusive and support the sustainability agenda, are in line with relevant laws, government policy and good practice. This shall include but not be limited to the Supplier:</p> <ul style="list-style-type: none"> <li>• using plain English in all communications with Stakeholders (Authorised service user);</li> <li>• adhering to the Authority's branding guidelines for the Scheme where appropriate;</li> <li>• adopting clear and consistent content management/version control;</li> </ul>	Detailed and included in requirement

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	<ul style="list-style-type: none"> <li>meeting accessibility requirements and needs of all Stakeholders (Authorised service user) on an overarching basis; and</li> <li>regularly reviewing and making improvements (agreed by the Authority) to its overarching communication strategy, tools and methods on an ongoing basis during the Contract.</li> </ul> <p>Maintain all standard member, Employer (buyer) and stakeholder communications (including website, portal, guides, letters, statements, forms etc.) ensuring compliance with Scheme Rules, and review at least annually for possible enhancements resulting from changes to pensions policies, laws and regulations, Scheme Rules etc.</p> <p>This should cover but not be limited to;</p> <ul style="list-style-type: none"> <li>website management, content and publication;</li> <li>standard letters, forms and communications;</li> <li>Member and Employer communications to support special events, for example scheme changes, pension reform.</li> </ul> <p>All products and tools shall be materially accurate and user friendly.</p>	
2.3	<p>Define and document the Supplier's methodology for measuring and reporting on overarching engagement outcomes. How these measures relate to the Supplier's overarching engagement strategy, include baseline</p>	Detailed and included in requirement

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	<p>comparisons as appropriate. The Supplier's methodology shall include but not be limited to:</p>	
	<ul style="list-style-type: none"><li>• documenting and agreeing with the Authority what good overarching engagement looks like and how the Supplier will measure it;</li><li>• documenting and agreeing with the Authority what good overarching communication looks like and how the Supplier will measure it;</li><li>• demonstrating how the Supplier will use data to drive desired engagement and communication outcomes with Stakeholders (Authorised service user) including identifying areas of both strength and weakness of such data driven methods;</li><li>• demonstrating how it will implement Management Information systems to record and analyse the necessary data to assess overarching engagement performance outcomes and identify and recommend to the Authority on an ongoing basis, continual improvements to engagement strategies and service delivery throughout the duration of the Contract;</li><li>• reflect the changing needs and responsibilities of Members, Employers (Authorised service user) and other stakeholders.</li></ul>	
<b>2.4</b>	<p>Proactively engage and provide the necessary support to Members to help them understand their responsibilities in relation to the Medical Services Contract and associated processes.</p>	Detailed and included in requirement

	<p>This shall include, but is not limited to:</p> <hr/> <ul style="list-style-type: none"> <li>● maintaining and providing guidance and general training and new forms of Member guidance and communication as agreed with the Authority;</li> <li>● dealing with enquiries relating to administration and providing reasonable information and support to all members;</li> </ul> <hr/> <ul style="list-style-type: none"> <li>● Provision of standard information/guidance about Medical Services processes;</li> </ul> <hr/> <ul style="list-style-type: none"> <li>● Case tracking facility;</li> </ul>	
<p><b>2.5</b></p>	<p>Proactively engage and provide the necessary support to Employers to help them understand their responsibilities in</p>	<p>Detailed and included in requirement</p>

	<p>relation to the Medical Services Contract and associated processes.</p> <hr/> <p>This shall include, but is not limited to:</p> <ul style="list-style-type: none"> <li>● maintaining and providing guidance and general training and other new forms of Employer guidance and communication as agreed with the Authority;</li> </ul> <hr/> <ul style="list-style-type: none"> <li>● dealing with enquiries relating to administration and providing reasonable information and support to all existing and new Employers (Authorised service user) including:</li> </ul> <hr/> <ol style="list-style-type: none"> <li>01. Provision of standard information/guidance about Medical Services processes</li> <li>02. Case tracking facility</li> <li>03. MI on cases processed as agreed with the authority</li> <li>04. Provision of guidance/information on Employer responsibilities</li> <li>05. Informing Employers (Authorised service user) about the type and quality of data they need to provide to the Supplier, and the implications of non-compliance</li> <li>06. Assistance in implementation</li> </ol>	
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	<ul style="list-style-type: none"> <li>providing all the relevant general training materials and supporting tools to enable the Employer to carry out its functions for the Scheme, including:</li> </ul>	
	<ol style="list-style-type: none"> <li>Developing, maintaining and delivering effective training materials for Employers (Authorised service user) and their HR professionals</li> <li>Developing and maintaining tools e.g. case tracking facility</li> </ol> <ul style="list-style-type: none"> <li>engagement such that it shall promote the accurate and timely delivery of Services to Members and Beneficiaries, including:</li> </ul>	
	<p>‘User’ group(s) for Employers (Authorised service user) or any other meetings as reasonably required to deliver the Employer engagement strategy. These shall provide a forum for:</p> <p>Employers (Authorised service user) to feedback on Service received and share experiences on best practice.</p> <p>consultation on process changes affecting Employers (Authorised service user).</p> <p>Providing a secretariat function for any meetings (including but not limited to production of papers, follow up actions, minutes, agendas etc).</p>	

	Provide effective notification to Employers (Authorised service user) of any future changes to service delivery and the impact on the Employers (Authorised service user).	

### **3. Communication and Engagement – Channels and Guidelines**

The Supplier shall carry out all activities necessary to:

<b>Ref.</b>	<b>Requirement</b>	<b>Success Measures</b>
<b>3.1</b>	<p>Provide a contact telephone number and an email address for Members and Employers (Authorised service user) to make enquiries or requests.</p> <p>Allow Members to communicate with it by post.</p>	Provide number and email to buyer
<b>3.2</b>	<p>Ensure all web-based Services (as described in requirement "ICT3" in this Schedule) are high quality and delivered via a website provided by the Supplier.</p> <p>Supply information and products for the Scheme Website which links through to the Supplier site.</p>	Demonstrate web services to buyer
<b>3.3</b>	<p>Develop and maintain all the communications products required to support the communication strategy. The Supplier shall carry out the external communications product review to ensure that all communication material conforms to the</p>	provide communication products to the buyer



	Scheme Rules and Law and follows Good Industry Practice for “plain English”.	
	Feedback on the products and tools used to support the Member and Employer engagement and communication strategy shall be based upon the Supplier’s understanding of Customer needs. This understanding shall be gathered using the Customer Journeys, Member Landscape tools.	
	From this feedback, the Supplier shall ensure that communication products and tools are reviewed to ensure that they continue to be fit for purpose.	
	The Supplier will not be required to agree all products and tools (e.g. individual Member correspondence) with the Authority. However, the Supplier shall agree with the Authority which products and tools shall require review and sign off by the Authority and which shall not.	
	Any significant changes to service delivery outputs that have a direct impact on Customers shall require approval from the Authority and, where appropriate, other Stakeholders (Authorised service user). These changes will be managed in accordance with the Change Control Procedure.	

	<p>The Supplier shall review all core letters to develop a core product set of letters to be used under a structured change management control process. The Supplier will agree content owners and review protocols with the Authority. This shall ensure greater consistency of service and improve accuracy and customer service.</p> <p>This process shall also ensure that only current versions of correspondence are used, reviewed and improved and older versions shall be archived.</p>	
<b>3.4</b>	<p>Lead on raising standards through innovations. Make available communication channels (that continue to be innovative, cost effective and accessible taking into consideration the demographics of Members and Employers (Authorised service user)) to enable Members and Employers (Authorised service user) to communicate with the Supplier.</p> <p>Ensure the communication channels are responsive to the characteristics of the differing groups.</p> <p>Respond to communications in a timely, accurate and lawful manner and in a format to meet the Member and Employer needs.</p>	Demonstrate communication channels to buyer

<b>3.5</b>	<p>Ensure all communications adhere to agreed branding guidelines as notified by the Authority. This includes</p> <ul style="list-style-type: none"> <li>• All communications to members and Employers (Authorised service user) in relation to the Civil Service Pension Scheme; and</li> <li>• Any website and/or communications media providing Services and information in relation to the Civil Service Pension Scheme.</li> </ul>	Review with buyer
<b>3.6</b>	Regularly review communications products to a timescale agreed with the Authority.	Agree timetable with buyer
<b>3.7</b>	Obtain feedback on communications products from Stakeholders (Authorised service user) to a timescale agreed with the Authority.	Agree timetable with buyer and share feedback

## ANNEX E – TRANSITION

# Summary

## 1 Outcome

The Authority Contract Medical Services for the benefit of the Principal Civil Service Pension Schemes, the Civil Service Compensation Scheme (CSCS), the Civil Service Injury Benefits Scheme (CSIBS), the Partnership Pension Account Ill Health Benefits Scheme, the (Civil Service and Others) Pension Scheme and the Royal Mail Statutory Pension Scheme (RMSPS) – hereafter collectively known as ‘the Schemes’.

The Authority seeks a Supplier capable of transitioning the Services provided by the incumbent. The transition should be smooth for members and the Employers who pay for the Services. It should be project-managed by the Supplier with regular, transparent reporting to the Authority, demonstrating progress throughout resulting in the successful implementation of the Services.

The successful Supplier must be capable of working closely with the Scheme Administrator(s) of both the Schemes and proactively engage to establish effective touchpoints and processes to deliver an exceptional service for our members and Employers.

## 2 Transition Requirements

2.1 The Supplier shall consider the below Transition Requirements in conjunction:

- a) all applicable Laws; and
- b) with Schedule 2.2 (*Performance Levels*) including in particular the Performance Indicators.

### d. SMT 1 Transition Plan Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SMT 1.1	Establish a transparent approach to project manage the Transition Services and the Transition Plan, including the creation of the Project Initiation Document (“PID”) or equivalent detailing precisely what the Transition Services project entails, what it will achieve and how it will be achieved, including benefit realisation.	Signed off PID within fifteen (15) Working Days of the Effective Date.

SMT 1.2	In accordance with Schedule 13 ( <i>Implementation Plan and Testing</i> ) deliver a Detailed Transition Plan including Deliverables, Transition Milestones, resourcing requirements, roles and responsibilities of all parties and governance for each stage of the Transition Plan.	Signed off Transition Plan within fifteen (15) Working Days of the Effective Date.
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## SMT 2 Project Team Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SMT 2.1	Ensure that there is a named project team dedicated to achieving the Transition in accordance with the Transition Plan.  The Supplier shall ensure all project teamwork streams are transparent to the Authority with named leads and logically organised to deliver the Transition to time and cost.	An organogram with named resources and roles should be presented to the Authority within five (5) Working Days of the Effective Date.
SMT 2.2	Ensure a Project Group is established with detailed Terms of Reference (" <b>ToR</b> "). This must include the provision of a Transition Project group and the ToR must detail who is in the Transition Project Group, the frequency of meetings, escalation routes and a set agenda.	Transition Project Group ToR to be presented to the Authority within ten (10) Working Days of the Effective Date.

## SMT 3 Reporting Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SMT 3.1	Report to the Transition Project Group (or equivalent) in accordance with the Transition Project Group's Terms of Reference or PID. The reporting content shall be agreed with the Authority.	Creation and submission of Transition governance reporting.

Ref	Requirement	Key output(s) / Deliverable(s)
SMT 3.2	Ensure the Transition Project Group's Terms of Reference include the format of reports and reporting frequency.	Agreed Terms of Reference for the Project Group.  Report template to be signed off by the Authority.
SMT 3.3	Report to other key Stakeholders (Authorised service user) such as the Civil Service Pensions Board ("CSPB") as required.	Delivery of ad hoc reports as required. Agreement from the Supplier to support wider governance groups as required throughout the duration of this Agreement.
SMT 3.4	Comply as necessary with any reporting Requirements or provision of information to support Government reviews at key stages of the Transition project, such as the Infrastructure and Projects Authority ("IPA").	Agreement from the Supplier to support wider governance groups as required throughout the life of the Contract.

## SMT 4 Due Diligence Requirements

The Data Room artefacts provide transparency around the service provision. The Supplier shall carry out appropriate due diligence to understand and take account of the scale and complexity of the service, and anticipate issues that may arise during the transition period, in order to affect a smooth and successful transition.

### The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SMT 4.1	Carry out all appropriate due diligence required to inform the Transition approach and deliver the outcome of a successful Transition.	A Transition strategy document and Detailed Transition Plan.
SMT 4.2	Work with the Incumbent Provider giving them sufficient notice to ensure appropriate resources are available. This should include understanding the day-to-day activities of the Scheme	

	Medical Advisor, the data structures and potential data migration activities and Work-In-Progress.	
SMT 4.3	Document findings and work collaboratively with the Authority and the Incumbent Provider to resolve any issues that may impact Transition.	

## SMT 5 Risk Management Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SMT 5.1	Manage Transition risk effectively in a manner agreed with the Authority.	A clear and shared risk register transparent to the Incumbent Provider, the Authority and the Supplier.
SMT 5.2	Carry out regular Transition risk review meetings to ensure the continued monitoring of risks in line with Good Industry Practice.	Scheduled and agreed risk review dates within the Transition Plan. A signed off Terms of Reference for the management of risks.
SMT 5.3	Ensure there are appropriate contingency measures in place to support a controlled Transition. Establish clear guidelines and a process for enacting contingency measures.	Risk register with “what if” scenario planning.

## SMT 6 Facilities Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SMT 6.1	Establish the site(s) used by the Supplier in the provision of the Services, and provide the Authority with a guided tour at a convenient time for both Parties. The Supplier shall demonstrate why these Sites are suitable based on the resource profile used to deliver the Services throughout the duration of this Contract.	Completion of guided tour

	The Supplier will need to demonstrate how their site(s) cater for those with a physical impairment.	
SMT 6.2	Establish all security measures for entry/exit and maintenance of the Site buildings. This shall include how security passes are issued, instructions for signing guests (including, should the need arise, members being medically assessed) in and out of the relevant buildings, entry into specific areas of the buildings, including server rooms or areas dedicated to processing sensitive information.	Security Management Plan (including Site and building security) accredited by the Security Working Group.
SMT 6.3	Establish and implement the hardware elements of the Supplier Systems used to host the Authority Data and provide the Services. The Supplier shall ensure the Supplier System, Supplier Solution and the Services meet all applicable security Requirements under this Agreement, including Schedule 9 ( <i>Security</i> ) and the Supplier must demonstrate how the Supplier System will be restored following a Business Continuity or Disaster Recovery issue.	Infrastructure and architecture strategy and implementation of the strategy.

## SMT 7 Work In Progress

At the point of transition from the incumbent to the Supplier, there will be inflight cases in progress. These will include first-time assessments, reassessments as well as appeals. The Authority wants to minimise any disruption to Members at what may be a difficult and uncertain time in their lives.

### The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SMT 7.1	Work with the incumbent service provider to determine how Work In Progress (WIP) will be handed over in a manner that minimises disruption to our members and Employers (Authorised service user) as part of the transition plan. This must include any inflight appeals, as well as medical assessments.	A clear handover approach for work in progress.
SMT 7.2	Communicate with all stakeholders (Authorised service user) whose cases will be transitioned to the Supplier and provide any necessary information including advise of any actions the stakeholder (buyer) will need to undertake as a result of the transition e.g. Provide updated telephone numbers, email addresses, portal security details.	A clear communications plan agreed with the Authority and incumbent provider.



SMT 7.3	Work with the Schemes' Administrators to ensure their documentation/guidance is updated and that the correct contact details are held on the pension schemes' websites.	
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## SMT 8 Platform Requirements

The Business Systems Requirements detail what outcomes the Authority requires through the effective use of increased digitisation of service provision. As part of the Transition, the Authority requires an effective implementation of digitised solutions ready for use to deliver the Services to all Stakeholders in a more efficient manner and with improved service quality.

**The Supplier shall:**

Ref	Requirement	Key output(s) / Deliverable(s)
SMT 8.1	Select and implement a digital platform capable of meeting the requirements of the Authority in terms of record keeping, reporting, providing management information and interacting with the Schemes' administrators, Employers (Authorised service user) and other third parties throughout the duration of this Contract. The Supplier shall demonstrate why it has selected the particular platform, including the benefits delivered by the system.	Benefits analysis of the selected software platform.
SMT 8.2	Obtain all relevant data from the Incumbent Provider. The Supplier shall map this data from the data source to the destination Database and ultimately migrate to the Supplier's database.  The Supplier shall clearly document data migration from the Incumbent Provider's systems including detailing decisions not to migrate data in the Incumbent Provider's systems, and why that decision was taken in the RAIDD register.	Reconciliation at test stages and the live conversion to control data totals provided by the Incumbent Provider.
SMT 8.3	Obtain and migrate all electronic documentation and / or image files relating to Member correspondence, and link them to the appropriate Member records in the database.  The Supplier shall clearly document any decisions taken not to migrate electronic documents and the rationale for that decision in the RAIDD register.	Reconciliation of document images indexed to the correct Member.
SMT 8.4	Configure the secure digital portal for use by external stakeholders for the submission of documentation, and the initiation of cases. In particular, the solution should be focused on the participating users of the CSPS and the administrators of both the RMSPS and the CSPS.	Demonstration of the online solution to the Authority.

SMT 8.5	Configure the secure digital portal for use by Members to provide transparency of their case and allow the Members to track the progress through to completion.	Demonstration of the online solution to the Authority.
SMT 8.6	Provide training notes on the use of the system for external users, and in particular focused on the participating users of the CSPS and the administrators of both the RMSPS and the CSPS.	Training documentation provided to the Authority.
SMT 8.7	Configure outputs, including template letters and reports within their technology platform, tailored to the pension scheme to which the member has joined.	Demonstration of the online solution to the Authority.

## SMT 9 Transition and Service “Go-Live” Requirements

Following the successful completion of Transition, the Supplier’s business as usual operational team of Supplier Personnel will provide the ongoing Services throughout the duration of this Contract and the Transition project will ultimately be closed.

**The Supplier shall:**

Ref	Requirement	Key output(s) / Deliverable(s)
SMT 9.1	Successfully handover the service delivery from the dedicated project team of Supplier Personnel to the business as usual operational team of Supplier Personnel before the Transition project is formally closed.	Handover report at the end of the transition.
SMT 9.2	Comply with the relevant provisions of Schedule 9.1 ( <i>Staff Transfer</i> ) and the Supplier shall ensure all Employment Regulations related activities meet all statutory deadlines.	Signed off TUPE action plan agreed with the Authority’s legal counsel.
SMT 9.3	Ensure the successful transfer of Scheme knowledge from the Incumbent Provider to the Supplier’s operational and medical administration staff.	Agreed training plan.
SMT 9.4	Deliver an effective handover from the Supplier’s project team to its business as usual team following Transition project closure.	Acceptance by the business as usual team of the operational delivery of the Services.

**Framework Schedule 6 (Order Form Template and Call-Off Schedules)**

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SMT 9.5	Ensure support is available to those using the medical Services platform in the event of a technical issue.	Support documentation provided to those using the medical Services platform.
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