



Ministry
of Justice



Crown
Commercial
Service

SERVICE SPECIFICATION

FOR THE

**CALL-OFF CONTRACTS IN RELATION TO THE FUTURE FACILITIES
MANAGEMENT PROJECT**

FOR

WORK PACKAGE E – INTEGRATOR

Contract Reference Number: con_14497

Version 1.1

INTEGRATOR SERVICE SPECIFICATION

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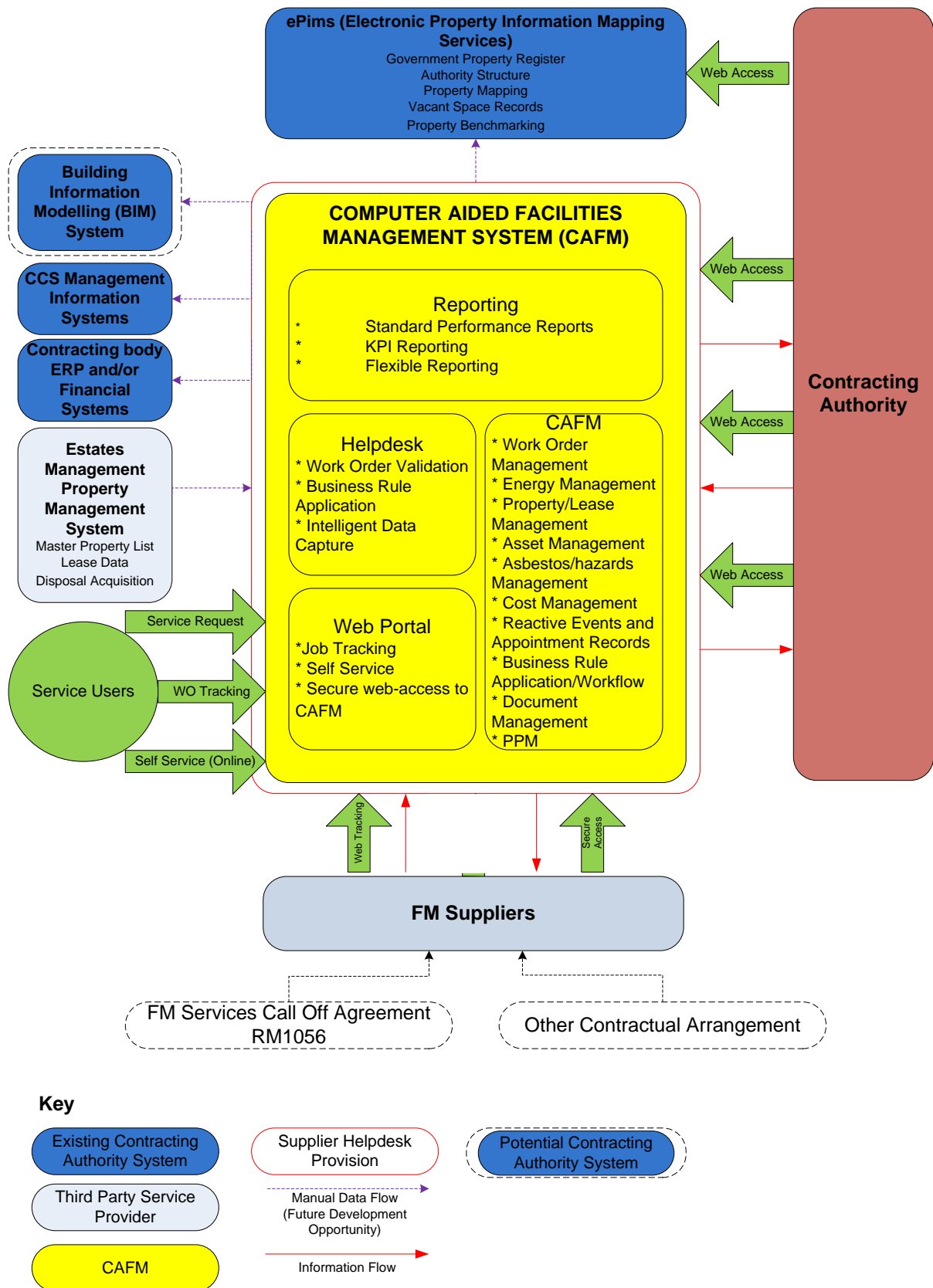
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PART A: SERVICES

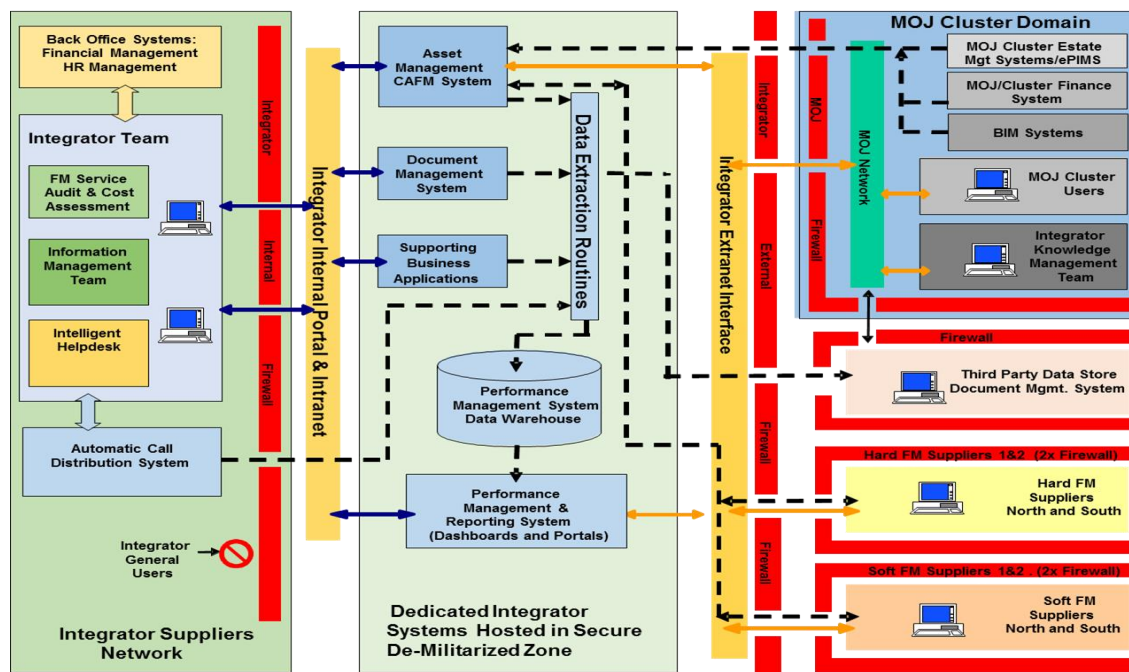
1. INTRODUCTION

- 1.1 The Authority (Ministry of Justice) is seeking to establish a Contract for the provision of Facilities Management (FM) Assurance (Helpdesk and Computer Aided Facilities Management - CAFM), under Framework Agreement RM3720.
- 1.2 The duration of the Contract is 5 years with a possible extension of 2 years in annual increments or part thereof. (5+1+1).
- 1.3 The focus for the Authority is the solution that meets all the requirements, with transparent pricing, where the pricing component are understood and can be flexed according to usage eg Helpdesk activities, licensing and reporting.
- 1.4 The Supplier solution offered shall meet the requirements of the Government Digital Service Open Standards which can be found at:

<https://www.gov.uk/service-manual/making-software/open-standards-and-licensing.html>
- 1.5 The Agent will additionally act as the Accreditor and will require the return of documents as specified by the Accreditor (see paragraph 7). The Accreditor will review the documentation and may require the Supplier to put in place additional controls.
- 1.6 Security accreditation will be managed centrally by the Accreditor while operational management remains with the Authority.
- 1.7 The Government may mandate various elements of the Government Soft Landings policy at any time during the life of the Framework Agreement to improve asset delivery and operation and reduce costs. The Supplier will be notified of any requirements under Government Soft Landings during Mobilisation.
- 1.8 The Supplier shall work within the scope and remit of the Building Information Modelling (BIM) initiative, as required by the Authority and set out within this specification document or as otherwise required and defined during Mobilisation.
- 1.9 The Authority has summarised the potential relationships between the CAFM and the various systems and users that can interface and access the system, as per the diagram below, which will be confirmed by the Authority during Mobilisation.



1.10 The Authority has summarised the potential logical architecture and the various systems and users that can interface and access the system, as per the diagram below, which will be confirmed by the Authority during Mobilisation.



1.11 The FM Assurance Services are central to the delivery of the performance and information led approach to the management of FM the Authority is implementing. The overall outcomes that the Authority is seeking to achieve from the FM model are:

- **Value for Money and Affordable** – the service represents best value on an ongoing basis and is affordable in public sector spending terms meeting CSR requirements;
- **Compliance** – the service model and suppliers will ensure the estate remains compliant with relevant health and safety, legal and MOJ policies at all times;
- **Flexibility** – the service needs to be able to adapt to reflect potential changes in MOJ requirements (such as changes in the size of the estate and number of buildings, transition towards fewer buildings and responding to major incidents and events);
- **Consistency** – services are delivered across the MOJ estate to meet agreed standards and timescales that are consistent and communicated to client sites;
- **Asset Management Led** – maintenance determined from a holistic asset management approach across the estate where decisions on expenditure are made through a thorough asset investment methodology;
- **Performance Led** – uses effective Management Information to drive continuous performance improvement and enables robust decision-making;
- **Resilience** - the provision of services must include the need to guarantee the provision of critical services in all operational circumstances;
- **Proactive** – rather than the service being heavily reactive; and

- **Innovation and Continuous Improvement** – the service providers and Client Unit are forward thinking and continuously improving service over the life of the Contract.
- 1.12 The Authority has a direct contractual relationship with both the Supplier and the FM Suppliers and has incorporated the requirement for FM Suppliers to provide required data and information to enable the delivery of an overall FM solution that is information and performance led within the Tender requirements for the FM Suppliers.
- 1.13 The Authority expects to work with the Supplier to continue to evolve the FM Assurance Services over the life of the Contract.
- 1.14 The Authority also has responsibility for the effective management of the FM Services Framework Agreement which provides access to a range of specific services including total facilities management, hard FM and soft FM services “the FM Services”. It is envisaged the Services to be procured under the FM Assurances Services Framework will complement and assist with the effective management and delivery of the FM Services.
- 1.15 Whilst there is no direct contractual relationship between the Supplier and the FM Suppliers, FM Suppliers will liaise collaboratively with the Supplier to provide the required information for the CAFM to support FM service delivery, throughout the life of the Framework. These functions may include the following:
- 1.15.1 FM Suppliers, along with other Service Users may raise a Service Request via the CAFM system for any work that requires approval from the Authority;
 - 1.15.2 the Service Request becomes a Work Order once approved and FM Suppliers receive Work Orders for various FM services such as cleaning, catering, security, waste management, faults, repairs and maintenance on the Affected Property;
 - 1.15.3 the FM Supplier must then update the status of any Work Order through to completion, along with site visits and any issues or concerns in the CAFM system, for monitoring by the Supplier and Authority;
 - 1.15.4 updates on problems and the steps being taken to effect permanent solutions;

- 1.15.5 fix times for the different severity levels of problems;
 - 1.15.6 progress of all ongoing capital projects and minor works;
 - 1.15.7 future plans and future work; and
 - 1.15.8 PFI contract data and information management.
- 1.16 A typical example of the workflow between the Helpdesk and the FM Supplier is provided at Annex F. Detailed workflows and process maps for all aspects of the services and additional requirements shall be developed by the Supplier during Mobilisation and documented at levels 1-5 within an Operations Manual that can be used for the training of all Client Unit, Estates Directorate and FM Supplier staff accessing the Supplier's services.
- 1.17 The Authority will use reasonable endeavours to ensure that all FM Suppliers will provide a seamless interface with the Supplier, the Authority and other third parties and shall work closely with the Supplier to ensure the success of their respective contracts with the Authority.

2. LOT DESCRIPTION

2.1 The Framework Agreement consists of a single Lot:

Lot Description
FM ASSURANCE SERVICES (CAFM - Computer Aided Facilities Management and Helpdesk) The Supplier shall provide a Computer Aided Facilities Management System and Helpdesk, which will assure the Management Information and data of the operational delivery, independently of the FM Supplier and provide a fully integrated FM support service.

3. MANDATORY SERVICE REQUIREMENTS – FOR ALL CONTRACTING AUTHORITIES

3.1 This paragraph provides details of the mandatory requirements that the Supplier shall be expected to fulfil in their entirety in order to meet the service delivery requirements of this Framework Agreement. It is important that Suppliers take time to fully understand the mandatory requirements of service delivery, as listed below in paragraphs a) - j), which shall be required to start from the Service Commencement Date.

- (a) **CAFM SYSTEM** - The Supplier shall provide a CAFM system to support operational and strategic Facilities Management (FM) as configured to the Authority's requirements and shall provide the required IT systems, application hosting, implementation, support and security for the management of the services. Please refer to further mandatory requirements which can be found at paragraph 4 of this Schedule. It should be noted that the Authority has added additional requirements and service features it requires of the Helpdesk service within paragraph 4.
- (b) **HELPDESK** – The Supplier shall provide a Helpdesk facility, which shall be the single point of contact for all Service Users in relation to all property and FM related Service Requests. Further mandatory requirements can be found at paragraph 5 of this Schedule. It should be noted that the Authority has added additional requirements and service features it requires of the Helpdesk service within paragraph 5.
- (c) **REPORTING** - The Supplier shall have the capability to provide a comprehensive and flexible reporting solution to cover the functional, operational and strategic aspects of FM e.g. Performance and Management Information reporting for both itself and FM Suppliers, as well as Cost and Sustainability Management reporting. Please refer to Contract Schedule 9 Management Information. Further mandatory requirements can be found at paragraph 6 of this Schedule.
- (d) **SECURITY** – The Supplier shall provide a secure service which meets the requirements of “Official” (previously Business Impact Level 2) as a minimum and shall be capable of achieving Pan Government Accreditation. Further mandatory requirements can be found at paragraph 7 of this Schedule.
- (e) **BUSINESS CONTINUITY AND DISASTER RECOVERY** - The Supplier shall provide a robust Business Continuity and Disaster Recovery Plan to ensure continuity of services in the event of an emergency situation. Further mandatory requirements can be found at paragraph 8 of this Schedule and Contract Schedule 10.

- (f) **ASSURANCE MANAGEMENT SYSTEMS** - The Supplier shall have Assurance Management Systems which comply with the principles of ISO9001 and ISO14001 or equivalent standards; the European Foundation for Quality Management or equivalent; a recognised framework for accepted IT service management best practice such as ITIL (IT Infrastructure Library), DSDM or equivalent, the new international standard for information security management - ISO 27001:13 or ISO 27001:2005 transitioning to ISO 27001:13 or equivalent standards. Further mandatory requirements can be found at paragraph 9 of this Schedule.
- (g) **CUSTOMER SATISFACTION AND COMPLAINTS HANDLING** – The Supplier shall have processes in place for measuring customer satisfaction and complaints handling. Further mandatory requirements can be found at paragraph 10 of this Schedule.
- (h) **MOBILISATION** – The Supplier shall ensure a smooth and efficient transfer of the Services, via collaboration with the incumbent and a comprehensive plan detailing resource profiles and Working Hours, TUPE requirements, quality assurance and change control procedures, as well as meeting timetables and Asset registration. Further mandatory requirements can be found at paragraph 11 of this Schedule.
- (i) **EXIT AND TRANSFER** - The Supplier shall facilitate a smooth and efficient transfer of the Services and Asset data to the incoming supplier. Further mandatory requirements can be found at paragraph 12 of this Schedule.
- (j) **ADDITIONAL REQUIREMENTS** – The Authority requires additional features and aspects of service building on the mandatory requirements for the FM Assurance service specifically in relation to:
 - i) **Mobilisation** – provision of technical and project management support to the Authority to ensure that the overall “performance and information led” approach to FM is successfully implemented by the Supplier and FM Suppliers
 - ii) **Information Collection and Management** – provision of a document management and information management capability for all FM service related information including providing the base infrastructure of processes, information, interfaces and systems needed to deliver all FM Assurance Services and to support a performance and information led approach to the management of FM Services and FM Suppliers. The Supplier shall act as a central information hub and deliver a licence free web based portal and dashboard to enable streamlined and efficient access to information, documents and reports. The Supplier shall inform the Authority decision making through provision of accurate and timely information across all aspects of the FM Services.
 - iii) **Helpdesk** – additional requirements and features have been added to paragraph 5 setting out the Authority’s specific additional requirements.

- iv) **Performance Management, Analysis and Reporting** – The Authority has identified additional performance analysis and reporting requirements to support the information and performance led approach to the management of FM. In particular the Authority requires a “real time” licence free, web based performance and analysis dashboard that enables KPIs for the Supplier, FM Suppliers, and Client Unit to be analysed on a daily basis in order to identify areas of performance issues and correct them before KPIs are failed by any party. Performance and analytics dashboards are also required for Affected Building compliance performance and sustainability performance.

- v) **Communication and Coordination of Projects and Building Works** – The Authority has identified additional requirements in relation to the communication and coordination of projects and building works to include the coordination of compiling and prioritising Forward Maintenance Registers with the FM Suppliers and Client Unit. The Authority also requires the Supplier to track the progress and the performance of New Works, unplanned projects, Minor Works and Capital Projects being undertaken in order to ensure FM Services are aligned with such projects.

- vi) **FM Service Audits and Cost Assessment** – The Authority has identified additional requirements in relation to the provision of an integrated audit and assurance service to include commercial audit of work orders, invoice line items and KPI deductions of FM Suppliers and the conduct of a rolling programme of “holistic” building and FM service audits. In addition and as required the Authority may require additional audit and assurance services including:
 - Technical completion audits for projects and works undertaken by FM Suppliers;
 - Listed Building and heritage and/or conservation assurance services;
 - Fire Risk Assessments;
 - Building Condition Surveys;
 - Listed Building Quadrennial Surveys;
 - Forensic building and technical audits; and
 - Investigations in relation to service and asset failures including in relation to Health and Safety issues

- vii) **Contingency Planning and Disaster Recovery** - The Authority has identified additional requirements in relation to the coordination of Business Continuity and Disaster Recovery including ensuring business continuity plans for buildings and FM Suppliers are maintained up to date and accessible, coordinating tests of BCDR plans and supporting the Authority to enact BCDR plans when required.

Details of the specific additional requirements outlined above are provided at paragraph 13 of this schedule

4. CAFM SYSTEM - MANDATORY REQUIREMENTS

4.1 This paragraph describes the mandatory CAFM requirements that the Supplier shall be obligated to fulfil as part of the delivery of the FM Assurance (Helpdesk and CAFM) Services.

4.2 FUNCTIONAL REQUIREMENTS

4.2.1 The Supplier shall configure the CAFM system to the Authority requirements which shall be the focus of the delivery of the FM Services.

4.2.2 The Supplier shall automate the collection of data and ensure the CAFM system has the ability to track and maintain core facilities activities including but not limited to:

- Forward Maintenance Register;
- Maintenance management - demand (reactive), scheduled (preventive maintenance), hard and soft services;
- Emergency management – business continuity;
- FM Supply chain contract documentation (e.g. early warning notices, defect notices, compensation events etc.);
- Asset management;
- Disaster planning – business recovery;
- Operational risk and issues management and compliance;
- Projects;
- Health and safety/statutory compliance information;
- Sustainability – energy, water and waste performance, building certifications;
- Financial management and benchmarking; and
- FM Supply Chain compliance and assurance.

4.2.3 The Supplier shall configure the CAFM system to the Authority's Service Levels (detailed in Schedule 2 Annexes B – E and defined in the Contract Schedule 6 Payment Mechanism, KPIs, Service Levels and Performance Monitoring) to support the Helpdesk in managing Service Requests within the required measures. This shall include the automated identification of:

- Maintenance Standards (See Annex D);
- Critical spaces/Assets;
- Business Critical events;
- Response and rectification times;(See Annex B);
- Property classification; (See Annex E);
- Financial management of Work Orders; and
- Work Order categorisation.

- 4.2.4 The Supplier shall ensure that all response and rectification periods required by the Authority are maintained within the CAFM system. The Supplier shall ensure that the CAFM system has the capability to produce timely alerts as reactive maintenance activities, statutory inspections, planned works or planned maintenance activities are about to breach their Service Level.
- 4.2.5 The Supplier shall ensure that all activities relating to management, quality monitoring, complaints, Planned Preventative Maintenance (PPM) - hard and soft services, statutory inspections, reactive and project tasks are managed, scheduled, executed and monitored through the CAFM system.
- 4.2.6 The Supplier shall ensure that the CAFM system has the functionality to capture material and maintenance costs, for both direct labour and for sub-contract labour, for each Asset.
- 4.2.7 The Supplier shall ensure that the CAFM system has the capability to accommodate an industry standard PPM and statutory inspection regime (see ITT Attachment 14 – Examples of FM Services Data pack), including but not limited to the following functionality:
- Creation of Asset records;
 - Generation of Work Orders based on identifiable tasks and frequency of activities;
 - Generation of exception reporting to highlight issues, e.g. outstanding activities still to be completed; and
 - The generation of printable, 52 week maintenance planners that show all scheduled maintenance tasks and the relevant tolerances relating to the timing of these tasks.
- 4.2.8 The Supplier shall ensure that all Work Order types e.g. Planned and Reactive Maintenance shall have their own set of status classifications relevant to the Work Order type. The Supplier shall ensure that it is not possible for users of the system to apply an incorrect classification status for the Work Order type.
- 4.2.9 The Supplier shall ensure that the CAFM system has the capability to handle locations with differing maintenance standards (see Annex D) and differing standards of service e.g. the ability for FM Suppliers to provide services at local and/or remote locations.
- 4.2.10 The Supplier shall ensure that the CAFM system has the capability for automated Work Order lifecycle monitoring, to ensure that Work Orders are progressed from one status to another within a timeframe to align with response times and or the frequencies of planned activities as confirmed during Mobilisation, or else timely notifications are generated to the Authority for intervention.

- 4.2.11 The Supplier shall ensure that the CAFM system has the capability to allow the segregation of workflow duties as defined by the Authority during Mobilisation e.g. a Service User shall not be able to create and approve their own Work Order.
- 4.2.12 The Supplier shall ensure that the system has the ability to manage and differentiate between Billable and Non-Billable Work Orders.
- 4.2.13 The Supplier shall ensure that the Authority has full access to live data from the CAFM system at all times and that this data shall be capable of being accessed electronically via the Authority's internal network e.g. a web based application which can be accessed via a mainstream web browser within three versions of the current release, which may include:
- Internet Explorer;
 - Firefox;
 - Chrome;
 - Safari; and
 - Web browsers that are known to work with current and future versions of MAC iOS and Mac OS X, Windows Operating System and Android operating systems
- 4.2.14 The Supplier shall ensure clear segregation of data for different Authorities, even where data is hosted in the same location.
- 4.2.15 The Supplier shall ensure that the FM Supplier and third party suppliers are capable to input into the CAFM system, either via direct input or via the use of an electronic interface or Middleware solution (further defined within paragraph 4.9.6 System Integration).
- 4.2.16 The Supplier shall ensure that the CAFM system has the ability to transport CAFM system data securely across the internet between the Authority and supplier systems via API (Application Programming Interface) or batch processing e.g. to import data from third party financial software and export to a data file. The format is to be defined during Mobilisation, however the minimum requirement is XML, CXML and CSV files.
- 4.2.17 The Supplier shall provide the Authority with full access to the Asset Register information to achieve transparency of Facilities Management related information for on-going audit and information purposes. The Authority shall retain all of the rights to this information both physically and intellectually.
- 4.2.18 The Supplier shall provide an audit functionality within the CAFM system such that the Authority and/or FM Suppliers can complete an appropriate audit online. Audit fields shall cover as a minimum, but not be limited to:
- Organisation name;
 - Location name;
 - Location address;

- System reference no.;
- Auditor;
- Date; and
- Service categories and KPIs e.g. maintenance and cleaning.

- 4.2.19 The Supplier shall ensure that all feedback associated with its activities and information relating to the completion of Work Orders is correctly entered into the CAFM system within a timeframe to be specified by the Authority within Supplier KPIs, FM Supplier KPIs and as confirmed during Mobilisation.
- 4.2.20 The Supplier shall ensure that the CAFM system has the capability to allow FM Suppliers to document mitigating reasons, for the Authority's consideration, for their failure to complete a Planned or Reactive Work Order within the required Service Level (e.g. for instances where access to site was denied).
- 4.2.21 The Supplier shall create a facility within the CAFM system which allows the suspension of any activities that cannot be justifiably completed within the detailed timescales e.g. due to lead times of replacement parts or the need for the Authority's approval of costs. The criteria for suspension shall be agreed with the Authority during Mobilisation.
- 4.2.22 The Supplier shall ensure that the CAFM system has the capability to link parent and child (type and sub-type) Work Orders. The Supplier shall track Work Orders through the various stages to completion.
- 4.2.23 The Supplier shall ensure that all mandatory fields within the CAFM system are completed before a status change is permissible and that all Work Orders flow correctly within the CAFM system.
- 4.2.24 The Supplier shall ensure that validation takes place automatically to maintain integrity of mandatory data which will be specified by the Authority during Mobilisation.
- 4.2.25 The Supplier shall ensure that the CAFM system automatically records the date and time of classification status changes. The CAFM system shall have the functionality to:
- 4.2.25.1 Allow the Supplier to identify Work Orders which are above and/or below the specified financial threshold; and
- 4.2.25.2 Allow the Supplier to deduct any cost for repairs where the Authority has included a financial threshold.
- 4.2.26 The Supplier shall ensure that documentation required for relevant Work Orders and statutory activities (eg records, reports certificates and completion reports/job history) is uploaded on completion and the CAFM system has the

capability to upload documentation in a variety of sizes and formats including but not limited to Word/Excel/PDF /HTML and CSV files. All documentation must be available for viewing by the Authority within a maximum of 2 days of receipt by the Supplier.

- 4.2.27 The Supplier shall use a structured folder convention, meta data and filing system within the CAFM system to ensure that uploaded documentation is easily located and searched for.
- 4.2.28 The Supplier shall ensure that all statutory and PPM documentation is easily identifiable within the CAFM system, with appropriate meta data to enable documents to be searched for and located by reference to site, building, EPIMs reference, FM Supplier and Asset Type and Sub Type in accordance with the asset hierarchy
- 4.2.29 The Supplier shall ensure that the CAFM system permits FM Suppliers to update Planned and Reactive Work Orders in the CAFM system with appointment times, attendee information and Permit to Work details.
- 4.2.30 The Supplier shall ensure the CAFM system has the functionality to allow variations to Work Orders where the FM Supplier considers a change is required if this accepted in accordance with Business Rules and/or is approved by the Authority.
- 4.2.31 The Supplier shall ensure that the CAFM system provides the functionality required for System Users to view documentation with appropriate meta data to enable documents to be searched for and located by reference to site, building, EPIMs reference, FM Supplier and Asset Type and Sub Type in accordance with the asset hierarchy.
- 4.2.32 The Supplier shall ensure that the CAFM system provides the functionality to partition data by user profile grouping, based on hierarchies through the portal, to be defined by the Authority during Mobilisation.
- 4.2.33 The Supplier shall ensure that the CAFM system has the capability to meet the requirements of paragraph 8 – Business Continuity and Disaster Recovery.
- 4.2.34 The Supplier shall ensure the CAFM system has the functionality to meet the requirements of paragraph 7 – Security.
- 4.2.35 When requested by the Authority, the Supplier shall ensure that the CAFM system has the ability to interface or develop the ability to interface with various systems, e.g. software to enable management of Building Information Modelling (BIM) and Authority Enterprise Resource Planning (ERP).

4.3 HELPDESK INTEGRATION

- 4.3.1 The Supplier shall ensure that the CAFM system links to the Helpdesk and provides the functionality to deliver all requirements detailed within paragraph 5. The Supplier shall also ensure the CAFM system can, as a minimum, but not limited to:
- (a) Track maintenance activity, status updates and the provision of on-screen alerts by Supplier Personnel;
 - (b) Categorise call types to include faults/service request, request for information, complaint, out of scope request, call chaser, new requirement/project, compliment, declared emergency;
 - (c) Provide automated email notifications of Work Orders on creation and completion to the individual who placed the call/submitted the request and the key point of contact onsite, if different;
 - (d) Ensure that all Service Requests are tracked, time stamped and traceable to the Supplier's Personnel that dealt with the activity and amended or changed details at any time;
 - (e) Provide automatic associated hazard warnings, e.g. Business Critical requests, BMS (Building Management System) alarms and asbestos alerts;
 - (f) Provide clear and proactive management of Service Levels;
 - (g) Automatically prioritise Work Orders and job escalation when appropriate; and
 - (h) Asset management and tracking.

4.4 BUILDING ASSET MANAGEMENT AND TRACKING

- 4.4.1 The Supplier shall ensure that the CAFM system provides the Authority and its FM Suppliers with integrated Asset management functionality, including but not limited to a detailed Asset register, tracking and trend analysis capability. Please refer to paragraph 13.3 pertaining to mobilisation milestones and Asset Verification requirements.
- 4.4.2 The management of the Asset Register shall reside with the FM Suppliers, however a mirror copy shall be maintained by the Supplier. It is the FM Suppliers responsibility to ensure the asset data is complete and up-to-date but it is the Integrators responsibility to set up the process for changing the Asset Registers.
- 4.4.2.1 The Supplier shall ensure that the Asset tracking functionality shall have the capability to:

- (a) Provide various forms of information relating to Assets including but not limited to:
 - i) Location;
 - ii) Warranty;
 - iii) Parts and maintenance records; and
 - iv) The information and attributes as set out within the Asset Hierarchy provided at Appendix G
- (b) Provide logical grouping of Assets for easy storage, retrieval and viewing;
- (c) Provide the ability to record Planned and Reactive Maintenance activity information to enable full visibility to the Authority of an Assets service history and to enable analysis such as mean time between faults to be undertaken by the Supplier;
- (d) Ensure Planned and Reactive Maintenance activity requirements generate alerts at the appropriate time to ensure maintenance is carried out within the timescales as specified by the Authority within the response time matrix and PPM frequencies applicable to the FM Suppliers;
- (e) To assist FM Suppliers with scheduling of PPM visits, the CAFM system shall schedule and automatically generate PPM (hard and soft services) and statutory Work Orders, based on inputs received from the FM Suppliers;
- (f) Identify Critical Assets to ensure work is managed within the timescales specified by the Authority within the response time matrix and PPM frequencies applicable to the FM Suppliers;
- (g) Integrate with other facilities data to provide detailed financial and ownership details;
- (h) Identify movement and tracking of Assets within existing or external systems;
- (i) Group Assets into various profiles e.g. in accordance with the Authority's Representatives, departments, regions or locations;
- (j) Produce Asset lifecycle reports to the Authority including but not limited to repair details, costs per Asset and identifying Assets which are replaced;
- (k) Provide FM Suppliers with the ability to manage Asset data within the CAFM system via licence or Middleware/interface solution access;

- (l) Provide an export capability of Asset data to third party applications in a variety of formats including but not limited to Word/Excel/PDF/HTML/CSV and any subsequent variations to these formats as a result of through life technology changes;
- (m) Provide full Asset reporting for distribution to interested parties specified by the Authority;
- (n) Monitor building lifecycle costs and energy efficiency; and
- (o) Record all consumption and expenditure levels for all utilities at a site by site metre level. Consumption data to be provided from the FM Suppliers. Please see 6.30.1.

4.4.2.2 The Supplier shall ensure that all Assets are linked into the CAFM system and individually referenced using data provided by the FM Supplier (either via a bar code or unique number). The Supplier shall ensure the CAFM system is capable of identifying Assets and hierarchical structures aligned to and compliant with the Asset Hierarchy provided at Annex G, including but not limited to:

- Service type;
- System Type;
- Asset Type;
- Asset Sub Type;
- Asset Description;
- Asset attributes;
- Geographical location (site, building or floor); and
- Criticality.

4.4.2.3 The Supplier shall ensure the CAFM system has the capability to automatically link Assets to create PPM schedules which are printable by building in a 52 week planner format.

4.4.2.4 The Supplier shall ensure that all Assets which are scheduled for maintenance or require attention due to malfunction are identified on Work Orders with respect to type and accurate location.

4.4.2.5 The Supplier shall ensure that an accurate and up to date 10 year maintenance/lifecycle/improvement plan (Forward Maintenance Register) is developed and maintained within the CAFM system. Sources of data to populate shall include, but not be limited to; fault history, building condition survey, building audits and risk assessments, input from the FM Suppliers and Client Unit/MOJ.

4.4.2.6 The Supplier shall ensure that the Forward Maintenance Register is updated as Assets are added or deleted.

- 4.4.2.7 The Supplier shall ensure that the CAFM system has the ability for two-way communication e.g. to import data from third party financial software and export to a data file. The Authority shall confirm the format during Mobilisation, however the minimum requirement includes but is not limited to XML or CXML or CSV files via API or batch processing.
- 4.4.2.8 The Supplier shall ensure that Condition Survey data and update of Assets, feed into an annual life cycle report for the Authority. Please see 13.6 for further guidance.
- 4.4.2.9 The Supplier shall ensure that the CAFM system has the functionality to identify Assets that are replaced or retired to enable the Authority to track the changes against its financial records.
- 4.4.2.10 The Supplier shall ensure the CAFM system has the ability to record and track the history of Reactive Maintenance activities on specific Assets as required by the Authority.

4.5 COST CONTROL

- 4.5.1 The Supplier shall ensure the CAFM system provides cost control functionality which has the capability to, as a minimum, but not limited to:
 - (a) Track costs through multi-level hierarchy of budgets, contracts and projects and align costs to established cost codes including ITOCC;
 - (b) Provide transparency of full Facilities Management spend for example, the full breakdown of the costs of works carried out;
 - (c) Navigate, search and view all financial information which shall be structured to align to the ITOCC and Contract Authority chart of account structures;
 - (d) Track, break-down and distinguish between maintenance costs, for both labour and materials;
 - (e) Track, break-down and distinguish between Service Request costs, to view both the Authority's chargeable amount and actual cost as separate items;
 - (f) Support and manage estimates and tenders in line with the Authority's financial requirements, for example the requirement for estimates or tenders in line with financial thresholds;
 - (g) Provide project support which enables tracking of project spend and key dates.

- (h) Circulate information to stakeholders via email or other specified methods;
- (i) Apply a purchase threshold above which the Authority needs to authorise;
- (j) Navigate data systems to ensure management and retrieval of all facilities information;
- (k) Manage Health and Safety equipment costs and Work Orders; and
- (l) Allow the Authority to use their own account codes and purchase order numbers within the CAFM system fields of a specified character length to associate a purchase order within the system generated Work Order.

4.6 PROPERTY MANAGEMENT FUNCTIONALITY

4.6.1 The Supplier shall ensure the CAFM system includes a property management functionality which has the capability to:

- (a) Provide property management data e.g. utilities usage and Energy Performance Certificate (EPC) required for export to the electronic Property Information Mapping System (e-PIMS);
- (b) Track the condition of the Affected Property including but not limited to:
 - (i) Structure;
 - (ii) Fabric; and
 - (iii) Mechanical elements.
- (c) Record property data including but not limited to:
 - (i) Tenure;
 - (ii) Landlord details and service responsibilities;
 - (iii) Occupier details and service responsibilities;
 - (iv) Lease/tenancy expiry date;
 - (v) Site closures;
 - (vi) Projects and works in progress;
 - (vii) Special access requirements;
 - (viii) Accessibility compliance;
 - (ix) Site risks;
 - (x) Third party Agreements;
 - (xi) Site boundaries; and
 - (xii) Building site and space plans.

4.7 LANDLORD RESPONSIBILITIES

- 4.7.1 The Supplier shall ensure that the CAFM system has the functionality to identify Work Orders associated with the Affected Property that are the responsibility of the landlord.
- 4.7.2 The Supplier shall develop a database of landlord obligations within the CAFM, with lease data to be provided by the Authority.
- 4.7.3 The Supplier shall ensure that the CAFM system has the ability to issue a Reactive Work Order in an electronic format (including via email) to the managing agent/landlord.

4.8 USAGE DATA

- 4.8.1 Typical annual CAFM usage data for the Authority is provided within the Data Room.

4.9 SYSTEM REQUIREMENTS

4.9.1 ACCESS

- 4.9.1.1 The Supplier shall ensure that the CAFM system shall be able to provide multiple user types and profile levels, which will be agreed with the Authority during Mobilisation.
- 4.9.1.2 The Supplier shall ensure that the CAFM system will be made available via secure web access to the Authority's authorised licence holders, including but not limited to Authority Representatives, FM Suppliers and third party suppliers.
- 4.9.1.3 The Supplier shall provide a web portal for Service Users to access by various web browsers, to allow real time tracking of Work Order status. The web portal will be linked to the CAFM, but access to the full CAFM may not be required by all Service Users. Full details of access requirements will be agreed with the Authority during mobilisation such that all building users will be able to log and track all Service Requests.
- 4.9.1.4 The Supplier shall ensure the web portal has the functionality for Service Users to view documentation and PPM calendars, as agreed with the Authority during Mobilisation so that the Client Unit and Estates Directorate staff can view all documentation for any building, FM Suppliers can view the documentation for all of the buildings they are responsible for and Building users/occupants can view documentation relating to the building they occupy

- 4.9.1.5 The Supplier shall ensure the web portal will be partitioned by profile grouping, for security purposes.
- 4.9.1.6 The Supplier shall provide a web portal landing page which can be configured to meet individual Authority and differing user profile requirements, which shall be agreed with the Authority during Mobilisation.
- 4.9.1.7 The Supplier shall, with exception of mutually agreed maintenance downtime, ensure access to the CAFM system can be gained 24 hours a day, 365 days per year, as per clause 5.2.1
- 4.9.1.8 The Supplier shall provide access rights and set up of new profiles and permissions after personnel security clearance and approvals have been received from the Authority.
- 4.9.1.9 The Supplier shall ensure that the CAFM system is able to allocate user profiles and authority levels which will be set by the Authority during Mobilisation and may differ by user for example by Authority, FM Suppliers and third party suppliers.
- 4.9.1.10 It shall be the Authority's responsibility to ensure that redundant user profiles are notified to the Supplier within twenty-four (24) Working Hours of the profile becoming redundant or moved to another user. The Supplier shall then block access to the user.
- 4.9.1.11 The Supplier shall provide ongoing account management including but not limited to removals of leaver accounts, deletions and disabling access.
- 4.9.1.12 The Supplier shall provide evidence of regular account management review to the Authority, details and format to be agreed with the Authority during Mobilisation.
- 4.9.1.13 The Supplier shall ensure that the CAFM system allows individual System Users to be restricted from accessing certain areas of the system and further restrictions shall include 'read only', 'read/write' or 'access barred'.
- 4.9.1.14 The Supplier shall allocate different access rights to System Users as confirmed with the Authority during Mobilisation, including but not limited to tiering of their specific management, regional, location and/or building hierarchies.
- 4.9.1.15 The Supplier shall permit the FM Supplier and the Authority's designated staff access to the CAFM to extract information and run reports without necessitating further work or reversion to the Supplier.

- 4.9.1.16 System Users shall require a log in account, username and password for use of the CAFM system.
- 4.9.1.17 The Supplier shall ensure that the system passwords are composed of 8 alphanumeric characters, as a minimum.
- 4.9.1.18 If requested by the Authority, the Supplier shall set different lock out defaults for different System Users during Mobilisation.
- 4.9.1.19 The Supplier shall put in place a password management system which includes but is not limited to:
- (a) Provision of a CAFM system generated initial password which forces users to change password after first login;
 - (b) Ability for System Users to select and change their own passwords and includes a test for the strength of the password;
 - (c) Requirement for passwords to be changed (refreshed) by automatic generation every 90 days, managed by the System User;
 - (d) Maintaining a record of previous user passwords, e.g. for the previous 12 months, and prevents re-use;
 - (e) Non- display of passwords on the screen when being entered;
 - (f) Storage of password files separately from application system data;
 - (g) Storage of passwords in encrypted form using a one-way encryption algorithm;
 - (h) Alters default vendor passwords following installation of software;
 - (i) User alerts of imminent password expiry via system generated notifications; and
 - (j) Ability for passwords to be reset via the system upon request by user.
- 4.9.1.20 The Supplier shall ensure that the application for the CAFM system is made available via standard web browsers. As a minimum this shall include but not be limited to latest versions of Internet Explorer, Firefox and Chrome over the internet. Other web browsers may include browsers which are compatible with Apple Mac (e.g. Safari) and Windows platforms.
- 4.9.1.21 The Supplier shall ensure CAFM system compatibility is maintained with latest browser versions as they are updated, with backwards compatibility required for browsers up to Internet Explorer 8. While backward compatibility

may be necessary for versions older than IE 8, such a requirement will be confirmed during Mobilisation and any costs associated are to be assessed on an open book basis.

- 4.9.1.22 The Supplier shall be responsible for any CAFM system requirements for any change in web browsers e.g. from Internet Explorer to Chrome.
- 4.9.1.23 The Supplier shall ensure standardisation of network communication via web access, as represented at Layer 3 of the OSI Reference Model, to allow compatibility between any network connected devices. IPv4 and IPv6 are the de facto standard Layer 3 network protocols, however equipment must be capable of supporting IPv6 either now or as a result of an identified manufacturers road map for providing IPv6 capability.
- 4.9.1.24 The Authority shall be responsible for:
 - (a) Ensuring that there is sufficient bandwidth available to allow a satisfactory level of system performance; and
 - (b) Providing input into the development process of the CAFM system during mobilisation as detailed in paragraph 11 - Mobilisation.
- 4.9.1.25 The Supplier shall utilise an assured data transport mechanism, appropriate for the Services and Business Impact Level being delivered (assessed as "Official") and aligned to the Government's Public Services Network (PSN) strategy. The Supplier shall ensure that they have received approval (against the relevant requirements/assurance mechanisms) from the network provider for connection of their services (e.g. PSN compliance).
- 4.9.1.26 The CAFM system shall be configured such that, in the event of expiry or termination, data in it can be transferred to another Supplier or the Authority. This transfer shall cause minimum disruption to the Authority's core services, system operations and maintenance.
- 4.9.1.27 The Supplier shall ensure that no access rights to networks provided by the Supplier or applications delivered across these networks are provided to individuals or entities without authorisation from the Authority.

4.9.2 **FILE REPOSITORY**

- 4.9.2.1 The Supplier shall ensure that all files and folders are easily located and searchable within the CAFM system via the use of meta data, a structured folder and file system/repository.

4.9.3 IT SERVICE MANAGEMENT

4.9.3.1 The Supplier shall use a recognised framework for accepted IT Service Management best practice such as ITIL (IT Infrastructure Library) which shall include but not be limited to:

- (a) Transition planning and support;
- (b) Change management;
- (c) Service asset and configuration management;
- (d) Release and deployment management;
- (e) Service validation and testing;
- (f) Change evaluation;
- (g) Knowledge management;
- (h) Problem management;
- (i) Service support;
- (j) Application support and maintenance;
- (k) IT asset management;
- (l) Incident management;
- (m) Infrastructure maintenance; and
- (n) Data storage and capacity management.

4.9.3.2 The Supplier shall ensure that the processes identified above are documented within the Supplier's operation manual and describe all of the Service management processes.

4.9.3.3 The Supplier shall ensure that all changes made to an application used in connection with the provision of the Services are subject to the Authority's acceptance procedures, before being released into the live environment. As a minimum, the Supplier shall ensure that all changes made to an application are fully system tested within an isolated application testing environment.

4.9.3.4 The Supplier shall ensure that there is sufficient capacity in its solution and discretely monitor its performance and take appropriate remedial action where necessary.

4.9.3.5 The Supplier shall provide plans for dealing with expansion of data capacity as Contracting Bodies are on-boarded and for future life provisioning.

4.9.3.6 The Supplier shall comply with the governance of the system and security requirements as detailed in Framework schedule 8 (Framework, Service and Security Management).

4.9.4 IT SUPPORT HELPDESK

4.9.4.1 The Supplier shall provide an IT support Helpdesk which is accessible via telephone and email, during normal Working Days.

4.9.5 LICENCES AND OWNERSHIP

4.9.5.1 Where the CAFM system is provided by the Supplier, the Supplier shall provide user licences for the Authority and FM Suppliers where required.

4.9.5.2 The Supplier shall be able to provide individual and enterprise licences, to enable:

- (a) 50 Client Unit staff to access and use the CAFM system actively on a daily basis;
- (b) A further 50 staff across dispatch and technical teams in the FM Suppliers to access and use the CAFM system actively on a daily basis;
- (c) All building occupants to track service requests/work orders as needed; and
- (d) That within each property, a small number (1-5) of individuals will also require read and view access to performance dashboards and document repositories.

It is not expected that all of the above users will be using the CAFM system concurrently. Individual licences provided shall be transferable.

4.9.5.3 Where the Supplier is required to provide individual licences an expected number of licences will be provided at Call Off stage (as outlined above). Where required, the Supplier shall offer pricing for quantity bands over or below the expected number at Call Off stage.

4.9.5.4 It shall be the Authority's responsibility that redundant user licences are notified to the Supplier within twenty-four (24) Working Hours of the licence becoming redundant or moved to another user. The Supplier will then block access to the user.

4.9.5.5 The CAFM system shall be capable of automatically identifying unused or redundant licences and blocking access. Details of unused or redundant licences shall be provided to the Supplier to the Authority on a monthly basis.

4.9.6 SYSTEM INTEGRATION

4.9.6.1 The Supplier shall provide a fully integrated solution for both the Helpdesk function and the CAFM system.

4.9.6.2 The Supplier shall integrate the CAFM system with FM Suppliers' CAFM systems who are delivering FM services on behalf of the Authority.

- 4.9.6.3 If it is identified that Middleware or interface solutions be required to facilitate integration, such costs will be approved by the Authority at Call Off stage.
- 4.9.6.4 Not Used.
- 4.9.6.5 The data integration of the FM Supplier's hand held devices and those of their subcontractors must be routed through the FM Supplier's CAFM to maintain accuracy of data and FM Supplier validation.
- 4.9.6.6 The Supplier shall ensure that the CAFM system integrates with interface or Middleware solutions to enable reliable and effective data transfer in real time between the Supplier's CAFM system and the FM Supplier's CAFM system.
- 4.9.6.7 If required by the Authority the Supplier shall be required to ensure that the CAFM system integrates with the Authority's or Cluster shared services Management Information system to both extract and input data.
- 4.9.6.8 Interface and connectivity will be confirmed by the Authority during Mobilisation. The minimum requirements shall include but not be limited to transfer via API, batch, manual and automated methods, taking full account of GDS (Government Digital Service) open source standards.

4.9.7 **DATA STANDARDS**

- 4.9.7.1 The Supplier shall adhere to the data standards detailed in paragraph 9 – Assurance Management and those defined by the Authority at Call Off stage.
- 4.9.7.2 The Supplier shall use a common set of data standards on the CAFM system for all data that will be passed to and from the CAFM system. Data standards will be confirmed by the Authority during Mobilisation.

4.9.8 **BACKUP AND RECOVERY**

- 4.9.8.1 The Supplier shall ensure a regular automated backup of the CAFM system including but not limited to the whole system, files and records as specified by the Authority. The Supplier shall ensure the Authority's requirements for comprehensive and regular backup are met by:
- (a) Specifying the frequency of the backup;
 - (b) Selecting classes, files or records to be backed up;
 - (c) Allocating storage media, system or location for the backup, e.g. off-line storage, separate system, remote site;

- (d) The use of an external third party backup facility;
- (e) Ensuring use of the backup facility is audited, against Authority requirements;
- (f) The storage of backed up data for the period specified by approved government standards;
- (g) Provision for flexible short term data retention;
- (h) Ensuring the system is able to be restored entirely from the backup within two (2) hours, upon request from the Authority;
- (i) Ensuring the system is backed up every day on an incremental basis and weekly as a full system backup; and
- (j) Weekly backups of the CAFM system shall be stored off-site.

4.9.9 SUPPORT, MAINTENANCE AND UPGRADES

- 4.9.9.1 Except as stated in paragraph 4.9.9.2, the Supplier shall only operate software that is used in the performance of the Services in versions which are supported by the vendor of that software.
- 4.9.9.2 If the support for any software used by the Supplier in performing the Services is due to expire within the lifetime of the Contract, the Supplier shall migrate to a supported version of such software or to its replacement at least 6 months prior to the expiry of such support, unless otherwise specified by the Authority.
- 4.9.9.3 The conditions above are valid for any additional (third party software) used in the application environment, e.g. Cluster software, monitoring software, file system and volume management software reporting tools.
- 4.9.9.4 The Supplier shall continue to support current software versions whilst updating to future software versions, through to the expiry of the Contract.

4.9.10 HOSTING APPLICATION / DEPLOYMENT

- 4.9.10.1 The Supplier shall work to continuously manage and improve the delivery of a centralised Supplier solution, ensuring robust availability, solution maintenance and technical support.
- 4.9.10.2 The Supplier shall make available and host the Supplier system and allow authorised users to access and use the same.

- 4.9.10.3 The Supplier shall manage the hosting of the solution and make it available to System Users, via a secure website having a unique web address.
- 4.9.10.4 The Supplier shall ensure that the hosting environment is scalable to ensure that any increasing scope of service or customer base can be managed.
- 4.9.10.5 The Supplier's CAFM system shall be supported across three environments to provide development, test and live access.
- 4.9.10.6 The Supplier shall provide additional environments to the Authority should this need arise.
- 4.9.10.7 The Supplier shall manage the whole of the Supplier solution infrastructure, including but not limited to performance and management of the central server configuration, encryptor management, firewall management, data filter management and WAN management.
- 4.9.10.8 The Supplier shall proactively monitor the Supplier solution servers and related network for traffic and capacity, and shall report on traffic volumes, disk utilisation and percentage capacity free on disk, performance data, workload analysis, peaks and failures for each reporting period.
- 4.9.10.9 The hosting of the Service shall provide the flexibility for the Supplier to host the system initially but have the ability to transfer the system components to a different hosting environment in the event of any loss of performance of the system. This may be facilitated as below:
 - (a) The Supplier shall maintain a Components Register, detailing all hardware and software components, such that a third party could establish an identical replacement CAFM system in a separate hosting environment in the event of the loss of the system. Maintenance of this Register would be subject to ITIL change control management processes.
 - (b) The Supplier shall ensure that the data is regularly backed up and stored in a separate environment and location by an independent third party as defined by the Authority as per clause 4.9.8. The detail of the backup requirements for the transfer of the system will be agreed during Mobilisation.
 - (c) The Supplier shall ensure that, in the event of a system loss, service is transferred to the replacement system, as detailed in clause 8.2.4.1 (b) within the agreed timescales. Timescales for switchover of service shall be no more than four hours.
- 4.9.10.10 The data shall be held in a format as agreed with the Authority during Mobilisation. In accordance with paragraph 12.9, in the event that the Supplier is no longer able to provide the Services, the data which is owned by the Authority shall be transferred to the Authority, a new supplier of the

Services or an elected third party in the agreed format and at no cost to the Authority.

4.9.11 SOFTWARE UPGRADES

- 4.9.11.1 The Supplier solution provided shall not require any immediate upgrades, and will be capable of running for a period of no less than twelve (12) months without the disruption of upgrade or refresh unless agreed in advance with the Authority.
- 4.9.11.2 The Supplier shall provide technological refresh of all hardware and / or software used to provide the Supplier solution in line with industry standards for technology refresh.
- 4.9.11.3 The Supplier shall not charge for developments against the Supplier solution's obsolescence or for the implementation of any upgrades required.
- 4.9.11.4 Scheduled upgrades shall only be carried out by the Supplier at times agreed in advance with the Authority.
- 4.9.11.5 Any maintenance releases must be accompanied by full release notes, describing all changes to the solution and referencing supporting documentation.

4.9.12 SYSTEM AVAILABILITY

- 4.9.12.1 The live CAFM system shall, under normal circumstances excluding mutually agreed downtime, be available for use 99.95% of the time (measured over a Month).
- 4.9.12.2 The Supplier shall record and report service downtime for agreed availability periods.
- 4.9.12.3 The time taken from sending an inbound message to the Supplier CAFM system to transmission of the outbound message across the Supplier CAFM system (including but not limited to, for the avoidance of doubt, the time taken for any necessary processing) based on a connection speed of 2mbps, shall be no more than ten (10) seconds and this shall be met in no less than 95% of cases.
- 4.9.12.4 Data and information submitted to the Supplier CAFM system shall be backed up and protected from loss through accidental, deliberate or careless acts or in the event of equipment failure or other disaster.
- 4.9.12.5 The Supplier CAFM system shall ensure the integrity of documents and messages against accidental or deliberate alteration from the point at which they are received by the system.

- 4.9.12.6 Measures shall be in place to ensure that, in the event of accidental deletion or alteration of data, these changes shall be detectable and can be recovered through backup restoration.
- 4.9.12.7 All information created within the Supplier CAFM system shall be retained for a minimum of seven (7) years after the expiry of the Contract or until such time as the Authority orders its deletion.
- 4.9.12.8 The Supplier CAFM system shall be capable of storing all data and information required for the needs of managing and maintaining the long term requirements. The Supplier shall scale the solution on the basis of the requirement to hold three (3) years' detailed information on the live environment.
- 4.9.12.9 Archived information shall be retrievable by the Authority from the Supplier CAFM system without technical support.
- 4.9.12.10 The Supplier shall ensure that the servers shall be regularly monitored to ensure that their performance meets service requirements. This shall include monitoring of all critical components.
- 4.9.12.11 The Supplier shall provide details of all the environmental services (e.g. air conditioning, power supplies, etc.) along with any contingency arrangements that are in place in the event of failure.
- 4.9.12.12 The Supplier shall provide details of the server monitoring facilities that are available along with any escalation process that is in place. Where there is a tiered service monitoring option, details of what each level comprises of and the benefits shall be provided to the Authority.
- 4.9.12.13 The Supplier shall provide details of the procedures and timescales in relation to the application of vendor critical patches to servers. This shall also include the testing to be undertaken before the patches are applied.
- 4.9.12.14 The Supplier shall provide details of the level and frequency of monitoring that is undertaken of any security device (e.g. a firewall). Details shall also be provided relating to any escalation processes that are in place.
- 4.9.12.15 The Supplier shall provide database administration support. It is envisaged that this will entail a monthly examination of the database configuration / utilisation to ensure that it is running efficiently and to proactively address any potential issues.
- 4.9.12.16 All components of the CAFM system shall be located in a dedicated lockable rack or equivalent.
- 4.9.12.17 Database separation between Authority(s) shall be enforced at all points within the Service where the Service is exposed to other Authority(s). One

Authority shall not be able to affect the confidentiality, integrity or availability of another Authority's data.

- 4.9.12.18 The Supplier shall ensure that daily incremental backups are performed on each server, with a full backup being run once a week. Details shall be provided regarding the mechanism used to perform the backups, where the backup media is stored and of the processes surrounding the Authority's access to backup media.
- 4.9.12.19 Where a firewall is implemented, the Supplier shall provide details regarding the recommended product and the processes surrounding its configuration, monitoring, change control and escalation procedures. The same shall be applied for any intrusion detection system or system activity monitor (e.g. Tripwire).
- 4.9.12.20 Should there be a failure within any part of the Services the Supplier shall ensure that Service Levels are restored within the Service Levels described in Framework Schedule 2 (Services and Key Performance Indicators) and detailed in the Authority's Contract Schedule 6 (Payment Mechanism, Service Levels, KPIs and Performance Monitoring). Additional charges may be applicable in the event that the Authority wishes to restore the Services in a reduced timeframe.
- 4.9.12.21 The Authority reserves the right for itself or its agents to inspect the Suppliers facilities or in case of third party hosting, the hosting company's premises and to specifically inspect and review the components that comprise the CAFM system. No more than one (1) Working Day's notice shall be required to facilitate this.
- 4.9.12.22 The Supplier shall provide notification of any circumstances that will prevent the Authority from gaining direct access to any application used to provide the Services or to the servers / data.
- 4.9.12.23 The Supplier shall ensure that the following information is made available to Authority(s):
- (a) The geographic locations where Authority data is stored, processed or managed from; and
 - (b) The applicable legal jurisdictions that the Supplier operates within and how it provides comparable controls to those required under UK legislation.
- 4.9.12.24 The Supplier shall provide details of fault reporting / management process that is in place and how the Authority will make contact with the hosting company if a third party is used.

- 4.9.12.25 In the event that the Supplier uses a third party for any aspect of the Service, the Supplier shall ensure that the supply chain satisfactorily supports all of the security principles that the service is to deliver.

4.10 TRAINING

- 4.10.1 The Supplier shall provide online guidance and process documentation in the use of the CAFM system to support the Authority, FM Suppliers and third party suppliers. The Supplier shall provide hard copies where appropriate at no additional cost. The Supplier shall provide on-going updates related to future development changes at no additional cost. The guidance and process documentation shall be presented in the form of an Operations Manual that documents, all for Supplier services and additional requirements, processes and workflows (using a standard process mapping methodology) from level 1 – level 5 and includes clear user operating instructions for all processes and workflows with screen shots and guidance notes as necessary
- 4.10.2 The Supplier shall provide classroom training to key System Users, including but not limited to the Authority and FM Suppliers, prior to the Service Commencement Date. The Supplier shall structure training in modules covering all aspects of the services, processes, workflow and systems with 12 half day classroom training sessions to be delivered.
- 4.10.3 The Supplier shall adopt a 'train the trainers' approach. The Authority and FM Supplier will nominate representatives who will assume a 'super user' role on the CAFM system and the Supplier shall train the 'super users' so that they are familiar with the full administration of the CAFM system. The representatives shall be tasked with the training and addition of further users to the CAFM system. The volume of staff requiring training comprises 12 half day class room training sessions to an audience of up to 20 representatives at each half day session.
- 4.10.4 The Authority's expectation is that user and administrator classroom training shall be kept to a minimum. For the majority of users the service will be intuitive and users shall be assisted by on-line help and guidance material.
- 4.10.5 The Supplier shall ensure that every training course provided will be assessed by the attendees including, as a minimum, but not limited to:
- the course meeting its objectives;
 - standard of lecturer;
 - standard of documentation; and
 - overall quality.
- 4.10.6 Training courses and materials provided by the Supplier under the training service shall be subject to formal acceptance by the Authority. If requested by the Authority the training courses shall be held at one of the Authority's

locations. The Authority shall approve all venues, attendees, times and dates for all training courses and materials provided by the Supplier under the training service.

- 4.10.7 The Supplier shall arrange contact and enrolment of all staff attending training courses.
- 4.10.8 The Authority shall have the right to deliver training itself, or via third parties, using training materials provided by the Supplier.
- 4.10.9 The Supplier shall ensure that training is designed to be inclusive of those with special needs and to facilitate the use of specialised equipment where appropriate. Normally this will be part of any order for special needs equipment.
- 4.10.10 Representatives of the Authority may observe any course.
- 4.10.11 The Supplier shall provide a complete training environment for all supported applications, appropriately sized for the user community.

5. HELPDESK - MANDATORY REQUIREMENTS

- 5.1 This paragraph describes the mandatory Helpdesk requirements that the Supplier is obligated to fulfil as part of the delivery of the FM Assurance Service (Helpdesk and CAFM) Agreement.

5.2 OVERVIEW

- 5.2.1 The Supplier shall provide a professionally managed, appropriately staffed and supervised, high-quality Helpdesk service aligned to the CAFM system, twenty four (24) hours per day, three hundred and sixty five (365) days per year (366 days in a leap-year) in order to accommodate peak traffic during Core Working Hours and reduced traffic outside those Core Working Hours.
- 5.2.2 The Supplier shall provide a customer oriented contact centre/help desk capability to receive all FM service requests including reactive requests relating to faults, problems, issues, requests and questions and which deals with all requests in a professional, sympathetic, courteous, helpful, efficient and accurate manner.
- 5.2.3 The Supplier shall ensure that the Helpdesk shall provide the following requirements, including but not limited to:
- (a) The capture, monitoring and escalation of active requests;
 - (b) The capture, monitoring and escalation of risks;
 - (c) Customer satisfaction monitoring and Complaints handling as referred to in paragraph 10 – Customer Satisfaction and Complaints Handling;
 - (d) Helpdesk promotional activities for example, Building User surveys;
 - (e) Flexible and comprehensive reporting as detailed in paragraph 6 – Reporting and Framework Schedule 9 – Management Information;
 - (f) Support of the CAFM system for use by the Authority and the FM Supplier, to manage the Authority's Assets and Work Orders through to completion, to plan and record maintenance regimes and to manage sustainability activities e.g. energy, water and waste performance management; and
 - (g) The recording, reporting and analysis of their performance and self-monitoring of the Helpdesk Services.

- 5.2.4 The Supplier shall manage and supervise the Helpdesk to ensure continuous and satisfactory delivery of the required Helpdesk Services, within the broad Service Levels as listed in Annexes B, C, D and E and as confirmed during Mobilisation.

5.3 **SCOPE**

- 5.3.1 The Supplier shall ensure that the Services provided by the Helpdesk supports the provision of FM Services by the FM Suppliers and Third Parties (e.g. landlords). In scope Services are listed at Annex A.
- 5.3.2 The Supplier shall ensure that any Service Request, shall result in the creation of a Work Order. The processes relating to the approval or rejection of Works Orders and the creation, approval or rejection of Task Orders shall be agreed with the Authority during Mobilisation.
- 5.3.3 The Supplier shall ensure that The Helpdesk Service will be effective, flexible and efficient in coping with variable demands and will provide a high level of Customer care creating confidence that a timely response will be achieved.
- 5.3.4 The Supplier will marshal resources to maximum benefit to the Authority and coordinate emergency responses in a proficient and professional manner.
- 5.3.5 The Supplier will provide a twenty four (24) hours per day, three hundred and sixty five (365) days per year (366 days in a leap-year) monitoring service of specific systems including, but not limited to; BMS, building alarms, building and internal security systems, fire alarms, lift alarms and building CCTV systems.

5.4 **SERVICES**

- 5.4.1 The Supplier shall ensure that the Helpdesk provides a single point of contact for Service Users in relation to all property/Facilities Management related Service Requests.
- 5.4.2 Supplier Personnel may be required to refer the Service User to a third party e.g. a landlord, to directly resolve property related enquiries which require third party information, including but not limited to requests for general property information.
- 5.4.3 Helpdesk activities which occur within the scope of the Services shall include but not be limited to:
- Service User requests for Reactive Maintenance;
 - Service User requests for elective works or variations to soft FM Services;
 - Service User requests for repairs relating to items under warranty;

- Service User compliments/complaints regarding FM Supplier performance;
- Service User compliments/complaints regarding Helpdesk performance;
- FM Supplier compliments/complaints regarding Helpdesk performance;
- Service User requests for updates, on planned or unresolved Work Orders;
- Service User notification of variations to existing activities;
- Requests for emergency contact information;
- Third party enquiries (e.g. property contact information);
- Authority / FM Supplier notification of related works or projects;
- Requests for temporary changes to the delivery of and scope of Services;
- Monitoring of BMS, and if practicable and confirmed during mobilisation building alarms, security alarms and systems, CCTV systems, fire alarms and lift alarms (noting that primary responsibility for monitoring of these alarms rest with FM Suppliers);
- Notification of Emergencies, reactive repairs and maintenance;
- The reporting of all queries and ad-hoc service requests relating to the FM Supply Chain;
- Requests for Emergency contact information;
- The issue of instructions and contract notices by the Authority in relation to this Contract and the FM Supply Chain; and
- Requests for information relating to the operation of the Service.

5.4.4 If requested by the Authority the Supplier shall provide a telephone and automated Room Booking Service via the Helpdesk, where required. The Service shall include but not be limited to:

- The facility to accept telephone and electronic bookings and issue confirmations;
- Ensure no double booking of rooms;
- Have the capability to provide a holistic range of ancillary Services such as hospitality, room and audio visual support; and
- Ensure any income related to hospitality, room set up and audio visual support is managed through the system.

5.4.5 When requested by the Authority, the Supplier shall provide a Car Park Management and Booking Service via the Helpdesk. This shall include the facility to accept electronic bookings and confirmations. This Service shall be incorporated into either the reception or security regime at the Affected Property.

5.4.6 The Supplier shall ensure that the Helpdesk provision includes an outbound facility to contact Service Users and Suppliers in relation to handling Work Orders.

5.5 SERVICE REQUEST MANAGEMENT

- 5.5.1 The Helpdesk shall accept Service Requests from all Service Users and Authority approved third party suppliers including but not limited to FM Suppliers, who are reporting faults or requesting provision of any in scope Services as specified at Annex A.
- 5.5.2 The Supplier shall provide a unique reference for all contacts to enable progress tracking by FM Stakeholders and Client Unit.
- 5.5.3 The Supplier shall enable the status of all requests to the help desk to be tracked in real time at each stage of the process (including but not limited to call logged, FM Supplier operative despatched to site, arrival on site of FM operative, fault diagnosed, approach to rectification identified, cost estimate identified and agreed, fault rectified and request closed out).
- 5.5.4 The Supplier shall ensure that the Helpdesk can accept Service Requests raised by telephone calls, emails and any web portal.
- 5.5.5 The Supplier shall have ownership of each Service Request throughout its lifecycle, including but not limited to the monitoring and escalating of planned and Reactive Work Orders, and ensuring closed-loop feedback with the Service User and Authority's Representative(s).
- 5.5.6 The Supplier shall ensure that the Helpdesk has the ability to receive communications from BMS systems and any other building systems identified; this may include text messages.
- 5.5.7 The Supplier shall ensure that all inbound and outbound Helpdesk calls are audio recorded.
- 5.5.8 Not Used.
- 5.5.9 Whilst the use of interactive technology may be used to intercept an inbound telephone call, a telephone call shall not be deemed as satisfactorily answered until connected to the Supplier's Personnel. For the avoidance of doubt, no form of electronic answer service shall be considered as meeting the requirements of receiving an inbound call. For further avoidance of doubt voicemail shall not be used as a means of receiving inbound calls.
- 5.5.10 The Supplier shall ensure that all FM related Service Requests are logged in the CAFM system within the required Service Levels and are allocated a unique reference.
- 5.5.11 The Supplier shall ensure that the individual who originated the Service Request is notified with updates regarding the progress of any open Work Orders through the CAFM system and also via email including notifications of approval, closure and/or completion.

- 5.5.12 The Supplier shall inform the User who originated the Service Request of the proposed course of action and response and resolution time allocated. Such communication shall be documented.
- 5.5.13 The Supplier on completion of the remedial activity shall inform the User who originated the Service Request via automated email with the achieved response, resolution time and the action undertaken. The information shall be logged onto the Helpdesk system.
- 5.5.14 When requested, the Supplier shall provide an update to Service Users other than the originator. This may include a requirement for the Helpdesk to contact the FM Supplier and report back to the Authority in accordance with the Service Levels set out in the Performance Model.
- 5.5.15 The Supplier shall obtain customer feedback directly following request close out in relation to the performance of the overall service request process for a proportion of requests logged (min 30% of calls).
- 5.5.16 The Supplier shall identify through escalation procedures agreed with the Authority the approach to resolution of requests that fall outside agreed Business Rules and then deal with the requests as agreed through the escalation procedure including through the assigning the request to relevant Supply Chain or feeding back to the FM Service User the approach agreed.
- 5.5.17 The Supplier shall separately log and identify contacts that are complaints and/or FM Stakeholder follow ups of request progress.
- 5.5.18 The Supplier shall provide a means through which activities relating to projects, planned and preventative maintenance activities are tracked and which ensure that there is no duplication of effort between planned and reactive works.
- 5.5.19 The Supplier shall provide a means through which multiple requests can be logged through a single contact with the Help Desk, assessed against Business Rules, allocated and tracked.
- 5.5.20 The Supplier shall provide a Helpdesk manager with single point responsibility for the day to day operation of the Helpdesk service.
- 5.5.21 The Supplier shall provide the ability for Helpdesk operatives to escalate technical building/FM events to resources with the Supplier's organisation with the appropriate technical skills to act as a first line escalation points (prior to any escalation to the Authority).
- 5.5.22 The Supplier shall work with the Authority to develop and implement and approach to Business Critical building and plant for the monitoring and tracking of Building Management System alarms that enables 'critical' alarms

to trigger an 'event' that can be actioned and tracked as if a request had been logged through the Helpdesk.

5.5.23 Non Property Related Enquiries:

- (a) Where a Service Request is outside the standard scope of services provided, the Supplier shall advise the Service User accordingly and provide the Service User with the appropriate contact details for their Service Request and instruct them to make direct contact with the appropriate supplier.
- (b) The Supplier shall maintain, update and enhance contact details of any third party suppliers, as notified to the Supplier by the Authority from time to time, who provide such services.
- (c) Where the Supplier does not have the appropriate information available to directly assist a Service User, the Supplier is to refer the Service User to the Authority.
- (d) The Supplier shall ensure that out-of-scope enquires are each logged against a unique Service Request and the Supplier's actions recorded within same.

5.5.24 Reactive Maintenance:

- (a) The Supplier shall receive Reactive Maintenance Service Requests for all property-related repair and maintenance requirements.
- (b) The Supplier shall have helpdesk operators with sufficient FM knowledge/tools (e.g. scripting) to ask appropriate questions or use mandatory fields, as appropriate to enable fault diagnosis to be undertaken. This is to identify the correct Asset/trade required and the nature of the fault for documenting in the Work Order.
- (c) The Supplier shall refine the details of the Work Order, through interaction with the Service User, to help the FM Supplier achieve a permanent resolution during the first visit thus avoiding unnecessary delays and subsequent visits.

5.5.25 Annex F – Helpdesk Workflow provides an example of a typical Helpdesk Workflow. Detailed workflows and process maps for all aspects of the services and additional requirements shall be developed by the Supplier during Mobilisation and documented at levels 1-5 within an Operations Manual that can be used for the training of all Client Unit, Estates Directorate and FM Supplier staff accessing the Supplier's services

5.6 STATUS UPDATES

- 5.6.1 The Supplier shall provide a telephone and web-based Service for Service Request updates.
- 5.6.2 The Supplier shall ensure that upon every action the Service Request shall be updated with an appropriate status code during the Service Request lifecycle.
- 5.6.3 When appropriate to the Service Request status, the Supplier shall provide the Service User and FM Supplier with details of the Service Request including but not limited to:
- (a) Service Request unique identifier;
 - (b) Assigned priority rating;
 - (c) Current status;
 - (d) Permit To Work status (as updated by the FM Supplier, i.e. required 'yes / no', and authorised 'yes / no');
 - (e) Appointment times;
 - (f) Remaining time within specified Service Level;
 - (g) FM Supplier / Helpdesk notes / comments;
 - (h) Details of assigned resource to attend; and
 - (i) Security status of assigned resource (as updated by the FM Supplier).
- 5.6.4 The Supplier shall ensure that status updates are available to Service Users within ten (10) minutes from the Supplier receiving any such information.

5.7 INBOUND TELEPHONE CALLS

- 5.7.1 All inbound telephone calls to the Helpdesk shall be answered within 20 seconds as per the time frames detailed within Annex B – Helpdesk Response Times and Contract Schedule 6 - Payment Mechanism, Service Levels and Performance Monitoring This time shall be calculated after the Supplier's voice technology concludes and is exclusive of any call-routing or interactive technology not specified by the Authority.

5.8 CALL CHARGES

- 5.8.1 The Supplier shall provide a non Premium Rate number for Service Users to contact the Helpdesk. The Supplier shall be responsible for the cost of its own inbound and outbound calls.

5.9 HELPDESK PERSONNEL

- 5.9.1 The Supplier shall provide an appropriate number of Supplier Personnel to ensure that the Helpdesk can operate within the required Service Levels as specified by the Authority.
- 5.9.2 The Supplier shall ensure that all Supplier Personnel who operate the Helpdesk can access and report the status of all Service Requests at any such time as requested by the Authority.
- 5.9.3 The Supplier shall ensure that all Supplier Personnel operating the Helpdesk are effectively trained in order to ask appropriate questions to ensure the information gathered from the call provides the operator with enough information to raise a Work Order efficiently, and effectively capture all requirements in detail.
- 5.9.4 The Supplier shall provide all Supplier Personnel who operate the Helpdesk with documented training, including but not limited to:
- (a) Training on the CAFM system;
 - (b) Customer service skills;
 - (c) Service call management;
 - (d) Listening skills;
 - (e) Escalation procedures;
 - (f) Authority emergency procedures;
 - (g) Knowledge of Facilities Management;
 - (h) Training in respect of all operational areas of the Affected Property; and
 - (i) Training on security procedures and the requirements of the Data Protection Act.
- 5.9.5 The Supplier shall ensure that all Supplier Personnel operating the Helpdesk have the appropriate security clearance to work on a Authority account as defined by "Official" security classification.

5.10 APPOINTMENTS SCHEDULE

- 5.10.1 The Supplier shall permit the FM Supplier to update Planned and Reactive Work Orders in the CAFM system with appointment times, attendee information and Permit to Work details.

5.11 VARIATIONS TO REACTIVE WORK ORDERS

- 5.11.1 Should the FM Supplier consider either that a Reactive Work Order or the Standing Data requires a change in:

- (a) Owner (i.e. Authority obligation / landlord obligation / out-of-scope); or
- (b) Authorisation protocol (i.e. approval required or not required).

The FM Supplier shall communicate electronically with the Authority and the Supplier via the CAFM system.

- 5.11.2 Should the Authority request a change to a Reactive Work Order, the Supplier shall amend the Work Order immediately and inform the Service User and other relevant parties of any such change.
- 5.11.3 Work Orders shall be managed by the Supplier, and will flow between the Supplier, the FM Supplier and the Authority depending on the requirement.

5.12 WORKS REQUEST NOTIFICATIONS

- 5.12.1 The Supplier shall provide the FM Supplier with the ability to update the Work Order status code. Each update shall be electronically time stamped, recorded and linked to the FM Supplier's performance management.
- 5.12.2 The Supplier shall provide the FM Suppliers with the facility to document a limited number of pre agreed potential mitigating reasons, for the Authority's consideration, for their failure to complete a Work Order within the required Service Level.

5.13 EMERGENCY CONTACT ENQUIRIES

- 5.13.1 The Supplier shall ensure that all necessary Authority procedural and emergency contact information is kept up to date at all times within the CAFM system.
- 5.13.2 Any personnel personal data held within the CAFM system e.g. home phone numbers and addresses, shall be held securely.

5.14 PROMOTIONAL ACTIVITIES

- 5.14.1 The Supplier shall work with the Authority to promote the benefits of the Helpdesk and web portal across the Authority's staff on a continuous basis.

5.15 **COLLABORATION**

- 5.15.1 The Supplier shall work in a collaborative manner with third parties and the FM Supplier(s) in order to support the efficient delivery and management of the Helpdesk and FM Services.

6. REPORTING – MANDATORY REQUIREMENTS

- 6.1 This paragraph describes the mandatory reporting requirements that the Supplier shall be obligated to fulfil as part of the delivery of the FM Assurance Services Framework Agreement. The format, frequency and timings of reports will be confirmed by the Authority during Mobilisation.

FM Supplier

- 6.2 The Supplier shall provide and keep up to date, a comprehensive repository/source of FM information that provides confidence of performance and the ability to compare and analyse performance across the Authority's estate and FM Supply Chain.
- 6.3 The Supplier shall manage on an ongoing basis the agreed information management processes to ensure that information remains accurate and up to date.
- 6.4 The Supplier shall manage and maintain approaches to obtaining, accessing and interrogating information from FM Supply Chain parties in order to provide the required confidence to the Authority of overall FM service performance, control and financial management and to enable effective performance and trend analysis to be conducted.
- 6.5 The Supplier shall provide an easy to use means for the Authority to access the required information in order to enable the effective and efficient business decision making, robust performance monitoring and management and effective audit control.
- 6.6 The Supplier shall provide to the Authority the ability to respond to routine and ad-hoc requests for information from Stakeholders (e.g. number of active calls, number of comms/first aid rooms, Health and Safety incidents, condition of public spaces etc).
- 6.7 The Supplier shall review ad-hoc requests for information on an ongoing basis to identify if particular information should be provided on a routine basis.
- 6.8 The Supplier shall review and update as required the processes and Business Rules for information collection, management and updating to ensure ongoing process improvement efficiency.
- 6.9 The Supplier shall maintain, promulgate and ensure application and compliance across the FM Supply Chain of appropriate meta-data standards and processes to ensure consistent treatment of information and data relating to the all FM Supply Chain activities including but not limited to; financial, operational, performance, and associated coding and definition.

- 6.10 The Supplier shall inform as necessary, the FM Supply Chain of changes to service standards, requirements and/or Business Rules in the appropriate contractual format and ensure that such changes are enabled as required.
- 6.11 The Supplier shall ensure that all information necessary to action requests and support all other Supplier Services (including performance management and reporting, FM Service Audit and Cost assessment etc.) is captured, managed and retained.
- 6.12 The Supplier shall ensure that information aggregated into performance reports can be drilled through to show individual requests, transactions and events receive through the Helpdesk.
- 6.13 The Supplier shall proactively analyse performance information and identify pre-emptive actions that can be undertaken to minimise/avoid faults and/or failures.
- 6.14 The Supplier shall retain an ongoing expertise in best practices in performance management, monitoring and reporting as it relates to FM services and supply chains and advise the Authority of trends and innovations in this area.
- 6.15 The Supplier shall provide the necessary systems, processes and interfaces to enable the analysis and manipulation of base data in order to provide the required performance information and performance information access, interrogation and analysis capabilities.
- 6.16 The Supplier shall develop and implement the procedures and protocols for the collection, manipulation, analysis, reporting, audit and review of performance information for all FM and other Designated Contracts in scope.
- 6.17 The Supplier shall develop the requirements for the FM Supply Chain in relation to the structure, format, access and timing requirements for the provision of base information in order to deliver the required performance information.
- 6.18 The Supplier shall develop and implement an easy to use front end/user interface to the performance reporting systems that can be used by the MoJ and FM Supply Chain parties for ad-hoc analysis and reporting.
- 6.19 The Supplier shall develop and implement appropriate security and access protocols for the FM Supply Chain parties to enable them to view their own performance information and not that of others and;
- Pilot, test and progressively provide in accordance with the plans agreed in respect of the Mobilisation Service;
 - Performance reports; and
 - the ability for the Authority Client Unit and FM Stakeholders to request ad-hoc information and access, interrogate and analyse performance data held

6.20 The Supplier shall provide a broad, comprehensive and flexible reporting solution, including but not limited to the following categories:

- Industry standard FM reports;
- Performance measurement and statistical reporting;
- Expert analysis reports;
- Ad hoc reporting requirements;
- Self-service reporting capability;
- Helpdesk performance measurement and reporting;
- Performance measurement reporting (of FM Suppliers and other Designated Contracts such as PFI Contracts);
- Customer satisfaction surveys;
- Statistical information reporting; and
- Sustainability management – energy, water and waste management;
- Financial management and cost benchmarking;
- Contract service benchmarking; and
- Space utilisation.

6.21 INDUSTRY STANDARD FM REPORTS

6.21.1 The Supplier shall include within the reporting tool a suite of generic industry standard FM reports that can be utilised by the Authority and FM Suppliers in support of the services to compile, present and analyse statistical and performance related data.

6.22 PERFORMANCE MEASUREMENT AND STATISTICAL REPORTING

6.22.1 The Supplier shall provide reports relating to the performance of the Supplier, the FM Suppliers and any other Designated Suppliers, and statistical information relating to those Services.

6.22.2 The Supplier shall monitor activity against the Planned Preventative Maintenance schedules (Hard and Soft) and statutory requirements and provide reports to the Authority against compliance with those schedules and regulations where required.

6.23 EXPERT ANALYSIS REPORTS

6.23.1 The Supplier shall compile and analyse a suite of specific reports, further guidance on reporting included within section 13.5 and to be specified by the Authority during the Mobilisation Period, in support of the Authority's performance measurement and management of both the Supplier and FM Supplier Services.

- 6.23.2 The Supplier shall have the ability to provide technical expertise to analyse and interpret data and reports, and all reporting where applicable shall include analysis, written commentary and recommendations, as required by the Authority.

6.24 AD HOC REPORTING REQUIREMENTS (SUPPLIER DELIVERED)

- 6.24.1 The Authority may request the Supplier to create and generate ad hoc reports on its behalf.
- 6.24.2 Where necessary and agreed, the Supplier shall provide the reports with technical analysis and expert commentary, as specified by the Authority.
- 6.24.3 The Authority and the Authority are answerable to Parliament and, on occasion, required to respond, at short notice, to Parliamentary Questions regarding the Authority's Affected Property. The Supplier shall comply with any such reasonable request in the event information is required under these circumstances.

6.25 SELF SERVICE REPORTING CAPABILITY

- 6.25.1 The Supplier shall provide the Authority and FM Suppliers with the ability to modify existing reports, or design and store user-specific reports on an ad hoc basis, as specified by the Authority.

6.26 HELPDESK PERFORMANCE MEASUREMENT AND REPORTING

- 6.26.1 The Supplier shall report on the Supplier's own performance against the Service Levels and any other measures reasonably as specified by the Authority. These reports have been further defined by the Authority including as in paragraph 13 and include:
- (a) Achievement against Service Levels;
 - (b) Reasons for failure to meet any Service Levels;
 - (c) Performance failures accruing as a result of failure to meet Service Levels;
 - (d) Progress on outstanding actions; and
 - (e) The action plans for the following Month will be reviewed to check progress and track actions carried out to completion. The Authority shall not unreasonably withhold or delay agreement of these action plans with the Supplier.

6.27 FM SUPPLIER PERFORMANCE MEASUREMENT AND REPORTING

6.27.1 The Supplier shall report on the FM Supplier performance through the functions below:

- (a) Collection of the FM Supplier performance data and associated information, an example of which is set out in Framework Schedule 9 (Management Information);
 - i) The Supplier shall collate the data required to calculate the FM Supplier performance measures within the CAFM system and shall provide the means for the FM Supplier to directly input such data into the CAFM system.
- (b) Calculation of the FM Supplier Payment Mechanism as set out in Framework Schedule 6 which reflects the FM Supplier's performance against the KPIs;
 - i) The Supplier shall measure the FM Supplier's performance each month against each of their KPIs and calculate the Payment Mechanism scores in accordance with the FM Supplier performance mechanism on behalf of the Authority.
- (c) Reporting on each of the FM Suppliers' performance data and associated information;
 - i) The Supplier shall provide a dashboard facility, updated Monthly, mirroring the information provided in the FM Supplier performance mechanism;
 - ii) The Supplier's systems shall have the ability to filter the dashboards by Service and by Affected Property;
 - iii) The Supplier shall include estate information provided by the FM Supplier in a report to the Authority, on a Monthly basis;
 - iv) The Supplier shall escalate to the Authority, within a Monthly report, any failure by the FM Supplier to supply the data; and
 - v) The Supplier shall be required to amend any performance data which has been agreed by the Authority to have mitigating circumstances, to ensure that the CAFM system holds accurate performance information.
- (d) Comparative reporting of performance results across multiple FM Suppliers, providing the Authority with benchmarking of performance across FM Supplier contracts;
 - i) The CAFM system shall act as a common mechanism to monitor, report and benchmark the performance of multiple FM Suppliers in a systematic and consistent manner;
 - ii) The Supplier shall provide the Authority with comparative reports benchmarking the performance of the FM Suppliers. The information to be benchmarked shall be specified by the Authority at paragraph

13. The Supplier shall ensure that the information required for benchmarking is held in the CAFM system;
- iii) The Supplier shall provide a monthly report to the Authority and the appropriate FM Supplier detailing the performance scores and associated deductions calculated for each FM Supplier. The calculation for any such deductions shall be as specified by the Authority within the FM Suppliers Performance Model;
 - iv) The Supplier shall provide a reconciliation report to the Authority within seven (7) calendar days following the end of the calendar Quarter; and
 - v) The Supplier shall be required to amend any performance data which has been agreed by the Authority to have mitigating circumstances, to ensure that the CAFM system holds accurate performance information.

6.28 CUSTOMER SATISFACTION REPORTING

- 6.28.1 The Supplier shall report on the results and analysis from customer satisfaction surveys as specified in paragraph 10.2. As a minimum reporting shall include but not be limited to, trending, benchmarking, FM analysis and recommendations. The customer satisfaction process and reporting shall be confirmed and agreed by the Authority during Mobilisation.

6.29 STATISTICAL INFORMATION REPORTING

- 6.29.1 The Supplier shall provide the Authority with monthly comprehensive Management Information statistics and trend analysis, by user profile and hierarchies, in relation to all aspects of the required Services, including but not limited to:
- Inbound volume, by type and region;
 - Completed Work Orders, by inbound channel;
 - Average and maximum call waiting times;
 - Average inbound call duration;
 - Volume of duplicate Work Orders;
 - Total outbound calls;
 - Benchmarking;
 - Volume of requests originated by the FM Suppliers, by site/region/area;
 - Volume of requests originated by other FM Supply Chain Providers by site/region/area;
 - Volume of requests originated by Authority Staff by site/region/area/business unit;
 - Calls abandoned; and
 - Chase calls undertaken by the Supplier to FM Suppliers in respect of KPIs nearing failure.

6.30 ENERGY MANAGEMENT

- 6.30.1 The Supplier shall provide the facility for trend and other statistical analysis of utilities consumption and expenditure information provided each Month by the FM Suppliers.
- 6.30.2 The Supplier shall ensure that the CAFM system can report on environmental performance to meet Government targets and Good Industry Practice, as defined by the Authority at paragraph 13.

6.31 FORMAT OF REPORTS

- 6.31.1 The Supplier shall use agreed industry standard reporting tools to present information in different formats to meet the varying needs of a wide range of stakeholders.
- 6.31.2 The Supplier and Authority shall agree the format of standard reports during the Mobilisation Period to achieve a consistent methodology and report format across the FM Supplier regions.
- 6.31.3 The Supplier shall ensure that reports have the capability to be presented in a variety of formats suitable for printing or export to a local application, e.g. Microsoft Excel spread sheets. The format and display shall include but not be limited to:
- Graphical;
 - Tabular;
 - On screen drill-down functionality;
 - On screen totalling and sub-totalling functionality;
 - Trend analysis:
 - direct email distribution to stakeholders;
 - measured performance benchmarking; and
 - Service Request/Work Order control and monitoring.

6.32 ADDITIONAL REPORTING REQUIREMENTS

- 6.32.1 The Supplier shall provide Monthly reports to the Authority in relation to all health and safety requirements associated with the execution of the FM Supplier contracts, including but not limited to exception reporting as provided by the FM Suppliers.
- 6.32.2 The Supplier shall provide trends of meeting room utilisation and lettings usage.
- 6.32.3 The Supplier shall provide a Monthly report which shall include information relating to:
- Any problems related to the Service or any components; and

- A summary of the events from all the security devices.
- After the first six (6) Months of the Contract, the frequency of the report may change from Monthly to Quarterly.

- 6.32.4 The Supplier shall provide reports on the FM Supplier's costs for all Services provided at each Affected Property and Business Unit level. The reporting format shall be as specified by the Authority during Mobilisation.
- 6.32.5 The Authority shall require the Supplier to maintain accurate metrics including but not limited to cost and performance data for the updating and alignment with ePIMS (electronic Property Information Mapping Services), on its behalf.
- 6.32.6 The Supplier shall provide FM Supplier Management and Performance Information reports electronically to the Authority as per Schedule 9 Management Information of the Framework Agreement.

7. SECURITY – MANDATORY REQUIREMENTS

7.1 This paragraph describes the mandatory security requirements that the Supplier shall be obligated to fulfil as part of the delivery of the FM Assurance Services Agreement. The Supplier shall also comply with requirements as detailed in Contract Schedule 8.

7.2 AUTHORITY SECURITY REQUIREMENTS:

7.2.1 The Supplier shall meet the requirements of the HMG Security Policy Framework found at: <https://www.gov.uk/government/publications/security-policy-framework>

7.2.2 The current risks and security classification for the Service are assessed as “Official” (previously IL2). Further information on security classifications can be found at:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/251480/Government-Security-Classifications-April-2014.pdf

7.2.3 The Supplier shall satisfy the Accreditor that the risks to data confidentiality, integrity and availability have been assessed and adequately addressed.

7.2.4 This Service may require Pan Government Accreditation.

7.3 SUPPLIER PERSONNEL

7.3.1 The Supplier shall agree on a case by case basis the Supplier Personnel roles which require specific Government clearances when providing the Services to ensure that the data within the Authority’s estate remains secure and is not compromised by the Supplier’s activities.

7.3.2 The minimum level of security clearance required shall be Counter Terrorist Check (CTC) which is the minimum security clearance required for access to official and official sensitive documents and occasional access to secret documents. A passport is required for CTC clearance.

7.3.3 Other Contracting Authorities may require additional levels of security clearance, such as Security Check (SC) and Developed Vetting (DV).
<https://www.gov.uk/security-vetting-and-clearance>.

7.3.4 The Supplier shall be responsible for performing its own security checks before submitting candidates for formal security clearance, to ensure disqualified personnel are excluded from the Authority’s security clearance requirements.

- 7.3.5 The Supplier shall ensure that all personnel engaged in the performance of the Services have a right to reside and work in the UK and are, in compliance with immigration legislation, entitled to perform the Services.
- 7.3.6 The Authority reserves the right to exclude any person from performance of the Services without disclosing the reasons for rejecting the person.

7.4 ICT REQUIREMENTS

- 7.4.1 The Supplier shall appoint a representative with responsibility for ensuring full compliance with all ICT systems technical security measures used in connection with the performance of the Services, and shall liaise with the Authority's security representatives on ICT security matters to ensure that the security counter-measures proposed in the system design and system development are adequate. This role shall be required throughout the length of the Agreement.
- 7.4.2 The Supplier shall provide the Authority with full security accreditation documentation for the CAFM system in accordance with HMG InfoSec Standards, including but not limited to the Residual Risk Assessment Method (IS1).
- 7.4.3 The Supplier shall initially be required to provide, as appropriate, the following security accreditation documentations:
- RMADS (Risk Management Accreditation Document Set) for the appropriate Business Impact Level which is currently assessed as "Official"; or
 - ISO 27001:2013 or;
 - ISO 27001:2005 with evidence of transition to ISO 27001:2013 via a Statement of Applicability; or
 - Cyber Essentials; see <https://www.gov.uk/government/publications/cyber-essentials-scheme-overview>; and
 - Cyber Essentials Plus certification (or willingness to work towards) see <https://www.gov.uk/government/publications/cyber-essentials-scheme-overview>.
- 7.4.4 The Supplier shall submit the documents specified at 7.4.2 and 7.4.3 above, within 2 weeks of the Authority's request.
- 7.4.5 The Supplier shall conduct penetration testing on an annual basis, as required for Cyber Essentials Plus certification.
- 7.4.6 The Supplier shall be required to comply with any new Government policy, standards and/or accreditation as may be required for any IT service and/or security, throughout the life of the Framework Agreement.

- 7.4.7 Within two (2) weeks of the Service Commencement Date, the Supplier shall develop and make available the following documents to the Department Security Officer:
- A systems security policy;
 - A systems security architecture; and
 - Secure operating procedures.
- 7.4.8 The Authority reserves the right to perform a security audit of any part of the CAFM system at any time and at least on an annual basis. Unless there is believed to be a security breach (when no notice will be given), the Supplier shall be given at least 5 Working Days' notice of a standard security audit.
- 7.4.9 The CAFM system shall not be formally accepted until the Authority has agreed that all security design features have been properly implemented.
- 7.4.10 The Supplier shall ensure that the CAFM system is able to incorporate the necessary safeguards to permit the operation of a restricted system in connection with provision of the Services. Should this be required by the Authority, the interfaces will adhere to more stringent requirements (as specified by the Authority at Call Off stage) for the secure transfer of data. Any such required changes shall be implemented by the Supplier pursuant to the provisions of this Framework.
- 7.4.11 The Supplier shall provide passwords for access to the CAFM system in accordance with the Authority's IT security policy, as defined at Call Off stage.
- 7.4.12 The Supplier shall provide the Authority with the documentation and related procedures employed by the Supplier. The documentation shall be made available as per the Authority's requirements, to be defined at Call Off stage.
- 7.4.13 The Supplier shall arrange for and undertake any tests, including but not limited to independent third party tests, to allow the Supplier to provide accreditation of the ICT system used in connection with the provision of the Services. All costs for these tests are to be borne by the Supplier.
- 7.4.14 The Supplier shall ensure that all testing to be undertaken by an independent third party shall be approved by CESG under the CESG Health Check Scheme. Tests shall include penetration testing, network discovery, IT Security Health Check, document reviews and conformance testing, in addition to other tests specified by the Authority.

7.5 DATA SECURITY

- 7.5.1 The Supplier shall ensure that the Authority is able to control permissions for the access to records relating to the Services and the circumstances in which access is permitted to such records, as these records may contain

commercially and operationally sensitive data. This restriction on access shall also be applied to external users.

- 7.5.2 Passwords shall be stored securely at all times by the Supplier in encrypted form using a one-way encryption algorithm as stated in 4.9.1.19 (g).
- 7.5.3 The Supplier shall ensure that any access to records relating to the Services and to records of all other activities involving the Supplier and related documents or data are retained for audit purposes, for a time period to be set out within the draft contract.
- 7.5.4 The Supplier shall ensure that the security of records relating to the Services also includes the ability to protect them from data loss via backups and the ability to recover records from backups. The Supplier shall complete backups on a daily basis as a minimum.
- 7.5.5 The Supplier shall ensure that access rights to any network provided by or on behalf of the Supplier to the Authority ('Supplier's Network') or any applications delivered across the Supplier's Network is not provided to individuals or entities without documented authorisation from a duly authorised employee of the Authority.
- 7.5.6 The Supplier shall monitor all systems and applications provided for breaches or attempted breaches of security. Where an actual or attempted breach is identified, the Supplier shall report the breach to the Authority within one Working Day. Where a security breach identifies a failure in security of the ICT systems utilised in connection with the performance of the Services, the Supplier shall take immediate remedial action, and then subsequently agree permanent changes to the security policy to prevent a re-occurrence of the incident. The Supplier shall manage such above-mentioned security incidents, and shall report their occurrence to the Authority on a regular basis.
- 7.5.7 The Supplier shall ensure all hardware used in connection with the performance of the Services has up-to-date anti-virus software provided to ensure a functional and secure information and communications technology environment. Anti-virus software shall also cover protection against malicious attack.
- 7.5.8 The Supplier shall provide a service for the secure de-commissioning and removal of system equipment used in connection with the provision of the Services that has reached the end of its life, in line with HMG Information Assurance standards.
- 7.5.9 In accordance with UK Government standards on decommissioning, the Supplier shall ensure that all sensitive data is removed from the storage and memory areas of system devices. For the avoidance of doubt but without limitation to the foregoing, 'sensitive data' shall include any personal data as defined in the Data Protection Act 1998.

- 7.5.10 The Supplier shall ensure that all disposal of system equipment is undertaken via a company / method approved by Her Majesty's Government for the classification level of the equipment concerned and in accordance with all relevant legislation.
- 7.5.11 The Supplier shall ensure that changes to the type of data in terms of classification level shall be reviewed and agreed by the Accreditor, and that the risks to the data are acceptable as per Framework Schedule 8 – Framework, Service and Security Management.

7.6 PROVISION AND MANAGEMENT OF GATEWAYS AND FIREWALLS TO EXTERNAL SERVICES

- 7.6.1 Wherever the Supplier's Network connects to other networks (internal or external), appropriate security shall be implemented to protect the network from malicious attack and unauthorised access.
- 7.6.2 The Supplier shall inform the Authority when any changes are made to Supplier networks or connectivity which may affect access to Authority owned data.
- 7.6.3 The Supplier shall liaise with other FM Suppliers to ensure that all network gateway connections between the Supplier's Network and other networks are maintained and fully functional.
- 7.6.4 Gateways shall be specified and implemented by the Supplier in the Supplier's Network to ensure sufficient bandwidth across each Gateway to meet the Authority's business needs.
- 7.6.5 All gateways on the Supplier's Network shall be regularly reviewed by the Supplier (not less than annually) and enhanced as appropriate by the Supplier to ensure that they continue to meet the needs of the Authority's business.
- 7.6.6 The Supplier shall provide the operating systems and applications to support the Services.
- 7.6.7 The Supplier shall provide anti-virus software to protect the Supplier's Network(s) & network connected devices from all viruses that may be introduced by any means.
- 7.6.8 Where there is a security upgrade or 'bug fix' to the above-mentioned operating systems and applications software, the Supplier shall be responsible for installing and rolling-out the same to all the above-mentioned network connected devices when such upgrade(s) become available or as soon as possible thereafter.

- 7.6.9 The Supplier shall inform the Authority of any delays in 'patching' and updating.
- 7.6.10 The Supplier shall actively monitor the availability of such upgrades and ensure that the Authority is protected from new threats as they emerge. Quarantine facilities for infected files shall be provided by the Supplier.

7.7 SYSTEM CONSTRAINTS

- 7.7.1 The Supplier shall not use systems that depend upon "ActiveX" controls or require a download and run executable codes on the Authority's network.
- 7.7.2 Where the Supplier's CAFM system requires the installation of a reporting tool onto the Authority system in order for the Authority Representative to view the required information, it shall be vetted for suitability and will require systems implementation acceptance accreditation and packaging for desktop installation by the Supplier.
- 7.7.3 The Supplier shall seek approval from the Authority prior to using externally delivered applications dependent upon Java script and/or 'plug-ins'.

8. BUSINESS CONTINUITY AND DISASTER RECOVERY (BCDR) – MANDATORY REQUIREMENTS

8.1 This paragraph describes the mandatory Business Continuity and Disaster Recovery requirements that the Supplier shall be obligated to fulfil as part of the delivery of the FM Assurance (Helpdesk and CAFM) Service. Suppliers shall read this information in conjunction with the Contract Schedule 10.

8.2 OVERVIEW

8.2.1 The Supplier shall integrate the Authority's requirements into the Service in relation to Business Continuity and Disaster Recovery, including but not limited to the requirement on the Supplier to develop, review, test, change and maintain a Business Continuity and Disaster Recovery Plan (the 'BCDR Plan').

8.2.2 The BCDR Plan shall be submitted by the Supplier to the Authority within thirty (30) days or by the end of the Mobilisation Period, or as agreed with and approved by the Authority.

8.2.3 The Business Continuity and Disaster Recovery support associated with the Services shall be at no extra charge.

8.2.4 The BCDR Plan shall detail the processes and arrangements that the Supplier shall implement and the procedures that the Supplier shall follow in respect of the following:

8.2.4.1 The Business Continuity element of the BCDR Plan shall consist of:

- (a) Ensuring that the Supplier is able to maintain an appropriate level of service in the event of a Core Service Failure or disruption, however caused, to the Services, to enable the Authority and the FM Supplier(s) to continue to operate without disruption to their 'business as usual' activities (e.g. by reverting to manual based operations systems or transfer to a replacement system);
- (b) Ensuring that all IT services / systems are restored within four (4) hours and that all data is resubmitted into the CAFM system within twenty-four (24) hours from the commencement of the loss of Service.
- (c) Planning for any failure or disruption to the Services from any source and addressing the various levels of Core Service Failure or disruption (from minimal failure through to total failure); and

- (d) Ensuring that in the event of a failure or disruption of the Services the Supplier guarantees to the Authority that there shall be no loss of Authority data and that the Services shall be maintained in accordance with the Service Levels at all times during periods of failure or disruption of the Services.

8.2.4.2 The Disaster Recovery element of the BCDR Plan shall consist of:

- (a) Ensuring that, in the event of a Disaster, recovery of the Services is achieved within the time frames specified in accordance with the BCDR Plan to enable the Services to resume to meet the required Service Levels;
- (b) Ensuring that the Services are available after the Disaster Recovery element of the BCDR Plan is invoked in accordance with the Contract;
- (c) Ensuring that the Disaster Recovery element does not apply to failure or disruption of the Services arising from scheduled maintenance, hardware or software upgrades (provided always that such maintenance and upgrades are provided and performed in accordance with the Contract), programme failure, database corruption or short term equipment failure;
- (d) Ensuring that in the event of a Core Service Failure or disruption arising from a Disaster, the Supplier shall ensure that any loss of or disruption to the Services shall not exceed the level identified in the BCDR Plan and that there shall be no loss of data or degradation of data integrity in respect of the system or software used to provide the Services; and
- (e) Ensuring that the Supplier is able to maintain an appropriate level of service in the event of a Core Service Failure or disruption, howsoever caused, to the Services to enable the Authority and the FM Supplier(s) to continue to operate without disruption to their 'business as usual' activities.

8.3 DEVELOPMENT AND AMENDMENT OF THE PLAN

8.3.1 The Supplier shall ensure the BCDR Plan (and the risk analysis on which it is based) in place at Service Commencement Date is reviewed every six (6) Months, or where there is a significant change to the Services. Each review shall generate a report which shall be submitted to the Authority within ten (10) Working Days of completion. All BCDR Reviews shall:

- (a) be conducted in conjunction with the Authority and the FM Supplier(s);
- (b) review the procedures and methodologies; and

- (c) assess the suitability of the procedures and methodologies in the event of any change to the Services or business processes made in the previous six (6) Month period, or the occurrence (or likely occurrence) within the previous six (6) Month period of any event, that may increase the likelihood of implementation of the BCDR Plan.

8.3.2 The Supplier shall undertake additional reviews of the BCDR plan where the Authority considers it necessary, including in circumstances where there has been any change to the Services or business processes, or on the occurrence of any event which may increase the likelihood of implementation of the BCDR Plan. These additional reviews shall be undertaken at the Supplier's expense.

8.3.3 At the request of the Authority, the Supplier shall amend the BCDR Plan to ensure that it is consistent with the Business Continuity and Disaster Recovery plans of the Authority's appointed FM Supplier(s). The Supplier shall have responsibility for liaising with the Authority and FM Supplier(s).

8.3.4 The Supplier shall, at the reasonable request of the Authority, make amendments to the BCDR Plan in circumstances where it is not possible for the Authority to communicate the reasons for such changes.

8.4 **TESTING**

8.4.1 The Authority shall require the Supplier to undertake tests, or assist the Authority's nominated representative(s) in undertaking tests, of some or all aspects and procedures in the BCDR Plan at any time, provided always that the Authority shall give the Supplier written notice of the tests it requires to be undertaken by the Supplier, or the assistance required from the Supplier, and the date on which any such tests shall take place. The Authority and its FM Supplier(s) shall be entitled to participate in any such tests.

8.4.2 The Supplier shall, at no additional cost to the Authority, deliver two (2) tests of the BCDR Plan in each Year of the Contract. Where the Authority reasonably considers that there is a significant change necessitating further testing, the Supplier shall co-operate fully with such testing. Costs for additional tests shall be borne by the Authority unless the BCDR Plan fails the additional test, in which case the Authority and the Supplier's costs of the failed test shall be borne by the Supplier.

8.4.3 The Supplier shall liaise with the Authority in respect of the planning, testing and review of each test, and shall comply with the requirements of the Authority. Each test shall be carried out under the supervision of the Authority and the Supplier shall provide a comprehensive written report, highlighting outcomes, shortfalls and proposals for remedying failures and shortfalls, within ten (10) Working Days of the completion of testing.

- 8.4.4 Where authorised by the Authority, the Supplier shall provide accelerated services to accommodate emergency situations. The Supplier shall ensure that within one month of the provision of such accelerated services all relevant documentation for the Authority will be provided retrospectively. The requirement for this service will be restricted to emergency situations.

9. ASSURANCE MANAGEMENT – MANDATORY REQUIREMENTS

- 9.1 This paragraph describes the mandatory assurance requirements that the Supplier is obligated to fulfil as part of the delivery of the FM Assurance Services Agreement.
- 9.2 The Supplier shall at all times during the Framework Agreement and the term of any Contract comply, with the relevant standards, including but not limited to:
- (a) A Quality Management System supported by the International Organisation for Standardisation ISO 9001 Quality Management System, or the current European Foundation for Quality Management (EFQM) Excellence Model criteria or equivalent.
 - (b) An Environmental Management System supported by the International Organisation for Standardisation ISO 14001 Environmental Management System or equivalent.
 - (c) An Information Security Management System supported by the International Organisation for Standardisation ISO 27001:13 or ISO 27001:2005 transitioning to ISO 27001:13, or equivalent and statement of applicability.
 - (d) ISO/IEC 20000 certification which shall be underpinned by a recognised framework for accepted IT service management best practice such as ITIL (IT Infrastructure Library).
 - (e) Compliance with a minimum of Impact Level 2 of the HMG IA Standard no 1.
 - (f) Provision of a CAFM system in accordance with HMG InfoSec Standards (IS1).
 - (g) Compliance with Civil Estate Co-ordination Agreement (CECA) standards, where relevant.
 - (h) A BCDR Plan supported by:
 - i) The Centre for the Protection of National Infrastructure (CPNI) standards;
 - ii) ISO 22301:2014 'Business Continuity Management Systems' and ISO 22313:2012 'Business Continuity management Systems Guidance'.
- 9.3 When delivering the Services, The Supplier will ensure compliance with the Authority's Policies and Procedures and which includes, but is not limited to, the following;

- DfE - Safely Managing Children in the Workplace, 2011
- DfE - Temporary or Casual Workers, 2013
- DfE - Lone Working, 2013
- DfE - Workplace Transport, 2011
- MoJ - Temperature and Humidity, 2007
- MoJ - ICT Security Guide, 2014
- MoJ - Business Continuity Policy, 2010
- CPS - Sick Buildings
- CPS - Accident Reporting
- CPS - Victims Witness

9.4 When delivering the Services, The Supplier will ensure compliance with legislation which includes, but is not limited to, the following statutes:

- Official Secrets Act 1989;
- Computer Misuse Act 1990;
- Police and Criminal Evidence Act 1984;
- Copyright, Design & Patents Act 1988;
- Data Protection Act 1998;
- Human Rights Act 1998;
- Electronic Communications Act 2000;
- Freedom of Information Act 2000
- Regulation and Investigatory Powers Act 2000;
- Private Security Industry Act 2001;
- Laws on import and export of hardware for performing cryptographic functions;
- the Equality Act 2010 and
- Health and Safety at Work Act 1974.

10. CUSTOMER SATISFACTION AND COMPLAINTS HANDLING – MANDATORY REQUIREMENTS

10.1 This paragraph describes the Customer Satisfaction and Complaints requirements that the Supplier shall be obligated to fulfil as part of the delivery of the FM Assurance Services Agreement.

10.2 CUSTOMER SATISFACTION

10.2.1 The Supplier shall ensure that they have processes in place to deliver customer satisfaction and manage the handling of complaints, service failures and recalls, ensuring that customer satisfaction is provided to the Authority, stakeholders and Service Users. This will include chasing and/or escalating Work Orders, as appropriate.

10.2.2 The Supplier shall provide and manage the following methods of Customer Satisfaction measurement:

10.2.2.1 Customer Satisfaction for Helpdesk and FM:

(a) The Supplier shall conduct an electronic customer satisfaction survey following the closure of at least 30% of Work Orders. The survey shall determine:

- i) The Service User's level of satisfaction in relation to the management of the Work Order by the Helpdesk;
- ii) Whether the Work Order was completed;
- iii) FM Supplier delivery and standard of services, through to closure of the Work Order;
- iv) Where applicable the Helpdesk will re-open any Work Orders which the Service User deems to be incomplete; and
- v) The net promoter score that the end user would assign to both the Supplier and the relevant FM Supplier.

(b) The Supplier shall report the results to the Authority on a daily and consolidated Monthly basis.

10.2.2.2 Customer Satisfaction for FM Service Delivery;

(a) The Supplier shall conduct regular and proactive customer satisfaction surveys on all non-reactive Services provided by each of the FM Suppliers. The survey shall be completed based on the Authority's requirements, to be based on the requirements of paragraph 13 as further developed during Mobilisation.

- (b) The survey shall include all elements of Service delivery including but not limited to the Helpdesk and arrangements for the management of the FM Services, results of which shall be analysed, interpreted with recommendations presented to the Authority by the Supplier.

10.2.2.3 Customer Satisfaction for ad hoc requirements:

- (a) The Supplier shall carry out ad hoc customer satisfaction surveys as requested by the Authority. The format, method and sample size of each survey will be defined by the Authority;
- (b) The Supplier shall produce a Monthly report to the Authority, in a format specified by the Authority indicating the results from the surveys as detailed at paragraph 6.10.1;
- (c) The Supplier shall employ a broad range of survey techniques in order to ensure that a representative sample of a diverse range of Service Users, at all levels within the Authority's organisation, receive and are able to respond to the survey;
- (d) The Supplier shall conduct a survey, which facilitates the measurement of the FM Supplier's performance against the customer satisfaction KPIs; and
- (e) The Supplier shall provide the Authority with annual continuous improvement plans to consistently raise customer satisfaction with the Supplier's Services in accordance with Framework Schedule 12 (Continuous Improvement and Benchmarking).

10.3 COMPLAINTS (HELPDESK AND FM)

- 10.3.1 The Supplier shall record, quantify and manage complaints from Service Users and FM Suppliers in respect of the Services, the performance of the FM Suppliers, or any other property and Facilities Management related service.
- 10.3.2 All complaints shall be logged and managed through the CAFM system.
- 10.3.3 The Supplier's complaints process, agreed in conjunction with the Authority, shall detail how the Supplier shall manage the complaint, from initiation to satisfactory completion, including but not limited to any necessary escalation to the Authority. This process shall be specified and agreed with the Authority during Mobilisation.
- 10.3.4 The Supplier shall escalate any complaint relating to any relevant Service Level in a Work Order which has not been resolved within the required timescales as detailed in Annexes B to D below and defined within Schedule 6 of the Contract to the Authority's appropriate management team for the

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Affected Property via a weekly complaints report. If the required timescales are not achieved, complaints shall be escalated to the Authority senior management team. The final content and format for the report will be specified with and agreed by the Authority during Mobilisation.

11. MOBILISATION – MANDATORY REQUIREMENTS

- 11.1 This paragraph describes the Mobilisation requirements that the Supplier shall be obligated to fulfil as part of the delivery of the FM Assurance Services Agreement.
- 11.2 The Supplier shall take into account the following specific issues and allow for such in their mobilisation plan and mobilisation approach, namely;
- (a) The Authority does not currently have robust information management processes relating to FM Assurance Services and FM Supply Chain. The Authority is seeking to move to an intelligent performance information led approach to the FM Assurance Services and FM Supply Chain. As a result the information management function that the Authority is seeking the Supplier to implement is seen as a key component of the future vision the Authority has for FM services.
 - (b) Information relating to both the Authority Estate and FM Supply Chain is held in a wide variety of locations and in numerous different formats. A significant proportion of the information that requires management in a more coherent and efficient manner is held in varying formats across the Authority. Other information is held by FM Suppliers on their systems, in spreadsheets and databases as well as in paper formats.
 - (c) The Authority is currently implementing an asset management based approach to the strategic management of the Authority Estate and is developing Asset Plans on a regional, cluster and business unit basis to identify properties that may be divested in order to re-provide more cost effective and fit for purpose accommodation to meet future operational demands. As a result the Authority needs the ability to analyse the performance and cost effectiveness of individual and groups of properties on a much more robust basis than has occurred in the past.
 - (d) The Authority envisages that the Mobilisation will focus on the collection, validation and compilation of building and building asset (e.g. M&E equipment) information and the development and introduction of a standardised asset management hierarchy and structure. The collation of building and building asset information will need to be prioritised.
- 11.3 The Supplier shall create a Mobilisation Plan, to be agreed by the Authority prior to commencement of the Mobilisation Period, for performing the requirements of the Mobilisation Period including but not limited to key milestones and dependencies. The Mobilisation Plan shall include but not be limited to:
- Scope and Service objectives;
 - Approach to Mobilisation;

- A method statement for meeting the Authority's requirements to include a management structure. This shall detail management roles, responsibilities, job descriptions and reporting structures (a detailed organogram is expected as a minimum requirement);
- Any Authority delegated approvals process;
- Allocation of budget responsibilities within the organogram or hierarchy;
- Resource profiles for delivery of the Services (with a proactive focus on staff retention and Supplier Personnel training and development);
- Operational Working Hours and availability of managers and employees;
- Provision of training and documentation for the Authority and the FM Suppliers to fulfil contract obligations;
- Performance monitoring plan;
- Helpdesk system capability, performance and overall management procedures, including but not limited to interfaces with other systems;
- Change control procedures to be defined and agreed;
- Management Information systems and report production;
- Agreement of Monthly monitoring report format with the Authority;
- Self-monitoring procedures;
- Information collection;
- Service and process testing;
- Process and Systems implementation;
- Implementation of the Contact Centre/help desk capability
- Annual meeting timetable including but not limited to proposed attendees and sample agendas;
- Monthly meeting details including but not limited to level of attendees;
- Customer satisfaction survey and complaints procedures;
- Quality Assurance procedures;
- Security clearances for all staff as required;
- Setting up of authorisation protocols and priority ratings;
- Setting up of KPIs and SLAs (Supplier and FM Suppliers);
- Setting up of FM Suppliers response and rectification times, as outlined in Annex B Helpdesk Response Times and Annex C Service Delivery Response Times;
- Interfaces with the Authority emergency procedures including but not limited to Business Continuity and Disaster Recovery planning which the Supplier shall contribute to;
- Mobilisation procedures for Service commencement relating to any TUPE transfers and proposals for any in-situ transfer requirements involving any and all staff and Authority management orientations;
- Management and supervision outside the Operational Working Hours;
- Process and charging mechanism for requesting additional works by the Authority; and
- Sustainable development and environmental management (where applicable).

11.4 During the Mobilisation Period the Supplier shall:

- Work with the incumbent Supplier and Authority to assess the scope of the Services and prepare a plan which demonstrates how they will mobilise the Services;
 - Mobilise all the required Services specified within the Contract;
 - Detail how they will work with the incumbent Supplier and the Authority Representative to transfer and load up Asset Data;
 - Agree a training programme with the Authority as an initial deliverable within the first two weeks of Mobilisation;
 - Liaise with the incumbent Supplier to enable the full completion of the Mobilisation Period activities;
 - Produce and implement a communications plan, to be agreed with the Authority, including but not limited to the frequency, responsibility for and nature of communication with the Authority and end users of the Services;
 - Ensure that all risks associated with the Mobilisation Period are minimised to ensure a seamless change of control between incumbent Supplier and the Supplier;
 - Construct and maintain a mobilisation risk and issue register in conjunction with the Authority;
 - Report progress to the Authority against the Mobilisation Plan;
 - Attend progress meetings in accordance with the Authority's requirements during the Mobilisation Period (flash meetings weekly and formal Mobilisation review meeting monthly). Mobilisation meetings shall be chaired by the Authority and all meeting minutes shall be kept and published by the Supplier; and
 - Familiarise itself with the Authority's Affected Properties and the needs of the Building Users. The Supplier shall ensure that it is appropriately equipped to deal with the level of liaison that will be involved with the Building Users in this period and the complexity and diversity of their operating methods.
- 11.5 The Supplier shall effectively mobilise the Services required by the Authority during the Mobilisation Period.
- 11.6 The Mobilisation Period will be commence on the Call off Commencement Date and will need to be completed by 21 October 2017 in order to align with the phased Service Commencement dates as follows:

11.7	22 October 2017	Phase One:	MoJ's NPS and ALBs plus the CPS
	22 January 2018	Phase Two:	MoJ HQ
	01 April 2018	Phase Three:	DfE property cluster

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ing the Mobilisation Period, the incumbent Supplier shall retain full responsibility for all existing Services until the Service Commencement Date or as otherwise formally agreed with the Authority. The incoming Supplier's full Service obligations shall formally be assumed on the Service Commencement Date as set out within the Contract.

- 11.8 The Supplier shall work cooperatively and in partnership with the Authority, incumbent Supplier, and other FM Supplier(s) where applicable to understand the scope of Services to ensure a mutually beneficial handover of Services.
- 11.9 The Supplier shall work closely with the Authority whilst undertaking the Mobilisation, in order to achieve accuracy of Facilities Management Information.
- 11.10 The Supplier shall ensure that the requirements for full access to Supplier's records are achieved, for on-going audit/information purposes.

11.11 CAFM SYSTEM AND ASSET DATA

- 11.11.1 As specified by the Authority, the Supplier shall work closely with the FM Suppliers during the Mobilisation Period, who will produce and maintain a contract fixed Asset register which shall be compiled as a minimum from condition surveys, location surveys, operating and maintenance manuals and all Asset register details entered into the CAFM system at the Affected Property.
- 11.11.2 The Supplier shall work with the incumbent Supplier to facilitate a transfer of all Asset Data and historical maintenance Data into the new CAFM system during the Mobilisation Period ready for Service Commencement Date.
- 11.11.3 As specified by the Authority, the Supplier work closely with the FM Suppliers who shall ensure, via Asset verification or by other means, that all Assets held on Affected Properties not being transferred from the incumbent Supplier are uploaded into the CAFM system during the Mobilisation Period.
- 11.11.4 A definitive list of PPM, hard and soft services and statutory inspection services work types shall be agreed between the Authority, the FM Suppliers and the Supplier during Mobilisation.

- 11.11.5 The Supplier shall ensure that the FM Suppliers have sufficient capacity available for service delivery of all Affected Properties in accordance with the Planned Preventative Maintenance (hard and soft services) schedule which details all required maintenance activities for the first twelve (12) Months of the Contract to be uploaded to the CAFM system.
- 11.11.6 The Supplier shall ensure that during the Mobilisation Period all Business Critical Assets are denoted as critical within the CAFM system, to ensure that the correct Helpdesk Service Levels are applied. Where this information is not available or incomplete, the Supplier shall liaise with the FM Supplier who shall assess the scope of the Asset and advise the Supplier and the Authority where there are Business Critical Assets or Assets requiring maintenance.
- 11.11.7 During the Mobilisation Period the Supplier shall liaise with the Authority to ensure that its proposed systems can interface with existing systems.
- 11.11.8 The Supplier shall work with the Authority's IT supplier for the establishment of the CAFM system and for the provision of information on the Authority's intranet. The Supplier shall provide the CAFM system for the Authority and at the end of the Contract Period, or in the event of termination of the Contract for any reason, ownership of the CAFM system data shall remain with the Authority.
- 11.11.9 During the Mobilisation Period the Supplier shall be responsible for implementing the full CAFM system with the assistance of the Authority's IT Supplier in accordance with the Authority's requirements.
- 11.11.10 The Supplier shall ensure that full CAFM system training is provided to all Supplier Personnel, Authority Representatives and other FM Suppliers where applicable prior to Service Commencement Date.
- 11.11.11 The Supplier shall ensure that all Supplier Personnel are fully trained and ready to operate the Helpdesk at the Service Commencement Date.
- 11.11.12 The Supplier shall ensure that all appropriate information required for a successful mobilisation and transition of Service delivery is obtained from the incumbent Supplier before the Service Commencement Date.
- 11.11.13 The Supplier shall be aware that the Authority cannot guarantee the completeness or accuracy of any information provided by the Authority, or that of the incumbent Supplier.
- 11.11.14 The Supplier shall ensure a timely build of all IT platforms in their CAFM system to meet the requirements triggered by the Service Commencement Date.
- 11.11.15 The Supplier shall ensure that the following system capability is fully developed prior to the Service Commencement Date:

- Helpdesk (as detailed in paragraph 5 – Helpdesk);
- Asset control; and
- Cost control.

11.11.16 The Supplier shall ensure that the CAFM system has the ability to perform all Services within the CAFM system prior to the Service Commencement Date following Mobilisation.

11.11.17 The Supplier shall ensure that the CAFM system is sufficiently populated at the Service Commencement Date to accommodate all required maintenance activities within the Planned Preventative Maintenance schedule for each Affected Property.

11.12 SECURITY DURING THE MOBILISATION PERIOD

11.12.1 The Supplier shall ensure that all Supplier Personnel have the necessary security clearance in place before the Service Commencement Date. The Supplier shall ensure that the period required to obtain security clearance is reflected in the Mobilisation Plan.

11.12.2 Supplier Personnel shall not access the Authority's IT systems, or any IT systems linked to the Authority's IT systems, unless they have satisfied the Authority's security requirements.

11.12.3 The Supplier shall be responsible for providing all necessary information to the Authority to facilitate security clearances for the Supplier Personnel in accordance with the Authority's requirements.

12. EXIT AND TRANSFER – MANDATORY REQUIREMENTS

- 12.1 This paragraph describes the exit and transfer requirements that the Supplier shall be obligated to fulfil as part of the delivery of the FM Assurance Services Agreement.
- 12.2 The Supplier shall ensure that they work closely and co-operatively with the Authority to ensure a smooth and effective handover of responsibility for the provision of all or part of the Services and data from the Supplier to the incoming supplier where all or part of the Services and Data required cease to be provided by the Supplier in accordance with the replacement contract.
- 12.3 The Supplier shall provide an agreed exit process to enable the Authority to transfer to a different Supplier and to retrieve their data.
- 12.4 The Supplier shall agree an exit and transfer plan with the Authority which, shall address the following, as a minimum, but not limited to:
- 12.4.1 the data standards that will be in use (within the Service);
 - 12.4.2 a commitment to returning all consumer generated data (e.g. content, metadata, structure, configuration etc.) and a list of the data that will be available for extraction. Where there is likely to be a risk of confusion, data that will not be available for later extraction will also be published;
 - 12.4.3 the formats/standards into which data will be able to be extracted and a list of other common services/technologies for which an export/import mechanism is available;
 - 12.4.4 confirmation that the Supplier will purge and destroy (as defined in security accreditation for different ILs) Authority data from any computers, storage devices and storage media that are to be retained by the Supplier after the expiry of the Contract and the subsequent extraction of Authority data (if requested by the Authority); and
 - 12.4.5 Any data to be transferred will be detailed by the Authority at Call Off stage and in addition to live data may include, archived data, uploaded files and documents and audit trail information.
- 12.5 The Supplier shall provide appropriate handover support to any incoming supplier including but not limited to allowing access during the incoming supplier's Mobilisation Period to allow timely sharing of information.

- 12.6 The Supplier shall ensure that during the transition from the Supplier to the incoming supplier(s) that all Services and systems are maintained with the minimum disruption to the Authority.
- 12.7 The Supplier shall ensure that after the Service Commencement Date the Supplier shall agree a detailed exit and transfer plan with the Authority within a period to be defined by the Authority. The Supplier shall ensure that this plan is reviewed at intervals (intervals to be defined by the Authority) throughout the duration of any Contract or at such frequencies as requested by the Authority.
- 12.8 Where requested by the Authority, the Supplier shall provide such information as is required for the Authority to aid due diligence and run a competitive tender for re-supply of the Services.
- 12.9 Where the Authority notifies the Supplier of the intent to terminate the Contract, or at an agreed time prior to expiry of the Contract, the Supplier shall act reasonably and in good faith to work with the Authority to develop an exit and transfer plan to transfer the Services and data to the Authority or the incoming supplier(s).
- 12.10 The Supplier shall be responsible for maintaining the exit and transfer plan and updating the risk management plan ensuring that this is made available to the Authority as and when requested.
- 12.11 The Supplier shall allocate a Supplier Representative who will be responsible for managing the exit and transfer plan as finalised and agreed between the Supplier and the Authority.
- 12.12 The Supplier shall co-operate and act reasonably with the Authority and any third parties to ensure that the delivery of the required Services is not negatively impacted during the transition period including ensuring that the same levels of Supplier Personnel for each activity are maintained during the transition period between the end of the Contract Period and the beginning of the Authority's new contract with the incoming supplier(s).
- 12.13 The Supplier shall allow reasonable access to any incoming supplier(s). Access requirements will be defined by the Authority prior to any transition period to a new contract.
- 12.14 The Supplier shall ensure that they continue to provide the required reports and MI requirements as stated within this Schedule 2 and Framework Schedule 9 (Management Information) during the transition period to an incoming supplier.
- 12.15 The Supplier shall apply to the Authority for access to Affected Properties where de-installation of equipment is required.

13. ADDITIONAL REQUIREMENTS

13.1 Additional Requirements – Overview

13.1.1 The paragraphs that follow provide details of the Authority's additional requirements of the Supplier. These additional requirements are intended to build on the Framework Mandatory Requirements in order to achieve the Authority's objective of an overall FM service that is information and performance led. In a number of instances the requirements set out below are covered within the Framework Mandatory Requirements, and where this occurs the intent is to provide additional clarity in relation to the overall nature of the services required by the Authority.

13.1.2 The additional requirements required by the Authority comprise the following services:

- (a) Mobilisation;
- (b) Information Collection and Management;
- (c) Helpdesk;
- (d) Performance Management Analysis and Reporting;
- (e) Communication and Coordination of Projects and Building Works;
- (f) FM Service Audits and Cost Assessment; and
- (g) Contingency Planning and Disaster Recovery.

13.1.3 The Paragraphs that follow provide the specific details of the additional requirements in relation to each of the services outlined above.

13.2 **Mobilisation** – provision of technical and project management support to the Authority to ensure that the overall “performance and information led” approach to FM is successfully implemented by the Supplier and FM Suppliers. The specific requirements for this service are set out in the paragraphs below.

13.2.1 The Supplier shall as part of their Mobilisation team nominate dedicated, appropriately skilled and experienced resources to perform the roles of:

- (a) Programme Manager – to have overall responsibility for the delivery of the Mobilisation;
- (b) Systems lead – to lead all systems related activity including any development required for reporting, portals, performance dashboards and interfaces with FM Suppliers (and the Authority if required);
- (c) Test manager – to undertake all acceptance testing relating to systems, interfaces with FM Suppliers and in relation to acceptance tests applicable to Mobilisation Milestones; and
- (d) Data lead – to lead all data collection and migration activities.

- 13.2.2 The Authority will pay for the Mobilisation on a milestone basis whereby a percentage of the Mobilisation sum will be payable on the achievement of particular a Milestone, a further percentage will be paid on achievement of all Milestones and the remainder will be paid on completion of Transformation when services are operating as intended. Acceptance tests will apply to each Milestone and Acceptance Certificates will be issued by the Authority in advance of payment of Milestones.
- 13.2.3 The Supplier shall advise, produce and deliver to the Authority, the requirements of the process, data and information flows that need to be incorporated into the service solutions requirements of the FM Supply Chain parties including:
- As a priority the FM service suppliers;
 - Existing FM supply chain providers including PFI service providers; and
 - Other FM supply chain providers as agreed.
- 13.2.4 The Supplier shall participate in the briefing of FM Service Suppliers during Mobilisation in relation to the requirements of the process, data and information flows that need to be incorporated into their Service solutions and CAFM systems.
- 13.2.5 The Supplier shall develop the testing regime for the FM Suppliers to ensure that their service solution as implemented complies with the requirements of the process, data and information flows.
- 13.2.6 The Supplier shall develop and implement the detailed method of measurement and calculation for each of the KPIs relating to the Supplier, the FM Suppliers and the Client Unit including identifying the source data and allowable exceptions to KPIs and the method and frequency of transmission of data between the Supplier and other parties to enable “real time” reporting of performance wherever possible.
- 13.2.7 The Supplier shall collect and convert, in accordance with the detailed plans agreed during the mobilisation phase, existing Authority and FM Supply Chain information into a useable format that supports and enables performance management and analytical approaches.
- 13.2.8 The Supplier shall develop and implement as agreed with the Authority, Business Rules for the operation of the Services to cover for example; delegated authority limits, escalation approaches, notification of requests, management of exceptions, prioritisation of response and management of event closure.

- 13.2.9 The Supplier shall implement in accordance with detailed plans agreed during the mobilisation phase, a comprehensive source of FM information that provides confidence of performance and the ability to compare and analyse performance across the Authority's estate, the FM service and FM Supply Chain (to provide a holistic picture of FM performance for analysis, benchmarking, audit and management purposes).
- 13.2.10 The Supplier shall implement the agreed information management processes and systems (including the Helpdesk) to ensure that information remains accurate, up to date and accessible on an ongoing basis.
- 13.2.11 The Supplier shall work with the incumbent suppliers, the appointed FM Service Suppliers and FM Supply Chain to:
- Collect required information;
 - Implement the information and performance management processes, systems and interfaces as may be necessary to link the Supplier CAFM and Help Desk with other the FM Suppliers; and
 - Conduct such tests of the FM Suppliers implemented solutions as may be necessary and advise both the FM Suppliers and the Authority of any failures and/or remediation work required for tests to be met.
- 13.2.12 The Supplier shall advise the Authority when the FM Service Provider implementation activities relating to process, data, information flows, interfaces and systems have been satisfactorily discharged in order for acceptance certificates to be issued to the Authority.
- 13.2.13 The Supplier shall provide weekly Mobilisation summary flash progress reports detailing:
- Activities undertaken and progress made;
 - Progress against plans and milestones;
 - Status of action items agreed at monthly progress meetings; and
 - Key risks and issues and mitigation approaches implemented and proposed.
- 13.2.14 The Supplier shall provide detailed monthly Mobilisation progress reports within four days of month end (and in sufficient time for monthly progress meeting) detailing:
- Activities undertaken and progress made;
 - Progress against plans and milestones;
 - Key risks, issues and mitigation approaches implemented and proposed;
 - Status of action items agreed at the previous monthly progress meeting;
 - Requests for additional functionality and/or process changes;
 - Status and performance of trials and tests of services and Supplier functionality; and
 - Update on overall confidence in service go live as intended and/or the need to apply contingency arrangements in respect of FM service go lives.

13.2.15 The Supplier shall attend and actively contribute to monthly Mobilisation progress review meetings to be held within the seven days of month end and provide all assistance necessary to actively support any programme progress reviews.

13.2.16 The Supplier shall provide minute taking services to all Mobilisation and Performance meetings attended with or on behalf of the Authority.

13.3 Information Collection and Management – provision of a document management and information management capability for all FM Service related information including providing the base infrastructure of processes, information, interfaces and systems needed to deliver all FM Assurance Services and to support a performance and information led approach to the management of FM Services and FM Suppliers. The Supplier shall act as a central information hub and deliver a web based portal and dashboard to enable streamlined and efficient access to information, documents and reports. The Supplier shall inform the Authority decision making through provision of accurate and timely information across all aspects of the FM Services. The specific requirements for this service are set out in the paragraphs below.

13.3.1 The supplier shall develop and implement the processes, procedures and manage the ongoing operation of document and information management across all aspects of FM services for all Affected properties;

13.3.2 The Supplier shall identify the full range of information relating to the overall FM Services that need to be held for the effective operation of the service and to meet all audit, review, regulatory and compliance requirements relating to the management of the FM Suppliers and the operation of the overall FM Service.

13.3.3 The Supplier shall identify the current status of information (e.g. available and useable in current form, accurate but needing to be entered into systems, needing validation prior to entry into systems etc.) identified as being required and provide an assessment of the criticality of this information to the effective operation of the FM Assurance Services and the wider performance management of the FM Service and FM Supply Chain.

13.3.4 The Supplier shall develop and implement during Mobilisation an action plan for the collection, collation, validation and conversion of information to enable the effective operation of all Supplier services.

13.3.5 The Supplier shall establish and implement appropriate meta-data standards and processes to ensure consistent treatment of information and data relating to all FM activities (financial, operational, performance and associated coding and definition).

13.3.6 The Supplier shall validate and confirm with the Authority, the detailed business processes for capturing the required information and implement these agreed processes to manage and update required information on an ongoing basis (including in relation to the Contact Centre/Helpdesk, and the additional requirements). Detailed processes must specifically identify

responsibilities of each member of the FM Supply Chain in relation to the information management processes.

- 13.3.7 The Supplier shall provide a managed web portal that enables controlled user access for each affected property, all relevant documentation and information to be logically viewed, and accessed by the Client Unit, Estates Directorate Staff, FM Suppliers and Building Users including but not limited to:
- Building and asset compliance information, documentation and certification;
 - Work order, service request/task order information including current (planned and reactive and remedial) open work orders/task orders together with their status and work orders/task orders closed in the last month (and their status);
 - 52 Week printable PPM schedule;
 - Project information to include current and upcoming projects;
 - Service performance information including KPI performance information where this is reported at building level;
 - Asset information including asset lists and asset attributes in accordance with the asset hierarchy as set out at Annex G;
 - Forward maintenance registers;
 - Sustainability information and documentation including details of utilities, waste and carbon performance;
 - OH&S information (including for each property details of fire wardens and first aiders)
 - Summary details of landlord obligations;
 - Business Continuity and Disaster Recovery Plans;
 - Financial information including costs and budgets aligned to the ITOCC with details of cost per m2 and cost per workstation; and
 - Additional information and documentation as is provided for within the Framework Mandatory requirements.
- 13.3.8 The web portal required in 13.3.7 above should also clearly link to performance and analytics dashboards for FM service performance (FM Suppliers, Client Unit and Supplier KPI dashboards), FM and Affected Building compliance performance and FM and Affected Building sustainability performance as required in Paragraph 13.5 below.
- 13.4 **Helpdesk** – additional requirements and features have been added to paragraph 5 setting out the Authority’s specific additional requirements.
- 13.5 **Performance Management, Analysis and Reporting** – The Authority has identified additional performance analysis and reporting requirements to support the information and performance led approach to the management of FM. In particular the Authority requires a “real time” web based performance and analysis dashboard that enables KPIs for the Supplier, FM Suppliers, and Client Unit to be analysed on a daily basis in order to identify areas of performance issues and correct them before KPIs are failed by any party Performance and analytics dashboards are also required for Affected Building compliance (and OH&S as relevant) performance and sustainability performance. The specific requirements for this service are set out in the paragraphs below.

- 13.5.1 The Supplier shall develop, implement and manage a set of web based performance and analytics dashboards to enable “real time” reporting and analysis of Supplier, FM Suppliers and Client Unit KPIs as set out in the performance models for each of the Supplier and FM Suppliers and as agreed with the Authority during Mobilisation for the Client Unit.
- 13.5.2 The Supplier shall develop, implement and manage a set of compliance dashboards that shows at an overall portfolio and for each Affected Building the % compliance in relation to statutory and mandatory (and OH&S as relevant) tests and maintenance activities, with details showing the relevant assets in the buildings, dates of tests, the current status of certification and the completion of remediation actions
- 13.5.3 The Supplier shall develop, implement and manage a set of sustainability dashboards that shows at an overall portfolio and for each Affected building relevant performance and trend analysis relating to utilities consumption, carbon, and waste aligned to Government reporting requirements and the tracking of achievement against existing and future targets;
- 13.5.4 For each of the performance and analytics dashboards identified above users of the dashboards must be able to drill down from aggregate summary information provided at an overall portfolio level through a range of dimensions including:
 - (a) Organisation dimensions (to show performance and analysis by each of the MoJ Shared Estates Cluster Organisation);
 - (b) Location dimensions (to include overall national view, region, sub region, Local Authority, site and building);
 - (c) Technical dimensions (to show performance by service type, sub service type and repair types);
 - (d) Supplier dimensions (to show each FM supplier, supplier team and individual operative); and
 - (e) Time dimension (to show performance and analysis that provides an annual, monthly and daily view).
- 13.5.5 The Supplier shall ensure that within each of the performance and analysis dashboards there is the ability to drill down to the source data that provides the inputs for the calculation of any KPI or the presentation of any graphical or statistical information and that such source data and information can be exported for manipulation within standard tools such as excel.
- 13.5.6 The Supplier shall ensure that all performance and analysis dashboards are able to be updated on at least a daily basis with the transaction and “event” information that is used to calculate individual KPIs and/or statistical and/or graphical views of performance and performance trends.
- 13.5.7 The Supplier shall ensure that all performance and analysis dashboards are able to facilitate trend analysis of KPI, and statistical and graphical items as provided within each of the performance, compliance and sustainability dashboards.

- 13.5.8 The Supplier shall maintain knowledge management expertise to support the Authority in understanding and analysing the CAFM functionality, data and performance and analysis dashboards and to develop and analyse reports for the Authority.
- 13.5.9 The Supplier shall coordinate the upload of underlying transaction/event/activity information from the FM service and the FM Supply Chain and calculate KPIs for the FM Service/FM Supply Chain on a daily basis to enable regular performance analysis.
- 13.5.10 The Supplier shall undertake benchmarking, trend analysis, comparative performance analysis of FM services and supply chain to identify and recommend performance improvement opportunities and the potential for implementing service innovations.
- 13.5.11 The Supplier shall proactively analyse performance information and identify pre-emptive actions that can be undertaken to avoid faults and/or failures in order to enable the Authority to drive down the ratio of unplanned vs planned spend.
- 13.5.12 The Supplier shall provide the Authority business cases supporting recommended improvements across the FM service and FM Supply Chain setting out current position, changes proposed, financial case, implementation options, risks, risk mitigations and proposed timetable.
- 13.5.13 The Supplier shall track the progress and outcomes resulting from performance improvement opportunities that are implemented.
- 13.5.14 The Supplier shall track the progress and outcomes resulting from Contract performance Defect Notices that are issued.
- 13.5.15 The Supplier shall track the progress and outcomes from any audit remediation actions that are identified as a result of Supplier or Client Unit audits of Affected Properties and FM Suppliers.
- 13.5.16 The Supplier shall track performance of the FM Supply Chain against performance and KPI improvement action plans where underperformance is identified and an action plan agreed between the Client Unit and FM Supply Chain party.
- 13.5.17 The Supplier shall provide ongoing reporting in relation to the resilience status (as defined during mobilisation) of all Affected Properties, including building systems and assets, across the Authority Estate.
- 13.5.18 The Supplier shall provide reports and analysis of each FM Service and function across a range of service factors including contract, region, business type, business unit, type of service within building, service/building criticality and FM Supply Chain Provider including FM sub-contractors.
- 13.5.19 The Supplier shall coordinate and administer and act as the independent chair for monthly performance meetings for each FM Supplier.
- 13.5.20 The Supplier shall record minutes from FM Supplier monthly performance meetings and track progress and completion of all action items.

- 13.5.21 The Supplier shall within this performance management approach provide both routine and ad-hoc performance reporting capabilities and provide as a minimum but not limited to:
- (a) The delivery of monthly KPI reports by FM Service Provider/FM Supply Chain party to support monthly performance reviews and the calculation of performance remedies/abatements (and incentives) with a level of detail that enables performance by contract, regions, business type, business unit, affected property and FM service line to be reviewed;
 - (b) Financial reports showing cost per square metre of service elements across the Authority estate, average, upper and lower quartile, and management reporting information for each service element month cost, Y.T.D cost, month cost vs budget and Y.T.D cost vs budget;
 - (c) Regular customer satisfaction reports that incorporate results from a multi-channel approach to determining satisfaction levels (e.g. Surveys, just in time feedback from call closures, focus groups, complaints, and identification of evolving user needs that fall outside of the FM Supply Chain);
 - (d) Contract risk reports at contract, region, business unit and affected property level showing number of risk by priority, new risks identified, changes in existing risk profiles, issued and closed risks and to include mitigation activities and recommendations;
 - (e) Statutory compliance reports (% compliance by site/business unit/region);
 - (f) Health and safety reports (incidents, near misses, RIDDOR);
 - (g) Environment reports;
 - (h) Spend profile reports and performance against work programmed for PPM (hard and soft);
 - (i) Status of security clearances for staff within FM Supply Chain;
 - (j) Project status reports, status, time, cost quality defects and handover;
 - (k) Supplier performance report relating to availability, responsiveness, timely delivery of routine reports, contact centre performance, audit performance etc.;
 - (l) Monthly 'out to of scope' reports that's shows the request for services that are not within the responsibilities of the FM Supply Chain – including one off orders and contract variations, activities of general maintenance operatives e.g. Time spend on janitorial/PPM;
 - (m) Exception reports showing key variances from agreed performance levels across range of FM KPIs;
 - (n) Fault driver/reason reports highlighting the FM supply chain party's assessment of the reason/cause of faults vs the customer's assessment of the fault (e.g. Misuse, abuse, vandalism, wear and tear, poor maintenance, inherent equipment fault etc.);

- (o) Monthly reports on the number of early warning notices and defect notices issued to the FM Supply Chain, the status of each notice, the number open and closed each month, the number of outstanding actions/recommendations made to the authority the number in breach of contractual time limits and the number of notices escalated to the authority for action. Report to include the overall annual/contractual totals, numbers rectified, accepted or rejected and the financial implications of and recoveries made as a result of such notices;
- (p) Monthly reports detailing the number of task orders issued to the FM Supply Chain, the value of such, status and number in breach of contractual terms;
- (q) Monthly technical assurance and demand challenge indicating number of task orders reviewed, numbers and value of rejected/disputed task orders (together with reason for dispute/rejection), accruals information in relation to number of and value of completed task orders not yet invoiced, number of agreed/amended task orders, annual and monthly values and monetary savings made through technical challenges; and
- (r) Monthly reports on the number of compensation events lodged by FM Suppliers and Authority, status of each, numbers in breach of contract or contract time limits, overall contract values and change amounts and summary of supplier CE challenge/recommendations.

13.6 Communication and Coordination of Projects and Building Works – The Authority has identified additional requirements in relation to the communication and coordination of projects and building works to include the coordination of compiling and prioritising Forward Maintenance Registers with the FM Suppliers and Client Unit. The Authority also requires the supplier to track the progress and the performance of New Works, unplanned projects, Minor Works and Capital Projects being undertaken in order to and ensuring FM Services are aligned with such projects. The specific requirements for this service are set out in the paragraphs below.

- 13.6.1 The supplier shall on an annual basis aligned to the Authority's business planning and budgeting cycle, coordinate and lead the collation, prioritisation (taking into account budgets and estate strategy as set out in Strategic Asset Plans provided by the Authority) and finalisation of Forward Maintenance Registers for each Affected Property for submission to the Authority for approval.
- 13.6.2 The Supplier shall ensure that the Forward Maintenance Register is updated to include all condition or other building/service surveys, reviews, audits and other building or asset reports undertaken by the Supplier, the FM Suppliers, Authority or other third party Stakeholders.
- 13.6.3 The Supplier shall provide the Forward Maintenance Register to the Authority in sufficient detail to enable the Authority to plan to minimise disruption to the Authority's activities.
- 13.6.4 The Supplier shall include in the Forward Maintenance Register details of the total cost of all tasks identified (both net and gross of VAT and any

appropriate third party fees and charges), the forecast delivery timetable, an assessment of the operational and strategic risk of the task identified, an assessment of the likelihood of failure of the task identified and failure date and an assessment of the effect any identified task on the delivery of the Services and/to activities of the Authority.

- 13.6.5 The Supplier shall provide an annual schedule of programmed maintenance detailing the rooms affected (and extent of such impact) and timescales for each item of work. The schedule of Programmed Maintenance shall be at least to the level of detail of the example provided in the Data Pack. The Programmed Maintenance activities shall demonstrate that the Assets, Plant and Equipment are planned to comply with the Service Standards, the requirements of the manufactures original and subsequently amended specifications and warranties.
- 13.6.6 Building from the Forward Maintenance register, the Supplier shall include all Planned Preventative Maintenance, operational and capital tasks/works and develop a 10 year Forward Maintenance Plan which sets out the 3, 5 and 10 year maintenance and replacement requirements for each Affected Property and Asset and spaces within them with costings, prioritisation and an assessment of the risks for each.
- 13.6.7 The Supplier shall provide a quarterly update to the Forward Maintenance Register/Schedule of Planned Programmed Maintenance to address account for any unplanned project that result in a need to re-prioritise the Forward Maintenance Register and or bring forward works from the 10 year Forward Maintenance Plan.
- 13.6.8 The Supplier shall track and monitor projects from the Forward Maintenance Register that are approved and allocated budget to progress (revenue or capital) as part of the wider project tracking required in the paragraphs below.
- 13.6.9 The Supplier shall develop and implement and manage procedures and protocols for the collection, reporting, communication and coordination of project and building work status and performance information (including for projects that are being delivered by FM suppliers as well as projects managed by the Project Delivery Team within Estates Directorate).
- 13.6.10 The Supplier shall develop requirements for the FM Suppliers in relation to the structure, format, access and timing requirements for provision of FM Suppliers projects and works information in order to deliver the required status and performance information.
- 13.6.11 The Supplier shall for project works agreed to be delivered through the FM Suppliers, track the status of all projects from inception through key project lifecycle stages to completion, handover and release of retentions, including where relevant monitoring progress against each of the RIBA stages.
- 13.6.12 The Supplier shall obtain project status updates from project sponsors/owners and/or consultants and or the PMO for Project Delivery on a monthly basis to confirm whether there has been any changes highlighting areas of variance in each category and then update project status information on a by exception basis.

- 13.6.13 The Supplier shall provide an easy to use means through which all relevant parties can access and view relevant project status information.
- 13.6.14 The Supplier shall ensure that the presentation of project information enables easy drill down from aggregated summary information down to base information.
- 13.6.15 The Supplier shall advise the Authority and relevant FM Suppliers, though the appropriate contract processes and procedures of the need to 'stand down/revise the approach to FM Services to account for projects and works (e.g. cleaning, planned preventative maintenance, security and other services not required when major project works are occurring).
- 13.6.16 The Supplier shall advise the Authority of potential schedule clashes in respect of proposed projects to ensure that the operational impact of all works and projects are minimised.
- 13.6.17 The Supplier shall advise the Authority of potential scope clashes between planned FM Services and reactive works and planned project works:
- (a) The Supplier shall in conjunction with the Authority, advise the FM Supply Chain of reactive/additional works that would need to be referred to the Authority for approval to commence because of planned works for example where a reactive Service Request has the potential to become an unplanned project and there is a planned project scheduled to start that could absorb/address the requirement (and track the Authority's response times for these referrals); and
 - (b) The Supplier shall advise on process changes that may be required to improve the efficiency of referrals to the Authority.
- 13.6.18 The Supplier shall maintain a central repository of project status information co-ordinated and collected from sources, including but not limited to, FM Suppliers, Estates PD (including consultants, contractors and agents) and PMO this information shall at a minimum include:
- (a) Client Information – client contact number, building user contact, budget code and cost centre, building, type of project, project owner and contact details, project contractor;
 - (b) Financial Information – contract sum, current agreed sum, value paid to date, variance against contract sum, remaining commitment, retentions, accruals, WIP reports, flow-throughs, consultant/project fees paid/outstanding; and
 - (c) Project Progress – date of issuing brief to consultant, date of tender, date of award, start date, completion date, release of retention due date, comments/progress against programme and RIBA stages.
- 13.7 **FM Service Audits and Cost Assessment** – The Authority has identified additional requirements in relation to the provision of an integrated audit and assurance service to include commercial audit of work orders, invoice line items

and KPI deductions of FM Suppliers and the conduct of a rolling programme of “holistic” building and FM service audits. The Supplier is also required to provide a structured programme of Building Condition Surveys and Fire Risk Assessments to align with the strategic asset management approach the Authority is deploying. In addition and as required the Authority may require additional audit and assurance services including:

- Technical completion audits for projects and works undertaken by FM Suppliers;
- Listed Building and heritage and/or conservation assurance services;
- Additional Fire Risk Assessments;
- Additional Building Condition Surveys;
- Listed Building Quadrennial Surveys;
- Forensic building and technical audits; and
- Investigations in relation to service and asset failures including in relation to Health and Safety issues

The specific requirements for this service are set out in the paragraphs below.

Commercial Audit and Assurance

- 13.7.1 The Supplier shall develop and implement a commercial audit and assurance process for validating the costs and best value approach implemented by the FM Suppliers in relation to any chargeable works including additional and reactive works that are above the agreed Comprehensive Liability Thresholds (of £1000 for DFE Cluster Affected Properties and £300 for all other Affected Properties).
- 13.7.2 The Supplier shall pilot and test the new approaches to FM service assurance, audit and cost assessment during the Mobilisation stage of this contract in conjunction with the Authority’s Client Unit.
- 13.7.3 Prior to payment the Supplier shall provide the Authority with verification and validation of the monthly payment amounts due to the FM or other FM Supply Chain Contractors, prior to payment but in accordance with Schedule O of the FM Suppliers contracts. To validate any such payment application the Supplier will undertake a:
 - (a) 10% assurance, audit and verification of chargeable reactive repairs and works issued to the FM Supplier by the Authority through the Supplier;
 - (b) 10% assurance, audit and verification check of all planned work (hard and soft);
 - (c) 10% assurance audit and verification of amounts due for project work;
 - (d) 10% assurance audit and verification of all other amounts to be paid or retained;
 - (e) 100% assurance audit of any adjustments to the amount due as a consequence of the Suppliers failure to meet the contracted KPI scores; and

- (f) technical value for money and contractual assurance check on all (100%) Task Orders issued by the FM Suppliers, ensuring that all task orders are compliant with the said FM Contracts, that all Task Orders are technically compliant and represent the best value in terms of the solution proposed and costs identified to the Authority. The Supplier shall, following the 100% check of all Task Orders then provide a recommendation to the Authority as to the acceptance or not of the Task Order request *Note this is intended to apply to “Green Route” tasks undertaken in relation to Business Critical/Health and Safety related issues.*
- 13.7.4 The Supplier shall undertake a monthly assurance check of all FM and other designated contracts which assess the provision of services delivered by those Contractors in accordance within the said contract requirements and specifications via undertaking the following actions:
- (a) Undertake a monthly assurance audit of the compilation of the Key Performance Indicators (KPIs) prepared and self-reported by the FM Suppliers to include a 10% check of the KPI scores reported by the FM Suppliers against the relevant source performance data Note it is expected that the number of FM Supplier KPIs shall be small as the majority of KPIs will be calculated by the Supplier through their CAFM or through the conduct of Audits; and
 - (b) Monitor and report monthly on the FM Suppliers or other designated Contractors procedures and compliance, based on a 100% check, that all statutory, mandatory and/or Departmental health and safety certification and required documentation has been provided in advance of invoicing for relevant services by the FM Suppliers.
- 13.7.5 The Supplier shall provide to the Client Unit and FM Service Provider a consolidated pack of all performance, audit and invoice validation information, flagging exceptions or items where payment may be disputed for review by the FM Supplier and the Client Unit in advance of certification of invoices for payment.
- 13.7.6 The Supplier Shall track disputed invoice items to resolution and work with FM Suppliers to ensure they provide the required documentation and certification to evidence the completion of works (including documentation and certificates, cost breakdown, etc).
- 13.7.7 The Supplier shall track works against cash-flows agreed through Business rules including undertaking where required business rules valuation of work in progress.
- 13.7.8 The Supplier shall retrospectively review payments to FM Suppliers to take account of findings from building audits and to ensure that the Authority has accurately paid for works completed.
- 13.7.9 The Supplier shall validate the correctness of FM Suppliers invoices in respect of fixed and variable fee elements including:
- The accuracy of penalty and incentive amounts based on cross comparison against performance information and KPI outcomes;
 - The calculation of the invoice line items;
 - The split between devolved and non-devolved elements and the correctness of cost code/GL code/cost centre allocation;

- The accuracy of other splits as may be included and required (e.g. VAT); and
- The completeness of all required accompanying information in order to advise the Authority that invoices are accurate or otherwise and should be certified for payment.

13.7.10 The Supplier shall audit, monitor and assure the Asset Verification and Price Adjustment mechanism in the FM Supplier Contracts and ensure that all proposed changes to the baseline costs and significant data are validated and assessed for both compliance with the FM Supplier Contract provisions and value for money, and that all formal applications by the FM Suppliers for change are correctly applied for and processed in accordance with the requirements of the said FM contract.

Technical Completion Audits

13.7.11 The Supplier shall, where requested by the Authority when (agreeing a work/Task Order) undertake technical completion audits of works, work orders and/or Task Orders in order to establish that the particular works, work order and/or Task Orders have been completed by FM Suppliers in accordance with the requirements of the work and/or Task Order and the FM Suppliers contract. It is expected that on average 10 technical completion audits requiring attendance at the relevant site will be required per month.

Integrated Building and FM Service Audits and Assurance

13.7.12 The Supplier shall develop, document and implement an integrated building and service audit process for the conduct of random and planned assurance audits, including the development of all audit/assurance templates, checklists and proformas for capturing and reporting all audit information. Audits should be structured so that on average they take half a day to conduct on site.

13.7.13 The Supplier shall train the Authority's client unit staff in the methodology and approach to undertaking the integrated building and service audits and shall provide them with the templates, checklists and proformas for capturing and reporting all audit information so they are able to undertake their own audits on the same basis as the Supplier.

13.7.14 The Supplier shall develop, administer and conduct a rolling programme of random and planned building audits and contract assurance checks which are output focused and take a holistic approach in relation to overall building and service performance. The Affected Properties to be audited in a given month are to be agreed with the Authority and random audits are to be undertaken without providing notice of the FM Suppliers whereas planned audits are to be undertaken jointly with the FM Suppliers and Client Unit staff.

13.7.15 The Supplier shall as part of the building audits and assurance checks review works and services undertaken in relation to the particular building subject to the audit/check to ensure compliance against the FM Supplier contracts, service levels/SLAs/Service requirements and KPIs.

13.7.16 The Supplier shall conduct 15 planned and 5 random audits per month prioritised by building size and criticality.

- 13.7.17 The Supplier shall ensure all planned and random audits/assurance checks cover and include:
- A review and validation of all works and activities undertaken by the FM Supply Chain that have been self-certified, with identification of those services/activities where queries and issues with self-certification exist;
 - A review of delivery of services to confirm they have been undertaken in accordance with the FM Supplier contracts;
 - A review of hard and soft service standards and quality against the contract requirements and KPIs including key resource inputs relating to SLA/KPI satisfaction;
 - Verification of signing on processes and preparation of method statements/safe systems of work;
 - Compliance with legislative and regulatory requirements for buildings and assets with buildings (e.g. boilers, lifts, pressure vessels);
 - Compliance with Legislative, regulatory and Contract Authority health safety standards;
 - Tidiness of works and/or disposals of waste in accordance with environmental legislation/Contract Authority policy;
 - Technical checks of completion of works to required standards in relation to building fabric and building plant and equipment;
 - A review of the condition of the building and assets within it recording issues and areas for concern; and
 - A review of assets within the building against information held in Supplier and FM Supplier asset registers for each Affected Property a 10% check of asset register accuracy will be undertaken.

Outcomes from Audits

- 13.7.18 The Supplier shall report audit and assurance outcomes through monthly performance meetings.
- 13.7.19 The Supplier shall coordinate joint remediation meetings to agree with FM Suppliers, user and Client Unit representatives the remediation actions that need to be undertaken as a result of audit/assurance findings and then track all remediation action items agreed to completion and report on remediation performance monthly.
- 13.7.20 The Supplier shall following any audit or assurance test or check provide the Authority with a detailed report of the findings of the said audit or assurance test or check, recommending to the Authority the proposed action to be taken to rectify any defect or contractual failing identified. The supplier shall further draft and submit proposed contract Early Warning or Defect notices to the Authority for approval and issuance to the FM or other designated contractor to rectify or accept the defect within the time specified within the NEC contract term.
- 13.7.21 The Supplier shall on the instruction of the Authority issue any agreed defect notice to the FM Supplier for action and shall monitor and track all such Early Warning or Defect notices issued by the Supplier or Authority directly to the FM Supplier to conclusion, recommending further escalations and or acceptance in light of any response to the said Early Warning or Defect Notices been submitted in response by the said Contractor.

- 13.7.22 The Supplier shall on receipt from the Authority log and undertake a contractual and commercial review of all Contract Compensation Events submitted by the FM or other Designated Contractor and advise the Authority of the validity of such Compensation Events in relation to the said Contract and providing advice, guidance and a recommendation as to the acceptance or otherwise of the said Events to the Authority for consideration within the specified time limits set out within the NEC contract terms.

Annual Best Value and Other Assurance

- 13.7.23 The Supplier shall annually check and advise on the effectiveness of all FM Suppliers and other designated contracts Quality Management Systems, including verification of any quality audits carried out by the FM or other designated Contractors in respect of their Quality Management Systems. The Supplier will undertake an initial verification of the FM or other designated Contractors Quality Management Systems within 3 months of service commencement and annually thereafter. Such annual checks are to include verification of QMS system at FM supplier site and Authority Affected Properties as are necessary to ensure effectiveness of FM supplier QMS
- 13.7.24 The Supplier shall monitor and report annually on the completeness and accuracy of information held by the FM or other designated Contractors for each Affected Property by means of an annual 'desk top' survey of information held and a 5% check of Affected Properties (by GIA). The Supplier shall undertake an initial check of the information held within 3 months of service commencement and annually on the anniversary of Service Commencement Date thereafter.
- 13.7.25 The Supplier shall in conjunction with the FM Suppliers audit and validate any annual surveys or other reports or data provided by the FM Supplier or other designated contractor to ensure compliance with the said contract and other Authority asset management processes by means of checks to a minimum of 10% of the Affected Properties within each contract per annum.
- 13.7.26 The Supplier shall undertake an annual audit of the FM Suppliers to ensure that compliance with the requirements of the Authority's Security Policy and procedures in relation to security vetting requirements for contract and agency staff and that any breaches of the Authority are reported and escalated in accordance with agreed Business Rules and contractual escalation processes.
- 13.7.27 The Supplier shall undertake an annual assurance audit of the asset registers held by each FM Supplier ensuring that all Affected Property asset registers are reviewed and formally signed off by the Supplier as being accurate in every contract year.
- 13.7.28 The Supplier shall undertake an annual review of the FM Suppliers, other designated Contractors and sub-contractors to confirm contract compliance with regard to insurance, quality assurance certification, disability policies, discrimination policies, human resources and security records and policies. The Supplier shall undertake an initial validation check within 3 months of service commencement and annually on the anniversary of Service Commencement Date thereafter.

- 13.7.29 The Supplier shall comply with the following arrangements and obligations of the Contract in relation to the provision of Benchmarking Information to the Authority.
- 13.7.30 The Supplier shall undertake an annual best value and Benchmarking review of each FM Supplier. The Supplier shall develop and agree the methodology for this annual review with the Authority. Its objective is to identify current performance (service level, responsiveness, customer satisfaction, cost, etc.) in relation to areas of concern for the Authority. The Supplier shall undertake the measurement of the effectiveness of the processes that lead to cost and given performance.
- 13.7.31 The Supplier shall, once per Contract year, undertake a benchmarking exercise of the FM Suppliers and other FM Supply Chain, as agreed with the Authority, in terms of quality and cost and covering the following contract services:
- Soft FM services;
 - Hard FM services;
 - Sustainability improvements;
 - Innovation;
 - Performance against service levels and contract KPIs;
 - Cost and value for money;
 - Any other items that are agreed between the Authority and Supplier; and
 - The comparative costs of the above between FM Supplier contracts and other comparable FM suppliers.
- 13.7.32 The Supplier shall submit a report detailing the findings of the Benchmarking exercise by a date agreed with the Authority.
- 13.7.33 The Supplier shall, as far as is reasonably practicable, compare prices on a like for like basis (taking account of the comparable services and equivalent contractual terms), and shall take into account regional pricing factors.
- 13.7.34 Where the Benchmarking exercise demonstrates that specified elements of the service is being provided by the other FM suppliers, at a higher quality for comparable costs, the Supplier shall recommend to the Authority action in order to increase the quality standards to that detailed as being achieved in the Benchmarking exercise for any FM contracts not achieving that identified level of service.
- 13.7.35 Where the Benchmarking exercise demonstrates that the specified element of services that is being provided by the FM Suppliers, is being provided at a lower cost in other contracts, the Supplier shall recommend to the Authority actions in order to reduce the costs to that detailed as being achieved in the Benchmarking exercise for any FM contracts not achieving that identified cost level.
- 13.7.36 The Supplier shall manage, monitor and report on any actions arising from the Benchmarking exercise and which are agreed for implementation with the Authority. This will include the drafting, approval, issuing, tracking and closure of all Contractual documentation required to implement such actions.

Building Condition Surveys

- 13.7.37 The Supplier shall provide a professionally managed Building Condition Survey Service across all the Authority's estate to an agreed and consistent standard. The Building Condition Survey Service shall align with and inform the development of Forward Maintenance Registers, lifecycle forward maintenance plans and the strategic asset management approach being implemented for Authority assets and/or assets for which the Authority is responsible.
- 13.7.38 The structure, content and method of undertaking Building Condition Surveys together with the outputs delivered shall be agreed with the authority during Mobilisation but shall include:
- (a) The approach to leveraging technology to achieve efficiency and consistency;
 - (b) The approach to rating condition and suitability of the Affected Properties and the spaces and assets within them;
 - (c) The approach to working with the Client Unit and Estates Directorate to risk assess and prioritise recommended works;
 - (d) The approach to estimating costs (capital and revenue) with the level of detail required to a high level for works in the coming 1-3 years and less detail required for years 3-30;
 - (e) The approach to aligning Condition Surveys with data structures including the Location Hierarchy, Asset Hierarchy and BIM requirements;
 - (f) The approach to prioritising the Condition Surveys aligned to estate strategies and strategic asset management plans; and
 - (g) The approach to aligning the Conditions Surveys with the production of business cases, forward maintenance registers and briefs for work.
- 13.7.39 The Authority's current approach to condition categorisation and risk assessment is provided at Annex H.
- 13.7.40 The Supplier shall carry out a full Condition Survey, to the standard agreed with the Authority, to each Affected Property once every 3 years. It is expected on average that the time on site to undertake Condition Surveys should be no more than 2 days. Conditions surveys should commence from service commencement of contract with a third of the affected properties surveyed in any given contract year.
- 13.7.41 The Supplier shall ensure that all Condition Surveys are carried out by a Competent Person, to include chartered building surveyors and chartered building services engineers, as agreed with the Authority.
- 13.7.42 The Supplier shall carry out an annual desk top survey, to include a review of all works undertaken/planned, all deferred works, all third party beguiling/service reports and all Help Desk information, for each Affected Property and to update the Building Condition Survey information and Forward Maintenance plans to ensure life-cycle and maintenance plans are maintained accurately over the life of the Contract.

- 13.7.43 Supplier shall ensure that the Condition Survey and annual desk top survey information is included within the maintenance and works plans and Forward Maintenance Plan for each Affected Property and shall include the forecast cost (capital or revenue) for the undertaking of any work identified.
- 13.7.44 The Supplier shall ensure that all results of the Condition Survey reports and annual desktop reviews are entered against the relevant Affected Properties and Assets within the CAFM system and any other relevant Authority databases.

Fire Risk Assessments

- 13.7.45 The Supplier shall provide a timely professional assurance service on all matters relating to the Regulatory Reform (Fire Safety) Order 2005 for each Affected Property. The Supplier shall ensure that at all times there is an up to date Fire Risk Assessment for all Affected Properties and that Fire Risk Assessments are reviewed annually or when there are any relevant changes within Affected Properties. Risk assessment reviews are to be undertaken annually for each building starting from go-live. Where FRAs are not in place this should be prioritised and undertaken during the 1st year of the contract. Details of the existing FRAs in place to be provided as part of the data pack.
- 13.7.46 The Supplier shall produce Fire Risk Assessments and prioritised action plans where these are not currently available or where, as agreed with the Authority during Mobilisation, the quality of the current documentation is not of an appropriate standard.
- 13.7.47 The Supplier shall maintain Fire Risk Assessments and update these to incorporate any changes or enhancements to the fire systems. Fire Risk Assessments must be stored on the CAFM system and submitted to the Authority in the agreed format, which as a minimum is aligned to and covers all items identified in the template at Annex I. Fire Risk Assessments and first draft prioritised action plans must be submitted to the Authority within ten (10) Working Days following the completion of any site visit. The Authority Client Unit and the Supplier shall then review and confirm the prioritisation of the actions to be implemented within Fire Safety Plans within ten (10) days following submission. Prioritised action plans should take account of Strategic Asset Management plans and approaches to mitigating risks identified in the most economic and effective manner.
- 13.7.48 The Supplier shall ensure that Fire Risk Assessments and prioritised action plans and reviews of Fire Risk Assessments are undertaken by suitably qualified Fire Risk Assessors as detailed within the Table below. Fire Risk Assessments must be completed by personnel holding appropriate qualifications for the size and complexity of the Affected Property. The minimum level of competence required to be accepted on one of the 3rd party accreditation schemes as outlined in the table below will be deemed sufficient to undertake FRAs in the following types of premises:
- Normal office buildings of traditional construction with no fire engineered solutions and occupancy up to 1000 people;

- Sleeping Risk Premises of traditional construction with no fire engineered solutions and a maximum sleeping occupancy of 40 people.

For premises that fall outside of the criteria set out above, it will be necessary for a higher level of understanding and competence to be achieved. In particular for Office buildings with fire engineered solutions and / or occupancy in excess of 1000 people and / or Complex, multi occupancy buildings Fire Risk Assessment must be undertaken by a Chartered Fire Engineer.

REGISTERED HOLDERS	UKAS Accredited Company Scheme	UKAS Accredited Person Certification Scheme	Professional Body Person Registration Scheme
The BAFE 'SP205' company scheme is delivered by the following UKAS accredited certification bodies: ECA, NSI, SSAIB			
Institute of Fire Prevention Officers (IFPO) This is a professional body registration scheme			
Institute of Fire Safety Managers (IFSM) This is a professional body registration scheme			
Institution of Fire Engineers (IFE) This is a professional body registration scheme			
'Fire Risk Assessors Certification Scheme (Individuals) FRACS'			

- 13.7.49 The Supplier shall produce action lists as part of the Fire Risk Assessments that will be submitted along with the report to the Authority. It will be the Suppliers responsibility to issues these actions as work orders to the relevant Supplier and then monitor and audit the contractor's resolution within the timeframes indicated within the Fire Risk Assessment. Escalating where deadlines are close to be breached or have been breached to the Authority so they can take necessary action with the Supplier.

As Required Additional Assurance Services

- 13.7.50 On an as required and as requested basis, the Supplier shall undertake additional audit and assurance services to include:
- Technical completion audits for projects and works undertaken by FM Suppliers;
 - Listed Building and heritage and/or conservation assurance services;
 - Fire Risk Assessments;
 - Additional Building Condition Surveys;

- Listed Building Quadrennial Surveys;
- Forensic building and technical audits; and
- Investigations in relation to service and asset failures including in relation to Health and Safety issues

13.8 Contingency Planning and Disaster Recovery - The Authority has identified additional requirements in relation to the coordination of Business Continuity and Disaster Recovery including ensuring business continuity plans for buildings and FM Suppliers are maintained up to date and accessible, coordinating tests of BCDR plans and supporting the Authority to enact BCDR plans when required. The specific requirements for this service are set out in the paragraphs below.

- 13.8.1 The Supplier shall establish a repository for the holding of the FM Supply Chain disaster recovery plans, accessible to the Client Unit and key FM Supply Chain parties.
- 13.8.2 The Supplier shall develop with the Authority the process for handling declared emergencies and disasters (e.g. fire, flood, electrical failure, gas leak, trapped lift, contamination and other disasters).
- 13.8.3 The Supplier shall update disaster recovery plans upon receipt of updated information.
- 13.8.4 The Supplier shall ensure that a programme of tests is in place and adhered to in respect of disaster recovery plans for the FM Supply Chain.
- 13.8.5 The Supplier shall participate in such tests and trial runs as may be necessary (with a minimum of two trial runs per calendar year will be run).
- 13.8.6 The Supplier will review the Integrator and FM Supply Chain Disaster Recovery plans on a biannual basis.
- 13.8.7 The Supplier shall in the event of a declared event or emergency that results in the triggering of disaster recovery and/or contingency plans relating to Authority buildings or Affected Properties and/or FM Supply Chain services the Supplier will switch into a 'surge' delivery mode which includes:
- (a) Mobilising key staff to operate on a 24/7 basis for the duration of the event/disaster;
 - (b) Halt non-essential activities and switch resources to supporting the coordination and actioning of disaster recovery/business continuity plans;
 - (c) Act as a central communication and monitoring hub for disaster recovery/contingency plan implementation, trouble-shooting and adjusting responses in accordance with changing circumstances in close conjunction with the Client Unit; and
 - (d) Notwithstanding the declared disaster recover event, use best endeavours to ensure that day to day FM and Supplier services continue to operate.

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- 13.8.8 The Supplier shall attend and participate in close outs, debriefs, and review meetings following disaster recovery events or trial runs.
- 13.8.9 The Supplier shall implement agreed review actions following close outs, debriefs and reviews and shall track implementation of agreed review actions across the FM Supply Chain and report on performance as part of routine performance reporting.
- 13.8.10 The Supplier shall work with the Client Unit to identify and quantify the reasonable costs incurred by the FM Supply Chain parties as a result of disaster activities.

ANNEX A – IN SCOPE SERVICES

1. INTRODUCTION

1.1 The table below details the range of in scope Services that shall be provided by the Hard and Soft FM Suppliers and other FM Supply Chain Providers including but not limited to:

- (a) FM Hard (North) Supplier;
- (b) FM Hard (South) Supplier;
- (c) FM Soft (North) Supplier;
- (d) FM Soft (South) Supplier;
- (e) PFI Providers (if required in future); and
- (f) Catering (HQ) Provider.

2. IN SCOPE SERVICES

The tables below set out the in scope services for Hard and Soft FM Suppliers

Service Matrix

MOJ Future FM

Hard Services			
Maintenance Services		AdHoc Services	Additional Services
Access and Intruder Systems	Planned Maintenance	Cable Management (ICT Ad-Hoc)	Clocks
Audio Visual Equipment Maintenance	Portable Appliance Testing	Environmental Cleaning – Ad Hoc	Furniture Management
Barrier Control Maintenance	Reactive Maintenance	Condition Surveys	New Works / Projects
Building Fabric Maintenance	Re-lamping		Signage
Building Management Systems	Reservoirs		
Catering Equipment Maintenance	Safety Film		
Control of Asbestos	Soft Landscape Maintenance		
External Fabric Maintenance	Spares and Consumables		
Fire Detection and Fire Fighting Systems	Standby Power Systems Maintenance		
Handyman Service	Statutory Inspections		
Hard Landscaping Maintenance	Television Cabling		
High Voltage and Switchgear Maintenance	Tree Surgery		
Locksmith Services	Ventilation and Air Conditioning systems		
Lifts, Hoists and Conveyance Systems	Water Hygiene		
Mechanical and Electrical Maintenance (M&E)	Potable Water		

MOJ ESTATES DIRECTORATE

Service Matrix

MOJ Future FM

Soft Services					
Security Services	Cleaning Services	Catering Services	Waste Services	Generic Services & Additional Services	
CCTV/Alarm Monitoring	Barrier Mats	Chilled Potable Water	Classified Waste	Archiving (Off Site)	Mail Services
Control of Access & Security Passes	Carpet Cleaning	Convenience Store	General Waste	Archiving (On Site)	Management of Visitors and Passes
Emergency Response	Cleaning of Communications & Equipment Rooms	Deli / Coffee Bar	Recycling Waste	Childcare Facilities	Move and Space Management
Enhanced Security Requirements	Deep Cleaning - Periodic	Events and Functions	Specialist & Hazardous Waste	Condition Surveys	Office Machinery Servicing & Maintenance
Manned Guarding	External Cleaning	Full Service Restaurant		Courier Booking	Porterage (Ad-Hoc)
Key Holding	Housekeeping	Hospitality and Meetings		Driver Service	Reception Service
Lock-Up / Open Up of Premises	IT Equipment Cleaning	Outside Catering		First Aid and Medical Services	Reprographics Service
Patrols (Fixed Guarding)	Laboratories	Residential (including Custodial) Catering		Flag Flying Services	Space Management
Patrols (Mobile)	Linen & Laundry	Trolley Service		Internal Messenger Service	Sports & Leisure
Reactive Guarding	Pest Control	Vending (Food and Beverages)		Journal, Magazine and Newspaper Supply	Stationary Supply
Additional Security Services	Reactive Cleaning			Mail Room Equipment	Taxi Booking Services
	Routine Cleaning			Cut Flower & Christmas Trees	Voice Announcement System Operation & Maintenance
	Specialist Antique Cleaning			Internal Planting	Statutory Inspections and Compliance Plans Audits and Risk Assessments
	Telephone Sanitisation				
	Window Cleaning (External)				
	Window Cleaning (Internal)				

MOJ ESTATES DIRECTORATE

ANNEX B – HELPDESK RESPONSE TIMES

1. This Annex provides the potential Helpdesk Response Times that shall be required. The actual Response Times will be aligned with the FM Suppliers' Response Times.
2. Service Requests of any nature shall be acknowledged within fifteen (15) minutes and the caller informed of the action to be taken. The response times for activities managed through the central Helpdesk for all Services shall be as follows:
 - 2.1 Calls to the helpdesk are to be answered within 20 seconds.
 - 2.2 Each Category 'A' Work Orders to be available to both the appropriate FM Supplier and Authority Representative within five (5) minutes of receiving the inbound Service Request. (Receiving is defined as the end of a call, or receipt of electronic format Service Request).
 - 2.3 Oral escalation to the Authority Representative within twenty (20) minutes of allocation to the FM supplier. Of those Category 'A' Work Orders unacknowledged by the FM Supplier ten (10) minutes after such allocation.
 - 2.4 All Category B Reactive Work Orders and any elective Work Requests to be available on the Systems to the appropriate Authority Representative and Authority FM Supplier within fifteen (15) minutes of receiving the inbound Service Request. Receiving is defined as the end of a call, or receipt of electronic format Service Request.
 - 2.5 All Category C Reactive Work Orders and any elective Work Requests to be available on the Systems to the appropriate Authority representative and Authority FM Supplier within thirty (15) minutes of receiving the inbound Service Request. Receiving is defined as the end of a call, or receipt of electronic format Service Request.
 - 2.6 All complaints shall available on the Systems to the appropriate Authority representative and FM Supplier within thirty (30) minutes of receipt by the Integrator and responded to and resolved within three (3) days by the FM Supplier.

ANNEX C – SERVICE DELIVERY RESPONSE TIMES

1. OVER-ARCHING RESPONSE REQUIREMENTS

- 1.1 It is required when sending a person/engineer to attend a reactive event, at the time of despatch, is reasonably believed that the person/engineer despatched is suitably qualified and able to complete the repair or task.
- 1.2 For activities detailed in Tables 1 & 2 below, the activity is defined to be closed or concluded when the Integrator receives confirmation from the person/engineer that the event is completed, thereby creating an electronic record of the completion,
- 1.3 When the activity in 1.2 above is closed or concluded, within 15 minutes, an email/text/electronic communication will be sent by the Integrator to the originator of the event advising that the job is closed and asking via a simple graphical user interface whether the person agrees. Challenges need to be investigated in a timely fashion and appropriate action taken

2. ON-SITE FM SERVICE DELIVERY RESPONSE TIMES

- The following table describes the reactive response times for service calls raised or made to the Integrator where the Service required is supported and delivered by the Supplier from an on-site facility at the Affected Property. *Note that these response times are required at all “Headquarters Accommodation” and “Conference Centre” Affected Property types as set out in the Service Matrix. The requirement for these response times does not mean that an on-site presence is required in each and every Affected Property and Suppliers should consider the potential to take a campus based approach where Affected Property are in close proximity to each other.*
- The Supplier shall meet these reactive response times in relation to the Contracting Body requirements.

Table 1 – Response and Rectification Times – On-Site

Category	Call Type	Description	Initial Attendance	Interim Solution (if applicable)	Rectification/ Completion Due
A	Critical	Matters giving rise to an immediate health and safety, business critical or security risk.	20 minutes	1 Hour	Permanent solutions to health and safety issues to be achieved within 12 hours of notification. Security measures must

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Category	Call Type	Description	Initial Attendance	Interim Solution (if applicable)	Rectification/ Completion Due
					be permanently rectified within [6] hours.
B	Emergency	Matters that prevent or severely restrict the Authority from conducting normal operations.	45 minutes	2 hours	1 Working Day
C	Urgent	Matters that impinge upon the proper working of the facilities in relation to all users.	2 hours	Next Working Day	2 Working Days
D	Routine	Matters of a routine nature.	5 Working Days	n/a	10 Working Days
E	New Works	New Work, change or cosmetic requests.	Quote to be provided within 5 Days of Request	n/a	Completion is as per agreed in a Task Order
F	Not Used	Not Used	Not Used	Not Used	Not Used
G	Equipment	All requests for assistance with equipment which is in-scope or problems at conferences, meetings etc.	20 minutes	n/a	Capable assistance to be in attendance within 25 minutes of notification to the Help Desk.
H	Small Moves	Requests for the booking of	n/a	n/a	45 minutes of

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Category	Call Type	Description	Initial Attendance	Interim Solution (if applicable)	Rectification/ Completion Due
		porters or drivers.			receipt of call.
I	Messengers	Requests for Messengers or Couriers to provide a service.	n/a	n/a	30 minutes of booking either through post room or Integrator
J	Not Used	Not Used	Not Used	Not Used	Not Used
K	Not Used	Not Used	Not Used	Not Used	Not Used
L	Not Used	Not Used	Not Used	Not Used	Not Used
M	Not Used	Not Used	Not Used	Not Used	Not Used
N	Reprographics request	A request for service; allocated a Call Category dependent on the time frame requested either through document production or Integrator (between 2 & 72 hours).	2 / 72 hours	n/a	2 / 72 hours minutes of booking either through document production or Integrator

3. OFF-SITE FM SERVICE DELIVERY RESPONSE TIMES

- The following table describes the response times for service calls raised or made to the Helpdesk where the Service required is supported and delivered by the Contractor via an off-site facility.
- The Supplier shall meet these reactive response times in relation to the Contracting Body requirements.

Table 2 – Response and Rectification Times – Off-Site

Category	Call Type	Description	Initial Attendance	Interim Solution (if applicable)	Rectification/ Completion Due
A	Critical	Matters giving rise to an immediate health and safety, business critical or security risk.	60 minutes	2 Hour	Permanent solutions to health and safety issues to be achieved within 24 hours of notification. Security measures must be permanently rectified within 18 hours.
B	Emergency	Matters that prevent or severely restrict the Authority from conducting normal operations.	2 hours	4 hours	Next Working Day
C	Urgent	Matters that impinge upon the proper working of the facilities in relation to all users.	4 hours	Next Working Day	5 Working Days
D	Routine	Matters of a routine nature.	5 Working Days	n/a	10 Working Days
E	New Works	New Work,	Quote to	n/a	Completion is as

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Category	Call Type	Description	Initial Attendance	Interim Solution (if applicable)	Rectification/ Completion Due
		change or cosmetic requests.	be provided within 5 Days of Request		per agreed in a Task Order
F	Not Used	Not Used	Not Used	Not Used	Not Used
G	Not Used	Not Used	Not Used	Not Used	Not Used
H	Not Used	Not Used	Not Used	Not Used	Not Used
I	Not Used	Not Used	Not Used	Not Used	Not Used
J	Not Used	Not Used	Not Used	Not Used	Not Used
K	Not Used	Not Used	Not Used	Not Used	Not Used
L	Not Used	Not Used	Not Used	Not Used	Not Used
M	Not Used	Not Used	Not Used	Not Used	Not Used
N	Not Used	Not Used	Not Used	Not Used	Not Used

The following requirements apply to all response times:

1. Response and completion times run concurrently.
2. Response times will be measured from the logged call (at the Integrator Helpdesk), to the time at which a member of the Supplier's Personnel arrives in the relevant area is ready and prepared to undertake the task and has confirmed this back to the Integrator
3. Where the rectification time cannot be achieved due to the reasonable non availability of replacement parts or the sheer scale of the issue, by agreement with the Authority's Representative, the Supplier may be assigned an extension to the rectification time. In these instances the Supplier is required to undertake a temporary rectification within the original rectification time to ensure that the prime reasons for the Order (see response definition) is carried out.
4. Where a temporary rectification is instigated to enable the rectification/ completion time to be achieved, a full permanent rectification is required to be completed within a 14 day period from the commencement of the logged event. Where this is impracticable the Authority's Representative should be consulted for an extension in accordance with note 3.

ANNEX D – MAINTENANCE STANDARDS Update from Hard FM Services

1. This Annex provides an example of the Maintenance Standards that the FM Supplier will be expected to deliver. For the DFE cluster Affected Properties the FM Suppliers will be delivering Planned and Preventative Maintenance (PPM) in accordance with SFG 20 (Specification B). For all other Affected Properties a “Bespoke” PPM approach will be applied (Specification A) as set out in the attached documents:



MoJ Bespoke PPM MOJ PPM Schedule
Spec A - Commentar- Bespoke - Spec A -



Maintenance
Standards.docx

ANNEX E – PROPERTY CLASSIFICATION

1. Affected Property, buildings and sites are categorised under one of the following 15 classification categories:

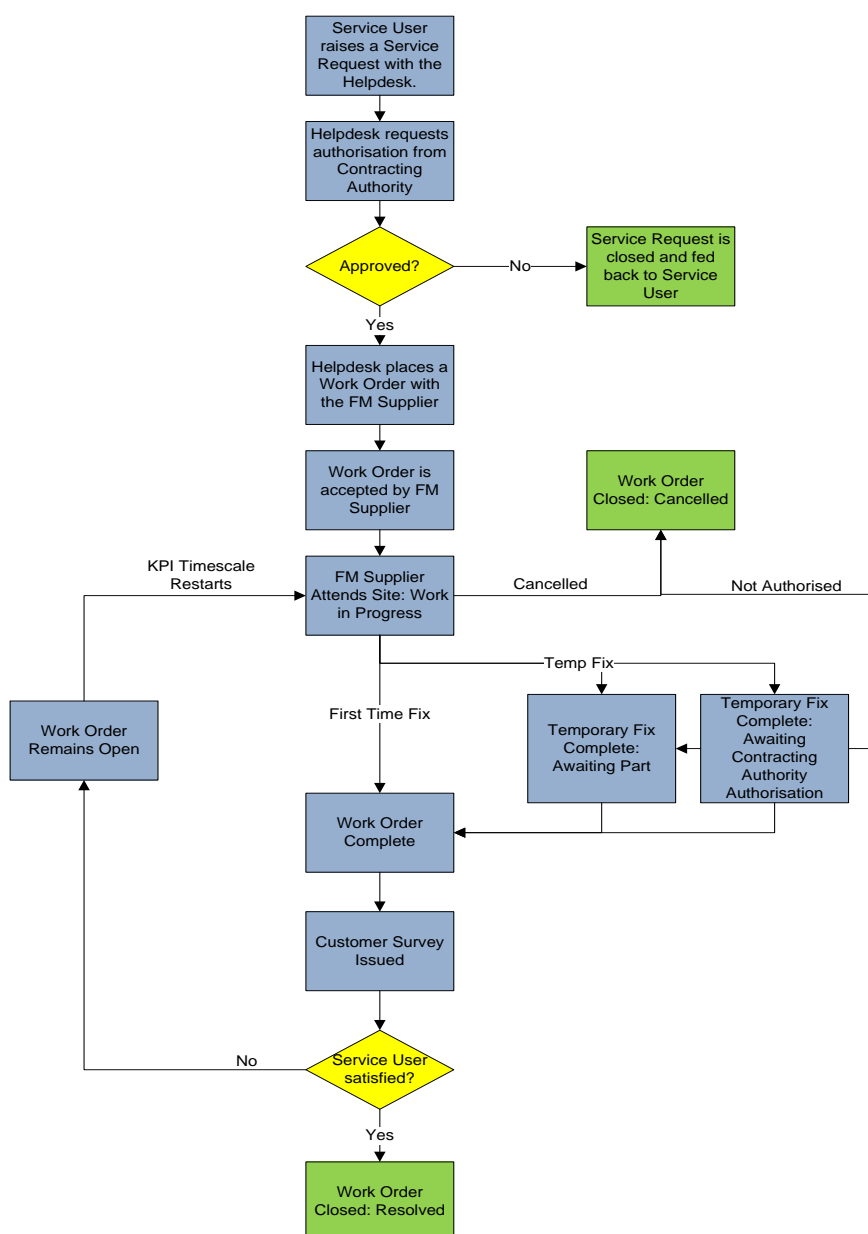
Building Category	Business & Occupational Profile	Description	Comment
1	<i>Headquarters Accommodation/Ministerial Areas</i>	<i>Areas used for headquarters or ministerial areas or a mix of these.</i>	102 PF, Sanctuary, Clive House, 3 Whitehall, Wales and Scotland Office
2	<i>Data Centre Operations</i>	<i>Data centre operation.</i>	N/A
3	<i>General office/Customer Facing</i>	<i>General office areas and customer facing areas.</i>	Probation Contact Centres/ CPS Offices
4	<i>General office/Non Customer Facing/with catering</i>	<i>General office areas and non customer facing areas. If these areas contain catering facilities they will be included here.</i>	MOJ Offices/DFE Cluster Properties/NOMS Offices
5	<i>Call Centre Operations</i>	<i>Call centre operations.</i>	N/A
6	<i>List X Property</i>	<i>A commercial site (i.e. non-Government) on UK soil that is approved to hold UK government protectively marked information marked as 'confidential' and above. It is applied to a company's specific site and not a company as a whole.</i>	N/A
7	<i>Vacant/Disposal</i>	<i>Areas which are vacant or awaiting disposal where no services are being undertaken.</i>	Mothballed, Vacant - Vacant - refurbishment underway - Live March18 Old Admiralty Building
8	<i>Residential</i>	<i>Residential areas.</i>	Judges Lodgings
9	<i>Warehouses</i>	<i>Large storage facility with limited office space and low density occupation by staff.</i>	Branston and Community Stores
10	<i>External parks and grounds</i>	<i>External car parks and grounds including externally fixed assets - such as fences, gates, fountains etc...</i>	Car parks
11	<i>Educational</i>	<i>Areas used exclusively or primarily for educational purpose.</i>	N/A
12	<i>Medical</i>	<i>Areas including mainstream medical and healthcare facilities as well as smaller dedicated facilities.</i>	N/A

OFFICIAL

13	Laboratory	<i>Includes all Government facilities where the standard of cleanliness is high, access is restricted and is not public facing.</i>	N/A
14	Museums/Galleries	<i>Areas are generally open to the public with some restrictions in place from time to time. Some facilities have no public access.</i>	N/A
15	Production Facilities	<i>This is very much a unique environment centred around a fabrication or production facility, typically with restricted access.</i>	<i>Branston and Community Stores</i>
16	Approved Premises	<i>Secure residential accommodation (Bail Hostels)</i>	<i>Approved Premises</i>
17	Conference Centre	<i>QE2 Building</i>	<i>Conference Centre - QE2 Building Whitehall</i>

ANNEX F – HELPDESK WORKFLOW

The diagram below provides an example of a typical Helpdesk workflow. The specific requirements will be further defined and agreed with the Authority during Mobilisation. Detailed workflows and process maps for all aspects of the services and additional requirements shall be developed by the Supplier during Mobilisation and documented at levels 1-5 within an Operations Manual that can be used for the training of all Client Unit, Estates Directorate and FM Supplier staff accessing the Supplier's services



ANNEX G – ASSET HIERARCHY

The Supplier is required to configure its CAFM system and maintain asset information in a manner that is compliant with and aligned to the Asset Hierarchy as set out in the attached document.



20161006 Asset
Hierarchy Template v1

ANNEX H – CONDITION CATEGORISATION AND RISK ASSESSMENT

DEFINITIONS

MANIFEST PRIORITY	
Priority	Description
1A	Unavoidable for statutory or health and safety reasons
1B	To avoid seriously affecting business function
1C	To comply with contractual (landlord) obligations
1D	To comply with Fire Works Requirements flowing from a specialist report
1E	To comply with Security Works Requirements flowing from a specialist report
2	Alleviation of risk of further dilapidation and/or increased costs
3	Maintenance of the value of the estate
4	To maintain to proper standards

KEY TO OPERATIONAL/IMPACT RISK

This category is intended to provide subjective guidance on the likely risk of jeopardising the operation of the court in the event of an element failure based on the professional judgement of the individual surveyor or engineer.

Consequence	Score	Effects: Cost/Quality/Performance	Examples
Minor	1	Minor	Hundreds of pounds, slight impact to
Moderate	2	Moderate	Thousands of pounds, possible short term
Significant	3	Significant	Tens of Thousands of pounds, possible short
Substantial	4	Substantial	Hundreds of Thousands of pounds, possible
Very Substantial	5	Very Substantial	Millions of pounds, loss of life, possible long

KEY TO ELEMENT/LIKELIHOOD FAILURE RISK

This category is intended to provide subjective guidance on the likely risk of failure of the element based on the professional judgement of the individual surveyor or engineer.

Likelihood	Score	Descriptor	Probability of one off event
Improbable	1	Improbable	1 in 1000
Unlikely	2	Unlikely	1 in 100
Possible	3	Possible	1 in 10
Likely	4	Likely	More likely than not
Probable	5	Probable	Almost Certain

		Impact Score (Severity for Risks, potential benefit for opportunities)				
		5	4	3	2	1
Likelihood Score	5	B	B	B	R	A
	4	B	B	R	A	G
	3	B	R	A	A	G
	2	R	A	A	G	G
	1	A	G	G	G	G

ANNEX I – FIRE RISK ASSESSMENT TEMPLATE



Annex I - FRA
Template.docx

PART B:

KEY PERFORMANCE INDICATORS

1. GENERAL

- 1.1 The purpose of Part B is to set out the Key Performance Indicators (KPIs) by which the Supplier's overall performance under this Framework Agreement shall be monitored and managed.

2. KEY PERFORMANCE INDICATORS (KPIs)

- 2.1 The KPIs, which include performance criteria and performance indicators, shall monitor the performance of the Supplier throughout the duration of the Framework Agreement and any subsequent Contract. The KPI Framework template is detailed in Appendix A - Monthly KPI Measures Model.
- 2.2 The KPIs detailed in Appendix A provides details of the KPIs which are being implemented at Contract. The KPI model is a spreadsheet comprising five (5) separate tabs within a Microsoft Office Excel file. The five (5) separate tabs can be grouped into three (3) sections with each section described below:

Section Number	Tab Name	Description of Purpose
Section 1	Instruction	To provide guidance on the use of the KPI Model.
Section 2	Performance Criteria: Service and Management Categories	The Authority shall select the relevant KPIs and assign a weighting to each in accordance to the criticality / importance to the Authority.
	Supplier Performance	This section provides a summary of the Supplier's performance results in a given month, and the amount of the Contract value

		deducted due to any performance deductions.
Section 3	Measures	The individual measures; the results of which feed directly to Level 2, and Level 1 indicators.
	Scoring Tables	For measures that are not scored as a simple percentage i.e. Authority requests X and Supplier deliver Y ($X/Y \times 100$) = score, a series of tables are used which translates a Suppliers output into a % score.

- 2.3 The KPIs shall act as a 'balanced scorecard' of performance criteria that describes aspects of performance that are important to the Authority.
- 2.4 The KPIs are composed of a series of measures; data from which will inform an overall KPI score.
- 2.5 **Level 1 Key Performance Indicators (KPIs):** This is a suite of three (3) KPIs addressing a range of the Authority's Helpdesk, CAFM and Assurance requirements.
- 2.6 **Level 2 Measurement Indicators (MIs):** These relate directly to the Supplier's performance against specific tasks relevant to each KPI Category. Measurement Indicators feed into Level 1 KPIs. An indicative list of Measurement Indictors can be found in Appendix A - Monthly KPI Measures Model.
- 2.6.1 It should be noted that the actual indicators used to measure performance of individual Contracts will be defined fully at the Call Off stage.
- 2.7 The performance criteria are individually measured to demonstrate the Supplier's performance against the Operational KPIs.
- 2.8 Supplier scores are calculated as described in Appendix A - Monthly KPI Measures Model, the results from which give an overall KPI score. These overall KPI scores will be used in the Payment Mechanism model to calculate deductions from repeating failures or sub-standard Supplier performance.

3. PERFORMANCE CRITERIA WEIGHTING

- 3.1 The Authority shall determine and apply a different weighting to each KPI, Performance Indicator and Measurement Indicator in the KPI framework, where the Authority wishes to place a greater or lesser emphasis in certain areas of the service.
- 3.2 All KPIs and Measurement Indicators will be allocated performance criteria, which will be assessed on a monthly basis.
- 3.3 This KPI model will also be used to administer the Payment Mechanism process which will be used to apply Performance Deductions to the Suppliers monthly payment.
- 3.4 Weighting shall be applied to each KPI and associated Measurement Indicators.
- 3.5 The weighting shall be expressed as a percentage and will total to 100% for the KPI Category at Level 1 and at each successive level.
- 3.6 The Authority shall select the relevant KPIs and apply weightings in accordance to the criticality and importance to their business.
- 3.7 Those KPIs with the greatest importance or criticality to the Authority will attract a higher weighting percentage than those less important, and thus will attract a larger proportion of the Supplier's Monthly Total Value at Risk.
- 3.8 In certain circumstances, KPIs, Performance Indicators and Measurement Indicators may be weighted such that they do not affect the Monthly Total Value at Risk (e.g. a zero weighting of a particular measurement in the Mobilisation Period). These indicators however may be used to assess Supplier performance both at Contract and Framework Agreement level.

4. SCORING PRINCIPLES

- 4.1 The KPI Model adopts two scoring principles, depending on the nature of the measure in question. These are;
 - 4.1.1 **Simple Percentage:** in its simplest form, the Supplier's score for a measure will equate to the number of successful activities that fully complied with the Authority's requirements, as defined at Call Off stage, divided by the sum of successful and unsuccessful activities.
 - 4.1.2 **Sliding Scale:** where a 'simple percentage' cannot be easily calculated (i.e. where there is no clearly defined upper bound/maximum number (a 'denominator'), or where the upper bound number (the 'denominator') is large in comparison to the numerator, thus diluting the quotient), a sliding scale is used. The sliding scale is a series of tables that directly link the Suppliers' output to a score e.g. 'X' number of complaints equates to a Supplier

score of 'Y'. The sensitivities of these scores will be defined by the Authority at Call Off stage.

- 4.2 The Authority also has the ability to define a minimum score threshold for each measure, below which the Supplier will score 0%. For example, if a Supplier is to answer all calls within a certain timeframe, the Supplier's score will be calculated based on the percentage of calls successfully answered within the allowed time (straight percentage as describe above). However, the Authority may set a minimum threshold, e.g. 75%, and should the Supplier fail to achieve 75% compliance the Supplier's score will default to 0% for that measure.
- 4.3 The Supplier's score for each measure shall directly equate to a payment deduction, in a given month, for that measure. The sum of the deductions for each measure is totalled to give a deduction for each KPI. Each individual KPI deduction is divided by the amount of fee at risk against each KPI – based on the Authority's assigned weightings – to give an overall KPI score i.e. $\text{KPI Score} = 100\% - [(\text{KPI deduction}) / \text{KPI Fee at Risk}]$
- 4.4 Each KPI score is used in the Payment Mechanism to evaluate the actual monthly deduction, also taking into consideration repeat or consecutive failures thus triggering a 'ratchet'; described in more detail below.

5. PAYMENT MECHANISM

- 5.1 The Payment Mechanism detailed in Contract Schedule 6 Payment Mechanism, KPIs, Service Levels and Performance Monitoring, clearly details the link between performance and the value of the Contract which may be put at risk as a result of poor performance by the Supplier.
- 5.2 Where there is continuous failing of a KPI by the Supplier they will be subjected to an increased rate of deduction through a 'ratcheting' factor as detailed in Contract Schedule 6 – Payment Mechanism, KPIs, Service Levels and Performance Monitoring.
- 5.3 Operation of this Payment Mechanism does not relieve the Supplier of their obligation to deliver the required level of Service. Further contractual remedies will be pursued via the Contract should performance against any of the KPIs be deemed to be unacceptable.

6. PERFORMANCE GOVERNANCE

- 6.1 The Authority and the Supplier shall jointly implement the performance management process through the provisions of this Framework Agreement. The separate key elements of this process are described in the sub-sections that follow.

7. KPI REPORTING

- 7.1 The Supplier shall collect the relevant performance data necessary for the measurement of each KPI, Performance Indicators and Measurement Indicators as defined by the Authority.
- 7.2 Where audits are being conducted to verify performance, these can be conducted by either the Authority or the Supplier and will either be stipulated by the Authority during Call Off stage or during contract Mobilisation.
- 7.3 The Supplier shall submit the completed KPIs on a Monthly basis on dates to be specified by the Authority.
- 7.4 In certain circumstances the Authority may opt to complete the KPI measurement using data held as part of the Management Information data collection. Where this is deemed appropriate, it will be made clear during the Call Off stage.
- 7.5 The format, scope and detailed content of all performance reports shall be specified by the Authority. These may be varied from time to time as the requirements of the Authority may change. Any changes shall be agreed between the Authority and Supplier.
- 7.6 It is not envisaged that there will be any cost from the Supplier to alter the format, scope and detailed content of performance reports as described above. In exceptional circumstances the Authority may enter into negotiations for this, should they deem the extent of the change is substantial. In this event, the Authority decision will be the final arbiter. Should changes in charges be agreed, these will be agreed through the Variation process.
- 7.7 The Supplier shall provide information on:
- Performance Indicator assessment;
 - Performance Indicator improvement / action plans; and
 - Recommendation for any changes to the performance management requirements.
- 7.8 Within two months after the end of each Financial Year, at a date to be agreed between the Authority and Supplier, the Supplier shall submit a Performance Summary Report. The format, scope and detailed content of the report shall be specified by the Authority during the contract Mobilisation Period and may vary as the requirements of the Authority changes.
- 7.9 The Supplier shall ensure that the Performance Summary Report provides information including but not limited to:

- Contract performance scoring for the Financial Year (averaged scores from across the suite of KPIs);
- Actions plans to be progressed in the upcoming year; and
- A summary of recommendations for any changes to the performance management requirements.

8. CONTRACT MANAGEMENT

- 8.1 The Supplier and the Authority shall ensure that suitable personnel from the Supplier and Authority organisations shall form a Senior Management Team (SMT). The SMT shall be led by a nominated senior manager from the Authority.
- 8.2 The SMT shall be responsible for monitoring and reviewing the performance of the Supplier, including but not limited to determining the value of the monthly performance deduction, the calculation of which is detailed in Appendix A – Monthly KPI Measures Model. The SMT shall also make observations and recommendations regarding the operational performance and areas requiring improvement.
- 8.3 The Authority requires the Supplier to review the effectiveness of this performance management process and to report where any requirements affect the efficiency or effectiveness of the delivery of the Services. In such circumstances, the Supplier shall make recommendations to the Authority on how this schedule might be changed or otherwise improved as a continual improvement opportunity. Any changes shall be agreed between the Authority and the Supplier in writing before they are implemented.

9. PERFORMANCE IMPROVEMENT PLAN

- 9.1 The Performance Improvement Plan shall be completed annually by the Supplier referencing the Authority's KPIs and their management. The Authority shall set out the Performance Standards, KPIs, Performance Indicators (PIs), and relevant levels within the Performance Plan. The Supplier shall provide the Plan, which shall include:
- Methodologies for delivering the Services to the Performance Standards;
 - Performance risks which appear on the Risk Register;
 - Methods for correcting performance which is below the Performance Standards;
 - Proposals for improving the process, the KPIs, Performance Indicators, Measurement Indicators (MIs), weightings and targets through the duration of the Contract; and

- Methods for correcting non-conformances in the Service delivery and ensuring there is no reoccurrence.

9.2 The Authority shall review and reissue the KPIs annually as part of the Performance Governance process detailed in paragraph 6 above.