

Schedule 24

Reports and Records Provisions

Schedule 24: Reports and Records Provisions

1. Transparency Reports

- 1.1 Within three (3) months of the Effective Date the Supplier shall provide to the Authority for its approval (such approval not to be unreasonably withheld or delayed) draft reports in accordance with Annex 1 (once approved, the **"Transparency Reports"**).
- 1.2 If the Authority rejects any draft Transparency Report, the Supplier shall submit a revised version of the relevant report for further approval by the Authority within five (5) days of receipt of any notice of rejection, taking account of any recommendations for revision and improvement to the report provided by the Authority. If the Parties fail to agree on a draft Transparency Report the Authority shall determine what should be included.
- 1.3 The Supplier shall provide accurate and up-to-date versions of each Transparency Report to the Authority at the frequency referred to in Annex 1.
- 1.4 Any disagreement in connection with the preparation and/or approval of Transparency Reports, other than under Paragraph 1.2 above in relation to the contents of a Transparency Report, shall be treated as a Dispute.
- 1.5 The requirements for Transparency Reports are in addition to any other reporting requirements in this Contract.

2. Other Reports

- 2.1 The Authority may require any or all of the following reports:
 - 2.1.1 delay reports;
 - 2.1.2 reports relating to Testing and tests carried out under Schedule 5 (*Security Management*) and Schedule 26 (*Service Continuity Plan and Corporate Resolution Plan*);
 - 2.1.3 reports which the Supplier is required to supply as part of the Management Information;
 - 2.1.4 annual reports on the Insurances;
 - 2.1.5 security reports; and
 - 2.1.6 Force Majeure Event reports.

3. Records

- 3.1 The Supplier shall retain and maintain all the records (including superseded records) referred to in Paragraph 1 and Annex 1 (together **"Records"**):
 - 3.1.1 in accordance with the requirements of The National Archives and Good Industry Practice;
 - 3.1.2 in chronological order;
 - 3.1.3 in a form that is capable of audit; and

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- 3.1.4 at its own expense.
- 3.2 The Supplier shall make the Records available for inspection to the Authority on request, subject to the Authority giving reasonable notice.
- 3.3 Where Records are retained in electronic form, the original metadata shall be preserved together with all subsequent metadata in a format reasonably accessible to the Authority.
- 3.4 The Supplier shall, during the Term and a period of at least 7 years following the expiry or termination of this Contract, maintain or cause to be maintained complete and accurate documents and records in relation to the provision of the Services including but not limited to all Records.
- 3.5 Records that contain financial information shall be retained and maintained in safe storage by the Supplier for a period of at least 7 years after the expiry or termination of this Contract.
- 3.6 Without prejudice to the foregoing, the Supplier shall provide the Authority:
 - 3.6.1 as soon as they are available, and in any event within 60 Working Days after the end of the first 6 months of each financial year of the Supplier during the Term, a copy, certified as a true copy by an authorised representative of the Supplier, of its un-audited interim accounts and, if applicable, of consolidated un-audited interim accounts of the Supplier and its Affiliates which would (if the Supplier were listed on the London Stock Exchange (whether or not it is)) be required to be sent to shareholders as at the end of and for each such 6 month period; and
 - 3.6.2 as soon as they shall have been sent to its shareholders in order to be laid before an annual general meeting of the Supplier, but not later than 130 Working Days after the end of each accounting reference period of the Supplier part or all of which falls during the Term, the Supplier's audited accounts and if applicable, of the consolidated audited accounts of the Supplier and its Affiliates in respect of that period together with copies of all related directors' and auditors' reports and all other notices/circulars to shareholders.

4. Virtual Library

- 4.1 The Supplier shall, no later than eight (8) weeks prior to the Operational Service Commencement Date and without charge to the Authority, create a Virtual Library on which the Supplier shall (subject to any applicable legislation governing the use or processing of personal data) make information about this Contract available in accordance with the requirements outlined in this Schedule.
- 4.2 The Supplier shall ensure that the Virtual Library is:
 - 4.2.1 capable of holding and allowing access to the information described in Annex 3 of this Schedule and includes full and accurate file details of all uploaded items including date and time of upload, version number and the name of the uploader;
 - 4.2.2 structured so that each document uploaded has a unique identifier which is automatically assigned;

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- 4.2.3 readily accessible by the Authority at all times in full via a user-friendly, password protected interface to such nominated users as are notified to the Supplier by the Authority from time to time,
 - 4.2.4 structured so as to allow nominated users to download either specific documents or the complete Virtual Library (to the extent it has Access Permission) in bulk and store and view the content offline (on a regular and automated basis);
 - 4.2.5 structured and maintained in accordance with the security requirements as set out in this Contract including those set out in Schedule 5 (*Security Management*);
 - 4.2.6 created and based on open standards in Schedule 4 (*Standards*); and
 - 4.2.7 backed up on a secure off-site system.
- 4.3 For the avoidance of doubt, the Virtual Library (excluding any Software used to host it) shall form a database which constitute Project Specific IPR which shall be assigned to the Authority pursuant to Paragraph 2.1 of Schedule 32 (*Intellectual Property Rights*) of this Contract.
- 4.4 The Supplier shall upload complete and accurate information specified in Annex 3 by the Initial Upload Date (except where the Initial Upload Date falls prior to the launch of the Virtual Library, in which case it will be uploaded by the date at which the Virtual Library is made available in accordance with Paragraph 4.1) onto Virtual Library in the format specified.
- 4.5 Upon any document being uploaded to the Virtual Library, and where the Authority has been granted Access Permission to that document, the Supplier shall email on the same date as the upload, a copy of the document to the nominated Authority email address at:
- [Redacted Under FOIA Section 40, Personal Information]**
- 4.6 Where the Supplier is under an obligation to provide information to the Authority in a provision under this Contract, then the Supplier's upload of that information onto the Virtual Library shall satisfy the Supplier's obligation to provide the Authority with that information provided that the Authority has access in accordance with this Paragraph 4 and the uploaded information meets the requirements more particularly specified in the relevant provision. This Paragraph 4.6 shall not apply in respect of:
- 4.6.1 the following types of notices, which will need to be served by the Supplier in accordance with Clause 42 (Notices):
 - (a) Force Majeure Notices;
 - (b) notices issued by the Supplier pursuant to Clause 31.3 (Termination by the Supplier);
 - (c) Termination Notices; and
 - (d) Dispute Notices; and/or
 - 4.6.2 service of any proceedings or other documents in any legal action or, where

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applicable, any arbitration or other method of dispute resolution (other than the service of a Dispute Notice under Schedule 23 (*Dispute Resolution Procedure*), which will need to be served in accordance with Clause 42 (*Notices*)).

- 4.7 Except to the extent that the requirements provide for earlier and more regular Authority access to up-to-date information, Annex 3 shall not take precedence over any other obligation to provide information in this Contract and the Supplier shall refer to the applicable clause for further details as to the requirement.
- 4.8 The Supplier shall provide each specified person (as set out in column 6 of the table at Annex 3) access to view and download the specified information in the Virtual Library in Annex 3 subject upon the occurrence of the event specified in the column marked Access Permission in Annex 3 to this Schedule.
- 4.9 Where Access Permission is not listed (in column 6 of the table at Annex 3) as being subject to the occurrence of a certain event the Supplier shall grant access to the person and information specified (in column 6 of the table at Annex 3) from the Initial Upload Date.
- 4.10 Where Access Permission is specified as being granted to the Authority's Third Party Auditor (prior to the Authority being granted access) it shall:
 - 4.10.1 be entitled to access, view and download information specified in Annex 3 subject to it entering into a confidentiality agreement with the Supplier to keep the contents confidential (except to the extent disclosure of the confidential information is required under Paragraph 4.10.2 of this Schedule); and
 - 4.10.2 report to the Authority (at its request) as to the completeness and accuracy of the information but not the substance of the information.
- 4.11 The Supplier shall ensure that the Virtual Library retains in an accessible form all historic or superseded records of the information specified Annex 3. In order to maintain the integrity of the historic archive of the information and documentation and for the purposes of maintaining a clear audit trail, the Supplier shall not delete or overwrite any information that has been stored in the Virtual Library, except for the purposes of maintenance (provided no information is lost during maintenance) or to enable the Supplier to comply with Data Protection Legislation.
- 4.12 The Supplier warrants that the information uploaded to the Virtual Library is accurate, complete, up-to-date and in accordance with this Contract at the date of upload.
- 4.13 Where the Supplier becomes aware that any of the information provided on the Virtual Library is materially inaccurate, incomplete or out of date (other than in respect of historic versions of documents) the Supplier shall provide an update to the information within fourteen (14) days unless already due to be updated beforehand due to an Update Requirement specified in Annex 3.
- 4.14 In the event of a conflict between any requirement in this Contract (excluding Annex 3) for the Supplier to provide information to the Authority and the requirements set out in Annex 3 of this Schedule, the requirement elsewhere in this Contract shall prevail.
- 4.15 The Supplier shall ensure that all approved users of the Virtual Library are alerted by

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email each time that information in the Virtual Library is uploaded or updated as it occurs.

- 4.16 No later than one (1) Month prior to the Operational Service Commencement Date, the Supplier shall provide training manuals to the Authority relating to the use of the Virtual Library.
- 4.17 On request by the Authority the Supplier shall provide the Authority's nominated users with a reasonable level of training and ongoing support to enable them to make use of the Virtual Library.
- 4.18 For the avoidance of doubt, the cost of any redactions, access restrictions or compliance with the Data Protection Legislation in respect of the information hosted on the Virtual Library shall be at the Supplier's own cost and expense.

5. General

- 5.1 The Supplier shall work with the Authority to establish and maintain an effective and beneficial working relationship to ensure the Contract is delivered as specified.
- 5.2 The Supplier shall work with the Authority to establish suitable administrative arrangements for the effective management and performance monitoring of the Contract and shall provide information as requested to monitor and evaluate the success of the Contract and the Supplier's management and delivery of it.
- 5.3 The Supplier shall supply information requested relevant to the delivery of the Services to the Authority, using formats and to timescales specified by the Authority in this Schedule.
- 5.4 The Authority reserves the right to make reasonable requests for information (at no additional charge) from the Supplier including ad-hoc requests for information from time to time.
- 5.5 Any additional requests for information shall be considered in consultation with the Supplier as shall the process of defining the methods of collection.
- 5.6 Where an ongoing, short-term or one-off requirement is agreed, both Parties agree that it shall be included, or deemed to be included within this Schedule.
- 5.7 Further to the rights granted to the Authority under Schedule 19 (*Financial Reports and Audit Rights*), the Authority may undertake spot checks at any time to ensure that the Supplier is complying with its obligations under this Contract and the Supplier shall co-operate fully, at its own cost, with the Authority.
- 5.8 The Supplier must manage and report on any sub-contractual arrangements including by creating and implementing mechanisms for the provision of management information, including feedback to and from customers and stakeholders; change control procedures and the prompt resolution of any problems. The Authority will agree with the Supplier day-to-day relationship management, contact points, communication flows and escalation procedures.

6. Access

- 6.1 In all instances, the Supplier shall co-operate and provide such reasonable assistance as may be necessary to facilitate such monitoring in relation to the Contract. Failure to

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provide such reasonable assistance shall be deemed a Default.

7. Health and Safety Responsibilities of the Authority's Representatives

- 7.1 The Authority Representative (and/or their nominee(s)) may visit the Supplier and its Sub-contractors for a variety of reasons, including undertaking spot checks in accordance with Paragraph 5.7 above. In the course of their normal duties such representatives of the Authority may make recommendations in relation to the monitoring of health and safety requirements. In doing this the Authority Representative (and/or their nominee(s)) shall not be conducting a health and safety inspection, nor shall they be in a position to offer advice on whether something is safe or not, which shall remain the responsibility of the Supplier. Instead they shall approach this from the position of any lay person. If, however, the Authority Representative (and/or their nominee(s)) does notice something on which they require assurance or clarification, they shall raise this with the Supplier or the Sub-contractor's representative at the location where they are visiting. In no event are the Authority Representative (and/or their nominees) to be seen as offering professional advice on health and safety matters and as such, shall not be liable for any advice or comments or otherwise given to the Supplier or its Sub-contractors or any omission to give such advice, comments or otherwise.

8. DWP Specific Management Information

- 8.1 The Supplier shall supply information listed below relevant to the delivery of the Services to the Authority, using formats and to timescales as specified. This includes but is not limited to:

Supplier Information Required	Frequency or Date Required by
Submit copy of Board Minutes for Parent Company where PCG has been signed	On signature
Sustainable Development Policy Statement & Sustainable Development Plan	Within six (6) Months of the Effective Date and at least annually thereafter.
Diversity & Equality Delivery Plan in accordance with Schedule 33	Within six (6) Months of the Effective Date and at least annually thereafter.
Workforce Monitoring Data Template	Within six (6) Months of the Effective Date and at least annually thereafter.
HMG Baseline Personnel Security Standard - Supplier's Declaration see HMG Baseline Personnel Security Standard - A Guide for DWP Suppliers	Within four (4) weeks of the Effective Date and submitted for each calendar year thereafter within one Month of the end of each calendar year (i.e. by 31st January for year ending 31st December)
Supply chain expenditure with SMEs (Quarterly return)	The Supplier, and where applicable, its Sub-Contractors shall identify the volume of expenditure they undertake with SMEs in the delivery of this Contract and submit this information to the Authority on a quarterly

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	basis.
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- 8.2 The terms of Paragraphs 5 to 8 of this Schedule are in addition, and without prejudice, to the Supplier's other obligations and responsibilities, and the Authority's other rights, under and/or pursuant to this Contract.

Annex 1: Transparency Reports

Title	Content	Format	Frequency
Key Performance Indicators & Subsidiary Performance Indicators	<p>The Supplier's performance against each of the following Performance Indicators in each relevant Measurement Period;</p> <p>KPI 1 – Supplier System Availability – Core platform;</p> <p>KPI 8 – Priority 1 incident resolution;</p> <p>KPI 9 – Priority 2 Incident resolution; and</p> <p>SPI 25 – Sustainability.</p>	To be agreed between the Parties no later than one month after the Effective Date.	<p>Information in relation to KPI 1, KPI 8 and KPI 9 will be published in respect of each Service Period (i.e. calendar monthly in arrears)</p> <p>Information in relation SPI 25 will be published annually</p>
Sub-contractors	List of all 3rd party Sub-contractors with confirmation of any payment due being made in line with Prompt Payment Policy PPN01/18	To be agreed between the Parties no later than one month after the Effective Date.	Annually
Social Responsibility	<p>Diversity & Equality Delivery Plan (in accordance with Schedule 33) Supplier Modern Slavery Statement required under section 54 of the Modern Slavery Act</p> <p>Modern Slavery Assessment Tool</p> <p>Sustainable Development Policy Statement & Sustainable Development Plan (in accordance with Schedule 4)</p> <p>Life Chances Workforce Monitoring template (in</p>	To be agreed between the Parties no later than one month after the Effective Date.	Annually

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	accordance with Schedule 33)		
Contract Management	GDPR Compliance (certificate only) Compliance to ISO27001, ISO27000 and ISO20000 (certificate only)	To be agreed between the Parties no later than one month after the Effective Date.	Annually

Annex 2: Records to be Kept by the Supplier

The records to be kept by the Supplier are:

1. This Contract, its Schedules and all amendments to such documents.
2. All other documents which this Contract expressly requires to be prepared.
3. Records relating to the appointment and succession of the Supplier Representative and each member of the Key Personnel.
4. Notices, reports and other documentation submitted by any Expert.
5. All operation and maintenance manuals prepared by the Supplier for the purpose of maintaining the provision of the Services and the underlying IT Environment and Supplier Equipment.
6. Documents prepared by the Supplier or received by the Supplier from a third party relating to a Force Majeure Event.
7. All formal notices, reports or submissions made by the Supplier to the Authority Representative in connection with the provision of the Services.
8. All certificates, licences, registrations or warranties in each case obtained by the Supplier in relation to the provision of the Services.
9. Documents prepared by the Supplier in support of claims for the Charges.
10. Documents submitted by the Supplier pursuant to the Change Control Procedure.
11. Documents submitted by the Supplier pursuant to invocation by it or the Authority of the Dispute Resolution Procedure.
12. Documents evidencing any change in ownership or any interest in any or all of the shares in the Supplier and/or the Guarantor, where such change may cause a change of Control; and including documents detailing the identity of the persons changing such ownership or interest.
13. Invoices and records related to VAT sought to be recovered by the Supplier.
14. Financial records, including audited and un-audited accounts of the Guarantor and the Supplier.
15. Records required to be retained by the Supplier by Law, including in relation to health and safety matters and health and safety files and all consents.
16. All documents relating to the insurances to be maintained under this Contract and any claims made in respect of them.
17. All journals and audit trail data referred to in Schedule 5 (*Security Management*).
18. All other records, notices or certificates required to be produced and/or maintained by the Supplier pursuant to this Contract.

Annex 3: Records to Upload to Virtual Library

["Initial Upload Date" redacted under FOIA Section 43, Commercial Interests]

Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Cl.2 and Annex A	Content of Authority's data room as listed in Annex A (<i>Data Room Information</i>) to the Contract	As appropriate and agreed by the Authority	Effective Date	-	Authority
Cl.5.5 (e), (f), 5.8(b), and Paragraphs 2.1.1 and 2.2.3 of Schedule 32	Documentation	As appropriate and agreed by the Authority	Within seven (7) days of the issue of a Milestone Achievement Certificate in respect of the relevant Deliverable.	-	Authority
Cl 6.4	Detailed Implementation Plan	Schedule 13	Within 4 months of Effective Date	Every 3 months from Effective Date	Authority
Cl 33.8(h)	Annual slavery and human trafficking report	As appropriate and agreed by the Authority	Within twelve (12) months	Every twelve (12) months	Authority
Cl 14.3	Key Personnel	Schedule 29	Effective Date	On replacement of Key Personnel	Authority
Cl 15.7	Notified Key Sub-contractors	Schedule 10	Effective Date	On replacement of Key Sub-contractor	Authority

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
CI 15.6 and 15.7	Notified Key Sub-Contractors	Schedule 10	Effective Date	With each approved appointment or variation	Authority
CI 15.28	Supply Chain Transparency Reports	Schedule 24, Annex 4	Thirty days prior to the of the end of each financial year	Every twelve (12) months	Authority
Schedule 3, Part B Para 2.3	Performance Monitoring Report and the Balanced Scorecard Report	Schedule 3, Part B	Service Commencement	Within ten (10) Working Days of the end of each Service Period	Authority
Schedule 3, Part B, Para 5A	General reporting on the Contract	As required by the Authority under Paragraph 5A	As required by the Authority under Paragraph 5A	As required by the Authority under Paragraph 5A	Authority
Schedule 4, Annex 1, Para 6	Evidence of compliance with sustainability requirements*	-	On reasonable request by Authority, provided that such requests are limited to 2 per Contract Year	On reasonable request by Authority, provided that such requests are limited to 2 per Contract Year	Authority
Schedule 4, Annex 1, Para 6	Sustainability Report	Schedule 4, Annex 1, Table C	As set out in Table C	As set out in Table C	Authority
Schedule 4, Annex 1, Para 7	Sustainable Development Policy Statement and Sustainable Development Plan	Schedule 4, Annex 1, Para 7	Within 6 months of Effective Date	Annually	Authority

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Schedule 5, Para 3.1	ISO Certificate*	-	As agreed by Parties	As agreed by Parties	Authority
Schedule 5, Para 3.4	ISMS**	Schedule 5, Para 3.4	Within 10 Working Days of Authority's request	Continuous obligation to maintain ISMS. To be provided 10 Working Days of Authority's request.	Authority
Schedule 5, Para 4.1	Cyber Essentials Certificate*	-	Prior to receiving, storing or processing any Authority Data	Annually on dates agreed by the Parties	Authority
Schedule 5, Para 5.1	Risk Management Policy**	Schedule 5, Para 5.1	Within 10 Working Days of Authority's request	Continuous obligation to maintain Risk Management Policy. To be provided 10 Working Days of Authority's request	Authority
Schedule 5, Para 5.2	Risk Assessment	Schedule 5, Para 5.2	In accordance with Risk Management Policy	At least annually and on request by the Authority	
Schedule 5, Para 6.2	Information Security Questionnaire**	In format stipulated by Authority	Prior to receiving, storing or processing any Authority Data	At least annually	Authority
Schedule 5, Para 6.6	Reports on Security Tests	As approved in advance by Authority	As specified by Authority	At least annually	Authority

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Schedule 5, Para 7	PCI compliance certificates and reports*	As stipulated by PCI	Prior to receiving, storing or processing any Authority Data	On request within 10 Working Days of Authority's request	Authority
Schedule 6, Para 4	Evidence of Insurances*	Schedule 6	Effective Date	Within fifteen (15) days after policy renewal or replacement	Authority
Schedule 9	Commercially Sensitive Information	Schedule 9	Effective Date	Upon agreement by the Authority to vary the information	Authority and/or Auditor
Schedule 11, Para 1	Third Party Contracts	Schedule 11	Effective Date	On appointment of subcontract	Authority
Schedule 12	Supplier Software and Third Party Software	Schedule 12	Effective Date	No less than every 6 (six) Months from the Effective Date	Authority
Schedule 13, Annex A: Outline Implementation Plan, Discovery	End to End Implementation Strategy and Plan	As appropriate and agreed by the Authority	[REDACTED]	Every 3 months	Authority
Schedule 13, Annex A: Outline Implementation Plan, Discovery	Risks and Issues Management Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon Agreement by the Authority to vary the information	Authority
Schedule 13, Annex A: Outline Implementation Plan, Discovery	Security Risk Management Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon Agreement by the Authority to vary the information	Authority

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Schedule 13, Annex A: Outline Implementation Plan, Discovery	Change Management Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon Agreement by the Authority to vary the information	Authority
Schedule 13, Annex A: Outline Implementation Plan, Discovery	Outline Disaster Recovery Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon Agreement by the Authority to vary the information	Authority
Schedule 13, Annex A: Outline Implementation Plan, Discovery	Project Schedule	As appropriate and agreed by the Authority	[REDACTED]	Upon Agreement by the Authority to vary the information	Authority
Schedule 13, Annex A: Outline Implementation Plan, Discovery	Service Management Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority to vary the information	Authority
Schedule 13, Annex A: Outline Implementation Plan, Design	Architectural Designs to include High Level Designs (HLD) and Low Level Designs (LLD)	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority to vary the information	Authority
Schedule 13, Annex A: Outline Implementation Plan, Design	Detailed Functional Specifications	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority to vary the information	Authority

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Schedule 13, Annex A: Outline Implementation Plan, Design	Solution specific standards and processes, including security	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority to vary the information	Authority
Schedule 13, Annex A: Outline Implementation Plan, Design	Detailed plans for the full delivery lifecycle taking account of and managing any conflicts between The Authority suppliers' plans.	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority to vary the information	Authority
Schedule 13, Annex A: Outline Implementation Plan, Design	Designs for Dev/Test & Staging Environments as a functional replica of the ongoing live production environment	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority to vary the information	Authority
Schedule 13, Annex A: Outline Implementation Plan, Design	Solution operation/management design artifacts to describe how the service will be managed in the live environment	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority to vary the information	Authority
Schedule 13, Annex A: Outline Implementation Plan, Design	Data import design inc. historical call recordings	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority to vary the information	Authority

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Schedule 13, Annex A: Outline Implementation Plan, Design	Detailed designs for end-to-end integrations	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority to vary the information	Authority
Schedule 13, Annex A: Outline Implementation Plan, Design	High level Test Strategy & end to end test plans	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority to vary the information	Authority
Schedule 13, Annex A: Outline Implementation Plan, Build & Configuration – Phase 1	Project Schedule	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for Build & Configuration phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, Build & Configuration – Phase 1	Service Management Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for Build & Configuration phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, Build & Configuration – Phase 1	Detailed Test Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for Build & Configuration phases 2, 3 & 4	Authority

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Schedule 13, Annex A: Outline Implementation Plan, System Testing – Phase 1	System Test Report	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for System Testing phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, System Testing – Phase 1	Risk and Issues Management Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for System Testing phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, System Testing – Phase 1	Project Schedule	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for System Testing phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, System Testing – Phase 1	Service Management Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for System Testing phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, System Testing – Phase	Defects Log	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for System Testing phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation	Final Inspection and Testing Reports	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for	Authority

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Plan, System Testing – Phase 1				System Testing phases 2, 3 & 4	
Schedule 13, Annex A: Outline Implementation Plan, User Readiness for Service – Phase 1	Training Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for User Readiness for service phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, User Readiness for Service – Phase 1	Risk & Issues Log	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for User Readiness for service phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, User Readiness for Service – Phase 1	Implementation Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for User Readiness for service phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, User Readiness for Service – Phase 1	Operations Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for User Readiness for service phases 2, 3 & 4	Authority

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Schedule 13, Annex A: Outline Implementation Plan, User Readiness for Service – Phase 1	Data Conversion & Cutover Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for User Readiness for service phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, User Readiness for Service – Phase 1	Project Schedule	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for User Readiness for service phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, User Readiness for Service – Phase 1	Service Management Plan	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for User Readiness for Implementation Phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, Transition – Phase 1	Implementation Plan (phase 1)	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for User Readiness for Implementation Phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, Transition – Phase 1	Training Scripts	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for User Readiness for Implementation Phases 2, 3 & 4	Authority

Schedule 24: (Reports and Records Provisions)

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Schedule 13, Annex A: Outline Implementation Plan, Transition – Phase 1	Training Plans	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for User Readiness for Implementation Phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, Transition – Phase 1	Capacity Reporting	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for User Readiness for Implementation Phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, Transition – Phase 1	Defects Log	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for User Readiness for Implementation Phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, In Service Support – Phase 1	Post Implementation Report	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for In Service Support for Implementation Phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, In Service Support – Phase 1	Service Delivery Reports	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for In Service Support for Implementation Phases 2, 3 & 4	Authority

Schedule 24: (Reports and Records Provisions)

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Schedule 13, Annex A: Outline Implementation Plan, In Service Support – Phase 1	Risk and Issues Log	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for In Service Support for Implementation Phases 2, 3 & 4	Authority
Schedule 13, Annex A: Outline Implementation Plan, In Service Support – Phase 1	Defects Log	As appropriate and agreed by the Authority	[REDACTED]	Upon agreement by the Authority for In Service Support for Implementation Phases 2, 3 & 4	Authority
Schedule 14, Para 4	Test Strategy	As appropriate and agreed by the Authority	Within 20 Working Days of Effective Date	Upon update to the Test Strategy	Authority
Schedule 14, Para 5	Test Plan	As appropriate and agreed by the Authority	20 prior Working Days of relevant test	Upon update to the Test Plan	Authority
Schedule 14, Para 8	Test Specification	As appropriate and agreed by the Authority	10 prior Working Days of relevant test	Upon update to the Test Specification	Authority
Schedule 14, Para 8	Test Report	As appropriate and agreed by the Authority	2 Working Days prior to the date on which the test is planned to end for the Draft Test Report 5 days for the Final Test Report following	Reissue with each re- Test	Authority

Schedule 24: (Reports and Records Provisions)

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
			the relevant test completion		
Schedule 15, Part E Para 1.1	Template Invoice	As appropriate and agreed by the Authority	Within 10 Working Days of the Effective Date	Upon agreement by the Authority to vary the template	Authority
Schedule 15, Annex 4	Risk Register	Schedule 15, Annex 4	Effective Date	Upon agreement by the Authority to vary by the Risk Management Board	Authority
Schedule 17, Para 4	Benchmarking Plan	Schedule 17	Upon receipt from Benchmarker	Approval of Plan	Authority and Auditor
Schedule 17, Para 8	Benchmarking report	Schedule 17	Upon receipt from Benchmarker	Any update	Authority and Auditor
Schedule 18, Para 2.1	Financial Indicator Reports	Schedule 18, Para 2.1	As specified in Para 2.1 of Schedule 18	As specified in Para 2.1 of Schedule 18	Authority
Schedule 18 Para 3.2.3	Financial Distress Remediation Plan	As appropriate and agreed by the Authority	As soon as reasonably practicable and in any event within 10 Working Days of initial notification or awareness of a Financial Distress Event	On a regular basis (not less than fortnightly)	Authority

Schedule 24: (Reports and Records Provisions)

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Schedule 19, Part B, Para 11.1	Contract Amendment Report	Schedule 19, Part B, Para 1.2	Within 1 month of a material change being agreed	-	Authority
Schedule 19, Para 1.1	Quarterly Contract Report	Schedule 19, Part B, Para 1.2	Within 1 month of the end of each Quarter	-	Authority
Schedule 19, Part B, Para 1.1	Annual Contract Report	Schedule 19, Part B, Para 1.2	Within 1 month of the end of the Contract Year to which that report relates	-	Authority
Schedule 19, Part B, Para 1.1	Financial Reconciliation Report	Schedule 19, Part B, Para 1.2	Within 6 months after the end of the Term	-	Authority
Schedule 21, Para 3.3	Representation and Structure of boards	Schedule 21 Annex 1	Within 7 days of receipt of intention, or in the case of a non-Authority board member agreement by the Authority	-	Authority
Schedule 21, Para 3.5.5	Minutes of governance meetings (all boards)	As appropriate and agreed by the Authority	Within 7 days of receipt from chairperson	-	Authority
Schedule 21 Para 7.1.8	Capacity Report	As appropriate and agreed by the Authority	Service Commencement	Within ten (10) Working Days of the end of each Service Period	Authority
Schedule 22 Para 4.3	Impact Assessment Estimate	As appropriate and agreed by the Authority	Within 10 Working Days of date of	-	Authority

Schedule 24: (Reports and Records Provisions)

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
			receiving change request.		
Schedule 22 Para 5	Impact Assessment	Schedule 22, Annex 2	Within the period agreed by the Impact Assessment Estimate	Within 10 Working Days of request by the Authority to update under Schedule 22, Para 5.4	Authority
Schedule 22, Para 2.6	Update full copy of the Contract and copy of annotated version illustrating changes (unless Authority directs otherwise)	PDF and MS Word (editable)	Signature of Change Authorisation Note	Within 10 Days of the Authority's signature and issue of a Change Authorisation Note	Authority
Schedule 22, Para 4	Change Request	Schedule 22, Annex 1	Within 10 Working Days of Authority issuing the Change Request	-	Authority
Schedule 22, Para 6.2	Change Authorisation Note (unless Authority directs otherwise)	Schedule 22, Annex 3	When Authority approves proposed Contract Change pursuant to Paragraph 6.1 and it has not been rejected by the Supplier in accordance with Paragraph 7	-	Authority
Schedule 23, Para 2.1	Dispute Notice	Schedule 23 Para 2.2	No longer than 20 Working Days from an	Any variation	Authority

Schedule 24: (Reports and Records Provisions)

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
			unresolved dispute arising		
Schedule 23, Para 2.4	Mediation Notice	As appropriate	When first served	Any variation	Authority
Schedule 24, Para 1	Reports and Records Provisions	Schedule 24, Annex 1	Within 3 months of the Effective Date	Frequency specified in Schedule 24, Annex 1	Authority
Schedule 25, Para 2.1.1	Register of All Assets, Sub-contracts and Other Relevant Agreements	As appropriate and agreed by the Authority	Within 3 months of the Effective Date	Any variation	Authority
Schedule 25, Para 2.1.2	Configuration Database of Technical Infrastructure and Operating Procedures	As appropriate and agreed by the Authority	Within 3 months of the Effective Date	Any variation	Authority
Schedule 25, Para 3.1	Exit Information	As appropriate and agreed by the Authority	On reasonable notice given by the Authority at any point during the Term	Within 10 Working Days of Authority's written request	Authority and its potential Replacement Suppliers
Schedule 25, Para 5.1	Exit Plan	Schedule 25, Para 5.3	Within 3 months of the Effective Date	In the first month of each Contract Year; and Within 14 days if requested by the Authority following a Financial Distress Event Within 20 days after service of Termination Notice or 6 months	Authority

Schedule 24: (Reports and Records Provisions)

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
				prior to expiry of the Contract	
Schedule 25, Para 6.3.5	Provide up to date Registers during the Termination Assistance Period	As appropriate	As requested by the Authority	As appropriate	
Schedule 25, Para 6.7.2	Authority Data (handback)	Schedule 25, Para 3 and/or as appropriate and agreed by the Authority	At the end of the Termination Assistance Period	-	Authority
Schedule 25, Annex 1, Para 1.1, Para 1.2 Para 1.3 & Para 1.4	Termination Services supporting documentation and knowledge transfer material	As appropriate and agreed by the Authority	As specified in the Termination Assistance Notice and in any event prior to the end of the Termination Assistance Period	As specified in the Termination Assistance Notice or otherwise requested by the Authority	-
Schedule 26 Service Continuity	Service Continuity Plan	Schedule 26, Para 2.2	Within 40 Working Days from the Effective Date	Schedule 26, Para 7.1	Authority
Schedule 26, Para 7.2	Service Continuity Plan Review Report	Schedule 26, Para 6.2	Within 20 Working Days of the conclusion of each review of the Service Continuity Plan.	-	-

Schedule 24: (Reports and Records Provisions)

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Schedule 26, Part B	Corporate Resolution Planning Information**	Schedule 26, Part B, Para 2.3	Schedule 26 Part B Para 2.2	Schedule 26, Para 2.8	Authority
Schedule 28, Part E, Para 1.1	Supplier's Provisional Supplier Personnel List and, Staffing Information	As appropriate and agreed by the Authority, in a suitably anonymised format so as to comply with the DPA 2018, see Annex E2	Varies - Schedule 28, Para 1.1.1 - 1.1.4	At such intervals as are reasonably requested by the Authority	Authority
Schedule 28, Part E, Para 1.2	Supplier's Final Supplier Personnel List	As appropriate and agreed by the Authority, see Annex E2	At least 20 Working Days prior to the Service Transfer Date	Upon any material change to the list of employees	Authority and, at the discretion of the Authority, the prospective Replacement Supplier and/or any prospective Replacement Subcontractor
Schedule 28, Part E, Para 1.6	Information relating to the manner in which the services are organised	As appropriate and agreed by the Authority, see Annex E2	Within 20 Working Days of Authority request	Within 20 Working Days of Authority request	Authority
Schedule 28, Part E, Para 1.7	Payroll and benefits information	As appropriate and agreed by the Authority, see Annex E2	Within 5 Working Days following the Service Transfer Date	-	Authority, any Replacement Supplier and/or Replacement Sub-contractor
Schedule 28, Annex E1	List of Notified Sub-contractors	As appropriate and agreed by the Authority	Effective Date	Upon any change	Authority

Schedule 24: (Reports and Records Provisions)

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Applicable Clause/ Paragraph	Required Data	Format of Data	Initial Upload Date	Update Requirement	Access Permission and Access Event (where applicable)
Schedule 29	Key Personnel	Schedule 29	Effective Date	As amended from time to time	Authority
(If Annex A Schedule 31 Joint Controller Agreement applies) Schedule 31, Annex 1 Para 2.1	Reports on Data Subject Access Requests and other Personal Data related matters	As appropriate and agreed by the Authority	As agreed with Authority	As agreed with Authority	Authority and Supplier
Schedule 32, Annex 1	Specially Written Software and Project Specific IPRs	Annex 1 to Schedule 32 (Intellectual Property Rights)	As agreed with Authority	Regularly - As agreed with Authority	Authority
Schedule 33, Annex 1, Para 2.2	Diversity and Equality Delivery Plan	Paras 2.2 and 2.4 of Annex 1 to Schedule 33	6 Months after the Effective Date	Annually	Authority
Schedule 33, Annex 1, Para 2.6	Life Chances Workforce Monitoring Template	Appendix 1 to Schedule 33	6 Months after the Effective Date	Annually	Authority

*The Parties acknowledge that, in relation to any item that is specifically marked with a single asterisk (i.e. *) in the table above, any Intellectual Property Rights in the actual content of that item will be owned by the relevant third party that granted or issued the relevant item (notwithstanding the terms of Paragraph 4.3 of this Schedule).

**The Parties acknowledge that, in relation to any item that is specifically marked with a double asterisk (i.e. **) in the table above, the Intellectual Property Rights in the actual content of that item will constitute Project Specific IPR in accordance with Paragraph 4.3 of this Schedule, with the exception that the content of any supporting, third party-provided certificates or evidence that is included as part of or alongside the relevant item will be owned by the relevant third party that granted or issued the relevant certificate or evidence (notwithstanding the terms of Paragraph 4.3 of this Schedule).

Schedule 24: (Reports and Records Provisions)

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Annex 4: Supply Chain Transparency Information Template

	Financial Year 20[]			
	Under this Contract		Supplier as a whole	
	£	%	£	%
Estimated total contract revenue (£) to be received in this Financial Year	£[]	100%	£[]	100%
Total value of Sub-contracted revenues (£) in this Financial Year	£[]	[]	£[]	[]
Total value of Sub-contracted revenues to SMEs (£) in this Financial Year	£[]	[]	£[]	[]
Total value of Sub-contracted revenues to VCSEs (£) in this Financial Year	£[]	[]	£[]	[]