

**SCHEDULE 4 (STANDARDS)**

[Subject to contract]

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# Schedule 4 (*Standards*)

## 1 DEFINITIONS

1.1 In this Schedule, the following definitions shall apply:

**“Standards Hub”** the Government’s open and transparent standards adoption process as documented at <http://standards.data.gov.uk/>; and

**“Suggested Challenge”** a submission to suggest the adoption of new or emergent standards in the format specified on Standards Hub.

## 2 GENERAL

2.1 Throughout the term of this Contract, the Parties shall monitor and notify each other of any new or emergent standards which could affect the Supplier’s provision, or the Authority’s receipt, of the Services. Any changes to the Standards, including the adoption of any such new or emergent standard, shall be agreed in accordance with the Change Control Procedure.

2.2 Where a new or emergent standard is to be developed or introduced by the Authority, the Supplier shall be responsible for ensuring that the potential impact on the Supplier’s provision, or the Authority’s receipt, of the Services is explained to the Authority (in a reasonable timeframe), prior to the implementation of the new or emergent standard.

2.3 Where Standards referenced conflict with each other or with Good Industry Practice, then the later Standard or best practice shall be adopted by the Supplier. Any such alteration to any Standard(s) shall require the prior written agreement of the Authority and shall be implemented within an agreed timescale.

## 3 TECHNOLOGY AND DIGITAL SERVICES PRACTICE

3.1 The Supplier shall (when designing, implementing and delivering the Services) adopt the applicable elements of HM Government’s Technology Code of Practice as documented at <https://www.gov.uk/service-manual/technology/code-of-practice.html>.

## 4 OPEN DATA STANDARDS & STANDARDS HUB

4.1 The Supplier shall comply to the extent within its control with UK Government’s Open Standards Principles as documented at <https://www.gov.uk/government/publications/open-standards-principles/open-standards-principles>, as they relate to the specification of standards for software interoperability, data and document formats in the IT Environment.

4.2 Without prejudice to the generality of Paragraph 2.2, the Supplier shall, when implementing or updating a technical component or part of the Software or Supplier Solution where there is a requirement under this Contract or opportunity to use a new or emergent standard, submit a Suggested Challenge compliant with the UK Government’s Open Standards Principles (using the process detailed on Standards Hub and documented at <http://standards.data.gov.uk/>). Each Suggested Challenge submitted by the Supplier shall detail, subject to the security and confidentiality provisions in this Contract, an illustration of such requirement or opportunity within the IT Environment, Supplier Solution and Government’s IT infrastructure and the suggested open standard.

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- 4.3 The Supplier shall ensure that all documentation published on behalf of the Authority pursuant to this Contract is provided in a non-proprietary format (such as PDF or Open Document Format (ISO 26300 or equivalent)) as well as any native file format documentation in accordance with the obligation under Paragraph 4.1 to comply with the UK Government's Open Standards Principles, unless the Authority otherwise agrees in writing.

### **5 TECHNOLOGY ARCHITECTURE STANDARDS**

- 5.1 The Supplier shall produce full and detailed technical architecture documentation for the Supplier Solution in accordance with Good Industry Practice. If documentation exists that complies with the Open Group Architecture Framework 9.2 or its equivalent, then this shall be deemed acceptable.

### **6 ACCESSIBLE DIGITAL STANDARDS**

- 6.1 The Supplier shall comply with (or with equivalents to):
- (a) the World Wide Web Consortium (W3C) Web Accessibility Initiative (WAI) Web Content Accessibility Guidelines (WCAG) 2.1 Conformance Level AA; and
  - (b) ISO/IEC 13066-1: 2011 Information Technology – Interoperability with assistive technology (AT) – Part 1: Requirements and recommendations for interoperability.

### **7 SERVICE MANAGEMENT SOFTWARE & STANDARDS**

- 7.1 Subject to Paragraphs 2 to 4 (inclusive), the Supplier shall reference relevant industry and HM Government standards and best practice guidelines in the management of the Services, including the following and/or their equivalents:
- (a) ITIL v4;
  - (b) ISO/IEC 20000-1 2018 "Information technology — Service management – Part 1";
  - (c) ISO/IEC 20000-2 2019 "Information technology — Service management – Part 2";
  - (d) ISO 10007: 2017 "Quality management systems – Guidelines for configuration management"; and
  - (e) ISO 22313:2020 "Security and resilience. Business continuity management systems. Guidance on the use of ISO 22301" and, ISO/IEC 27031:2011 and ISO 22301:2019.
- 7.2 For the purposes of management of the Services and delivery performance the Supplier shall make use of Software that complies with Good Industry Practice including availability, change, incident, knowledge, problem, release & deployment, request fulfilment, service asset and configuration, service catalogue, service level and service portfolio management. If such Software has been assessed under the ITIL Software Scheme as being compliant to "Bronze Level", then this shall be deemed acceptable.

### **8 SUSTAINABILITY**

- 8.1 The Supplier shall comply with the sustainability requirements set out in the Annex to this Schedule.

### **9 HARDWARE SAFETY STANDARDS**

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- 9.1 The Supplier shall comply with those BS or other standards relevant to the provision of the Services, including the following or their equivalents:
- (a) any new hardware required for the delivery of the Services (including printers), shall conform to BS EN IEC 62368-1:2020+A11:2020 or subsequent replacements. In considering where to site any such hardware, the Supplier shall consider the future working user environment and shall position the hardware sympathetically, wherever possible;
  - (b) any new audio, video and similar electronic apparatus required for the delivery of the Services, shall conform to the following standard: BS EN IEC 62368-1:2020+A11:2020 or any subsequent replacements;
  - (c) any new laser printers or scanners using lasers, required for the delivery of the Services, shall conform to either of the following safety Standards: BS EN 60825-1:2014 or any subsequent replacements; and
  - (d) any new apparatus for connection to any telecommunication network, and required for the delivery of the Services, shall conform to the following safety Standard: BS EN 62949:2017 or any subsequent replacements.
- 9.2 Where required to do so as part of the Services, the Supplier shall perform electrical safety checks in relation to all equipment supplied under this Contract in accordance with the relevant health and safety regulations.

## **10 AUTHORITY'S STANDARDS AND GOOD INDUSTRY PRACTICE GUIDELINES**







- 10.1 The Supplier shall comply with the Authority's Standards and Good Industry Practice guidelines set out below.

| Category         | Title   | Internet link   |
|------------------|---|---|
| Accessibility    | Accessibility and assisted digital                                | <a href="https://www.gov.uk/service-manual/helping-people-to-use-your-service">https://www.gov.uk/service-manual/helping-people-to-use-your-service</a>   |
| Accessibility    | Understanding accessibility requirements for public sector bodies | <a href="https://www.gov.uk/guidance/accessibility-requirements-for-public-sector-websites-and-apps">https://www.gov.uk/guidance/accessibility-requirements-for-public-sector-websites-and-apps</a> |
| Design           | Government Design Principles                                      | <a href="https://www.gov.uk/guidance/government-design-principles">https://www.gov.uk/guidance/government-design-principles</a>   |
| Digital services | API technical and data standards                                  | <a href="https://www.gov.uk/guidance/gds-api-technical-and-data-standards">https://www.gov.uk/guidance/gds-api-technical-and-data-standards</a>   |
| Digital services | Designing for different browsers and devices                      | <a href="https://www.gov.uk/service-manual/technology/designing-for-different-browsers-and-devices">https://www.gov.uk/service-manual/technology/designing-for-different-browsers-and-devices</a>   |
| Digital services | GOV.UK Design System  | <a href="https://design-system.service.gov.uk/">https://design-system.service.gov.uk/</a>   |
| Digital services | New guidance for publishing data                                  | <a href="https://dataingovernment.blog.gov.uk/2021/02/18/new-guidance-for-publishing-data/">https://dataingovernment.blog.gov.uk/2021/02/18/new-guidance-for-publishing-data/</a>                   |

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| Category           | Title   | Internet link  |
|--------------------|---|--|
| Digital services   | Service Manual  | <a href="https://www.gov.uk/service-manual">https://www.gov.uk/service-manual</a>  |
| Digital services   | Service Standard  | <a href="https://www.gov.uk/service-manual/service-standard">https://www.gov.uk/service-manual/service-standard</a>  |
| Digital services   | Style guide   | <a href="https://www.gov.uk/guidance/style-guide">https://www.gov.uk/guidance/style-guide</a>  |
| Geospatial         | Best practice guidance and tools for managing geospatial data | <a href="https://www.gov.uk/government/collections/best-practice-guidance-and-tools-for-geospatial-data-managers">https://www.gov.uk/government/collections/best-practice-guidance-and-tools-for-geospatial-data-managers</a>  |
| Geospatial         | Environment Agency Data Standard Specification: Location      |   |
| Geospatial         | Environment Agency Data Standard: Addressing                  |   |
| Geospatial         | Identifying property and street information                   | <a href="https://www.gov.uk/government/publications/open-standards-for-government/identifying-property-and-street-information">https://www.gov.uk/government/publications/open-standards-for-government/identifying-property-and-street-information</a>  |
| Geospatial         | OGC Standards   | <a href="https://www.ogc.org/docs/is">https://www.ogc.org/docs/is</a>  |
| Geospatial         | Simple Feature Access   | <a href="https://www.ogc.org/standards/sfa">https://www.ogc.org/standards/sfa</a>  |
| People             | Agile delivery  | <a href="https://www.gov.uk/service-manual/agile-delivery">https://www.gov.uk/service-manual/agile-delivery</a>  |
| People             | Digital, Data and Technology Profession Capability Framework  | <a href="https://www.gov.uk/government/collections/digital-data-and-technology-profession-capability-framework">https://www.gov.uk/government/collections/digital-data-and-technology-profession-capability-framework</a><br><a href="https://sfia-online.org/en/tools-and-resources/standard-industry-skills-profiles/uk-government-ddat-roles/sfia-skills-profiles-for-uk-ddat-roles">https://sfia-online.org/en/tools-and-resources/standard-industry-skills-profiles/uk-government-ddat-roles/sfia-skills-profiles-for-uk-ddat-roles</a> |
| People             | Health and safety policy                                      |   |
| People             | Travel and subsistence policy                                 |   |
| Security           | Password policy   |   |
| Service management | Service Management Operating Manual                           |   |

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| Category       | Title  | Internet link   |
|----------------|--|---|
| Sustainability | Defra group sustainable information technology (IT) strategy     | <a href="https://www.gov.uk/government/publications/defra-group-sustainable-information-technology-it-strategy">https://www.gov.uk/government/publications/defra-group-sustainable-information-technology-it-strategy</a>   |
| Sustainability | EA Net Zero 2030   | <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/989667/EA-net-zero-2030.pdf">https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/989667/EA-net-zero-2030.pdf</a>   |
| Sustainability | Greening Government Commitments                                  | <a href="https://www.gov.uk/government/publications/greening-government-commitments-2021-to-2025">https://www.gov.uk/government/publications/greening-government-commitments-2021-to-2025</a>   |
| Sustainability | Greening government: ICT and digital services strategy 2020-2025 | <a href="https://www.gov.uk/government/publications/greening-government-ict-and-digital-services-strategy-2020-2025/greening-government-ict-and-digital-services-strategy-2020-2025">https://www.gov.uk/government/publications/greening-government-ict-and-digital-services-strategy-2020-2025/greening-government-ict-and-digital-services-strategy-2020-2025</a> |
| Sustainability | ISO 50001 Energy Management                                      | <a href="https://www.iso.org/iso-50001-energy-management.html">https://www.iso.org/iso-50001-energy-management.html</a>   |
| Technology     | Common Alerting Protocol Version 1.2                             | <a href="https://docs.oasis-open.org/emergency/cap/v1.2/CAP-v1.2.html">https://docs.oasis-open.org/emergency/cap/v1.2/CAP-v1.2.html</a>   |
| Technology     | JSON   | <a href="https://www.json.org/json-en.html">https://www.json.org/json-en.html</a>   |
| Technology     | Manage your software configuration                               | <a href="https://www.gov.uk/service-manual/technology/manage-your-software-configuration">https://www.gov.uk/service-manual/technology/manage-your-software-configuration</a>   |
| Technology     | Managing software dependencies                                   | <a href="https://www.gov.uk/service-manual/technology/managing-software-dependencies">https://www.gov.uk/service-manual/technology/managing-software-dependencies</a>   |
| Technology     | Open API Specification   | <a href="https://swagger.io/specification/">https://swagger.io/specification/</a>   |

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### ANNEX 1: SUSTAINABILITY

#### 1 DEFINITIONS

1.1 In this Annex, the following definitions shall apply:

|                          |  |
|--------------------------|--|
| <b>“Net Zero”</b>        | the concept of carbon neutrality, achieved by balancing emissions of carbon dioxide with its removal or by eliminating emissions from society;   |
| <b>“Waste Hierarchy”</b> | means prioritisation of waste management in the following order of preference as set out in the Waste (England and Wales) Regulation 2011:<br><ul style="list-style-type: none"><li>(a) Prevention;</li><li>(a) Preparing for re-use;</li><li>(b) Recycling;</li><li>(c) Other Recovery; and</li><li>(d) Disposal.</li></ul> |

#### 2 PUBLIC SECTOR EQUALITY DUTY

2.1 In addition to legal obligations, where the Supplier is providing a Service to which the Public Sector Equality duty applies, the Supplier shall support the Authority in fulfilling its Public Sector Equality duty under S149 of the Equality Act 2010 by ensuring that it fulfils its obligations under the Contract in a way that seeks to:

2.1.1 eliminate discrimination, harassment or victimisation and any other conduct prohibited by the Equality Act 2010; and

2.1.2 advance:

- (a) equality of opportunity; and
- (b) good relations,

between those with a protected characteristic (age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation, and marriage and civil partnership) and those who do not share it.

2.2 The Supplier shall ensure that it fulfils its obligations under the Contract in a way that does not discriminate against individuals because of socio-economic background, working pattern or having parental or other caring responsibilities.

#### 3 ENVIRONMENTAL REQUIREMENTS

3.1 The Supplier must perform its obligations meeting in all material respects the requirements of all applicable Laws Contract regarding the environment.

3.2 The Supplier warrants that it has obtained relevant Environment Management System (EMS) certified to ISO 14001 or an equivalent certification from a UKAS accredited body and shall comply with and maintain certification requirements throughout the Term.

3.3 The Supplier shall achieve Net Zero operations of the Services no later than **[31<sup>st</sup> December 2030]**.

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- 3.4 In performing its obligations under the Contract the Supplier shall, where applicable to the Contract, to the reasonable satisfaction of the Authority:
- (a) demonstrate low carbon resource efficiency, including minimising the use of resources and responding promptly to the Authority's reasonable questions;
  - (b) prioritise waste management in accordance with the Waste Hierarchy as set out in Law;
  - (c) be responsible for ensuring that any waste generated by the Supplier and sent for recycling, disposal or other recovery as a consequence of this Contract is taken by a licensed waste carrier to an authorised site for treatment or disposal and that the disposal or treatment of waste complies with the law;
  - (d) ensure that it and any third parties used to undertake recycling disposal or other recovery as a consequence of this Contract do so in a legally compliant way, and can demonstrate that reasonable checks are undertaken to ensure this on a regular basis and provide relevant data and evidence of recycling, recovery and disposal;
  - (e) in circumstances that a permit, licence or exemption to carry or send waste generated under this Contract is revoked, the Supplier shall cease to carry or send waste or allow waste to be carried by any Subcontractor until authorisation is obtained from the Environment Agency; minimise the release of greenhouse gases (including carbon dioxide emissions), air pollutants, volatile organic compounds and other substances damaging to health and the environment; and
  - (f) reduce and minimise carbon emissions by taking into account factors including, but not limited to, the locations from which materials are sourced, the transport of materials, the locations from which the work force are recruited and emissions from offices and on-site equipment.
- 3.5 The Supplier shall ensure that any Services are designed, sourced and delivered in a manner which is environmentally and socially responsible.
- 3.6 In performing its obligations under the Contract, the Supplier shall to the reasonable satisfaction of the Authority:
- (a) demonstrate that the whole life cycle impacts (including end of use) associated with the Services that extend beyond direct operations into that of the supply chain have been considered and reduced;
  - (b) minimise the consumption of resources and use them efficiently (including water and energy), working towards a circular economy including designing out waste and non-renewable resources, using re-use and closed loop systems;
  - (c) demonstrate protection of the environment including understanding and reduction of biosecurity risks (which include risks to plant and tree health from harmful pests and diseases), and reducing and eliminating hazardous/harmful substances to the environment and preventing pollution;
  - (d) enhance the natural environment and connecting communities with the environment; and



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- (e) achieve continuous improvement in environmental (and social) performance.

3.7 The Supplier shall minimise use of paper in performing the Services.

3.8 The Supplier shall meet the applicable Government Buying Standards applicable to Services which can be found online at:

<https://www.gov.uk/government/collections/sustainable-procurement-the-government-buying-standards-gbs>.

### **4 SUPPLIER CODE OF CONDUCT**

4.1 In February 2019, HM Government published a Supplier Code of Conduct setting out the standards and behaviours expected of suppliers who work with government which can be found online at:

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/779660/20190220-Supplier\\_Code\\_of\\_Conduct.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/779660/20190220-Supplier_Code_of_Conduct.pdf)

The Authority expects to meet, and expects its suppliers and subcontractors to meet, the standards set out in that Code.

### **5 REPORTING REQUIREMENTS**

5.1 The Supplier shall comply with reasonable requests by the Authority for information evidencing compliance with Paragraphs 2, 3, and 4 of this Annex within fourteen (14) days of such request provided that such requests are limited to two per Contract Year.