

CONNECTIVITY CONSOLIDATED CONTRACT SCHEDULE

CONSOLIDATED SCHEDULE 14

PERFORMANCE MONITORING AND REPORTING

for Contract Number DCNS/080

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## **CONSOLIDATED SCHEDULE 14**

### **PERFORMANCE MONITORING AND REPORTING**

This Consolidated Schedule provides a consolidated version of the requirements of Schedule 2.1 (*Performance Monitoring*) of the Call-Off Terms and the Customer Authority's special terms relating to performance monitoring and reporting.

Capitalised terms used but not defined in this Consolidated Schedule are defined in Consolidated Schedule 1 (*Definitions*).

#### **1 INTRODUCTION**

- 1.1** This Consolidated Schedule sets out the Contractor's obligations in relation to:
- 1.1.1** the provision of the Monthly Summary (see Paragraph 2 below);
  - 1.1.2** the maintenance and provision of the Reports (see Paragraph 3 below);
  - 1.1.3** the maintenance and provision of the Plans (see Paragraph 4 below);
  - 1.1.4** the maintenance and provision of the Re-Procurement Information and the release of certain Exit Management Information (see Paragraph 5 below); and
  - 1.1.5** Satisfaction Surveys (see Paragraph 6 below).
- 1.2** The obligations set out in this Consolidated Schedule do not affect, negate or constrain any general reporting obligations set out in any other parts of this Consolidated Contract.
- 1.3** The Contractor shall, when providing Management Information:
- 1.3.1** ensure that it is accurate, detailed, presented (if applicable) in the correct currency, consistent and complete;
  - 1.3.2** highlight explicitly any data that is missing, deficient, anomalous or manually amended, giving reasonable justification in each case as to why that is the case; and
  - 1.3.3** seek to improve the quality of such Management Information by identifying potential improvements to the Customer Authority as part of its continuous improvement obligations under this Consolidated Contract.
- 1.4** The Customer Authority shall, in connection with Management Information:
- 1.4.1** have the right to access and review all underlying data upon which the Management Information is based; and
  - 1.4.2** have the right to require the Contractor to make reasonable modifications to the content, format or frequency of an item of Management Information,
- in each case from time to time on giving the Contractor at least thirty (30) days' prior notice.
- 1.5** The Contractor shall ensure that each Monthly Summary, Report, Plan, and any supporting documentation and other information to be provided to the Customer Authority pursuant to this Consolidated Schedule (including the Re-Procurement Information) is made available to the Customer Authority to filter and download

electronically at any time in an editable format (such format to be agreed in writing with the Customer Authority, such form of writing to refer to this Paragraph 1.5, or in the absence of such agreement, as reasonably specified by the Customer Authority) through the Management Information Exchange.

## **2 PERFORMANCE MONITORING AND PERFORMANCE REVIEW**

**2.1** The Contractor shall provide the Customer Authority Representative with a written summary of the Service performance (the “**Monthly Summary**”), in accordance with this Consolidated Schedule, within ten (10) Working Days (or such other period as the Parties previously agree in writing, such form of writing to refer to this Paragraph 2.1) of the end of each calendar month of the Term and (to the extent any Services are provided during the Exit Period) the Exit Period. In accordance with Paragraph 5.3.2(iv) of Consolidated Schedule 15 (*Governance*), each Monthly Summary shall be reviewed by the Service Review Board at the Service Review Board meeting that immediately follows its issue.

**2.2** Each Monthly Summary shall contain, as a minimum, the following information:

- 2.2.1** a list of all of the Services, together with their applicable Service Levels, their Achieved Service Levels and details of any Service Credits incurred during the relevant Service Measurement Period;
- 2.2.2** a list of all Service Levels in respect of which there is a Repeat Failure count of one (1) or more and a progress report on the actions taken by or on behalf of the Contractor to resolve the underlying cause and prevent recurrence;
- 2.2.3** a list of all Incidents that have occurred during the Service Measurement Period and the Incident Priority Level of each Incident that occurred;
- 2.2.4** a list of all Incidents that have been Resolved, along with the Incident Resolution Time of each Incident;
- 2.2.5** a list of all Incidents that remain outstanding, along with a brief summary of the Contractor’s progress in Resolving them;
- 2.2.6** for each Incident with an Incident Priority Level classed as “Level 0” or “Level 1” in accordance with Consolidated Schedule 4 (*Service Levels and Related Remedies*) occurring in the relevant Service Measurement Period, a summary of the cause of the Incident and any action being taken by or on behalf of the Contractor to reduce the likelihood of recurrence;
- 2.2.7** a summary of how the Contractor has complied with the PSN Compliance Conditions during the Service Measurement Period;
- 2.2.8** an up-to-date copy of each of the Registers;
- 2.2.9** particulars of any aspects of the performance by the Contractor of its obligations under this Consolidated Contract which fail to meet the requirements of this Consolidated Contract; and
- 2.2.10** any further supporting information required in accordance with the Service Management Documentation, the Customer Authority Service Management Documentation and the Standards.

- 2.3 Without prejudice to Paragraph 1.4 above, the Contractor shall provide to the Customer Authority, within thirty (30) days of the Customer Authority making a request for such supporting documentation, such supporting documentation as the Customer Authority may reasonably request in order to verify the level of the performance of the Services by the Contractor and the calculations of the value of Service Credits for any Service Measurement Period.

### 3 REPORTS

- 3.1 The Contractor shall provide to the Customer Authority the reports listed in this Paragraph 3.1 and any other reports required under this Consolidated Contract and the ISS ITIL Processes (each, a “**Report**”), in each case in accordance with this Consolidated Contract and the ISS ITIL Processes, and otherwise promptly upon receiving a request to do so from the Customer Authority from time to time (and in any event within ten (10) Working Days of any such request being made):

- 3.1.1 any reports that are required pursuant to Consolidated Schedule 2 (*Implementation Plan*), including reports on Delays which have occurred or are at risk of occurring;
- 3.1.2 any reports required pursuant to Consolidated Schedule 19 (*Testing Procedures*);
- 3.1.3 any reports required pursuant to Consolidated Schedule 16 (*Contract Change Procedure*);
- 3.1.4 any Incident, Problem, capacity, financial and other management reports required in accordance with the ISS ITIL Processes, including those reports which are described in Appendix 1 to this Consolidated Schedule, such reports to be provided in the format, and as frequently, as described in Appendix 1 to this Consolidated Schedule;
- 3.1.5 any security reports required pursuant to Consolidated Schedule 7 (*Security Requirements*) (including reports relating to any Certification required under this Consolidated Contract);
- 3.1.6 any annual reports on the insurances to be maintained in accordance with this Consolidated Contract and the Framework Agreement, including the Required Insurances;
- 3.1.7 any reports or information required pursuant to Consolidated Schedule 9 (*Charges and Invoicing*), Consolidated Schedule 11 (*Value for Money*), Consolidated Schedule 12 (*Excess Profit Sharing*), and Consolidated Schedule 13 (*Payments on Termination*);
- 3.1.8 notifications and updates relating to Force Majeure Events required pursuant to this Consolidated Contract;
- 3.1.9 any reports required pursuant to Consolidated Schedule 22 (*Business Continuity and Disaster Recovery Provisions*); and
- 3.1.10 any other reports required pursuant to the terms of this Consolidated Contract.

The Contractor shall also keep copies of each Report.

- 3.2** After receipt by the Customer Authority of any Report, but only if so requested by the Customer Authority, the Parties shall meet to discuss the Report. The Contractor shall ensure that any comments, suggestions or amendments proposed by the Customer Authority (acting reasonably) are incorporated into the relevant Report and shall issue an updated copy of the Report to the Customer Authority within five (5) Working Days of such comments, suggestions or amendments being communicated to the Contractor by the Customer Authority.
- 3.3** The Contractor shall:
- 3.3.1** provide a facility through which the Customer Authority may generate automatically for itself, and free-of-charge, ad hoc reports, in a format reasonably Approved by the Customer Authority from time to time, on the performance of the Services; and
  - 3.3.2** generate ad hoc reports at the request of the Customer Authority, in a format and containing content as requested by the Customer Authority, within ten (10) Working Days of the Customer Authority making such request, provided that if the Customer Authority requests more than thirty (30) of such ad hoc reports to be generated by the Contractor in any Contract Year, the Contractor shall be entitled to raise a Contract Change Request in respect of the thirty-first (31<sup>st</sup>) ad hoc report and any further ad hoc reports requested pursuant to this Paragraph 3.3 in such Contract Year.

## **4 PLANS**

- 4.1** The Contractor shall keep copies of the following plans (each, a “**Plan**”) and shall provide them to the Customer Authority, in each case in accordance with this Consolidated Contract (including the ISS ITIL Processes) or otherwise promptly upon receiving a request to do so from the Customer Authority from time to time (and in any event within ten (10) Working Days of any such request being made):
- 4.1.1** the Implementation Plan, the Technology Refresh Plan and the Procurement Plan;
  - 4.1.2** Forward Work Schedules and Ad Hoc Access Requests;
  - 4.1.3** the Draft Benchmarking Plans and the Benchmarking Plans;
  - 4.1.4** Test Plans;
  - 4.1.5** the IMP, ISMS and the PCP;
  - 4.1.6** the Exit Plans;
  - 4.1.7** the BCDR Plan, the Business Continuity Plan, the Disaster Recovery Plan and the IT Service Continuity Plan;
  - 4.1.8** Correction Plans and Dispute Resolution Plans;
  - 4.1.9** Step-Out Plans;
  - 4.1.10** any plans required pursuant to the ISS ITIL Processes, including those plans identified in Appendix 2 to this Consolidated Schedule, such plans to be created and updated in the format and as frequently as described in Appendix 2 to this Consolidated Schedule; and

4.1.11 any other plans required pursuant to the terms of this Consolidated Contract from time to time.

4.2 After receipt by the Customer Authority of any Plan, the Parties shall meet to discuss such Plan. The Contractor shall ensure that any comments, suggestions or amendments proposed by the Customer Authority (acting reasonably) are incorporated into the relevant Plan and shall issue an updated copy of the relevant Plan to the Customer Authority within five (5) Working Days of such comments, suggestions or amendments being communicated to the Contractor by the Customer Authority.

## 5 RE-PROCUREMENT AND EXIT MANAGEMENT INFORMATION

5.1 During the Term and any Exit Period, the Contractor shall maintain accurate Re-Procurement Information.

5.2 Without prejudice to the Contractor's obligations under Consolidated Schedule 20 (*Exit Management*), the Contractor shall provide the Customer Authority with the Re-Procurement Information within six (6) months of the Effective Date and shall keep such information up-to-date. At the beginning of each Contract Year, the Contractor shall deliver to the Customer Authority an updated copy of all of the Re-Procurement Information.

5.3 Without prejudice to Clause 34 (*Confidentiality and Publicity*) of this Consolidated Contract, the release of any Exit Management Information of a sensitive or security nature will be subject to the Customer Authority's Approval.

## 6 SATISFACTION SURVEYS

6.1 In order to assess the level of performance of the Contractor, the Customer Authority may undertake satisfaction surveys in a format to be chosen by the Customer Authority, acting reasonably (each, a "**Satisfaction Survey**") at any time during the Term in respect of End Users or various groups of End Users. These Satisfaction Surveys may involve:

6.1.1 the assessment of the Contractor's performance by the End Users against the Service Levels; and/or

6.1.2 other suggestions for improvements to the Services.

6.2 If, in the Customer Authority's reasonable opinion, any Satisfaction Survey suggests that the Services are not meeting the Service Requirements and/or Contractor Service Descriptions in any respect, the Customer Authority may recommend any improvements which it deems necessary for the Services to meet such Service Requirements and/or Contractor Service Descriptions. The Contractor shall ensure that it takes appropriate measures to achieve such improvements as soon as is reasonably practicable after such recommendation from the Customer Authority (and in any event within any reasonable time period required by the Customer Authority).

- 6.3** All other suggestions for improvements to the Services shall be dealt with as part of the Contractor's services improvement obligations under this Consolidated Contract (including the ISS ITIL Processes).



## APPENDIX 1

### GOVERNANCE AND ISS ITIL PROCESSES REPORTS

The Contractor shall provide the Customer Authority with the following Reports at the frequencies, and in the formats, set out below and in accordance with the ISS ITIL Processes and Good Industry Practice. The Contractor shall also ensure that the content of each Report set out in the table below meets the Customer Authority's reasonable requirements.

Report Title	Frequency
Access Management Report	Ad-hoc & when required
Component Capacity Reports	Ad-hoc & when required
CSI Report	Annual & when required
ITSCM Report	Monthly
ITSCM Test Report	Ad-hoc
Joint Risk Report	Monthly
Post Incident Report (PIR)	Ad-hoc
Security Report	Monthly
Service Report	Monthly

#### Report Template

Each Report set out in the table above shall, unless otherwise previously agreed with the Customer Authority, be provided by the Contractor in the following format:

**Title:** *[Insert title]*

**Description:** *[Insert details of the Report type, whether the Report will be uploaded to the Management Information Exchange, what Governance Boards review the Report and when the Report is expected to become final]*

**Reporting Category:** *[Identify whether the Report is standard from service management tooling or bespoke]*

**Frequency:** *[Insert frequency]*

**Report Format:** *[Insert format]*

#### Report Content:

Report Title: *[Insert title]*

Contents Page

Distribution: *[Recipients of the Report]*

Document history and version control: *[0.1 draft]*

Customer Authority Approved: *[Y/N]*

Author: *[Insert author name and role]*

Reporting Period: *[Insert reporting period dates: from/to]*

Report Purpose: *[Insert Report purpose]*

Report Scope: *[Insert Report scope]*

Executive Summary: *[Insert summary of Report findings]*

Red/amber/green status of all performance indicators, including Test Success Criteria, Milestone Dates and Service Levels: *[These may be standard]*

***graphs/charts produced by service management tooling or ad hoc reports]***

Performance indicator trend analysis: ***[Insert in Excel format as bar charts and/or bar graph]***

Analysis of performance: ***[The detailed content of the analysis required will be outlined in consultation with the relevant Governance Board, but shall be subject to the Customer Authority's Approval. Typically, a Report would be expected to include, as a minimum, all aspects of the live service operation, highlighting any risks, issues or relevant service improvement activities. Performance reporting should be by way of red/amber/green coding with continuous service improvement plans to address items for recovery, including predicted timescales.]***

Annex: To be outlined in consultation with the relevant Governance Board, but shall be subject to the Customer Authority's Approval.

## APPENDIX 2

### ISS ITIL PROCESSES PLANS

The Contractor shall provide the Customer Authority with the following Plans at the frequencies, and in the formats, set out below and in accordance with the ISS ITIL Processes and Good Industry Practice. The Contractor shall also ensure that the content of each Plan set out in the table below meets the Customer Authority's reasonable requirements.

Plan Title	Frequency
Change Implementation Plan	Ad-hoc, on-going update
Component Capacity Plan	Ad-hoc, on-going update
Component Availability Plans	Ad-hoc, on-going update
Disaster Recovery (DR) Plan	Annual & on-going update
Evaluation Plan	Ad-hoc, on-going update
Information Security Management Plan (IMP)	Ad-hoc, on-going update
IT Service Continuity Plan	Annual review, on-going update
Known State Management Plans	Ad-hoc, on-going update
Organisational plans	Annual review, on-going update
Release and Deployment Plan	Annual review, on-going update
Service Asset & Configuration Management Plan	Annual review, on-going update
Service Improvement Plan	Annual review, on-going update
Test Plans	Ad-hoc, on-going update
Trial Plans	Ad-hoc, on-going update

#### Plan Template

Each Plan set out in the table above shall, unless otherwise previously agreed with the Customer Authority, be provided by the Contractor in the following format:

<p><b>Title:</b> <i>[Insert title]</i></p> <p><b>Description:</b> <i>[Insert details of the Plan type, whether the Plan will be uploaded to the Management Information Exchange and when the Plan is expected to become final]</i></p> <p><b>Reporting Category:</b> <i>[Identify whether the Plan is standard from service management tooling or bespoke]</i></p> <p><b>Frequency:</b> <i>[Insert frequency]</i></p> <p><b>Plan Format:</b> <i>[Insert format]</i></p> <hr/> <p><b>Plan Content:</b></p> <p style="margin-left: 20px;">Plan Title: <i>[Insert title]</i></p> <p style="margin-left: 20px;">Reporting Period: <i>[Insert reporting period dates: from/to]</i></p> <p style="margin-left: 20px;">Contents Page</p> <p style="margin-left: 20px;">Document history and version control: <i>[0.1 draft]</i></p> <p style="margin-left: 20px;">Author: <i>[Insert author name and role]</i></p> <p style="margin-left: 20px;">Assurance Sign Off: <i>[Insert details of who is required to sign off for assurance purposes and at what time this is to happen]</i></p> <p style="margin-left: 20px;">Distribution: <i>[Recipients of the Plan]</i></p> <p style="margin-left: 20px;">Definitions: <i>[Insert definitions]</i></p> <p style="margin-left: 20px;">Introduction: <i>[Insert introduction]</i></p>
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Purpose: ***[Insert Plan purpose]***

Scope: ***[Insert Plan scope]***

Management Summary: ***[Insert summary of Plan]***

Dependencies and assumptions: ***[Insert dependencies and assumptions]***

Detailed Plan Content: ***[The detailed content of the Plan will be outlined in consultation with the Customer Authority and aligned to the ITIL guidelines, but shall be subject to the Customer Authority's Approval. Typically, a Plan would be expected to include, as a minimum, a structured approach to rolling out new software or hardware to the live/production environment in order to assist in providing the Customer Authority with quick and accurate release builds.]***

Annex: To be outlined in consultation with the relevant Governance Board, but shall be subject to the Customer Authority's Approval.

## APPENDIX 3

### RE-PROCUREMENT INFORMATION AND EXIT MANAGEMENT INFORMATION

#### 1 INTRODUCTION

- 1.1 This Appendix 3 describes the content of the Exit Management Information (which includes, for the avoidance of doubt, the Re-Procurement Information).

#### 2 ASSETS, SUB-CONTRACTS AND SOFTWARE

- 2.1 The Contractor shall keep accurate records of all information necessary to enable the Customer Authority and any Replacement Contractor(s) or potential Replacement Contractor(s) to understand the Assets used in the delivery of the Services and how the Contractor provides the Services, including the following:

- 2.1.1 the information contained in the Asset Register;
- 2.1.2 details of the key terms of any third party contracts, sub-contracts, licences, and other relevant agreements required for the performance of the Services (including software licences, maintenance and support agreements and equipment rental and lease agreements) particularly as regards charges, termination, assignment and novation;
- 2.1.3 a list of on-going or threatened Disputes and Multi-Party Disputes in relation to the provision of the Services;
- 2.1.4 an inventory of Customer Authority Materials and Customer Authority's Confidential Information in the Contractor's possession or control;
- 2.1.5 records of the technical infrastructure used in providing the Services, such records to be maintained in a configuration management database (the "**Technical Infrastructure Register**"). As applicable, the Technical Infrastructure Register shall be of sufficient detail to permit the Customer Authority or any Replacement Contractor(s) to understand how the Contractor configures and links the technical infrastructure to provide the Services and to enable the smooth transition of the Services with the minimum of disruption. The Technical Infrastructure Register shall contain records of the following information in relation to each Service, to the extent relevant:

Information required in relation to each Service:
Service name / description
PSN Compliant – yes / no, with any additional details as necessary
The Security Classification of the information that the Service is capable of handling (in accordance with its Certification), for example, OFFICIAL, SECRET or TOP SECRET
Service construct (for example, network diagrams, connectivity maps, traffic matrix, access utilisation, domain name and IP Address management information and protocol use such as a border gateway protocol)
Operating Level Agreements and other service operating agreements and interface control document(s)
Service contracts and Sub-contracts, including in respect of any overseas components, including: <ul style="list-style-type: none"> <li>• name and address of the supplier</li> <li>• expiry date</li> <li>• nature of deliverables</li> <li>• agreement reference</li> </ul>

<ul style="list-style-type: none"> <li>actual supplier agreement (release subject to approval of the relevant Sub-contractor or service provider)</li> </ul>
Service Management – details of all network management systems components used in relation to the relevant Service
Service Management Documentation and Customer Authority Service Management Documentation – covering as a minimum: <ul style="list-style-type: none"> <li>security evaluation and Certification status</li> <li>security (for example, RMADS)</li> <li>Service Instance design – reference to applicable SCIDA, records, survey reports, due diligence reports and drawings</li> </ul>
A list of all Service Instances/delivery points, including in relation to each such Service Instance/delivery point details of the: <ul style="list-style-type: none"> <li>Code of Connection</li> <li>characteristics, for example Access Data Rates, interface type and IP Address range;</li> <li>applicable options, including, for example, availability level and quality of service;</li> <li>locations (including in respect of any connection, the location(s) in which each end of such connection is to be found);</li> <li>End User system;</li> <li>Direct Customer(s) or Indirect Customer(s);</li> <li>End User contact;</li> <li>Agreed Service Time;</li> <li>status (for example, on order or in service); and</li> <li>performance record against Service Levels</li> </ul>
Service Management and performance information – through life summary, including details of the Contractor's performance of the Service over the twelve (12) months immediately preceding the date of the record, covering as a minimum: <ul style="list-style-type: none"> <li>applicable Service Levels and Achieved Service Levels;</li> <li>all Incidents (including those still to be Resolved);</li> <li>all Problems (including those still to be Resolved); and</li> <li>all Service Requests.</li> </ul> Such performance information shall be provided by way of a summary, including details of provisioning and MACs.
Customer Authority Dependencies
For each Indirect Customer: <ul style="list-style-type: none"> <li>name and organisation;</li> <li>agreement reference;</li> <li>summary of deliverables; and</li> <li>details of Services being received</li> </ul>
Service developments – details of all planned or ongoing activities to deliver, change or cease a Service

### 3 CONTRACTOR PERSONNEL

**3.1** The Contractor shall keep records of all information necessary to enable the Customer Authority and any Replacement Contractor(s) or potential Replacement Contractor(s) to understand the Contractor Personnel, such records to include the following:

**3.1.1** records of the following information relating to Contractor Personnel:

Attribute
Statement of total number of Contractor Personnel broken down to show total number by status (for example, employee, agent, consultant and contractor) and in each grade (where grade is applicable). Alternatively, the Contractor should provide information on why any of their staff or those of their Sub-contractors or any Affiliates will not transfer
The total number of posts or proportion of posts expressed as a full-time equivalent value that currently undertakes the work that is to transfer

Pay range for each grade (employees) and equivalent information (shown separately) for agents, consultants and contractors
Average salary for Contractor Personnel who are employees in each grade and equivalent information (shown separately) for agents, consultants and contractors
Statement of applicable allowances (including those relating to supervision, shift working and unsocial hours) plus overtime rates for Contractor Personnel who are employees and equivalent information (shown separately) for agents, consultants and contractors
Average amount paid by way of allowances/overtime for Contractor Personnel who are employees in each grade, and equivalent information (shown separately) for agents, consultants and contractors
Total pay costs for the last Financial Year, including pay, employer's National Insurance Contribution (NIC) and overtime for Contractor Personnel who are employees and equivalent information (shown separately) for agents, consultants and contractors
Weekly conditioned hours of work (gross) (including details of flexible working arrangements where applicable) for Contractor Personnel who are employees and equivalent information (shown separately) for agents, consultants and contractors
Age in years (not date of birth)
Employment status (i.e. fixed term, casual, permanent, agency)
Job descriptions relating to the relevant grades
Standard annual holiday entitlement (i.e. not the "in year" holiday entitlement that may contain carry over or deficit from previous leave years) for Contractor Personnel who are employees and applicable arrangements for agents, consultants and contractors
Current terms and conditions of employment and details of any benefits (including retirement benefits) and any letters or documents or collective agreements affecting terms and conditions of employment for Contractor Personnel who are employees, and terms of engagement for agents, consultants and contractors
Total redundancy liability costs of all employees identified above (statutory or enhanced company scheme and cost)

- 3.1.2 records of the following information in respect of each Contractor Person who is an employee and equivalent information for agents, consultants and contractors:

Attribute
Annual salary/fees and rates of pay band/grade
Allowances received (including any regular/recurring allowances)
Shifts, unsocial hours or other premium rates of pay received
Details of attendance patterns that attract enhanced rates of pay or allowances
Weekly conditioned hours of work
Overtime history for preceding twelve (12) month period
Details of any regular overtime commitments (these may be weekly, monthly or annual commitments for which staff may receive an overtime payment)
Any other allowances or bonuses received in the preceding twelve (12) month period
Length of current period of continuous employment/engagement (in years, months)
Details of current employer-provided pension scheme membership, including the name of the scheme (identifying whether it is a defined benefit, defined contribution or stakeholder arrangement), employee contribution rate (to ensure that the requirements of the Pensions Act 2004 can be met) and whether the employee is a former civil servant participating in a pension scheme that has been the subject of certification for "broad comparability" by the Government Actuary's Department
Pension and redundancy liability information
Outstanding financial liabilities or debts arising from employment (i.e. season ticket loans, transfer grants)
Location
Any additional information about factors that may influence staffing levels and costs

- 3.1.3 records of the following information (the "TUPE Specific Information") in respect of each Contractor Person who is an employee:

Attribute
Name (surname, forename, title and initials)
Date of birth
Home address
Security Confirmation details
Job title
Work location
National Insurance Contribution (NIC) number
National Insurance Contribution (NIC) rate
Annual salary and rates of pay band/grade
For pension purposes the notional reckonable service date
Annual leave reckonable service date
Pensionable pay history for three (3) years to date of transfer
Percentage of any pay currently contributed under additional voluntary contribution arrangements
Percentage of pay currently contributed under any added years arrangement
Any other voluntary deductions from pay
Annual holiday entitlement and accrued holiday entitlement and current year leave record
Details of any active disciplinary/inefficiency or grievance proceedings. Details of any active disciplinary cases where corrective action is ongoing
Current terms and conditions of employment and benefits including retirement benefits and any letters or documents or collective agreements affecting terms and conditions of employment
Details of training and operating licensing required for statutory and health and safety reasons
Whether registered disabled
Any performance assessment details
Maternity leave or other long-term leave of absence
Details of outstanding loan, advances on salary or debts
Other payments or deductions being made for statutory reasons
Civil Service pension scheme membership (opt-out of Civil Service pension scheme, classic, classic plus, premium, defined contribution)
Details of any active restoring efficiency case for health purposes
Details of any active restoring efficiency case for reasons of performance
Existing training or sponsorship commitments
Sickness and absence records for the immediately preceding four (4) year period
Information of any active legal proceedings between such employee and the Contractor or the Customer Authority, as relevant
Issue of uniform/protective clothing
Working Time Directive opt-out forms
Emergency contact details
Five (5) months pay slip data
Tax code
Bank/building society account details for payroll purposes
Cumulative pay for tax and pensions purposes
Cumulative tax paid



## APPENDIX 4

### ASSET REGISTER

- 1.1** The Contractor shall keep accurate records of the following information in relation to each Asset (the “**Asset Register**”):

<b>Information required in relation to each Asset</b>
Asset type – manufacturer, product name
Asset identification – model, serial/part number, asset tag and version
Details of any software – software name, licence(s), version, expiry dates and whether it is transferable
Asset protective marking
Asset lifecycle – procurement date, installation date, deployment length, capitalisation date, disposal date
Asset support details – for example, whether the Asset is covered by any warranties, or whether there are any support contracts in place
Asset maintenance details – Customer Authority Sites at which such Assets are situated/maintained, details of any upgrades which have been made to the Asset
Asset value – the estimated economic life and estimated economic value of Exclusive Assets at end of the Term, such values to be quoted in months for the estimated economic life and pounds sterling for the estimated economic value
Asset status – whether it is a Pass Through Asset, Legacy Equipment, Non-Exclusive Asset or another category of Asset
Asset ownership – organisation with title, asset reference number
Asset use – functional role, including details of which Service(s) the Asset is used in relation to and what proportion of the Asset’s use is devoted to such Service
Asset location – country, Site, building/network equipment room
Asset operational status – whether the Asset is in service, spare - hot/cold spare, spare - stored, in repair, awaiting disposal, disposed, misappropriated or replaced under warranty
Asset configuration data – including details of script files, manual command settings and hardware settings
Asset cost details – cost, installation cost, total cost, disposal proceeds, receipt date, disposal date, Goods Received Note number, Goods Received Note date and Monthly Billing Summary date
Asset class and sub-class
Asset security evaluation and Certification status