

Schedule 4

Standards

1 Definitions

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.

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/servicemanual/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/openstandards-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

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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.

- 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 (TOGAF) 9.2 or its equivalent, then this shall be deemed acceptable.
- 5.2 The Supplier shall use the following notations within its Design Documentation:
- (a) notations consisting of logical functions and the interface points between those functions. Logical functions represent operations on information elements and associated state changes. Interface points carry information between the logical functions to affect the required system capabilities and features;
 - (b) BPMN 2.0 (Business Process Model and Notation) standard (to be applied for modelling business processes);
 - (c) UML 2.5 (Unified Modeling Language) standard (to be applied for modelling use cases and design models);
 - (d) the other standards and documents referenced in this Schedule 4; and
 - (e) others by agreement with the Authority.

6 Accessible Digital Standards

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

- 6.2 The Supplier shall work with the Authority to agree any WCAG 2.2 conformance level AAA requirements that are essential in the context of ESN and implement them prior to the first Operational Service Commencement Date or earlier as agreed with the Authority.

7 Telecommunication Standards

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8 Installation Standards

- 8.1 For all aspects of the Supplier Solution, the Supplier shall reference relevant industry and HM Government standards and best practice guidelines in regards to the installation of equipment and services.

9 Electrical Safety Standards

- 9.1 The Supplier shall ensure that all electrical standards and approved codes of practice are adopted. It is the responsibility of the Supplier to select and apply all applicable Standards based on the Supplier Equipment and Services being provided including without limitation the electrical standards referenced at www.hse.gov.uk/electricity/standards.htm.

- 9.2 For all aspects of the Services, the Supplier shall comply with relevant industry and HM Government standards and best practice guidelines in regards to electrical safety.
- 9.3 The Supplier shall perform electrical safety checks in relation to all equipment and Goods used or supplied in the performance of the Service under this Contract in accordance with applicable health and safety regulations and Good Industry Practice.

10 Environmental Standards for Equipment

- 10.1 The Supplier shall ensure compliance of all equipment to all relevant industry and HM Government standards and Good Industry Practice as regards to environmental regulations and standards.
- 10.2 The Supplier shall comply with The Batteries and Accumulators and Waste Batteries and Accumulators Regulations (SI 2009 No. 890) (SI 1994 No. 232) or any subsequent amendments or replacements.
- 10.3 The Supplier shall comply with the Eco-design for Energy-related Products Regulations 2010 (SI 2010 No. 2617) or any subsequent replacement, to improve the environmental performance of products throughout the Term.
- 10.4 The Supplier shall ensure compliance to The Restriction of the Use of Certain Hazardous Substances in Electrical and Electronic Equipment Regulations UK (SI 2012 No.3032) or any subsequent amendments and replacements.

11 Service Management Software & Standards

- 11.1 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 2019 or later versions;
 - (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/IEC 25010:2011 "Systems and software Quality Requirements and Evaluation (SQuaRE) -- System and software quality models";
 - (f) 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; and

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- (g) ISO/IEC 24762:2008 in the provision of “IT Service Continuity Strategy” or “Disaster Recovery” plans.

11.2 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.

12 Sustainability

12.1 The Supplier shall comply with the sustainability requirements set out in Annex 1 (Sustainability) to this Schedule.

13 Hardware Safety Standards

13.1 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 623681:2020+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.

13.2 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.

14 Project And Programme Management

14.1 Subject to Paragraphs 2 to 4 (inclusive), the Supplier shall implement HM Government standards and best practice guidelines in the management of projects and programmes, specifically:

- (j) PRINCE2™, any subsequent replacements and/or equivalents as agreed by the Authority such as AGILE to support the delivery of projects;

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- (k) Managing Successful Programmes (MSP®) framework guidelines, or any subsequent replacements, shall be used to support the delivery of programmes; and
 - (l) the Supplier shall be accredited to ISO 9001:2008 Quality Management standard, or equivalent.
- 14.2 The Authority acknowledges the benefits of collaborative working. The Supplier shall be cognisant and have expertise in the principles of collaborative business relationships standard BS 11000 (or equivalent) in the supply of the Services.
- 14.3 The Authority recognises the benefits of BS 11000 and managing relationships through a relationship management plan of which the Supplier will need to demonstrate knowledge of the same standards throughout the Term.
- 15 Financial Reporting**
- 15.1 The Supplier shall, and procure that all its Sub-contractors shall, ensure adherence to all International Financial Reporting Standards (IFRS).

ANNEX 1: SUSTAINABILITY

1 DEFINITIONS

1.1 In this Annex 1 (Sustainability), the following definitions shall apply:

“Permitted Item”	means those items which are permissible under this Contract to the extent set out in Table B of this Annex 1 (Sustainability)
“Prohibited Items”	means those items which are not permissible under this Contract as set out at Table A of this Annex 1 (Sustainability)
“Sustainability Reports”	written reports to be completed by the Supplier containing the information outlined in Table C of this Annex 1 (Sustainability)
“Waste Hierarchy”	means prioritisation of waste management in the following order of preference as set out in the Waste (England and Wales) Regulation 2011: (a) Prevention; (a) Preparing for re-use; (b) Recycling; (c) Other Recovery; and (d) Disposal.

2 EQUALITY AND ACCESSIBILITY

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 and those who do not share it.

2.2 The Supplier shall ensure that Users of the Service do not face discrimination, harassment or victimisation and any other conduct prohibited by the Equality Act 2010

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when using the Service and that the Service is made available to the end-users in a manner that advances:

2.2.1 equality of opportunity; and

2.2.2 good relations,

between those with a protected characteristic of the Equality Act 2010 and those who do not share it.

2.3 The Supplier shall ensure that the Service is accessible to Users to the level mandated by applicable accessibility legislation and regulations including but not limited to The Public Sector Bodies Accessibility Regulations 2018.

2.4 In delivering the Service, the Supplier will comply with the Authority's equality, diversity and inclusion requirements, which will be notified to the Supplier by the Authority.

2.5 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.

2.6 Any reference to legislation or regulation herein shall be deemed to be a reference to the comparable legislation or regulation currently in force.

3 ENVIRONMENTAL REQUIREMENTS

3.1 The Supplier must perform its obligations meeting in all material respects the requirements of all applicable Laws and the 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 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

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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 Sub-contractor 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.

- 3.4 In performing its obligations under the Contract, the Supplier shall to the reasonable satisfaction of the Authority (where the anticipated Charges in any Contract Year are above £5 million per annum (excluding VAT)), where related to and proportionate to the contract in accordance with PPN 06/21), publish and maintain a credible Carbon Reduction Plan in accordance with PPN 06/21.
- 3.5 The Supplier shall not provide to the Authority Goods or Deliverables which comprise wholly or partly of Prohibited Items unless such item is a Permitted Item.
- 3.6 The Supplier shall not use anything which comprises wholly or partly of the Prohibited Items to provide the Services under this Contract unless:
 - (a) it is a Permitted Item; or
 - (b) the use is primarily related to the management of the Supplier's own facilities or internal operations as opposed to the provision of Services.
- 3.7 The Supplier must have a documented management system and controls in place to manage the environmental impacts of delivering the Services.
- 3.8 The Supplier shall ensure that any Services are designed, sourced and delivered in a manner which is environmentally and socially responsible.
- 3.9 In performing its obligations under the Contract, the Supplier shall to the reasonable satisfaction of the Authority:
 - 3.9.1 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; and
 - 3.9.2 achieve continuous improvement in environmental (and social) performance.
- 3.10 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/1163536/Supplier_Code_of_Conduct_v3.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:
- 5.1.1 with Paragraphs 2.1, 3.1 to 3.6, 3.10 and 4 of this Annex 1 (Sustainability) within fourteen (14) days of such request; and
 - 5.1.2 With Paragraphs 2.2, 2.5 and 3.7 to 3.8 of this Annex 1 (Sustainability) within thirty (30) days of such request.
- 5.2 The Supplier shall complete the Sustainability Report in relation its provision of the Services under this Contract and provide the Sustainability Report to the Authority on the date and frequency outlined in Table C of this Annex 1 (Sustainability).

TABLE A PROHIBITED ITEMS

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The following consumer single use plastics are Prohibited Items:	Catering <ul style="list-style-type: none"> a. Single use sachets e.g. coffee pods, sauce sachets, milk sachets b. Take away cutlery c. Take away boxes and plates d. Cups made wholly or partially of plastic e. Straws f. Stirrers g. Water bottles
	Facilities <ul style="list-style-type: none"> a. Single use containers e.g. hand soap, cleaning products b. Wipes containing plastic
	Office Supplies <ul style="list-style-type: none"> a. Plastic envelopes b. Plastic wrapping for brochures c. Paper or card which is bleached with chlorine
	Packaging <ul style="list-style-type: none"> a. Single use plastic packaging from deliveries where avoidable e.g. shrink wrapped packaging from office supplier or facilities products. b. Single use carrier bags
Authority specific Prohibitions	<i>[Conflict minerals as defined by the https://www.gov.uk/guidance/conflict-minerals, E.g. non-recyclable plastic pens]</i>
Project specific Prohibitions	N/A

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TABLE B PERMITTED ITEMS

Authority Permitted Items	<i>N/A</i>
Project Specific Permitted Items	<i>N/A</i>

TABLE C SUSTAINABILITY REPORTS

Sustainability Report Name	Content of Report	Frequency of Report
Sustainability - General	Not required.	
Greenhouse Gas Emissions	Not required.	