

Call-Off Schedule 1 (Transparency Reports)

Call-Off Ref: C306110 Appointments and Patient Choice

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Call-Off Schedule 1 (Transparency Reports)

- 1.1 The Supplier recognises that the Buyer is subject to PPN 01/17 (Updates to transparency principles v1.1 (<https://www.gov.uk/government/publications/procurement-policy-note-0117-update-to-transparency-principles>)). The Supplier shall comply with the provisions of this Schedule in order to assist the Buyer with its compliance with its obligations under that PPN.
- 1.2 Without prejudice to the Supplier's reporting requirements set out in the Framework Contract, within three (3) Months of the Start Date the Supplier shall submit to the Buyer for Approval (such Approval not to be unreasonably withheld or delayed) draft Transparency Reports consistent with the content requirements and format set out in the Annex of this Schedule.
- 1.3 If the Buyer rejects any proposed Transparency Report submitted by the Supplier, the Supplier shall submit a revised version of the relevant report for further Approval 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 Buyer. If the Parties fail to agree on a draft Transparency Report the Buyer shall determine what should be included. Any other disagreement in connection with Transparency Reports shall be treated as a Dispute.
- 1.4 The Supplier shall provide accurate and up-to-date versions of each Transparency Report to the Buyer at the frequency referred to in the Annex of this Schedule.

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Annex A: List of Transparency Reports

Title	Content	Format	Frequency
Performance metrics	Summary of Service Level for each month during the preceding Quarter, including: Service Level Performance Measure; Service Level Threshold Whether any Service Credits were owed	MS Word or Excel	Quarterly, when requested by the Buyer
Call-Off Contract Charges	Summary Charges under the Call-Off Contract for the preceding quarter	MS Word or Excel	Quarterly, when requested by the Buyer
Key Subcontractors and supply chain governance	Key Sub-Contractors utilised in the contract, including proportion of Call Off Contract Charges spent with sub-contractors	MS Word or Excel	Quarterly, when requested by the Buyer
Technical	Not Used		
Performance and underperformance management	Breakdown of resources used in delivery of the Services over previous quarter, including: Roles Grade Days utilised	MS Word or Excel	Quarterly, when requested by the Buyer
Resource plans	Not Used		

Call-Off Schedule 2 (Staff Transfer)

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Call-Off Schedule 2 (Staff Transfer)

1. Definitions

1.1 In this Schedule, the following words have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

"Employee Liability"

all claims, actions, proceedings, orders, demands, complaints, investigations (save for any claims for personal injury which are covered by insurance) and any award, compensation, damages, tribunal awards, fine, loss, order, penalty, disbursement, payment made by way of settlement and costs, expenses and legal costs reasonably incurred in connection with a claim or investigation including in relation to the following:

- a) redundancy payments including contractual or enhanced redundancy costs, termination costs and notice payments;
- b) unfair, wrongful or constructive dismissal compensation;
- c) compensation for discrimination on grounds of sex, race, disability, age, religion or belief, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation or claims for equal pay;
- d) compensation for less favourable treatment of part-time workers or fixed term employees;
- e) outstanding debts and unlawful deduction of wages including any PAYE and National Insurance Contributions in relation to payments made by the Buyer or the Replacement Supplier to a Transferring Supplier Employee which would have been payable by the Supplier or the Subcontractor if such payment should have been made prior to the Service Transfer Date and also including any payments arising in respect of pensions;
- f) claims whether in tort, contract or statute or otherwise;

any investigation by the Equality and Human Rights Commission or other enforcement, regulatory or supervisory body and of implementing any requirements which may arise from such investigation;

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"Former Supplier"	a supplier supplying the Deliverables to the Buyer before the Relevant Transfer Date that are the same as or substantially similar to the Deliverables (or any part of the Deliverables) and shall include any Subcontractor of such supplier (or any Subcontractor of any such Subcontractor);
"Partial Termination"	the partial termination of the relevant Contract to the extent that it relates to the provision of any part of the Services as further provided for in Clause 10.4 (When CCS or the Buyer can end this contract) or 10.6 (When the Supplier can end the contract);
"Relevant Transfer"	a transfer of employment to which the Employment Regulations applies;
"Relevant Transfer Date"	in relation to a Relevant Transfer, the date upon which the Relevant Transfer takes place, and for the purposes of Part D: Pensions, shall include the Commencement Date, where appropriate;
"Supplier's Final Supplier Personnel List"	a list provided by the Supplier of all Supplier Personnel whose will transfer under the Employment Regulations on the Service Transfer Date;
"Supplier's Provisional Supplier Personnel List"	a list prepared and updated by the Supplier of all Supplier Personnel who are at the date of the list wholly or mainly engaged in or assigned to the provision of the Services or any relevant part of the Services which it is envisaged as at the date of such list will no longer be provided by the Supplier;

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**"Staffing
Information"**

in relation to all persons identified on the Supplier's Provisional Supplier Personnel List or Supplier's Final Supplier Personnel List, as the case may be, such information as the Buyer may reasonably request (subject to all applicable provisions of the Data Protection Laws), but including in an anonymised format:

- (a) their ages, dates of commencement of employment or engagement, gender and place of work;
- (b) details of whether they are employed, self-employed contractors or consultants, agency workers or otherwise;
- (c) the identity of the employer or relevant contracting Party;
- (d) their relevant contractual notice periods and any other terms relating to termination of employment, including redundancy procedures, and redundancy payments;
- (e) their wages, salaries, bonuses and profit sharing arrangements as applicable;
- (f) details of other employment-related benefits, including (without limitation) medical insurance, life assurance, pension or other retirement benefit schemes, share option schemes and company car schedules applicable to them;
- (g) any outstanding or potential contractual, statutory or other liabilities in respect of such individuals (including in respect of personal injury claims);
- (h) details of any such individuals on long term sickness absence, parental leave, maternity leave or other authorised long term absence;
- (i) copies of all relevant documents and materials relating to such information, including copies of relevant contracts of employment (or relevant standard contracts if applied generally in respect of such employees); and
- (j) any other "employee liability information" as such term is defined in regulation 11 of the Employment Regulations;

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"Term"	the period commencing on the Start Date and ending on the expiry of the Initial Period or any Extension Period or on earlier termination of the relevant Contract;
"Transferring Buyer Employees"	those employees of the Buyer to whom the Employment Regulations will apply on the Relevant Transfer Date and whose names are provided to the Supplier on or prior to the Relevant Transfer Date;
"Transferring Former Supplier Employees"	in relation to a Former Supplier, those employees of the Former Supplier to whom the Employment Regulations will apply on the Relevant Transfer Date and whose names are provided to the Supplier on or prior to the Relevant Transfer Date.

2. INTERPRETATION

Where a provision in this Schedule imposes any obligation on the Supplier including (without limit) to comply with a requirement or provide an indemnity, undertaking or warranty, the Supplier shall procure that each of its Subcontractors shall comply with such obligation and provide such indemnity, undertaking or warranty to CCS, the Buyer, Former Supplier, Replacement Supplier or Replacement Subcontractor, as the case may be and where the Subcontractor fails to satisfy any claims under such indemnities the Supplier will be liable for satisfying any such claim as if it had provided the indemnity itself.

3. Which parts of this Schedule apply

Only the:

- 3.1 parts of this Schedule identified in the Order Form shall apply to this Call-Off Contract.

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Part A: Staff Transfer at the Start Date

Outsourcing from the Buyer

1. What is a relevant transfer

- 1.1 The Buyer and the Supplier agree that:
 - 1.1.1 the commencement of the provision of the Services or of each relevant part of the Services will be a Relevant Transfer in relation to the Transferring Buyer Employees; and
 - 1.1.2 as a result of the operation of the Employment Regulations, the contracts of employment between the Buyer and the Transferring Buyer Employees (except in relation to any terms disapplied through operation of regulation 10(2) of the Employment Regulations) will have effect on and from the Relevant Transfer Date as if originally made between the Supplier and/or any Subcontractor and each such Transferring Buyer Employee.
 - 1.1.3 The Buyer shall comply with all its obligations under the Employment Regulations and shall perform and discharge all its obligations in respect of the Transferring Buyer Employees in respect of the period arising up to (but not including) the Relevant Transfer Date including (without limit) the payment of all remuneration, benefits, entitlements, PAYE, national insurance contributions and pension contributions.

2. Indemnities the Buyer must give

- 2.1 Subject to Paragraph 2.2, the Buyer shall indemnify the Supplier and any Sub-contractor against any Employee Liabilities arising from or as a result of any act or omission by the indemnifying party in respect of any Transferring Buyer Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Buyer Employee occurring before the Relevant Transfer Date.
- 2.2 The indemnities in Paragraph 2.1 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Supplier or any Subcontractor whether occurring or having its origin before, on or after the Relevant Transfer Date.
- 2.3 Subject to Paragraphs 2.4 and 2.5, if any employee of the Buyer who is not identified as a Transferring Buyer Employee claims, or it is determined in relation to any employees of the Buyer, that his/her contract of employment

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has been transferred from the Buyer to the Supplier and/or any Subcontractor pursuant to the Employment Regulations then -

- 2.3.1 the Supplier will, within 5 Working Days of becoming aware of that fact, notify the Buyer in writing;
- 2.3.2 the Buyer may offer employment to such person, or take such other steps as it considers appropriate to resolve the matter, within 10 Working Days of receipt of notice from the Supplier;
- 2.3.3 if such offer of employment is accepted, the Supplier shall immediately release the person from its employment;
- 2.3.4 if after the period referred to in Paragraph 2.3.2 no such offer has been made, or such offer has been made but not accepted, the Supplier may within 5 Working Days give notice to terminate the employment of such person;

and subject to the Supplier's compliance with Paragraphs 2.3.1 to 2.3.4 the Buyer will indemnify the Supplier and/or the relevant Subcontractor against all Employee Liabilities arising out of the termination of the employment of any of the Buyer's employees referred to in this Paragraph 2.3.

2.4 The indemnity in Paragraph 2.3 shall not apply to any claim:

- 2.4.1 for discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief or equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees in relation to any alleged act or omission of the Supplier and/or any Subcontractor; or
- 2.4.2 any claim that the termination of employment was unfair because the Supplier and/or any Subcontractor neglected to follow a fair dismissal procedure.

2.5 The indemnity in Paragraph 2.3 shall not apply to any termination of employment occurring later than 3 Months from the Relevant Transfer Date.

2.6 If the Supplier and/or any Subcontractor at any point accept the employment of any person as is described in Paragraph 2.3, such person shall be treated as having transferred to the Supplier and/or any Subcontractor and the Supplier shall comply with such obligations as may be imposed upon it under applicable Law.

3. Indemnities the Supplier must give and its obligations

3.1 Subject to Paragraph 3.2, the Supplier shall indemnify the Buyer against any Employee Liabilities arising from or as a result of any act or omission by the Supplier or any Subcontractor in respect of any Transferring Buyer Employee or any appropriate employee representative (as defined in the

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Employment Regulations) of any Transferring Buyer Employee whether occurring before, on or after the Relevant Transfer Date.

- 3.2 The indemnities in Paragraph 3.1 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Buyer whether occurring or having its origin before, on or after the Relevant Transfer Date including, without limitation, any Employee Liabilities arising from the Buyer's failure to comply with its obligations under the Employment Regulations.
- 3.3 The Supplier shall comply with all its obligations under the Employment Regulations and shall perform and discharge all its obligations in respect of the Transferring Buyer Employees, from (and including) the Relevant Transfer Date including (without limit) the payment of all remuneration, benefits, entitlements, PAYE, national insurance contributions and pension contributions and any other sums due under Part D: Pensions.

4. Information the Supplier must provide

The Supplier shall promptly provide to the Buyer in writing such information as is necessary to enable the Buyer to carry out its duties under regulation 13 of the Employment Regulations. The Buyer shall promptly provide to the Supplier in writing such information as is necessary to enable the Supplier and any Subcontractor to carry out their respective duties under regulation 13 of the Employment Regulations.

5. Cabinet Office requirements

- 5.1 The Parties agree that the Principles of Good Employment Practice issued by the Cabinet Office in December 2010 apply to the treatment by the Supplier of employees whose employment begins after the Relevant Transfer Date, and the Supplier undertakes to treat such employees in accordance with the provisions of the Principles of Good Employment Practice.
- 5.2 The Supplier shall comply with any requirement notified to it by the Buyer relating to pensions in respect of any Transferring Buyer Employee as set down in (i) the Cabinet Office Statement of Practice on Staff Transfers in the Public Sector of January 2000, revised 2007; (ii) HM Treasury's guidance "Staff Transfers from Central Government: A Fair Deal for Staff Pensions of 1999; (iii) HM Treasury's guidance "Fair deal for staff pensions: procurement of Bulk Transfer Agreements and Related Issues" of June 2004; and/or (iv) the New Fair Deal.
- 5.3 Any changes embodied in any statement of practice, paper or other guidance that replaces any of the documentation referred to in Paragraphs 5.1 or 5.2 shall be agreed in accordance with the Variation Procedure.

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6. Pensions

6.1 The Supplier shall comply with:

- 6.1.1 all statutory pension obligations in respect of all Transferring Buyer Employees; and
- 6.1.2 the provisions in Part D: Pensions.

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Part B: Staff transfer at the Start Date

Transfer from a former Supplier on Re-procurement

1. What is a relevant transfer

- 1.1 The Buyer and the Supplier agree that:
 - 1.1.1 the commencement of the provision of the Services or of any relevant part of the Services will be a Relevant Transfer in relation to the Transferring Former Supplier Employees; and
 - 1.1.2 as a result of the operation of the Employment Regulations, the contracts of employment between each Former Supplier and the Transferring Former Supplier Employees (except in relation to any terms disapplied through the operation of regulation 10(2) of the Employment Regulations) shall have effect on and from the Relevant Transfer Date as if originally made between the Supplier and/or any Subcontractor and each such Transferring Former Supplier Employee.
- 1.2 The Buyer shall procure that each Former Supplier shall comply with all its obligations under the Employment Regulations and shall perform and discharge all its obligations in respect of all the Transferring Former Supplier Employees in respect of the period up to (but not including) the Relevant Transfer Date including (without limit) the payment of all remuneration, benefits, entitlements, PAYE, national insurance contributions and pension contributions.

2. Indemnities given by the Former Supplier

- 2.1 Subject to Paragraph 2.2, the Buyer shall procure that each Former Supplier shall indemnify the Supplier and any Subcontractor against any Employee Liabilities arising from or as a result of any act or omission by the Former Supplier in respect of any Transferring Former Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Former Supplier Employee arising before the Relevant Transfer Date;
- 2.2 The indemnities in Paragraph 2.1 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Supplier or any Subcontractor whether occurring or having its origin before, on or after the Relevant Transfer Date.
- 2.3 Subject to Paragraphs 2.4 and 2.5, if any employee of a Former Supplier who is not identified as a Transferring Former Supplier Employee and claims, and/or it is determined, in relation to such person that his/her contract of employment has been transferred from a Former Supplier to the

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Supplier and/or any Notified Subcontractor pursuant to the Employment Regulations then:

- 2.3.1 the Supplier will within 5 Working Days of becoming aware of that fact notify the Buyer and the relevant Former Supplier in writing;
- 2.3.2 the Former Supplier may offer employment to such person, or take such other steps as it considers appropriate to resolve the matter, within 10 Working Days of receipt of notice from the Supplier;
- 2.3.3 if such offer of employment is accepted, the Supplier shall immediately release the person from its employment;
- 2.3.4 if after the period referred to in Paragraph 2.3.2 no such offer has been made, or such offer has been made but not accepted, the Supplier may within 5 Working Days give notice to terminate the employment of such person;

and subject to the Supplier's compliance with Paragraphs 2.3.1 to 2.3.4 the Buyer shall procure that the Former Supplier will indemnify the Supplier and/or the relevant Subcontractor against all Employee Liabilities arising out of the termination of the employment of any of the Former Supplier's employees referred to in paragraph 2.3.

2.4 The indemnity in Paragraph 2.3 shall not apply to any claim:

- 2.4.1 for discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief or equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees, arising as a result of any alleged act or omission of the Supplier and/or any Subcontractor; or
- 2.4.2 that the termination of employment was unfair because the Supplier and/or Subcontractor neglected to follow a fair dismissal procedure.

2.5 The indemnity in Paragraph 2.3 shall not apply to any termination of employment occurring later than 3 Months from the Relevant Transfer Date.

2.6 If the Supplier and/or any Subcontractor at any point accept the employment of any person as is described in Paragraph 2.3, such person shall be treated as having transferred to the Supplier and/or any Subcontractor and the Supplier shall comply with such obligations as may be imposed upon it under applicable Law.

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3. Indemnities the Supplier must give and its obligations

- 3.1 Subject to Paragraph 3.1, the Supplier shall indemnify the Buyer, and the Former Supplier against any Employee Liabilities arising from or as a result of any act or omission by the Supplier or any Subcontractor in respect of any Transferring Former Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Former Supplier Employee whether occurring before, on or after the Relevant Transfer Date.
- 3.2 The indemnities in Paragraph 3.1 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Former Supplier whether occurring or having its origin before, on or after the Relevant Transfer Date including, without limitation, any Employee Liabilities arising from the Former Supplier's failure to comply with its obligations under the Employment Regulations.
- 3.3 The Supplier shall comply with all its obligations under the Employment Regulations and shall perform and discharge all its obligations in respect of all the Transferring Former Supplier Employees, on and from the Relevant Transfer Date including (without limit) the payment of all remuneration, benefits, entitlements, PAYE, national insurance contributions and pension contributions and all such sums due under Part D: Pensions.

4. Information the Supplier must give

The Supplier shall promptly provide to the Buyer and/or at the Buyer's direction, the Former Supplier, in writing such information as is necessary to enable the Buyer and/or the Former Supplier to carry out their respective duties under regulation 13 of the Employment Regulations. The Buyer shall procure that the Former Supplier shall promptly provide to the Supplier in writing such information as is necessary to enable the Supplier and any Subcontractor to carry out their respective duties under regulation 13 of the Employment Regulations.

5. Cabinet Office requirements

- 5.1 The Supplier shall comply with any requirement notified to it by the Buyer relating to pensions in respect of any Transferring Former Supplier Employee as set down in (i) the Cabinet Office Statement of Practice on Staff Transfers in the Public Sector of January 2000, revised 2007; (ii) HM Treasury's guidance "Staff Transfers from Central Government: A Fair Deal for Staff Pensions of 1999; (iii) HM Treasury's guidance: "Fair deal for staff pensions: procurement of Bulk Transfer Agreements and Related Issues" of June 2004; and/or (iv) the New Fair Deal.
- 5.2 Any changes embodied in any statement of practice, paper or other guidance that replaces any of the documentation referred to in Paragraph 5.1 shall be agreed in accordance with the Change Control Procedure.

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6. Limits on the Former Supplier's obligations

Notwithstanding any other provisions of this Part B, where in this Part B the Buyer accepts an obligation to procure that a Former Supplier does or does not do something, such obligation shall be limited so that it extends only to the extent that the Buyer's contract with the Former Supplier contains a contractual right in that regard which the Buyer may enforce, or otherwise so that it requires only that the Buyer's must use reasonable endeavours to procure that the Former Supplier does or does not act accordingly.

7. Pensions

7.1 The Supplier shall comply with:

- 7.1.1 all statutory pension obligations in respect of all Transferring Former Supplier Employees; and
- 7.1.2 the provisions in Part D: Pensions.

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Part C: No Staff Transfer on the Start Date

1. What happens if there is a staff transfer

- 1.1 The Buyer and the Supplier agree that the commencement of the provision of the Services or of any part of the Services will not be a Relevant Transfer in relation to any employees of the Buyer and/or any Former Supplier.
- 1.2 Subject to Paragraphs 1.3, 1.4 and 1.5, if any employee of the Buyer and/or a Former Supplier claims, or it is determined in relation to any employee of the Buyer and/or a Former Supplier, that his/her contract of employment has been transferred from the Buyer and/or the Former Supplier to the Supplier and/or any Subcontractor pursuant to the Employment Regulations then:
 - 1.2.1 the Supplier will, within 5 Working Days of becoming aware of that fact, notify the Buyer in writing;
 - 1.2.2 the Buyer may offer employment to such person, or take such other steps as it considered appropriate to resolve the matter, within 10 Working Days of receipt of notice from the Supplier;
 - 1.2.3 if such offer of employment is accepted, the Supplier shall immediately release the person from its employment;
 - 1.2.4 if after the period referred to in paragraph 1.2.2 no such offer has been made, or such offer has been made but not accepted, the Supplier may within 5 Working Days give notice to terminate the employment of such person;

and subject to the Supplier's compliance with Paragraphs 1.2.1 to 1.2.4:

- (a) the Buyer will indemnify the Supplier and/or the relevant Subcontractor against all Employee Liabilities arising out of the termination of the employment of any of the Buyer's employees referred to in Paragraph 1.2; and
 - (b) the Buyer will procure that the Former Supplier indemnifies the Supplier and/or any Subcontractor against all Employee Liabilities arising out of termination of the employment of the employees of the Former Supplier referred to in Paragraph 1.2.
- 1.3 The indemnities in Paragraph 1.2 shall not apply to any claim:
 - 1.3.1 for discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief or equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees in relation to any alleged act or omission of the Supplier and/or Subcontractor; or

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- 1.3.2 any claim that the termination of employment was unfair because the Supplier and/or any Subcontractor neglected to follow a fair dismissal procedure
- 1.4 The indemnities in Paragraph 1.2 shall not apply to any termination of employment occurring later than 3 Months from the Commencement Date.
- 1.5 If the Supplier and/or the Subcontractor does not comply with Paragraph 1.2, all Employee Liabilities in relation to such employees shall remain with the Supplier and/or the Subcontractor and the Supplier shall (i) comply with the provisions of Part D: Pensions of this Schedule, and (ii) indemnify the Buyer and any Former Supplier against any Employee Liabilities that either of them may incur in respect of any such employees of the Supplier and/or employees of the Subcontractor.

2. Limits on the Former Supplier's obligations

Where in this Part C the Buyer accepts an obligation to procure that a Former Supplier does or does not do something, such obligation shall be limited so that it extends only to the extent that the Buyer's contract with the Former Supplier contains a contractual right in that regard which the Buyer may enforce, or otherwise so that it requires only that the Buyer must use reasonable endeavours to procure that the Former Supplier does or does not act accordingly.

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Part D: Pensions**1. Definitions**

In this Part D, the following words have the following meanings and they shall supplement Joint Schedule 1 (Definitions), and shall be deemed to include the definitions set out in the Annexes:

"Actuary"	a Fellow of the Institute and Faculty of Actuaries;
"Admission Agreement"	means either or both of the CSPA Admission Agreement (as defined in Annex D1: CSPA) or the LGPS Admission Agreement) as defined in Annex D3: LGPS), as the context requires;
"Broadly Comparable"	<p>(a) in respect of a pension scheme, a status satisfying the condition that there are no identifiable employees who will suffer material detriment overall in terms of future accrual of pension benefits as assessed in accordance with Annex A of New Fair Deal and demonstrated by the issue by the Government Actuary's Department of a broad comparability certificate; and</p> <p>(b) in respect of benefits provided for or in respect of a member under a pension scheme, benefits that are consistent with that pension scheme's certificate of broad comparability issued by the Government Actuary's Department,</p> <p>and "Broad Comparability" shall be construed accordingly;</p>
"CSPA"	the schemes as defined in Annex D1 to this Part D;

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"Fair Deal Employees"	<p>those:</p> <ul style="list-style-type: none"> (a) Transferring Buyer Employees; and/or (b) Transferring Former Supplier Employees; and/or (c) employees who are not Transferring Buyer Employees or Transferring Former Supplier Employees but to whom the Employment Regulations apply on the Relevant Transfer Date to transfer their employment to the Supplier or a Subcontractor, and whose employment is not terminated in accordance with the provisions of Paragraphs 2.3.4 of Parts A or B or Paragraph 1.2.4 of Part C; (d) where the Former Supplier becomes the Supplier those employees; <p>who at the Commencement Date or Relevant Transfer Date (as appropriate) are or become entitled to New Fair Deal protection in respect of any of the Statutory Schemes as notified by the Buyer;</p>
"Fair Deal Schemes"	<p>means the relevant Statutory Scheme or a Broadly Comparable pension scheme;</p>
"Fund Actuary"	<p>means Fund Actuary as defined in Annex D3 to this Part D;</p>
"LGPS"	<p>the schemes as defined in Annex D3 to this Part D;</p>
"NHSPS"	<p>the schemes as defined in Annex D2 to this Part D;</p>
"New Fair Deal"	<p>the revised Fair Deal position set out in the HM Treasury guidance: <i>"Fair Deal for Staff Pensions: Staff Transfer from Central Government"</i> issued in October 2013 including:</p> <ul style="list-style-type: none"> (a) any amendments to that document immediately prior to the Relevant Transfer Date; and (b) any similar pension protection in accordance with the subsequent Annex D1-D3 inclusive as notified to the Supplier by the CCS or Buyer; and
"Statutory Schemes"	<p>means the CSPA, NHSPS or LGPS.</p>

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2. Supplier obligations to participate in the pension schemes

- 2.1 In respect of all or any Fair Deal Employees each of Annex D1: CSPA, Annex D2: NHSPA and/or Annex D3: LGPS shall apply, as appropriate.
- 2.2 The Supplier undertakes to do all such things and execute any documents (including any relevant Admission Agreement and/or Direction Letter, if necessary) as may be required to enable the Supplier to participate in the appropriate Statutory Scheme in respect of the Fair Deal Employees and shall bear its own costs in such regard.
- 2.3 The Supplier undertakes:
 - 2.3.1 to pay to the Statutory Schemes all such amounts as are due under the relevant Admission Agreement and/or Direction Letter or otherwise and shall deduct and pay to the Statutory Schemes such employee contributions as are required; and
 - 2.3.2 to be fully responsible for all other costs, contributions, payments and other amounts relating to its participation in the Statutory Schemes, including for the avoidance of doubt any exit payments and the costs of providing any bond, indemnity or guarantee required in relation to such participation.

3. Supplier obligation to provide information

- 3.1 The Supplier undertakes to the Buyer:
 - 3.1.1 to provide all information which the Buyer may reasonably request concerning matters referred to in this Part D as expeditiously as possible; and
 - 3.1.2 not to issue any announcements to any Fair Deal Employee prior to the Relevant Transfer Date concerning the matters stated in this Part D without the consent in writing of the Buyer (such consent not to be unreasonably withheld or delayed).

4. Indemnities the Supplier must give

- 4.1 The Supplier undertakes to the Buyer to indemnify and keep indemnified CCS, NHS Pensions the Buyer and/or any Replacement Supplier and/or any Replacement Subcontractor on demand from and against all and any Losses whatsoever arising out of or in connection with any liability towards all and any Fair Deal Employees arising in respect of service on or after the Relevant Transfer Date which arise from any breach by the Supplier of this Part D, and/or the CSPA Admission Agreement and/or the Direction Letter and/or the LGPS Admission Agreement or relates to the payment of benefits under and/or participation in an occupational pension scheme (within the meaning provided for in section 1 of the Pension Schemes Act 1993) or the Fair Deal Schemes.

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- 4.2 The Supplier hereby indemnifies the CCS, NHS Pensions, the Buyer and/or any Replacement Supplier and/or Replacement Subcontractor from and against all Losses suffered or incurred by it or them which arise from claims by Fair Deal Employees of the Supplier and/or of any Subcontractor or by any trade unions, elected employee representatives or staff associations in respect of all or any such Fair Deal Employees which Losses:
- 4.2.1 relate to pension rights in respect of periods of employment on and after the Relevant Transfer Date until the date of termination or expiry of this Contract; or
 - 4.2.2 arise out of the failure of the Supplier and/or any relevant Subcontractor to comply with the provisions of this Part D before the date of termination or expiry of this Contract.
- 4.3 The indemnities in this Part D and its Annexes:
- 4.3.1 shall survive termination of this Contract; and
 - 4.3.2 shall not be affected by the caps on liability contained in Clause 11 (How much you can be held responsible for).

5. What happens if there is a dispute

- 5.1 The Dispute Resolution Procedure will not apply to this Part D and any dispute between the CCS and/or the Buyer and/or the Supplier or between their respective actuaries or the Fund Actuary about any of the actuarial matters referred to in this Part D and its Annexes shall in the absence of agreement between the CCS and/or the Buyer and/or the Supplier be referred to an independent Actuary:
- 5.1.1 who will act as an expert and not as an arbitrator;
 - 5.1.2 whose decision will be final and binding on the CCS and/or the Buyer and/or the Supplier; and
 - 5.1.3 whose expenses shall be borne equally by the CCS and/or the Buyer and/or the Supplier unless the independent Actuary shall otherwise direct.

6. Other people's rights

- 6.1 The Parties agree Clause 19 (Other people's rights in this contract) does not apply and that the CRTPA applies to this Part D to the extent necessary to ensure that any Fair Deal Employee will have the right to enforce any obligation owed to him or her or it by the Supplier under this Part D, in his or her or its own right under section 1(1) of the CRTPA.
- 6.2 Further, the Supplier must ensure that the CRTPA will apply to any Sub-Contract to the extent necessary to ensure that any Fair Deal Employee will have the right to enforce any obligation owed to them by the Subcontractor in his or her or its own right under section 1(1) of the CRTPA.

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7. What happens if there is a breach of this Part D

- 7.1 The Supplier agrees to notify the Buyer should it breach any obligations it has under this Part D and agrees that the Buyer shall be entitled to terminate its Contract for material Default in the event that the Supplier:
- 7.1.1 commits an irremediable breach of any provision or obligation it has under this Part D; or
 - 7.1.2 commits a breach of any provision or obligation it has under this Part D which, where capable of remedy, it fails to remedy within a reasonable time and in any event within 28 days of the date of a notice from the Buyer giving particulars of the breach and requiring the Supplier to remedy it.

8. Transferring New Fair Deal Employees

- 8.1 Save on expiry or termination of this Contract, if the employment of any Fair Deal Employee transfers to another employer (by way of a transfer under the Employment Regulations) the Supplier shall and shall procure that any relevant Subcontractor shall:
- 8.1.1 consult with and inform those Fair Deal Employees of the pension provisions relating to that transfer; and
 - 8.1.2 procure that the employer to which the Fair Deal Employees are transferred (the "**New Employer**") complies with the provisions of this Part D and its Annexes provided that references to the "Supplier" will become references to the New Employer, references to "Relevant Transfer Date" will become references to the date of the transfer to the New Employer and references to "Fair Deal Employees" will become references to the Fair Deal Employees so transferred to the New Employer.

9. What happens to pensions if this Contract ends

The provisions of Part E: Staff Transfer On Exit (Mandatory) apply in relation to pension issues on expiry or termination of this Contract.

10. Broadly Comparable Pension Schemes

- 10.1 If either:
- 10.1.1 the terms of any of Paragraphs 2.2 of Annex D1: CSPA, 5.2 of Annex D2: NHSPA and or 4 of Annex D3: LGPS apply; and/or
 - 10.1.2 the Buyer agrees, having considered the exceptional cases provided for in New Fair Deal, (such agreement not to be unreasonably withheld) that the Supplier (and/or its Subcontractors, if any) need not continue to provide the Fair Deal Employees, who continue to qualify for Fair Deal Protection, with access to the appropriate Statutory Scheme;

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the Supplier must (and must, where relevant, procure that each of its Subcontractors will) ensure that, with effect from the Relevant Transfer Date or if later cessation of participation in the Statutory Scheme until the day before the Service Transfer Date, the relevant Fair Deal Employees will be eligible for membership of a pension scheme under which the benefits are Broadly Comparable to those provided under the relevant Statutory Scheme, and then on such terms as may be decided by the Buyer.

- 10.2 Where the Supplier has set up a Broadly Comparable pension scheme or schemes pursuant to the provisions of Paragraph 10.1, the Supplier shall (and shall procure that any of its Subcontractors shall):
 - 10.2.1 supply to the Buyer details of its (or its Subcontractor's) Broadly Comparable pension scheme and provide a full copy of the valid certificate of broad comparability covering all relevant Fair Deal Employees, as soon as it is able to do so and in any event no later than 28 days before the Relevant Transfer Date;
 - 10.2.2 fully fund any such Broadly Comparable pension scheme in accordance with the funding requirements set by that Broadly Comparable pension scheme's Actuary or by the Government Actuary's Department for the period ending on the Service Transfer Date;
 - 10.2.3 instruct any such Broadly Comparable pension scheme's Actuary to, and to provide all such co-operation and assistance in respect of any such Broadly Comparable pension scheme as the Replacement Supplier and/or CCS and/or NHS Pension and/or CSPA and/or the relevant Administering Authority and/or the Buyer may reasonably require, to enable the Replacement Supplier to participate in the appropriate Statutory Scheme in respect of any Fair Deal Employee that remain eligible for New Fair Deal protection following a Service Transfer;
 - 10.2.4 provide a replacement Broadly Comparable pension scheme with immediate effect for those Fair Deal Employees who are still employed by the Supplier and/or relevant Subcontractor and are still eligible for New Fair Deal protection in the event that the Supplier and/or Subcontractor's Broadly Comparable pension scheme is terminated;
 - 10.2.5 allow and make all necessary arrangements to effect, in respect of any Fair Deal Employee that remains eligible for New Fair Deal protection, following a Service Transfer, the bulk transfer of past service from any such Broadly Comparable pension scheme into the relevant Statutory Scheme and as is relevant on a day for day service basis and to give effect to any transfer of accrued rights required as part of participation under New Fair Deal. For the avoidance of doubt, should the amount offered by the Broadly Comparable pension scheme be less

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than the amount required by the appropriate Statutory Scheme to fund day for day service ("**Shortfall**"), the Supplier or the Subcontractor (as agreed between them) must pay the Statutory Scheme, as required, provided that in the absence of any agreement between the Supplier and any Subcontractor, the Shortfall shall be paid by the Supplier; and

- 10.2.6 indemnify CCS and/or the Buyer and/or NHS Pension and/or CSPA and/or the relevant Administering Authority and/or on demand for any failure to pay the Shortfall as required under Paragraph 10.2.5 above.

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Annex D1:**Civil Service Pensions Schemes (CSPS)****1. Definitions**

In this Annex D1: CSPS to Part D: Pensions, the following words have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

"CSPS Admission Agreement"	an admission agreement in the form available on the Civil Service Pensions website immediately prior to the Relevant Transfer Date to be entered into for the CSPS in respect of the Services;
"CSPS Eligible Employee"	any Fair Deal Employee who at the relevant time is an eligible employee as defined in the CSPS Admission Agreement;
"CSPS"	the Principal Civil Service Pension Scheme available to Civil Servants and employees of bodies under Schedule 1 of the Superannuation Act 1972 (and eligible employees of other bodies admitted to participate under a determination under section 25 of the Public Service Pensions Act 2013), as governed by rules adopted by Parliament; the Partnership Pension Account and its (i) Ill health Benefits Arrangements and (ii) Death Benefits Arrangements; the Civil Service Additional Voluntary Contribution Scheme; and "alpha" introduced under The Public Service (Civil Servants and Others) Pensions Regulations 2014.

2. Access to equivalent pension schemes after transfer

- 2.1 The Supplier shall procure that the Fair Deal Employees, shall be either admitted into, or offered continued membership of, the relevant section of the CSPS that they currently contribute to, or were eligible to join immediately prior to the Relevant Transfer Date or became eligible to join on the Relevant Transfer Date and the Supplier shall procure that the Fair Deal Employees continue to accrue benefits in accordance with the provisions governing the relevant section of the CSPS for service from (and including) the Relevant Transfer Date.
- 2.2 The Supplier undertakes that should it cease to participate in the CSPS for whatever reason at a time when it has CSPS Eligible Employees, that it will, at no extra cost to the Buyer, provide to any Fair Deal Employee who immediately prior to such cessation of participation remained a CSPS Eligible Employee with access to a pension scheme which is Broadly Comparable to the CSPS on the date the CSPS Eligible Employees ceased to participate in the CSPS.

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Annex D2: NHS Pension Schemes

1. Definitions

In this Annex D2: NHSPS to Part D: Pensions, the following words have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

"Direction Letter" an NHS Pensions Direction or Determination (as appropriate) issued by the Secretary of State in exercise of the powers conferred by section 7 of the Superannuation (Miscellaneous Provisions) Act 1967 or by section 25 of the Public Service Pensions Act 2013 (as appropriate) and issued to the Supplier or a Subcontractor of the Supplier (as appropriate) relating to the terms of participation of the Supplier or Subcontractor in the NHSPS in respect of the NHSPS Eligible Employees;

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"NHSPS Eligible Employees"

each of the Fair Deal Employees who at a Relevant Transfer Date was a member of, or was entitled to become a member of, or but for their compulsory transfer of employment would have been entitled to be or become a member of, the NHSPS as a result of either:

- (a) their employment with the Buyer, an NHS Body or other employer which participates automatically in the NHSPS; or
- (b) their employment with a Former Supplier who provides access to the NHSPS pursuant to an NHS Pensions Direction or Determination (as appropriate) issued by the Secretary of State in exercise of the powers conferred by section 7 of the Superannuation (Miscellaneous Provisions) Act 1967 or by section 25 of the Public Service Pensions Act 2013 (as appropriate) in respect of their employment with that Former Supplier (on the basis that they are entitled to protection under New Fair Deal and were permitted to re-join the NHSPS, having been formerly in employment with the Buyer, an NHS Body or other employer who participated automatically in the NHSPS in connection with the Services, prior to being employed by the Former Supplier),

and, in each case, being continuously engaged for more than fifty per cent (50%) of their employed time in the delivery of services (the same as or similar to the Services).

For the avoidance of doubt, an individual who is in or entitled to become a member of the NHSPS as a result of being engaged in the Services and being covered by an "open" Direction Letter or other NHSPS "access" facility but who has never been employed directly by an NHS Body (or other body which participates automatically in the NHSPS) is not an NHSPS Eligible Employee;

"NHS Body"

has the meaning given to it in section 275 of the National Health Service Act 2006 as amended by section 138(2)(c) of Schedule 4 to the Health and Social Care Act 2012;

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"NHS Pensions"	NHS Pensions as the administrators of the NHSPS or such other body as may from time to time be responsible for relevant administrative functions of the NHSPS;
"NHSPS"	the National Health Service Pension Scheme for England and Wales, established pursuant to the Superannuation Act 1972 and governed by subsequent regulations under that Act including the NHS Pension Scheme Regulations;
"NHS Pension Scheme Arrears"	any failure on the part of the Supplier or its Subcontractors (if any) to pay employer's contributions or deduct and pay across employee's contributions to the NHSPS or meet any other financial obligations under the NHSPS or any Direction Letter in respect of the NHSPS Eligible Employees;
"NHS Pension Scheme Regulations"	as appropriate, any or all of the National Health Service Pension Scheme Regulations 1995 (SI 1995/300), the National Health Service Pension Scheme Regulations 2008 (SI 2008/653), the National Health Service Pension Scheme Regulations 2015 (2015/94) and any subsequent regulations made in respect of the NHSPS, each as amended from time to time;
"NHS Premature Retirement Rights"	rights to which any Fair Deal Employee (had they remained in the employment of the Buyer, an NHS Body or other employer which participates automatically in the NHSPS) would have been or are entitled under the NHS Pension Scheme Regulations, the NHS Compensation for Premature Retirement Regulations 2002 (SI 2002/1311), the NHS (Injury Benefits) Regulations 1995 (SI 1995/866) and section 45 of the General Whitley Council conditions of service, or any other legislative or contractual provision which replaces, amends, extends or consolidates the same from time to time;
"Pension Benefits"	any benefits payable in respect of an individual (including but not limited to pensions related allowances and lump sums) relating to old age, invalidity or survivor's benefits provided under an occupational pension scheme; and

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**"Retirement
Benefits
Scheme"**

a pension scheme registered under Chapter 2 of Part 4 of the Finance Act 2004.

2. Membership of the NHS Pension Scheme

- 2.1 In accordance with New Fair Deal, the Supplier and/or any of its Subcontractors to which the employment of any NHSPS Eligible Employee compulsorily transfers as a result of the award of this Contract, if not an NHS Body or other employer which participates automatically in the NHSPS, must by or as soon as reasonably practicable after the Relevant Transfer Date, each secure a Direction Letter to enable the NHSPS Eligible Employees to retain either continuous active membership of or eligibility for, the NHSPS for so long as they remain employed in connection with the delivery of the Services under this Contract, and have a right to membership or eligibility of that scheme under the terms of the Direction Letter.
- 2.2 The Supplier must supply to the Buyer by or as soon as reasonably practicable after the Relevant Transfer Date a complete copy of each Direction Letter.
- 2.3 The Supplier must ensure (and procure that each of its Sub-Contracts (if any) ensures) that all of its NHSPS Eligible Employees have a contractual right to continuous active membership of or eligibility for the NHSPS for so long as they have a right to membership or eligibility of that scheme under the terms of the Direction Letter.
- 2.4 The Supplier will (and will procure that its Subcontractors (if any) will) comply with the terms of the Direction Letter, the NHS Pension Scheme Regulations (including any terms which change as a result of changes in Law) and any relevant policy issued by the Department of Health in respect of the NHSPS Eligible Employees for so long as it remains bound by the terms of any such Direction Letter.
- 2.5 Where any employee omitted from the Direction Letter supplied in accordance with Paragraph 2 of this Annex are subsequently found to be an NHSPS Eligible Employee, the Supplier will (and will procure that its Sub-contractors (if any) will) treat that person as if they had been an NHSPS Eligible Employee from the Relevant Transfer Date so that their Pension Benefits and NHS Premature Retirement Rights are not adversely affected.
- 2.6 The Supplier will (and will procure that its Subcontractors (if any) will) as soon as reasonably practicable and at its (or its Subcontractor's) cost, obtain any guarantee, bond or indemnity that may from time to time be required by the Secretary of State for Health.

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3. Access to NHS Pension Schemes after transfer

The Supplier will procure that with effect from the Relevant Transfer Date the NHSPS Eligible Employees shall be either eligible for or remain in continuous active membership of (as the case may be) the NHSPS for employment from (and including) the Relevant Transfer Date.

4. Continuation of early retirement rights after transfer

From the Relevant Transfer Date until the Service Transfer Date, the Supplier must provide (and/or must ensure that its Subcontractors (if any) provide) NHS Premature Retirement Rights in respect of the NHSPS Eligible Employees that are identical to the benefits they would have received had they remained employees of the Buyer, an NHS Body or other employer which participates automatically in the NHSPS.

5. What the buyer do if the Supplier breaches its pension obligations

- 5.1 The Supplier agrees that the Buyer is entitled to make arrangements with NHS Pensions for the Buyer to be notified if the Supplier (or its Subcontractor) breaches the terms of its Direction Letter. Notwithstanding the provisions of the foregoing, the Supplier shall notify the Buyer in the event that it (or its Subcontractor) breaches the terms of its Direction Letter.
- 5.2 If the Buyer is entitled to terminate the Contract or the Supplier (or its Subcontractor, if relevant) ceases to participate in the NHSPS for whatever other reason, the Buyer may in its sole discretion, and instead of exercising its right to terminate this Contract where relevant, permit the Supplier (or any such Subcontractor, as appropriate) to offer Broadly Comparable Pension Benefits, on such terms as decided by the Buyer. The provisions of Paragraph 10 (Bulk Transfer Obligations in relation to any Broadly Comparable pension scheme) of Part D: Pensions shall apply in relation to any Broadly Comparable pension scheme established by the Supplier or its Subcontractors.
- 5.3 In addition to the Buyer's right to terminate the Contract, if the Buyer is notified by NHS Pensions of any NHS Pension Scheme Arrears, the Buyer will be entitled to deduct all or part of those arrears from any amount due to be paid under this Contract or otherwise.

6. Compensation when pension scheme access can't be provided

- 6.1 If the Supplier (or its Subcontractor, if relevant) is unable to provide the NHSPS Eligible Employees with either:
 - 6.1.1 membership of the NHSPS (having used its best endeavours to secure a Direction Letter); or
 - 6.1.2 access to a Broadly Comparable pension scheme,
 the Buyer may in its sole discretion permit the Supplier (or any of its Subcontractors) to compensate the NHSPS Eligible Employees in a

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manner that is Broadly Comparable or equivalent in cash terms, the Supplier (or Subcontractor as relevant) having consulted with a view to reaching agreement with any recognised trade union or, in the absence of such body, the NHSPS Eligible Employees. The Supplier must meet (or must procure that the relevant Subcontractor meets) the costs of the Buyer determining whether the level of compensation offered is reasonable in the circumstances.

- 6.2 This flexibility for the Buyer to allow compensation in place of Pension Benefits is in addition to and not instead of the Buyer's right to terminate the Contract.

7. Indemnities that a Supplier must give

- 7.1 The Supplier must indemnify and keep indemnified the CCS, the Buyer and any Replacement Supplier against all Losses arising out of any claim by any NHSPS Eligible Employee that the provision of (or failure to provide) Pension Benefits and NHS Premature Retirement Rights from the Relevant Transfer Date, or the level of such benefit provided, constitutes a breach of his or her employment rights.
- 7.2 The Supplier must indemnify and keep indemnified the Buyer, NHS Pensions and any Replacement Supplier against all Losses arising out of the Supplier (or its Subcontractor) allowing anyone who is not an NHSPS Eligible Employee to join or claim membership of the NHSPS at any time during the Contract Period.

8. Subcontractors

- 8.1 If the Supplier enters into a Sub-Contract for the delivery of all or part or any component of the Services which will involve the transfer of employment of any NHSPS Eligible Employee it will impose obligations on its Subcontractor in identical terms as those imposed on the Supplier in relation to Pension Benefits and NHS Premature Retirement Rights by this Annex, including requiring that:
- 8.1.1 if the Supplier has secured a Direction Letter, the Subcontractor also secures a Direction Letter in respect of the NHSPS Eligible Employees for their future service with the Subcontractor as a condition of being awarded the Sub-Contract and the Supplier shall be responsible for ensuring that the Buyer receives a complete copy of each such Subcontractor direction letter as soon as reasonably practicable; or
 - 8.1.2 if, in accordance with Paragraph 4 of this Annex, the Supplier has offered the NHSPS Eligible Employees access to a pension scheme under which the benefits are Broadly Comparable to those provided under the NHSPS, the Subcontractor either secures a Direction Letter in respect of the NHSPS Eligible Employees or (with the prior consent of the Buyer) provides NHSPS Eligible Employees with access to a scheme with

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Pension Benefits which are Broadly Comparable to those provided under the NHSPS whereupon the provisions of Paragraph 10 below (Bulk Transfer Obligations in relation to any Broadly Comparable Scheme) shall apply.

- 8.2 The Supplier shall procure that each Subcontractor provides indemnities to the Buyer, NHS Pensions and/or any Replacement Supplier and/or Replacement Subcontractor that are identical to the indemnities set out in Paragraph 7 of this Annex D2. Where a Subcontractor fails to satisfy any claim made under such one or more indemnities, the Supplier will be liable for satisfying any such claim as if it had provided the indemnity itself.

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Annex D3:**Local Government Pension Schemes (LGPS)**

[Buyer Guidance: *Note the LGPS unlike the CSPA & NHSPS is a funded scheme which has associated cost implications as follows:*

There is not 1 LGPS but approx. 90 different Funds, each with their own separate Scheme Employer and Administering Authority, it is important to identify the correct one(s) and amend the definition of "Fund" accordingly.

It is important to check whether CCS and or the Buyer can actually participate in the LGPS. Where a government department is taking on services which were formerly the responsibility of a Local Authority it may be necessary to obtain secretary of state approval for participation in the LGPS, this is because the services are being provided to Gov. Dept. and not to a Local Authority.

Unlike New Fair Deal the 2007 Best Value pension direction does not provide a right to bulk transfer past service. Whilst typically before the 2007 direction LA did provide such a right, it is a significant additional cost and therefore bulk transfer wording has been excluded. If required take legal advice due to the exceptionally high costs which can result from a requirement to provide bulk transfers.]

1. Definitions

- 1.1 In this Annex D3: LGPS to Part D: Pensions, the following words have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

"Administering Authority"	in relation to the Fund [insert name] , the relevant Administering Authority of that Fund for the purposes of the Local Government Pension Scheme Regulations 2013;
"Fund Actuary"	the actuary to a Fund appointed by the Administering Authority of that Fund;
"Fund"	[insert name], a pension fund within the LGPS;
"LGPS"	the Local Government Pension Scheme as governed by the LGPS Regulations, and any other regulations (in each case as amended from time to time) which are from time to time applicable to the Local Government Pension Scheme;
"LGPS Admission Agreement"	an admission agreement within the meaning in Schedule 1 of the Local Government Pension Scheme Regulations 2013;

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"LGPS Admission Body"	an admission body (within the meaning of Part 3 of Schedule 2 of the Local Government Pension Scheme Regulations 2013);
"LGPS Eligible Employees"	any Fair Deal Employee who at the relevant time is an eligible employee as defined in the LGPS Admission Agreement or otherwise any Fair Deal Employees who immediately before the Relevant Transfer Date was a member of, or was entitled to become a member of, or but for their compulsory transfer of employment would have been entitled to be or become a member of, the LGPS or of a scheme Broadly Comparable to the LGPS; and
"LGPS Regulations"	the Local Government Pension Scheme Regulations 2013 (SI 2013/2356) and The Local Government Pension Scheme (Transitional Provisions, Savings and Amendment) Regulations 2014, and any other regulations (in each case as amended from time to time) which are from time to time applicable to the LGPS.

2. Supplier must become a LGPS admission body

- 2.1 Where the Supplier employs any LGPS Eligible Employees from a Relevant Transfer Date, the Supplier shall become an LGPS Admission Body and shall on or before the Relevant Transfer Date enter into a LGPS Admission Agreement with the Administering Authority which will have effect from and including the Relevant Transfer Date.
- 2.2 The LGPS Admission Agreement must ensure that all LGPS Eligible Employees covered by that Agreement who were active LGPS members immediately before the Relevant Transfer Date are admitted to the LGPS with effect on and from the Relevant Transfer Date. Any LGPS Eligible Employees who were eligible to join the LGPS but were not active LGPS members immediately before the Relevant Transfer Date must retain the ability to join the LGPS after the Relevant Transfer Date if they wish to do so.
- 2.3 The Supplier shall provide any indemnity, bond or guarantee required by an Administering Authority in relation to an LGPS Admission Agreement.
- 2.4 The Supplier shall not automatically enrol or re-enrol for the purposes of the Pensions Act 2008 any LGPS Eligible Employees in any pension scheme other than the LGPS.

3. Right of set-off

The Buyer shall have a right to set off against any payments due to the Supplier under the Contract an amount equal to any overdue employer and employee contributions and other payments (and interest payable under the LGPS

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Regulations) due from the Supplier (or from any relevant Subcontractor) under an LGPS Admission Agreement and shall pay such amount to the relevant Fund.

4. Supplier ceases to be an LGPS Admission Body

If the Supplier employs any LGPS Eligible Employees from a Relevant Transfer Date and the Supplier either cannot or does not participate in the LGPS, the Supplier shall offer such LGPS Eligible Employee membership of a pension scheme Broadly Comparable to the LGPS.

5. Discretionary benefits

Where the Supplier is an LGPS Admission Body, the Supplier shall award benefits to the LGPS Eligible Employees under the LGPS in circumstances where the LGPS Eligible Employees would have received such benefits had they still been employed by their previous employer. Where such benefits are of a discretionary nature, they shall be awarded on the basis of the previous employer's written policy in relation to such benefits at the time of the Relevant Transfer Date.

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Annex D4: Other Schemes

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Part E: Staff Transfer on Exit

1. Obligations before a Staff Transfer

- 1.1 The Supplier agrees that within 20 Working Days of the earliest of:
 - 1.1.1 receipt of a notification from the Buyer of a Service Transfer or intended Service Transfer;
 - 1.1.2 receipt of the giving of notice of early termination or any Partial Termination of the relevant Contract;
 - 1.1.3 the date which is 12 Months before the end of the Term; and
 - 1.1.4 receipt of a written request of the Buyer at any time (provided that the Buyer shall only be entitled to make one such request in any 6 Month period),

it shall provide in a suitably anonymised format so as to comply with the Data Protection Laws, the Supplier's Provisional Supplier Personnel List, together with the Staffing Information in relation to the Supplier's Provisional Supplier Personnel List and it shall provide an updated Supplier's Provisional Supplier Personnel List at such intervals as are reasonably requested by the Buyer.
- 1.2 At least 20 Working Days prior to the Service Transfer Date, the Supplier shall provide to the Buyer or at the direction of the Buyer to any Replacement Supplier and/or any Replacement Subcontractor (i) the Supplier's Final Supplier Personnel List, which shall identify the basis upon which they are Transferring Supplier Employees and (ii) the Staffing Information in relation to the Supplier's Final Supplier Personnel List (insofar as such information has not previously been provided).
- 1.3 The Buyer shall be permitted to use and disclose information provided by the Supplier under paragraphs 1.1 and 1.2 for the purpose of informing any prospective Replacement Supplier and/or Replacement Subcontractor.
- 1.4 The Supplier warrants, for the benefit of The Buyer, any Replacement Supplier, and any Replacement Subcontractor that all information provided pursuant to paragraphs 1.1 and 1.2 shall be true and accurate in all material respects at the time of providing the information.
- 1.5 From the date of the earliest event referred to in Paragraph 1.1.1, 1.1.2 and 1.1.3, the Supplier agrees that it shall not assign any person to the provision of the Services who is not listed on the Supplier's Provisional Supplier Personnel List and shall, unless otherwise instructed by the Buyer (acting reasonably):

not replace or re-deploy any Supplier Personnel listed on the Supplier Provisional Supplier Personnel List other than where any replacement is of equivalent grade,

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skills, experience and expertise and is employed on the same terms and conditions of employment as the person he/she replaces

not make, promise, propose, permit or implement any material changes to the terms and conditions of (i) employment and/or (ii) pensions, retirement and death benefits (including not to make pensionable any category of earnings which were not previously pensionable or reduce the pension contributions payable) of the Supplier Personnel (including any payments connected with the termination of employment);

- 1.5.1 not increase the proportion of working time spent on the Services (or the relevant part of the Services) by any of the Supplier Personnel save for fulfilling assignments and projects previously scheduled and agreed;
- 1.5.2 not introduce any new contractual or customary practice concerning the making of any lump sum payment on the termination of employment of any employees listed on the Supplier's Provisional Supplier Personnel List;
- 1.5.3 not increase or reduce the total number of employees so engaged, or deploy any other person to perform the Services (or the relevant part of the Services);
- 1.5.4 not terminate or give notice to terminate the employment or contracts of any persons on the Supplier's Provisional Supplier Personnel List save by due disciplinary process;
- 1.5.5 not dissuade or discourage any employees engaged in the provision of the Services from transferring their employment to the Buyer and/or the Replacement Supplier and/or Replacement Subcontractor;
- 1.5.6 give the Buyer and/or the Replacement Supplier and/or Replacement Subcontractor reasonable access to Supplier Personnel and/or their consultation representatives to inform them of the intended transfer and consult any measures envisaged by the Buyer, Replacement Supplier and/or Replacement Subcontractor in respect of persons expected to be Transferring Supplier Employees;
- 1.5.7 co-operate with the Buyer and the Replacement Supplier to ensure an effective consultation process and smooth transfer in respect of Transferring Supplier Employees in line with good employee relations and the effective continuity of the Services, and to allow for participation in any pension arrangements to be put in place to comply with New Fair Deal;
- 1.5.8 promptly notify the Buyer or, at the direction of the Buyer, any Replacement Supplier and any Replacement Subcontractor of any notice to terminate employment given by the Supplier or received from any persons listed on the Supplier's Provisional

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- Supplier Personnel List regardless of when such notice takes effect;
- 1.5.9 not for a period of 12 Months from the Service Transfer Date re-employ or re-engage or entice any employees, suppliers or Subcontractors whose employment or engagement is transferred to the Buyer and/or the Replacement Supplier (unless otherwise instructed by the Buyer (acting reasonably));
- 1.5.10 not to adversely affect pension rights accrued by all and any Fair Deal Employees in the period ending on the Service Transfer Date;
- 1.5.11 fully fund any Broadly Comparable pension schemes set up by the Supplier;
- 1.5.12 maintain such documents and information as will be reasonably required to manage the pension aspects of any onward transfer of any person engaged or employed by the Supplier or any Subcontractor in the provision of the Services on the expiry or termination of this Contract (including without limitation identification of the Fair Deal Employees);
- 1.5.13 promptly provide to the Buyer such documents and information mentioned in Paragraph 3.1.1 of Part D: Pensions which the Buyer may reasonably request in advance of the expiry or termination of this Contract; and
- 1.5.14 fully co-operate (and procure that the trustees of any Broadly Comparable pension scheme shall fully co-operate) with the reasonable requests of the Supplier relating to any administrative tasks necessary to deal with the pension aspects of any onward transfer of any person engaged or employed by the Supplier or any Subcontractor in the provision of the Services on the expiry or termination of this Contract.
- 1.6 On or around each anniversary of the Effective Date and up to four times during the last 12 Months of the Term, the Buyer may make written requests to the Supplier for information relating to the manner in which the Services are organised. Within 20 Working Days of receipt of a written request the Supplier shall provide such information as the Buyer may reasonably require which shall include:
 - 1.6.1 the numbers of employees engaged in providing the Services;
 - 1.6.2 the percentage of time spent by each employee engaged in providing the Services;
 - 1.6.3 the extent to which each employee qualifies for membership of any of the Fair Deal Schemes (as defined in Part D: Pensions); and

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- 1.6.4 a description of the nature of the work undertaken by each employee by location.
- 1.7 The Supplier shall provide all reasonable cooperation and assistance to the Buyer, any Replacement Supplier and/or any Replacement Subcontractor to ensure the smooth transfer of the Transferring Supplier Employees on the Service Transfer Date including providing sufficient information in advance of the Service Transfer Date to ensure that all necessary payroll arrangements can be made to enable the Transferring Supplier Employees to be paid as appropriate. Without prejudice to the generality of the foregoing, within 5 Working Days following the Service Transfer Date, the Supplier shall provide to the Buyer or, at the direction of the Buyer, to any Replacement Supplier and/or any Replacement Subcontractor (as appropriate), in respect of each person on the Supplier's Final Supplier Personnel List who is a Transferring Supplier Employee:
 - 1.7.1 the most recent month's copy pay slip data;
 - 1.7.2 details of cumulative pay for tax and pension purposes;
 - 1.7.3 details of cumulative tax paid;
 - 1.7.4 tax code;
 - 1.7.5 details of any voluntary deductions from pay; and
 - 1.7.6 bank/building society account details for payroll purposes.

2. Staff Transfer when the contract ends

- 2.1 A change in the identity of the supplier of the Services (or part of the Services), howsoever arising, may constitute a Relevant Transfer to which the Employment Regulations will apply. The Buyer and the Supplier agree that where a Relevant Transfer occurs, the contracts of employment between the Supplier and the Transferring Supplier Employees (except in relation to any contract terms disapplied through operation of regulation 10(2) of the Employment Regulations) will have effect on and from the Service Transfer Date as if originally made between the Replacement Supplier and/or a Replacement Subcontractor (as the case may be) and each such Transferring Supplier Employee.
- 2.2 The Supplier shall comply with all its obligations in respect of the Transferring Supplier Employees arising under the Employment Regulations in respect of the period up to (and including) the Service Transfer Date including (without limit) the payment of all remuneration, benefits, entitlements, PAYE, national insurance contributions and pension contributions and all such sums due as a result of any Fair Deal Employees' participation in the Fair Deal Schemes (as defined in Part D: Pensions).
- 2.3 Subject to Paragraph 2.4, the Supplier shall indemnify the Buyer and/or the Replacement Supplier and/or any Replacement Subcontractor against any Employee Liabilities arising from or as a result of any act or omission of the

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Supplier or any Subcontractor in respect of any Transferring Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any Transferring Supplier Employee whether occurring before, on or after the Service Transfer Date.

- 2.4 The indemnity in paragraph 2.3 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Replacement Supplier and/or any Replacement Subcontractor whether occurring or having its origin before, on or after the Service Transfer Date.
- 2.5 Subject to Paragraphs 2.6 and 2.7, if any employee of the Supplier who is not identified in the Supplier's Final Transferring Supplier Employee List claims, or it is determined in relation to any employees of the Supplier, that his/her contract of employment has been transferred from the Supplier to the Replacement Supplier and/or Replacement Subcontractor pursuant to the Employment Regulations then.
 - 2.5.1 the Replacement Supplier and/or Replacement Subcontractor will, within 5 Working Days of becoming aware of that fact, notify the Buyer and the Supplier in writing;
 - 2.5.2 the Supplier may offer employment to such person, or take such other steps as it considered appropriate to resolve the matter, within 10 Working Days of receipt of notice from the Replacement Supplier and/or Replacement Subcontractor;
 - 2.5.3 if such offer of employment is accepted, the Replacement Supplier and/or Replacement Subcontractor shall immediately release the person from its employment;
 - 2.5.4 if after the period referred to in Paragraph 2.5.2 no such offer has been made, or such offer has been made but not accepted, the Replacement Supplier and/or Replacement Subcontractor may within 5 Working Days give notice to terminate the employment of such person;

and subject to the Replacement Supplier's and/or Replacement Subcontractor's compliance with Paragraphs 2.5.1 to 2.5.4 the Supplier will indemnify the Replacement Supplier and/or Replacement Subcontractor against all Employee Liabilities arising out of the termination of the employment of any of the Supplier's employees referred to in Paragraph 2.5.

- 2.6 The indemnity in Paragraph 2.5 shall not apply to:
 - 2.6.1 (a) any claim for discrimination, including on the grounds of sex, race, disability, age, gender reassignment, marriage or civil partnership, pregnancy and maternity or sexual orientation, religion or belief, or equal pay or compensation for less favourable treatment of part-time workers or fixed-term employees, arising as a result of any alleged act or omission of

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- the Replacement Supplier and/or Replacement Subcontractor,
or
- 2.6.2 (b) any claim that the termination of employment was unfair because the Replacement Supplier and/or Replacement Subcontractor neglected to follow a fair dismissal procedure.
- 2.7 The indemnity in Paragraph 2.5 shall not apply to any termination of employment occurring later than 3 Months from the Service Transfer Date.
- 2.8 If at any point the Replacement Supplier and/or Replacement Sub-contract accepts the employment of any such person as is described in Paragraph 2.5, such person shall be treated as a Transferring Supplier Employee and Paragraph 2.5 shall cease to apply to such person.
- 2.9 The Supplier shall promptly provide the Buyer and any Replacement Supplier and/or Replacement Subcontractor, in writing such information as is necessary to enable the Buyer, the Replacement Supplier and/or Replacement Subcontractor to carry out their respective duties under regulation 13 of the Employment Regulations. The Buyer shall procure that the Replacement Supplier and/or Replacement Subcontractor, shall promptly provide to the Supplier and each Subcontractor in writing such information as is necessary to enable the Supplier and each Subcontractor to carry out their respective duties under regulation 13 of the Employment Regulations.
- 2.10 Subject to Paragraph 2.9, the Buyer shall procure that the Replacement Supplier indemnifies the Supplier on its own behalf and on behalf of any Replacement Subcontractor and its Subcontractors against any Employee Liabilities arising from or as a result of any act or omission, whether occurring before, on or after the Service Transfer Date, of the Replacement Supplier and/or Replacement Subcontractor in respect of any Transferring Supplier Employee or any appropriate employee representative (as defined in the Employment Regulations) of any such Transferring Supplier Employee.
- 2.11 The indemnity in Paragraph 2.10 shall not apply to the extent that the Employee Liabilities arise or are attributable to an act or omission of the Supplier and/or any Sub-contractor (as applicable) whether occurring or having its origin before, on or after the Service Transfer Date, including any Employee Liabilities arising from the failure by the Supplier and/or any Subcontractor (as applicable) to comply with its obligations under the Employment Regulations, or to the extent the Employee Liabilities arise out of the termination of employment of any person who is not identified in the Supplier's Final Supplier Personnel List in accordance with Paragraph 2.5 (and subject to the limitations set out in Paragraphs 2.6 and 2.7 above).

Call-Off Schedule 3 (Continuous Improvement)

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Call-Off Schedule 3 (Continuous Improvement)

1. Buyer's Rights

- 1.1 The Buyer and the Supplier recognise that, where specified in Framework Schedule 4 (Framework Management), the Buyer may give CCS the right to enforce the Buyer's rights under this Schedule.

2. Supplier's Obligations

- 2.1 The Supplier must, throughout the Contract Period, identify new or potential improvements to the provision of the Deliverables with a view to reducing the Buyer's costs (including the Charges) and/or improving the quality and efficiency of the Deliverables and their supply to the Buyer.
- 2.2 The Supplier must adopt a policy of continuous improvement in relation to the Deliverables, which must include regular reviews with the Buyer of the Deliverables and the way it provides them, with a view to reducing the Buyer's costs (including the Charges) and/or improving the quality and efficiency of the Deliverables. The Supplier and the Buyer must provide each other with any information relevant to meeting this objective.
- 2.3 In addition to Paragraph 2.1, the Supplier shall produce at the start of each Contract Year a plan for improving the provision of Deliverables and/or reducing the Charges (without adversely affecting the performance of this Contract) during that Contract Year ("**Continuous Improvement Plan**") for the Buyer's Approval. The Continuous Improvement Plan must include, as a minimum, proposals:
 - 2.3.1 identifying the emergence of relevant new and evolving technologies;
 - 2.3.2 changes in business processes of the Supplier or the Buyer and ways of working that would provide cost savings and/or enhanced benefits to the Buyer (such as methods of interaction, supply chain efficiencies, reduction in energy consumption and methods of sale);
 - 2.3.3 new or potential improvements to the provision of the Deliverables including the quality, responsiveness, procedures, benchmarking methods, likely performance mechanisms and customer support services in relation to the Deliverables; and
 - 2.3.4 measuring and reducing the sustainability impacts of the Supplier's operations and supply-chains relating to the Deliverables, and identifying opportunities to assist the Buyer in meeting their sustainability objectives.
- 2.4 The initial Continuous Improvement Plan for the first (1st) Contract Year shall be submitted by the Supplier to the Buyer for Approval within one hundred (100) Working Days of the first Order or six (6) Months following the Start Date, whichever is earlier.

Call-Off Schedule 3 (Continuous Improvement)

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- 2.5 The Buyer shall notify the Supplier of its Approval or rejection of the proposed Continuous Improvement Plan or any updates to it within twenty (20) Working Days of receipt. If it is rejected then the Supplier shall, within ten (10) Working Days of receipt of notice of rejection, submit a revised Continuous Improvement Plan reflecting the changes required. Once Approved, it becomes the Continuous Improvement Plan for the purposes of this Contract.
- 2.6 The Supplier must provide sufficient information with each suggested improvement to enable a decision on whether to implement it. The Supplier shall provide any further information as requested.
- 2.7 If the Buyer wishes to incorporate any improvement into this Contract, it must request a Variation in accordance with the Variation Procedure and the Supplier must implement such Variation at no additional cost to the Buyer or CCS.
- 2.8 Once the first Continuous Improvement Plan has been Approved in accordance with Paragraph 2.5:
 - 2.8.1 the Supplier shall use all reasonable endeavours to implement any agreed deliverables in accordance with the Continuous Improvement Plan; and
 - 2.8.2 the Parties agree to meet as soon as reasonably possible following the start of each quarter (or as otherwise agreed between the Parties) to review the Supplier's progress against the Continuous Improvement Plan.
- 2.9 The Supplier shall update the Continuous Improvement Plan as and when required but at least once every Contract Year (after the first (1st) Contract Year) in accordance with the procedure and timescales set out in Paragraph 2.3.
- 2.10 All costs relating to the compilation or updating of the Continuous Improvement Plan and the costs arising from any improvement made pursuant to it and the costs of implementing any improvement, shall have no effect on and are included in the Charges.
- 2.11 Should the Supplier's costs in providing the Deliverables to the Buyer be reduced as a result of any changes implemented, all of the cost savings shall be passed on to the Buyer by way of a consequential and immediate reduction in the Charges for the Deliverables.
- 2.12 At any time during the Contract Period of the Call-Off Contract, the Supplier may make a proposal for gainshare. If the Buyer deems gainshare to be applicable then the Supplier shall update the Continuous Improvement Plan so as to include details of the way in which the proposal shall be implemented in accordance with an agreed gainshare ratio.

Call-Off Schedule 4 (Call-Off Tender)

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Call-Off Schedule 4 (Call Off Tender)

Refer to the separate file containing the Supplier's bid

Call-Off Schedule 5A (Health Pricing Details and Expenses Policy)

Call-Off Ref: C12345

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Call-Off Schedule 5A (Health Pricing Details and Expenses Policy)

1 Supplier's Further Pricing Information

1.1 The prices set out in this Schedule:

- 1.1.1 are those set out at Annex 1 to this Schedule;
- 1.1.2 are maximum rates that the Supplier may charge under this Call-Off Contract;
- 1.1.3 are all inclusive (save for expenses reasonably incurred in accordance with Paragraph 8); and
- 1.1.4 cannot be increased except as agreed in writing in accordance with this Schedule.

2 Applicable Pricing Mechanism

- 2.1 Under each Call-Off Contract, the overall Charges estimate shall be provided in the form of a Capped Time and Materials price underpinned by the Call-Off Contract specific rate prices included within Annex 1 of this Schedule.
- 2.2 The pricing mechanisms to be used under this Call-Off Contract shall be confirmed in each Statement of Work and Charges shall be calculated on the basis of the rates and prices specified in Annex 1 which must be no greater than those set out in Framework Schedule 3 (Framework Prices).
- 2.3 The pricing mechanism (Capped Time and Materials, Fixed Price or Incremental Fixed Price) applicable for specific Deliverables shall be as stated in the relevant Statement of Work. Such pricing methodology shall be calculated by reference to the rates and prices in Annex 1. The Supplier shall provide pricing using the pricing mechanism(s) required by the Buyer in the relevant Statement of Work(s), but may also propose alternative pricing mechanisms.
- 2.4 Where the Buyer requests a Capped Time and Materials mechanism for a Statement of Work, the Supplier shall separately identify:
 - 2.4.1 the Time and Materials profile for the Statement of Work, as per the rate table in Annex 1; and

- 2.4.2 the amount of the Cap, alongside clearly identified assumptions, risks, provisions or other breakdowns pertinent to the Cap. The Supplier shall provide an estimate linked to these breakdowns, where requested by the Buyer.
- 2.5 Where the Buyer requests a Fixed Price pricing mechanism for a Statement of Work, the Supplier shall, at the Buyer's request separately identify:
 - 2.5.1 prices against individually requested Milestones and Key Milestones, and the associated Delay Payments;
 - 2.5.2 the underlying Time and Materials estimate used to calculate the Fixed Price; and
 - 2.5.3 any risk premium.
- 2.6 The Buyer accepts that, having agreed a Fixed Price, once an agreed Key Milestone is successfully Achieved it shall be charged at the Fixed Price, regardless of the actual cost.
- 2.7 The Supplier accepts that, having agreed to a Fixed Price, it is responsible for delivery of each Milestone in terms of the scope of the component Deliverables, meeting the Buyer's acceptance criteria and timescales related to any Milestone (if any). The Supplier accepts that this shall be at the agreed price, regardless of the actual cost to the Supplier.
- 2.8 The Supplier shall maintain time recording records where providing services on a Fixed Price basis. In relation to any Fixed Price, the Buyer is entitled to request the actual time and material costs utilised. This is to facilitate improving the quality of future estimates and future Fixed Price agreements.
- 2.9 Where the Buyer requests an Incremental Fixed Price mechanism for a Statement of Work, the Supplier shall provide:
 - 2.9.1 an overall best estimate for the complete scope of the Statement of Work utilising the Capped Time and Materials model; and
 - 2.9.2 the Incremental Fixed Price for the first Deliverable Increment(s), backed up by the underlying Time and Materials basis.
- 2.10 Thereafter, the Buyer and Supplier shall agree Incremental Fixed Prices, ahead of commencement of the work, for subsequent Deliverable Increments. The Buyer and Supplier shall agree a suitable sizing model for the purposes of arriving at such prices.

- 2.11 The Buyer accepts, if the Deliverable Increment is accepted by the Buyer, it shall be charged the agreed Incremental Fixed Price regardless of actual cost, however there shall be transparency of actual time and materials for the purposes of improving future estimates.
- 2.12 Where an Incremental Fixed Price or Capped Time and Materials pricing mechanism is used, the Supplier's estimate shall include their offered resource profile, with a clear mechanism to link roles to the rate prices underpinning their offer.

3 Volume Discounts

- 3.1 The Buyer may request, and the Supplier may offer, volume discounts as part of a Further Competition Procedure.
- 3.2 Volume discounts shall apply to the spend associated with this Call-Off Contract and all agreed Statements of Work.
- 3.3 Where volume discounts form part of the evaluation of a Further Competition Procedure, the Buyer shall state the basis on which these volume discounts will be calculated. Unless otherwise stated by the Buyer, volume discounts shall apply to all categories of spend.

4 Adjustments to Call Off Contract Rates

- 4.1 Rates submitted by the Supplier shall remain fixed for the first year of any Call-Off Contract or as long as maximum rates at Framework Contract level remain unchanged (whichever is the later date).
- 4.2 Thereafter, on an annual basis, provided it has been demonstrated via the Framework Contract pricing adjustment mechanism set out in Framework Schedule 3 that rates need to change to reflect market conditions, then the Supplier shall be entitled to request a corresponding percentage change at Call-Off Contract level. The Buyer shall take into account continuous improvement during the course of the Call-Off Contract but shall not otherwise unreasonably withhold agreement to such a request.
- 4.3 Any such agreed changes to Call-Off Contract rates shall take effect on the anniversary of the Call-Off Contract Start Date.
- 4.4 The Buyer may request additional roles to those listed in Annex 1 as part of a Call-Off Contract, in which case, the Supplier shall provide competitive rates for the role.

5 Amendments to Annex 1: Exceptional Adjustments for Specific Technologies

- 5.1 The Buyer acknowledges that, from time to time, specific skills sets associated with certain technologies may command a rate premium in the market (when demand is high and supply low), or a rate reduction (when demand is low and supply high).
- 5.2 Under exceptional circumstances the Supplier may offer percentage adjustments, specific to skills related to one or more named technologies, linked to specific roles. Any such adjustments to the rates in Annex 1 must be agreed by the Parties in writing.
- 5.3 A table similar to Annex 2 (Exceptional Technology Adjustments) shall be used to document any such agreed adjustments. Such table shall be included in the Order Form or the Statement of Work.
- 5.4 In the case of an upwards adjustment (an uplift), the Supplier is required to evidence why such an uplift is required, and the Buyer shall take such evidence into consideration when considering such a request. Any such uplift must be agreed by the Parties in advance in writing.
- 5.5 The Supplier shall clearly separately reference any such adjustments in any documentation relating to the Charges, such as invoices.

6 Not Used

7 Overtime, Unsocial Hours and On-Call

- 7.1 Save as set out below the Supplier shall charge per Work Day.
- 7.2 Supplier Staff shall work a minimum of 7.5 Work Hours per Work Day.
- 7.3 Subject to any written agreement to the contrary in accordance with Paragraph 7.6, whilst the standard Work day is 7.5 Work Hours per day, it is anticipated that Supplier Staff may on occasion be required by the Supplier to work additional hours to perform their work. Such overtime shall not be chargeable to the Buyer.

Overtime

- 7.4 Where a member of Supplier Staff is specifically requested by the Buyer to work more than an additional 2 Work Hours per day on a regular basis (3 or more times over a given week), the Supplier may request overtime payments. If agreed, such overtime payments shall be based on hourly increments (assuming an 8 Work Hour day for the purposes of this calculation).
- 7.5 The Supplier shall only be entitled to charge overtime where the Buyer has

approved the overtime request in advance in writing in a Statement of Work.

Unsocial Hours

7.6 The Buyer may request that the Supplier provides Deliverables at unsocial times. Any such request must be agreed by the Supplier in writing in a Statement of Work.

7.7 Unsocial times means:

7.7.1 all time on Saturday (midnight to midnight) and any Working Day after 8pm and before 6am; and

7.7.2 all time on Sundays and Public Holidays (midnight to midnight).

7.8 The Supplier shall not be entitled to charge for unsocial working hours unless it is approved in writing in advance by the Buyer:

On-Call Support

7.9 On-call support means where Supplier Staff are required to be available to work and may be called upon to work either on-Site or remotely during pre-agreed periods of time. The Buyer may request that the Supplier provides on-call support. Any such request must be agreed by the Supplier in writing in a Statement of Work.

7.10 The Supplier may request a premium for Supplier Staff to be on-call (see table at paragraph 7.13 below). For the purposes of this Call-Off Contract it will be based on a single percentage of ■ percent, regardless of frequency.

7.11 Subject to paragraph 7.12, the Supplier may also charge for individual call-outs on the following basis, as set out in Annex 1:

7.11.1 for call-outs during normal working hours (for this purpose deemed to be between 8am and 6pm during a Working Day);

7.11.2 for call-outs between 6am and 8am and 6pm and 8pm on a Working Day (social hours) charges shall be based on the basis of a minimum assumed single call-out duration of 30 minutes rounded up to the nearest 30 minutes thereafter (depending on duration of call-out);

7.11.3 for call-outs within unsocial hours, the basis of calculating hours shall be as paragraph 7.11.2 above, but appropriate unsocial hours premiums shall apply (see Annex 1);

7.11.4 in the event that a call-out spans into, or out of, social or unsocial

hours, provided that the overlap is no more than one hour into the different charging regime, the charging regime applicable to when the call-out started shall apply; and

7.11.5 where the span of overlap between social and unsocial hours for an individual call-out is more than one hour, separate charges shall apply to each period (but following the principles documented above).

7.12 For on-call or call-out charges to be applicable, the individual to whom those Charges relate must be on an agreed on-call rota as approved by the Buyer in advance.

Overtime, Unsocial Hours and On-Call Pricing

7.13 The additional Charges applicable for agreed overtime, unsocial hours working and on call pricing are set out in Annex 1.

8 Buyer's Expenses Policy

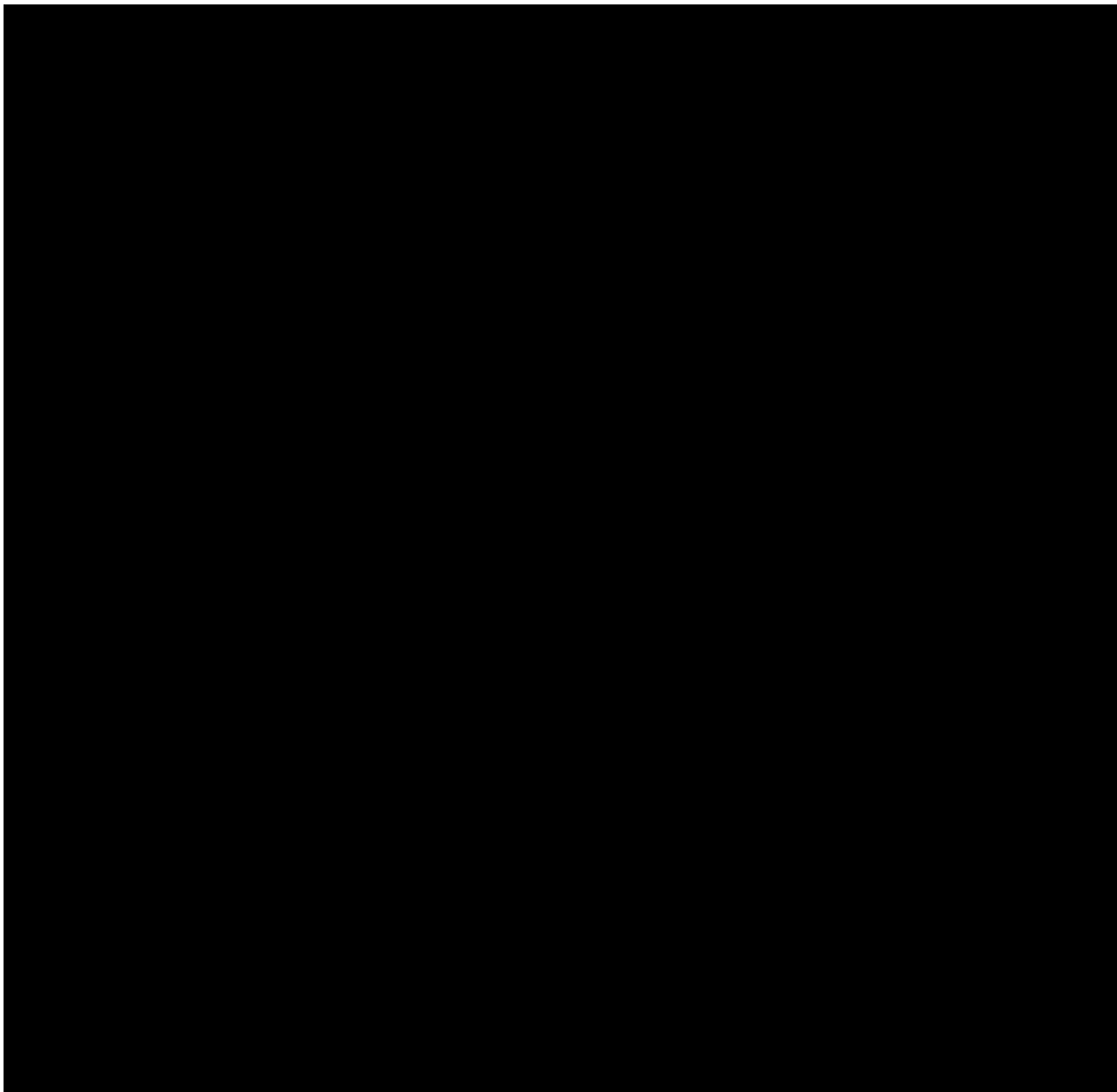
The Supplier shall not be entitled to charge any expenses where the pricing mechanism used under a Statement of Work is Fixed Price or Incremental Fixed Price.

The Supplier shall not be entitled to charge expenses, save where these are explicitly agreed to be chargeable in the SoW, where these are reasonably incurred and in accordance with the Buyer's Expenses Policy attached at Annex 3, and only up to the capped amount as set out in the SoW.

For the avoidance of doubt, expenses shall not be deemed reasonable where they would not constitute legitimate expenses in accordance with HMRC rules and guidance.

Annex 1 (Call-Off Contract Prices)

Rate Card: Capped Time and Materials



Overtime, Unsocial Hours and On-Call Pricing

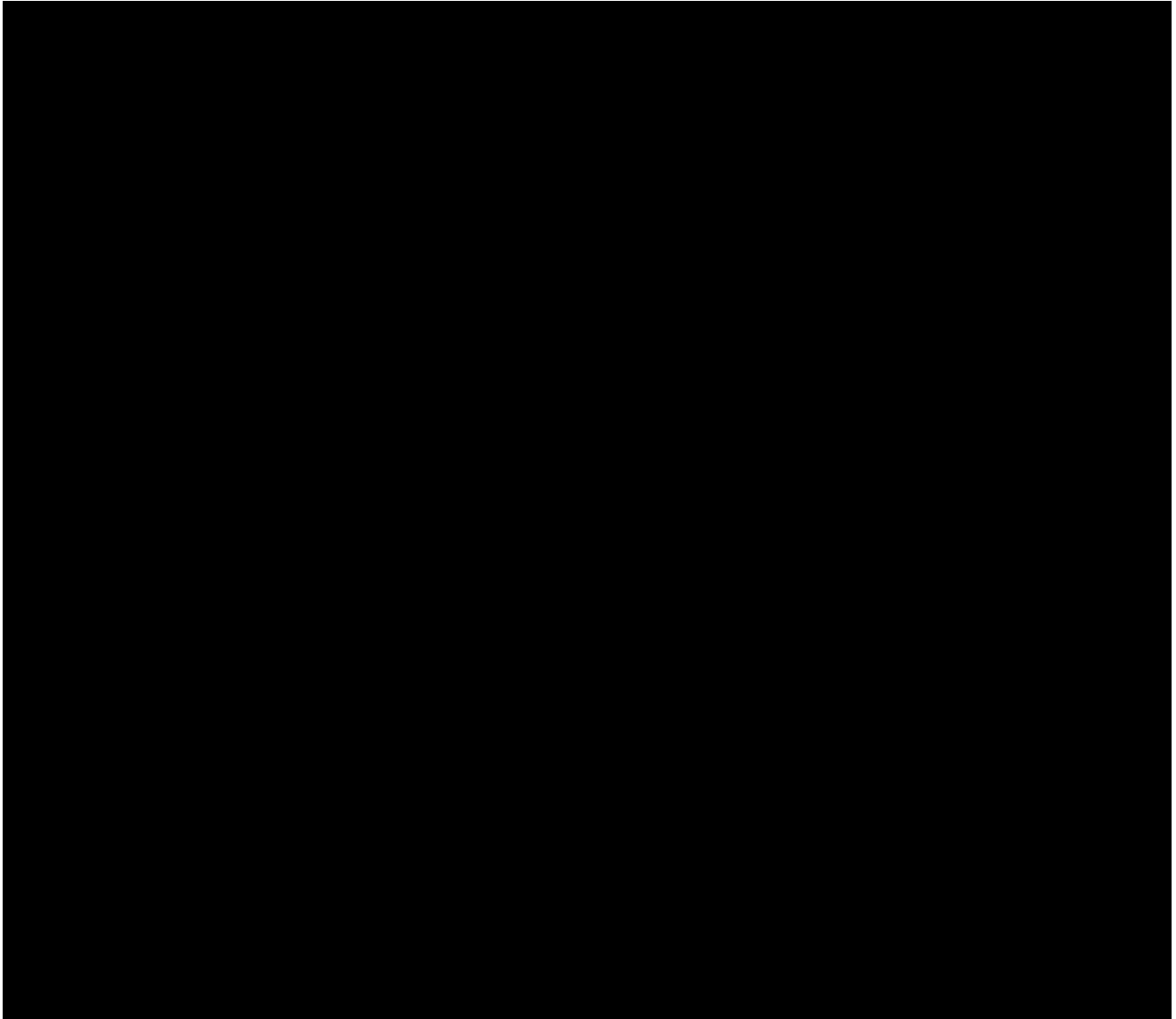
The following rates shall not apply, save where explicitly referenced and agreed in a Statement of Work.

The following formulae shall apply to the following Deliverables:

$$\left(\frac{\text{Time and Materials Day Rate for Role}}{16} \right) = X = \text{half hour rate}$$

Topic	Supplier Charge Where Utilising Existing Team Staff	Supplier Charge Where Additional Staff Retained
Unapproved Overtime	No additional charge	No additional charge
Overtime agreed with the Buyer in a SOW within social hours	2X per additional hour	2X per hour
On-Call uplift		
Weekday/Saturday unsocial premium call out fee	X per half hour, multiplied by [10%]	X per half hour, multiplied by [10%]
Sunday/Public Holiday unsocial premium call out fee	X per half hour multiplied by [10%]	X per half hour multiplied by [10%]

Annex 2 (Exceptional Technology Adjustments)



Annex 3 (Expenses Policy)

FOR OUTCOME BASED SUPPLY CONTRACTS

1. The Supplier must adhere to the **overarching principles**, as set out below.
 - **Travel should be for essential business reasons only.** Suppliers shall work to minimise the costs of travel.
 - **Travel should consider environmental impact.** The Buyer has a responsibility to meet obligations to reduce carbon emissions and business travel itself and in its supply chain under the Greening Government Commitment Policy, and therefore does not encourage unnecessary travel. In order to reduce the environmental impact of travel, every attempt should be made to identify options to eliminate the need to travel, for example using new technologies to communicate. Regular travel should always be challenged as part of good practice;
 - The **lowest cost option** for travelling should be the default. Suppliers are encouraged to use public transport wherever possible. Suppliers are also expected to use the most economical means of public transport on every occasion, including travelling outside of peak times where practical. The purchase of advance tickets is expected in all but exceptional cases;
 - **First class travel is not permitted and will not be reimbursed**, regardless as to whether the cost of such is lower than alternative options, except when an individual has a disability as set out in the Business Travel and Expenses Procedure;
 - All travel bookings and expense claims for reimbursement must have **clear business justification**.
 - Suppliers shall claim compensation (for late or delayed travel for example), on behalf of the Buyer.
 - The Buyer will only reimburse expenses which are **in excess of the normal commuting and day to day costs** of the individual. Whilst journeys may begin from home, Suppliers will be required to take account of the above when making claims.
2. Reporting and Audit Suppliers are required to maintain a full itemised index of expenses, and detail the named personnel, reference, and work to which is relates, and sufficient evidence to show the principles have been considered and are met in each case, and provide copies on request at any time by the Buyer.

Failure to provide the same will mean the expenses may not be recoverable. Suppliers shall maintain such records for review by the Buyer (and its auditors, HMRC, DHSC and any other central government entity) for the duration of the Call-Off Contract and for a period of 6 years from expiry or termination of the same.

3. Limitations and Exclusions Any reimbursement of expenses is subject to the following exclusions and limits:
 - 3.1. No expenses shall be chargeable for any Deliverables provided on a Fixed Price basis.
 - 3.2. Expenses shall only be chargeable for Deliverables charged on a Capped Time and Materials basis where the Call-Off Contract explicitly specifies both:
 - 3.2.1. that expenses are chargeable; and
 - 3.2.2. the total maximum capped amount for the expenses under the Call Off-Contract.
 - 3.3. If expenses are chargeable, they will only be chargeable up to the stated capped amount. If no capped amount is stated in the Call-Off Contract, then the capped amount shall be interpreted as zero and no expenses shall apply.
 - 3.4. Any claim for reimbursement of expenses must be submitted no later than monthly in arrears.
 - 3.5. No expenses shall be reimbursed for Suppliers working from their normal place of business (in any location) or their home.
 - 3.6. Suppliers shall be required to provide evidence of all expenses incurred on the submission of any invoice for the same. Any claims for expenses must be submitted with evidence (copies of VAT receipts).
4. Unless otherwise explicitly agreed under such Call-Off Contract as a variation of the application of this policy, there is no reimbursement of expenses for travel to any of the Buyer's main offices.
5. Subject to the above, only the following categories of expenses would be reimbursable. Where expenses are chargeable, such expense claims must also meet the following criteria:

Call-Off Schedule 5A (Health Pricing Details and Expenses Policy)

Call-Off Ref: C12345

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Crown
Commercial
Service

Expenditure Type	Key Points
TRAVEL	
Car Parking	The Buyer will reimburse necessary and reasonable parking costs only.
Mileage	<p><u>There are no mileage expenses payable for delivery of services from the Buyer's main offices, and Supplier's main sites, as listed for delivery of the services.</u></p> <p>If the Supplier travels to another place, other than their identified place of work, in order to perform their duties and go there straight from their home or return direct to their home after such a visit, the claim for mileage costs, should be for the lesser of:</p> <ul style="list-style-type: none"> a) the mileage expenses actually travelled, and b) the expenses, which would have been incurred if the journey had started and finished at the normal place of work. <p>If the personal circumstances and location of a particular individual lead to claims becoming excessive, the Buyer reserves the right to review and amend such claims as appropriate.</p> <p>The mileage reimbursement rate is 56p per mile unless agreed otherwise in advance between the Supplier and the Buyer.</p>
Taxis Tolls & Congestion Charges	<p>Taxi - used where own/company car use is impractical or hire car is not available.</p> <p>Unavoidable road tolls and congestion charges. For example, Severn Bridge Toll, London Congestion Charge</p>
Travel (Public Transport)	<p><u>Flights will not be reimbursed at any time unless specifically agreed in writing advance with the Buyer.</u></p> <p>Trains or buses used in the course of business travel.</p> <p>Rail travel shall be considered when:</p> <ul style="list-style-type: none"> - Train fare is less expensive than car travel - Door-to-door transit time is improved, or comparable to car travel - Driving presents an inconvenience or business risk (i.e. traffic) <p>All rail travel, including travel by Eurostar, must be economy or standard class (unless agreed otherwise in advance in writing by the Buyer).</p> <p><u>First class train fare will not be reimbursed.</u></p> <p>In order to reduce costs, where possible, rail bookings should be made more than seven (7) days in advance.</p> <p>The lowest available rail fare offered should be accepted and advantage taken of any restricted fares offered where possible.</p>

Call-Off Schedule 5A (Health Pricing Details and Expenses Policy)

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Expenditure Type	Key Points
ACCOMMODATION	
Hotels	<p>Hotel rates are limited by the Buyer to £100 including breakfast, per day, outside of London and £150 including breakfast, per day, within the M25.</p> <p>If an individual cannot find a hotel within these rates then the identified rate will be used as a cap on the actual invoice value and any amount above this will not be charged to the Buyer.</p>
MEALS & SUBSISTENCE	
Meals	<p>Cost of meals will only be reimbursed if overnight solely on the Buyer business, or where pre-6am morning / post 9pm late evening travel is required (see Qualifying Trips below). A daily limit of £20 per day applies. On qualifying dates, the Buyer will reimburse for breakfast, lunch and/or dinner up to the total daily limit.</p> <p>Qualifying Trips Meals may be reimbursed only when Suppliers:</p> <ul style="list-style-type: none">- are required to stay away from home overnight whilst solely on the Buyer business, or- are working away from their main office base for a single day, and either leave home before 06:00 or return home after 21:00.

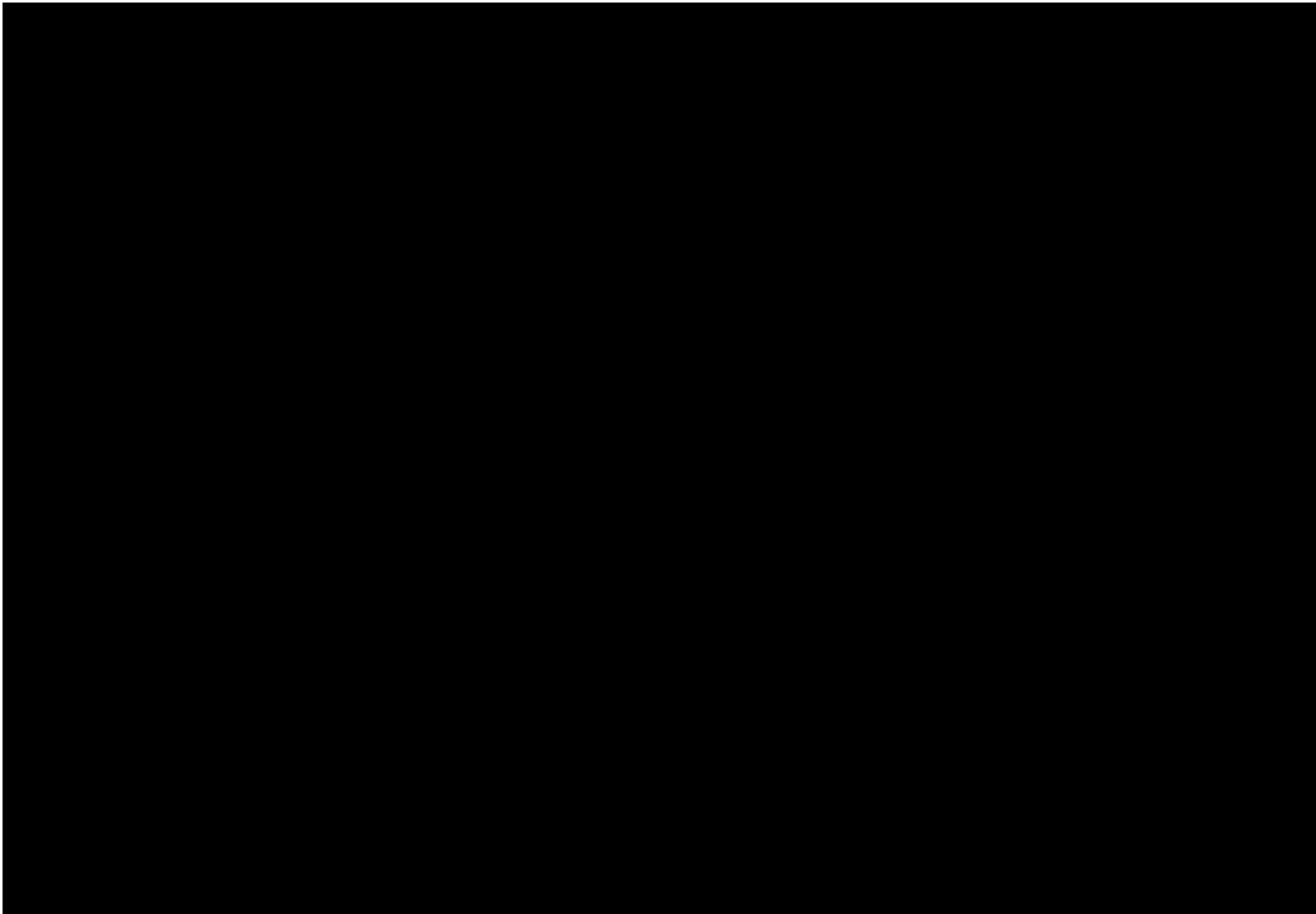
Expenditure Type	Key Points
OTHER BILLABLE EXPENSES	
Personal Overnight Incidental Expenses “Daily Allowance”	<p><u>No Personal Overnight Incidental Expenses will apply where the individual is providing services for one day only and/or not staying overnight.</u></p> <p>The Buyer will reimburse personal incidental expenses incurred as a result of an <u>overnight</u> stay away from home, where such expenses are incurred directly as a result of business travel for the Buyer service only. Claims are subject to daily limits set by HM Revenue and Customs (currently up to £4.25 per day for overnight stays within the UK).</p> <p>The following items may be reimbursed where reasonable:</p> <ul style="list-style-type: none"> - drinks other than with meals (but not alcohol). - laundry services (only for stays away from home of 5 consecutive nights or more) where work is performed solely for the Buyer. <p>The Buyer will not reimburse for:</p> <ul style="list-style-type: none"> - personal calls - incidental food and beverage items (e.g. snacks, coffees) taken during the day (other than as Meals) - newspapers, magazines - in-room movies - personal travel items (such as luggage or clothing) - toiletries - stationery
Hotel Internet Calls	Itemised on the hotel bill for internet access and strictly Buyer business use only. Such use for Buyer business must be proven. This may only be reimbursed up to a cap of £5/day.
NON BILLABLE ITEMS For the avoidance of doubt, the following items are not chargeable.	
Telecommunications, mobiles	These are classed as standard supplier overheads, therefore are not expenses and not reimbursable.
VISAs, Permission to work permits, etc.	These are classed as standard supplier overheads, therefore are not expenses and not reimbursable.
Security Accreditation	These are classed as standard supplier overheads, therefore are not expenses and not reimbursable.
Office space, facilities	These are classed as standard supplier overheads, therefore are not expenses and not reimbursable.
Costs of relocation of any kind from other jurisdictions	These are classed as standard supplier overheads, therefore are not expenses and not reimbursable.

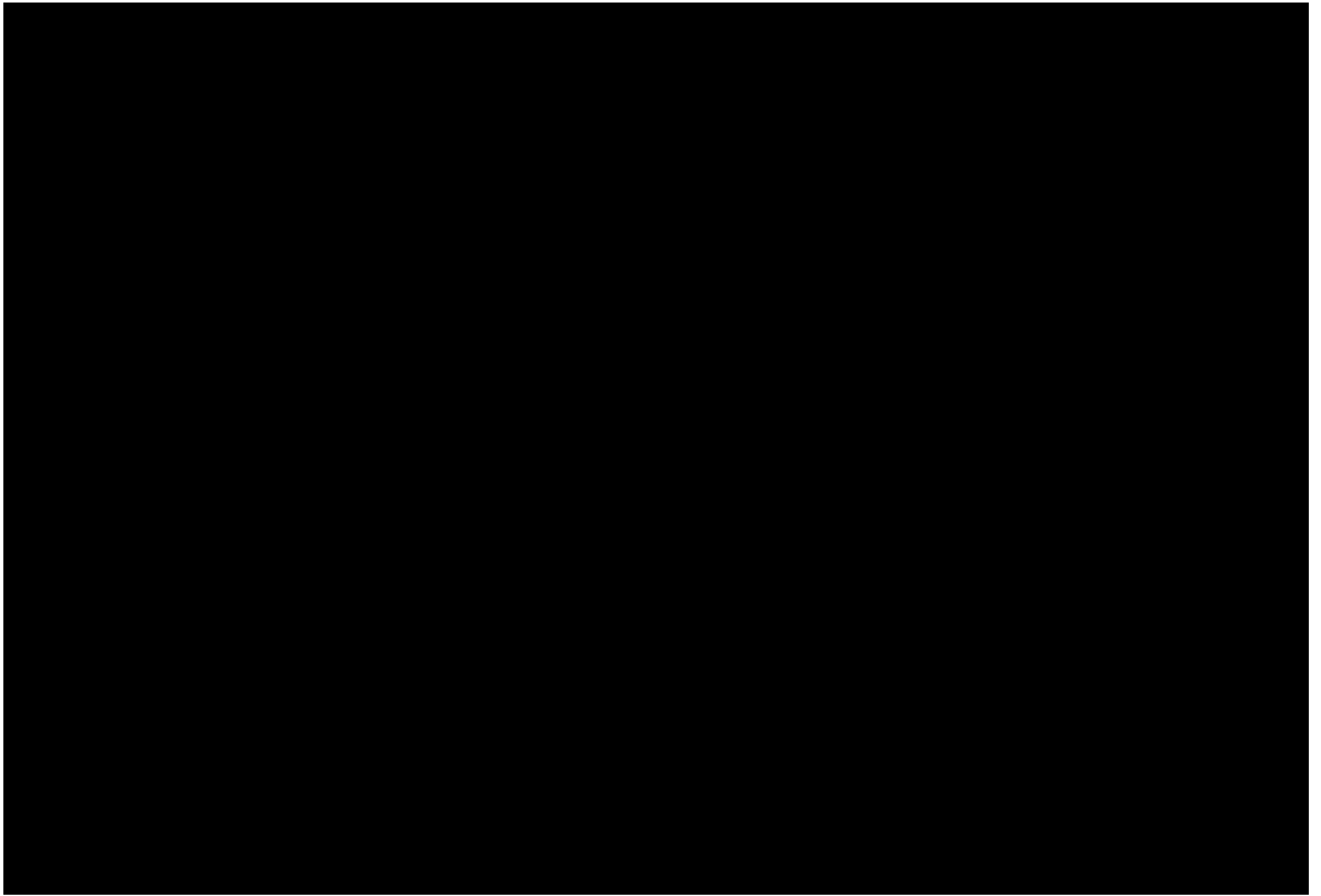
Call-Off Schedule 5A (Health Pricing Details and Expenses Policy)

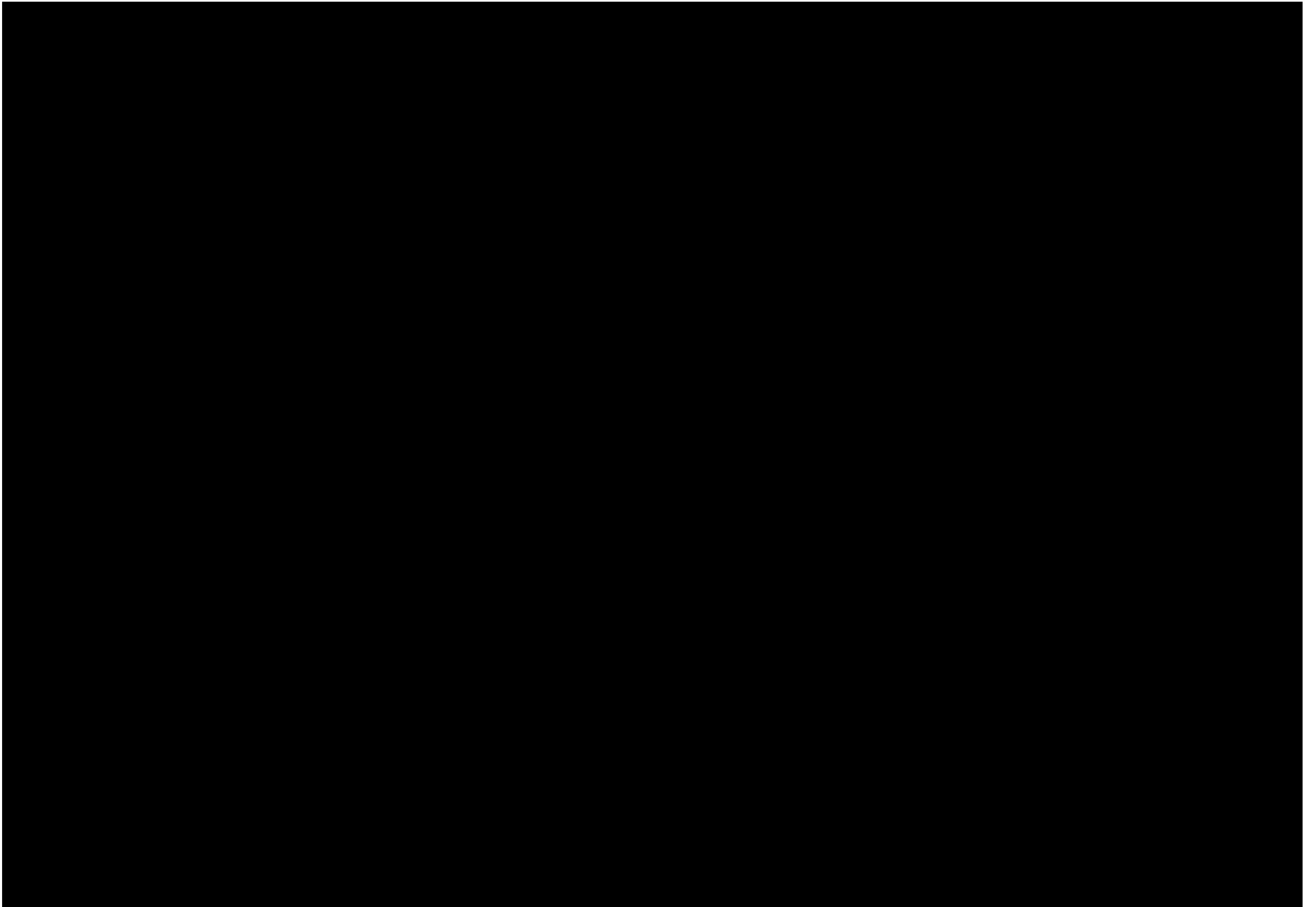
Call-Off Ref: C12345

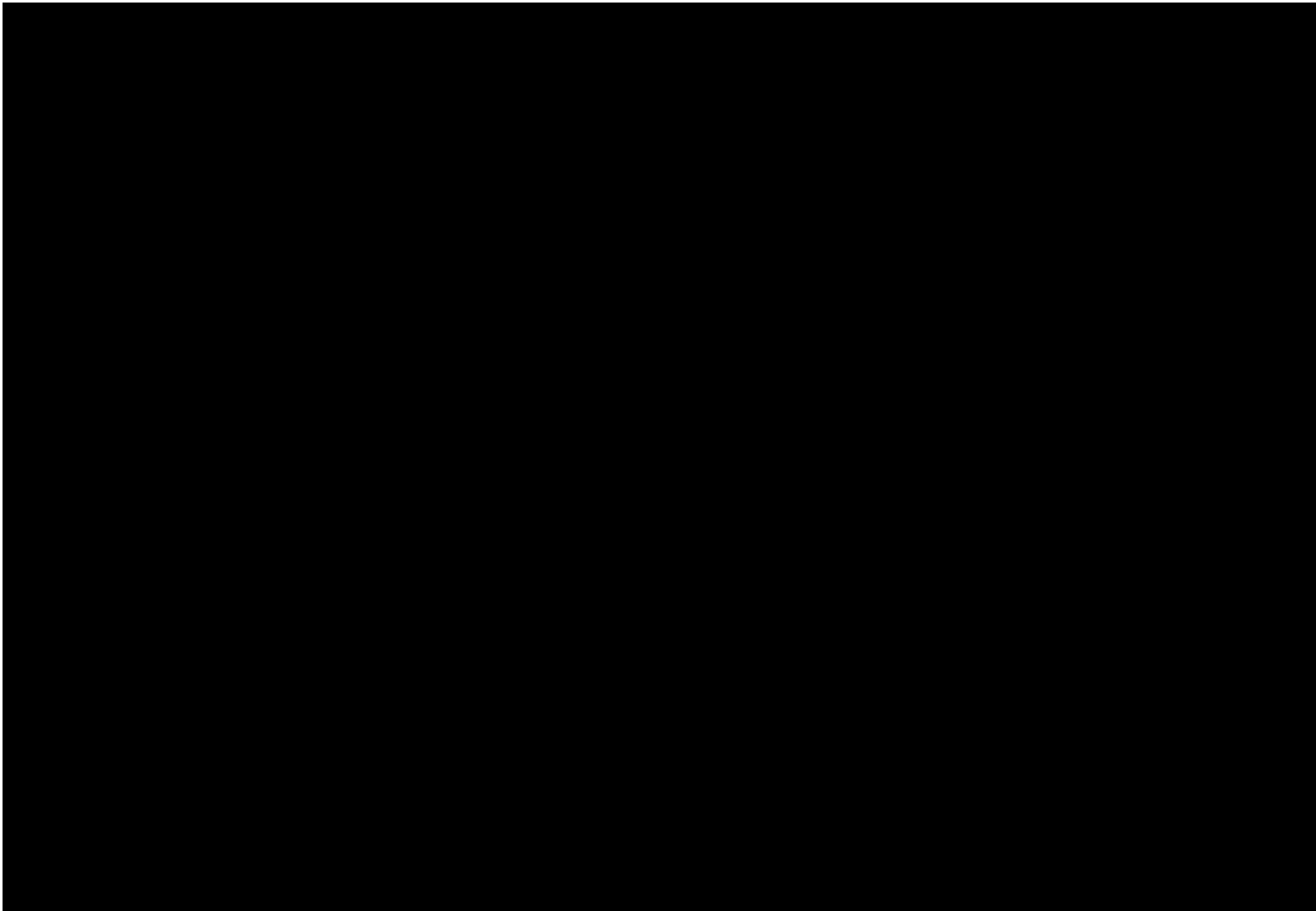
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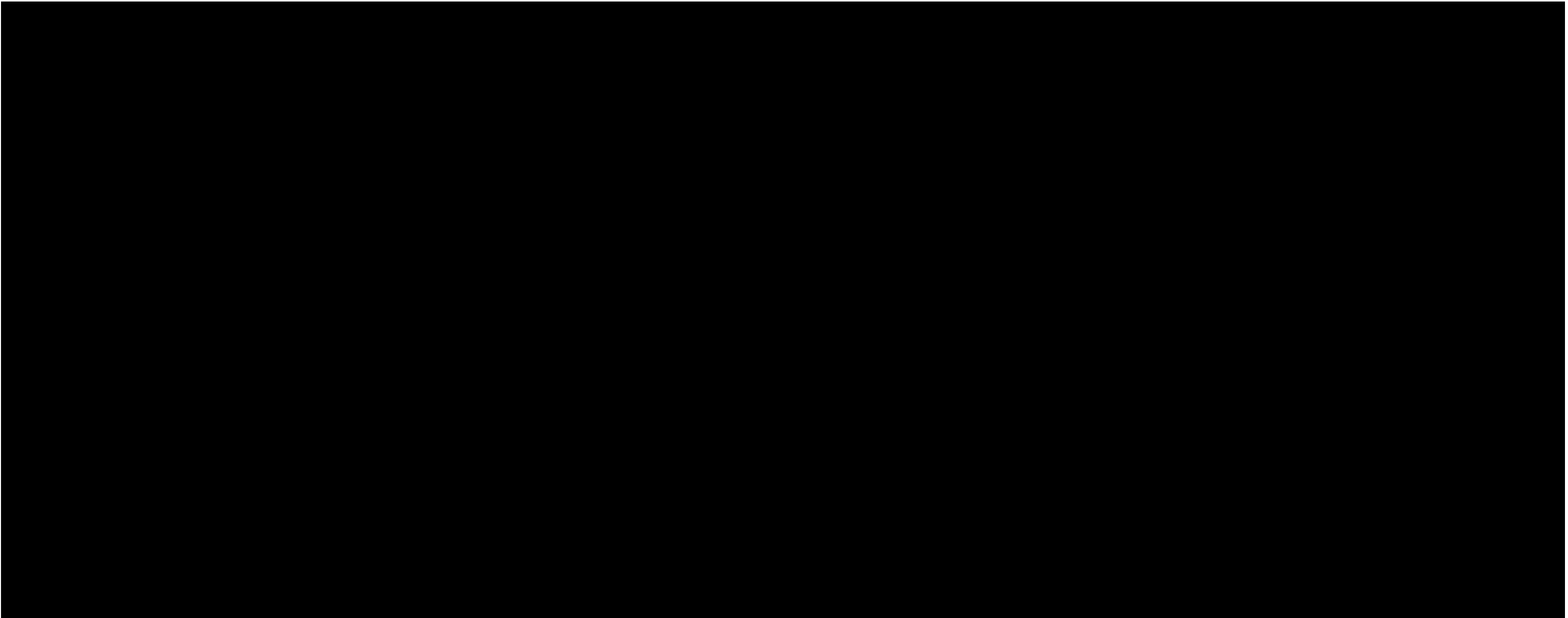
Expenditure Type	Key Points
Laptops for Suppliers	These are classed as standard supplier overheads, therefore are not expenses and not reimbursable. Please note Suppliers are responsible for the additional incremental costs of any security software required to access the Buyer's network.

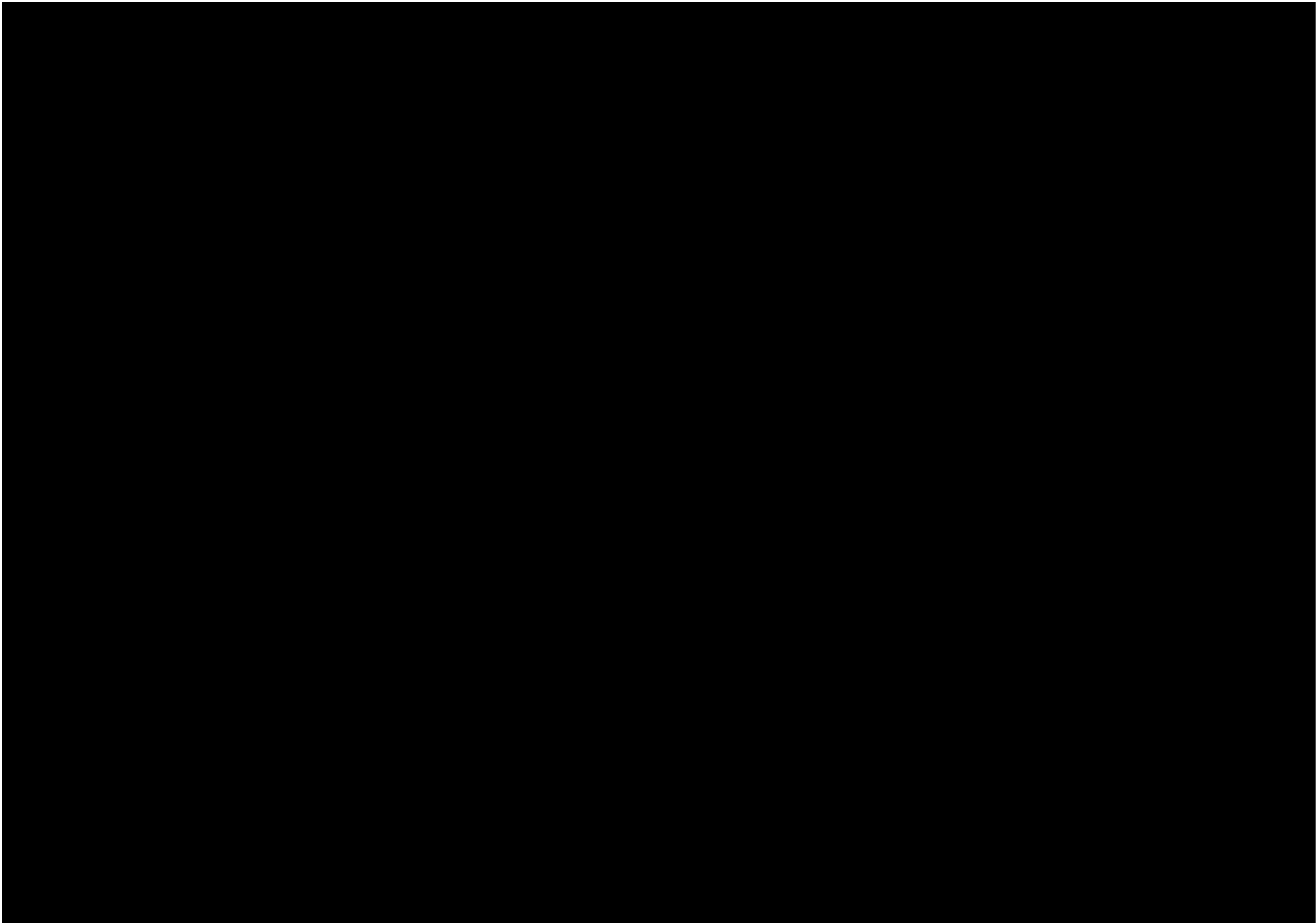












Call-Off Schedule 6 (ICT Services)

Call-Off Ref: C306110 Appointments and Patient Choice
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Call-Off Schedule 6 (ICT Services)

1. Definitions

1.1. In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

"Buyer Property"	the property, other than real property and IPR, including the Buyer System, any equipment issued or made available to the Supplier by the Buyer in connection with this Contract;
"Buyer Software"	any software which is owned by or licensed to the Buyer and which is or will be used by the Supplier for the purposes of providing the Deliverables;
"Buyer System"	the Buyer's computing environment (consisting of hardware, software and/or telecommunications networks or equipment) used by the Buyer or the Supplier in connection with this Contract which is owned by or licensed to the Buyer by a third party and which interfaces with the Supplier System or which is necessary for the Buyer to receive the Deliverables;
"Commercial off the shelf Software" or "COTS Software"	Non-customised software where the IPR may be owned and licensed either by the Supplier or a third party depending on the context, and which is commercially available for purchase and subject to standard licence terms
"Defect"	any of the following: <ul style="list-style-type: none">a) any error, damage or defect in the manufacturing of a Deliverable; orb) any error or failure of code within the Software which causes a Deliverable to malfunction or to produce unintelligible or incorrect results; orc) any failure of any Deliverable to provide the performance, features and functionality specified in the requirements of the Buyer or the Documentation (including any adverse effect on response times) regardless of whether or not it prevents the relevant

Call-Off Schedule 6 (ICT Services)

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	<p>Deliverable from passing any Test required under this Call Off Contract; or</p> <p>d) any failure of any Deliverable to operate in conjunction with or interface with any other Deliverable in order to provide the performance, features and functionality specified in the requirements of the Buyer or the Documentation (including any adverse effect on response times) regardless of whether or not it prevents the relevant Deliverable from passing any Test required under this Contract;</p>
"Emergency Maintenance"	ad hoc and unplanned maintenance provided by the Supplier where either Party reasonably suspects that the ICT Environment or the Services, or any part of the ICT Environment or the Services, has or may have developed a fault;
"ICT Environment"	the Buyer System and the Supplier System;
"Licensed Software"	all and any Software licensed by or through the Supplier, its Sub-Contractors or any third party to the Buyer for the purposes of or pursuant to this Call Off Contract, including any COTS Software;
"Maintenance Schedule"	has the meaning given to it in paragraph 8 of this Schedule;
"Malicious Software"	any software program or code intended to destroy, interfere with, corrupt, or cause undesired effects on program files, data or other information, executable code or application software macros, whether or not its operation is immediate or delayed, and whether the malicious software is introduced wilfully, negligently or without knowledge of its existence;
"New Release"	an item produced primarily to extend, alter or improve the Software and/or any Deliverable by providing additional functionality or performance enhancement (whether or not defects in the Software and/or Deliverable are also corrected) while still retaining the original designated purpose of that item;

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"Open Source Software"	computer software that has its source code made available subject to an open-source licence under which the owner of the copyright and other IPR in such software provides the rights to use, study, change and distribute the software to any and all persons and for any and all purposes free of charge;
"Operating Environment"	means the Buyer System and any premises (including the Buyer Premises, the Supplier's premises or third party premises) from, to or at which: a) the Deliverables are (or are to be) provided; or b) the Supplier manages, organises or otherwise directs the provision or the use of the Deliverables; or c) where any part of the Supplier System is situated;
"Permitted Maintenance"	has the meaning given to it in paragraph 8.2 of this Schedule;
"Quality Plans"	has the meaning given to it in paragraph 6.1 of this Schedule;
"Sites"	has the meaning given to it in Joint Schedule 1(Definitions), and for the purposes of this Call Off Schedule shall also include any premises from, to or at which physical interface with the Buyer System takes place;
"Software"	Specially Written Software COTS Software and non-COTS Supplier and third party Software;
"Software Supporting Materials"	has the meaning given to it in paragraph 9.1 of this Schedule;
"Source Code"	computer programs and/or data in eye-readable form and in such form that it can be compiled or interpreted into equivalent binary code together with all related design comments, flow charts, technical information and documentation necessary for the use, reproduction,

Call-Off Schedule 6 (ICT Services)

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	maintenance, modification and enhancement of such software;
"Specially Written Software"	any software (including database software, linking instructions, test scripts, compilation instructions and test instructions) created by the Supplier (or by a Sub-Contractor or other third party on behalf of the Supplier) specifically for the purposes of this Contract, including any modifications or enhancements to COTS Software. For the avoidance of doubt Specially Written Software does not constitute New IPR;
"Supplier System"	the information and communications technology system used by the Supplier in supplying the Deliverables, including the COTS Software, the Supplier Equipment, configuration and management utilities, calibration and testing tools and related cabling (but excluding the Buyer System);

2. When this Schedule should be used

- 2.1. This Schedule is designed to provide additional provisions necessary to facilitate the provision of ICT Services which are part of the Deliverables.

3. Buyer due diligence requirements

- 3.1. The Supplier shall satisfy itself of all relevant details, including but not limited to, details relating to the following;
- 3.1.1. suitability of the existing and (to the extent that it is defined or reasonably foreseeable at the Start Date) future Operating Environment;
 - 3.1.2. operating processes and procedures and the working methods of the Buyer;
 - 3.1.3. ownership, functionality, capacity, condition and suitability for use in the provision of the Deliverables of the Buyer Assets; and
 - 3.1.4. existing contracts (including any licences, support, maintenance and other contracts relating to the Operating Environment) referred to in

Call-Off Schedule 6 (ICT Services)

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the Due Diligence Information which may be novated to, assigned to or managed by the Supplier under this Contract and/or which the Supplier will require the benefit of for the provision of the Deliverables.

3.2. The Supplier confirms that it has advised the Buyer in writing of:

- 3.2.1. each aspect, if any, of the Operating Environment that is not suitable for the provision of the ICT Services;
- 3.2.2. the actions needed to remedy each such unsuitable aspect; and
- 3.2.3. a timetable for and the costs of those actions.

3.3 The Supplier undertakes:

- 3.3.1 and represents to the Buyer that Deliverables will meet the Buyer's acceptance criteria as set out in each Statement of Work; and
- 3.3.2 to maintain all interface and interoperability between third party software or services, and Specially Written Software required for the performance or supply of the Deliverables.

4. Licensed software warranty

4.1. The Supplier represents and warrants that:

- 4.1.1. it has and shall continue to have all necessary rights in and to the Licensed Software made available by the Supplier (and/or any Sub-Contractor) to the Buyer which are necessary for the performance of the Supplier's obligations under this Contract including the receipt of the Deliverables by the Buyer;
- 4.1.2. all components of the Specially Written Software shall:
 - 4.1.2.1. be free from material design and programming errors;
 - 4.1.2.2. perform in all material respects in accordance with the relevant specifications contained in Call Off Schedule 14 (Service Levels) and Documentation; and
 - 4.1.2.3. not infringe any IPR.

5. Provision of ICT Services

5.1. The Supplier shall:

- 5.1.1. ensure that the release of any new COTS Software in which the Supplier owns the IPR, or upgrade to any Software in which the

Call-Off Schedule 6 (ICT Services)

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Supplier owns the IPR complies with the interface requirements of the Buyer and (except in relation to new Software or upgrades which are released to address Malicious Software) shall notify the Buyer three (3) Months before the release of any new COTS Software or Upgrade;

- 5.1.2. ensure that all Software including upgrades, updates and New Releases used by or on behalf of the Supplier are currently supported versions of that Software and perform in all material respects in accordance with the relevant specification;
- 5.1.3. ensure that the Supplier System will be free of all encumbrances;
- 5.1.4. ensure that the Deliverables are fully compatible with any Buyer Software, Buyer System, or otherwise used by the Supplier in connection with this Contract;
- 5.1.5. minimise any disruption to the Services and the ICT Environment and/or the Buyer's operations when providing the Deliverables;

6. Standards and Quality Requirements

- 6.1. The Supplier shall develop, in the timescales specified in the Order Form, quality plans that ensure that all aspects of the Deliverables are the subject of quality management systems and are consistent with BS EN ISO 9001 or any equivalent standard which is generally recognised as having replaced it ("**Quality Plans**").
- 6.2. The Supplier shall seek Approval from the Buyer (not be unreasonably withheld or delayed) of the Quality Plans before implementing them. Approval shall not act as an endorsement of the Quality Plans and shall not relieve the Supplier of its responsibility for ensuring that the Deliverables are provided to the standard required by this Contract.
- 6.3. Following the approval of the Quality Plans, the Supplier shall provide all Deliverables in accordance with the Quality Plans.
- 6.4. The Supplier shall ensure that the Supplier Personnel shall at all times during the Call Off Contract Period:
 - 6.4.1. be appropriately experienced, qualified and trained to supply the Deliverables in accordance with this Contract;
 - 6.4.2. apply all due skill, care, diligence in faithfully performing those duties and exercising such powers as necessary in connection with the provision of the Deliverables; and

Call-Off Schedule 6 (ICT Services)

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- 6.4.3. obey all lawful instructions and reasonable directions of the Buyer (including, if so required by the Buyer, the ICT Policy) and provide the Deliverables to the reasonable satisfaction of the Buyer.

7. ICT Audit

- 7.1. The Supplier shall allow any auditor access to the Supplier premises to:
 - 7.1.1. inspect the ICT Environment and the wider service delivery environment (or any part of them);
 - 7.1.2. review any records created during the design and development of the Supplier System and pre-operational environment such as information relating to Testing;
 - 7.1.3. review the Supplier's quality management systems including all relevant Quality Plans.

8. Maintenance of the ICT Environment

- 8.1. If specified by the Buyer in the Order Form, the Supplier shall create and maintain a rolling schedule of planned maintenance to the ICT Environment ("**Maintenance Schedule**") and make it available to the Buyer for Approval in accordance with the timetable and instructions specified by the Buyer.
- 8.2. Once the Maintenance Schedule has been Approved, the Supplier shall only undertake such planned maintenance (which shall be known as "**Permitted Maintenance**") in accordance with the Maintenance Schedule.
- 8.3. The Supplier shall give as much notice as is reasonably practicable to the Buyer prior to carrying out any Emergency Maintenance.
- 8.4. The Supplier shall carry out any necessary maintenance (whether Permitted Maintenance or Emergency Maintenance) where it reasonably suspects that the ICT Environment and/or the Services or any part thereof has or may have developed a fault. Any such maintenance shall be carried out in such a manner and at such times so as to avoid (or where this is not possible so as to minimise) disruption to the ICT Environment and the provision of the Deliverables.

9. Intellectual Property Rights in ICT

9.1. Assignments granted by the Supplier: Specially Written Software

- 9.1.1. The Supplier assigns (by present assignment of future rights to take effect immediately on it coming into existence) to the Buyer with full guarantee (or shall procure assignment to the Buyer), title to and all

Call-Off Schedule 6 (ICT Services)

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rights and interest in the Specially Written Software together with and including:

- 9.1.1.1. the Documentation, Source Code and the Object Code of the Specially Written Software; and
- 9.1.1.2. all build instructions, test instructions, test scripts, test data, operating instructions and other documents and tools necessary for maintaining and supporting the Specially Written Software and the New IPR (together the "**Software Supporting Materials**").

9.1.2. The Supplier shall:

- 9.1.2.1. inform the Buyer of all Specially Written Software or New IPRs that are a modification, customisation, configuration or enhancement to any COTS Software;
- 9.1.2.2. deliver to the Buyer the Specially Written Software and any computer program elements of the New IPRs in both Source Code and Object Code forms together with relevant Documentation and all related Software Supporting Materials within seven days of completion or, if a relevant Milestone has been identified in an Implementation Plan, Achievement of that Milestone and shall provide updates of them promptly following each new release of the Specially Written Software, in each case on media that is reasonably acceptable to the Buyer and the Buyer shall become the owner of such media upon receipt; and
- 9.1.2.3. without prejudice to paragraph 9.1.2.2, provide full details to the Buyer of any of the Supplier's Existing IPRs or Third Party IPRs which are embedded or which are an integral part of the Specially Written Software or New IPR and the Supplier hereby grants to the Buyer and shall procure that any relevant third party licensor shall grant to the Buyer a perpetual, irrevocable, non-exclusive, assignable, royalty-free licence to use, sub-license and/or commercially exploit such Supplier's Existing IPRs and Third Party IPRs to the extent that it is necessary to enable the Buyer to obtain the full benefits of ownership of the Specially Written Software and New IPRs.

9.1.3. The Supplier shall promptly execute all such assignments as are required to ensure that any rights in the Specially Written Software and New IPRs are properly transferred to the Buyer.

Call-Off Schedule 6 (ICT Services)

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9.2. Licences for non-COTS IPR from the Supplier and third parties to the Buyer

9.2.1. Unless the Buyer gives its Approval the Supplier must not use any:

- a) of its own Existing IPR that is not COTS Software;
- b) third party software that is not COTS Software

9.2.2. Where the Buyer Approves the use of the Supplier's Existing IPR that is not COTS Software the Supplier shall grant to the Buyer a perpetual, royalty-free and non-exclusive licence to use adapt, and sub-license the same for any purpose relating to the Deliverables (or substantially equivalent deliverables) or for any purpose relating to the exercise of the Buyer's (or, if the Buyer is a Central Government Body, any other Central Government Body's) business or function including the right to load, execute, store, transmit, display and copy (for the purposes of archiving, backing-up, loading, execution, storage, transmission or display) for the Call Off Contract Period and after expiry of the Contract to the extent necessary to ensure continuity of service and an effective transition of Services to a Replacement Supplier.

9.2.3. Where the Buyer Approves the use of third party Software that is not COTS Software the Supplier shall procure that the owners or the authorised licensors of any such Software grant a direct licence to the Buyer on terms at least equivalent to those set out in Paragraph 9.2.2. If the Supplier cannot obtain such a licence for the Buyer it shall:

9.2.3.1. notify the Buyer in writing giving details of what licence terms can be obtained and whether there are alternative software providers which the Supplier could seek to use; and

9.2.3.2. only use such third party IPR as referred to at paragraph 9.2.3.1 if the Buyer Approves the terms of the licence from the relevant third party.

9.2.4. Where the Supplier is unable to provide a license to the Supplier's Existing IPR in accordance with Paragraph 9.2.2 above, it must meet the requirement by making use of COTS Software or Specially Written Software.

9.2.5. The Supplier may terminate a licence granted under paragraph 9.2.1 by giving at least thirty (30) days' notice in writing if there is an Authority Cause which constitutes a material Default which, if capable of remedy, is not remedied within twenty (20) Working Days

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after the Supplier gives the Buyer written notice specifying the breach and requiring its remedy.

9.3. Licenses for COTS Software by the Supplier and third parties to the Buyer

- 9.3.1. The Supplier shall either grant, or procure that the owners or the authorised licensors of any COTS Software grant, a direct licence to the Buyer on terms no less favourable than those standard commercial terms on which such software is usually made commercially available.
- 9.3.2. Where the Supplier owns the COTS Software it shall make available the COTS software to a Replacement Supplier at a price and on terms no less favourable than those standard commercial terms on which such software is usually made commercially available.
- 9.3.3. Where a third party is the owner of COTS Software licensed in accordance with this Paragraph 9.3 the Supplier shall support the Replacement Supplier to make arrangements with the owner or authorised licensee to renew the license at a price and on terms no less favourable than those standard commercial terms on which such software is usually made commercially available.
- 9.3.4. The Supplier shall notify the Buyer within seven (7) days of becoming aware of any COTS Software which in the next thirty-six (36) months:
 - 9.3.4.1. will no longer be maintained or supported by the developer;
or
 - 9.3.4.2. will no longer be made commercially available

9.4. Buyer's right to assign/novate licences

- 9.4.1. The Buyer may assign, novate or otherwise transfer its rights and obligations under the licences granted pursuant to paragraph 9.2 (to:
 - 9.4.1.1. a Central Government Body; or
 - 9.4.1.2. to any body (including any private sector body) which performs or carries on any of the functions and/or activities that previously had been performed and/or carried on by the Buyer.
- 9.4.2. If the Buyer ceases to be a Central Government Body, the successor body to the Buyer shall still be entitled to the benefit of the licences granted in paragraph 9.2.

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9.5. Licence granted by the Buyer

9.5.1. The Buyer grants to the Supplier a royalty-free, non-exclusive, non-transferable licence during the Contract Period to use the Buyer Software and the Specially Written Software solely to the extent necessary for providing the Deliverables in accordance with this Contract, including the right to grant sub-licences to Sub-Contractors provided that any relevant Sub-Contractor has entered into a confidentiality undertaking with the Supplier on the same terms as set out in Clause 15 (Confidentiality).

9.6. Open Source Publication

9.6.1. Unless the Buyer otherwise agrees in advance in writing (and subject to paragraph 9.6.3) all Specially Written Software and computer program elements of New IPR shall be created in a format, or able to be converted (in which case the Supplier shall also provide the converted format to the Buyer) into a format, which is:

9.6.1.1. suitable for publication by the Buyer as Open Source; and

9.6.1.2. based on Open Standards (where applicable),

and the Buyer may, at its sole discretion, publish the same as Open Source.

9.6.2. The Supplier hereby warrants that the Specially Written Software and the New IPR:

9.6.2.1. are suitable for release as Open Source and that the Supplier has used reasonable endeavours when developing the same to ensure that publication by the Buyer will not enable a third party to use them in any way which could reasonably be foreseen to compromise the operation, running or security of the Specially Written Software, New IPRs or the Buyer System;

9.6.2.2. have been developed using reasonable endeavours to ensure that their publication by the Buyer shall not cause any harm or damage to any party using them;

9.6.2.3. do not contain any material which would bring the Buyer into disrepute;

9.6.2.4. can be published as Open Source without breaching the rights of any third party;

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- 9.6.2.5. will be supplied in a format suitable for publication as Open Source ("**the Open Source Publication Material**") no later than the date notified by the Buyer to the Supplier; and
- 9.6.2.6. do not contain any Malicious Software.
- 9.6.3. Where the Buyer has Approved a request by the Supplier for any part of the Specially Written Software or New IPRs to be excluded from the requirement to be in an Open Source format due to the intention to embed or integrate Supplier Existing IPRs and/or Third Party IPRs (and where the Parties agree that such IPRs are not intended to be published as Open Source), the Supplier shall:
 - 9.6.3.1. as soon as reasonably practicable, provide written details of the nature of the IPRs and items or Deliverables based on IPRs which are to be excluded from Open Source publication; and
 - 9.6.3.2. include in the written details and information about the impact that inclusion of such IPRs or Deliverables based on such IPRs, will have on any other Specially Written Software and/or New IPRs and the Buyer's ability to publish such other items or Deliverables as Open Source.

9.7. Malicious Software

- 9.7.1. The Supplier shall, throughout the Contract Period, use the latest versions of anti-virus definitions and software available from an industry accepted anti-virus software vendor to check for, contain the spread of, and minimise the impact of Malicious Software.
- 9.7.2. If Malicious Software is found, the Parties shall co-operate to reduce the effect of the Malicious Software and, particularly if Malicious Software causes loss of operational efficiency or loss or corruption of Government Data, assist each other to mitigate any losses and to restore the provision of the Deliverables to its desired operating efficiency.
- 9.7.3. Any cost arising out of the actions of the Parties taken in compliance with the provisions of paragraph 9.7.2 shall be borne by the Parties as follows:
 - 9.7.3.1. by the Supplier, where the Malicious Software originates from the Supplier Software, the third party Software supplied by the Supplier or the Government Data (whilst the Government Data was under the control of the Supplier) unless the Supplier can demonstrate that such Malicious

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Software was present and not quarantined or otherwise identified by the Buyer when provided to the Supplier; and

- 9.7.3.2. by the Buyer, if the Malicious Software originates from the Buyer Software or the Buyer Data (whilst the Buyer Data was under the control of the Buyer).

10. IPR asset management

- 10.1 The Parties shall work together to ensure that there is appropriate IPR asset management under each Call-Off Contract, and:

10.1.1 where the Supplier is working on the Buyer's System, the Supplier shall comply with the Buyer's IPR asset management approach and procedures.

10.1.2 where the Supplier is working on the Supplier's System, the Buyer will ensure that it maintains its IPR asset management procedures in accordance with Good Industry Practice.

Records and materials associated with IPR asset management shall form part of the Deliverables, including those relating to any Specially Written Software or New IPR.

- 10.2 The Supplier shall comply with any instructions given by the Buyer as to where it shall store all work in progress Deliverables and finished Deliverables (including all Documentation and Source Code) during the term of the Call-Off Contract and at the stated intervals or frequency specified by the Buyer and upon termination of the Contract or any Statement of Work.
- 10.3 The Supplier shall ensure that all items it uploads into any repository contain sufficient detail, code annotations and instructions so that a third-party developer (with the relevant technical abilities within the applicable role) would be able to understand how the item was created and how it works together with other items in the repository within a reasonable timeframe.
- 10.4 The Supplier shall maintain a register of all Open Source Software it has used in the provision of the Deliverables as part of its IPR asset management obligations under this Contract.

Call-Off Schedule 7 (Key Supplier Staff)
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Call-Off Schedule 7 (Key Supplier Staff)

- 1.1 The Order Form lists the key roles (“**Key Roles**”) and names of the persons who the Supplier shall appoint to fill those Key Roles at the Start Date and the Statement of Work lists the Key Roles and names of persons who the Supplier shall appoint to fill those Key Roles as of the SOW Start Date.
- 1.2 The Supplier shall ensure that the Key Staff fulfil the Key Roles at all times during the Contract Period.
- 1.3 The Buyer may identify any further roles as being Key Roles and, following agreement to the same by the Supplier, the relevant person selected to fill those Key Roles shall be included on the list of Key Staff.
- 1.4 The Supplier shall not and shall procure that any Subcontractor shall not remove or replace any Key Staff unless:
 - 1.4.1 requested to do so by the Buyer or the Buyer Approves such removal or replacement (not to be unreasonably withheld or delayed);
 - 1.4.2 the person concerned resigns, retires or dies or is on maternity or long-term sick leave; or
 - 1.4.3 the person’s employment or contractual arrangement with the Supplier or Subcontractor is terminated for material breach of contract by the employee.
- 1.5 The Supplier shall:
 - 1.5.1 notify the Buyer promptly of the absence of any Key Staff (other than for short-term sickness or holidays of two (2) weeks or less, in which case the Supplier shall ensure appropriate temporary cover for that Key Role);
 - 1.5.2 ensure that any Key Role is not vacant for any longer than ten (10) Working Days;
 - 1.5.3 give as much notice as is reasonably practicable of its intention to remove or replace any member of Key Staff and, except in the cases of death, unexpected ill health or a material breach of the Key Staff’s employment contract, this will mean at least three (3) Months’ notice;
 - 1.5.4 ensure that all arrangements for planned changes in Key Staff provide adequate periods during which incoming and outgoing staff work

Call-Off Schedule 7 (Key Supplier Staff)
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- together to transfer responsibilities and ensure that such change does not have an adverse impact on the provision of the Deliverables;
- 1.5.5 ensure that any replacement for a Key Role has a level of qualifications and experience appropriate to the relevant Key Role and is fully competent to carry out the tasks assigned to the Key Staff whom he or she has replaced; and
 - 1.5.6 on written request from the Buyer, provide a copy of the contract of employment or engagement (between the Supplier and Supplier Staff) for every member of the member of the Supplier Staff made available to the Buyer under the Call-Off Contract when providing Deliverables under any Statement of Work.
- 1.6 The Buyer may require the Supplier to remove or procure that any Subcontractor shall remove any Key Staff that the Buyer considers in any respect unsatisfactory. The Buyer shall not be liable for the cost of replacing any Key Staff.

Call-Off Schedule 8 (Business Continuity and Disaster Recovery)

Call-Off Ref: C306110 Appointments and Patient Choice

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Call-Off Schedule 8 (Business Continuity and Disaster Recovery)

1. Definitions

- 1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

"BCDR Plan"	has the meaning given to it in Paragraph 2.2 of this Schedule;
"Business Continuity Plan"	has the meaning given to it in Paragraph 2.3.2 of this Schedule;
"Disaster"	the occurrence of one or more events which, either separately or cumulatively, mean that the Deliverables, or a material part thereof will be unavailable (or could reasonably be anticipated to be unavailable);
"Disaster Recovery Deliverables"	the Deliverables embodied in the processes and procedures for restoring the provision of Deliverables following the occurrence of a Disaster;
"Disaster Recovery Plan"	has the meaning given to it in Paragraph 2.3.3 of this Schedule;
"Disaster Recovery System"	the system embodied in the processes and procedures for restoring the provision of Deliverables following the occurrence of a Disaster;
"Related Supplier"	any person who provides Deliverables to the Buyer which are related to the Deliverables from time to time;
"Review Report"	has the meaning given to it in Paragraph 6.3 of this Schedule; and
"Supplier's Proposals"	has the meaning given to it in Paragraph 6.3 of this Schedule;

2. BCDR Plan

- 2.1 The Buyer and the Supplier recognise that, where specified in Schedule 4 (Framework Management), CCS shall have the right to enforce the Buyer's rights under this Schedule.

Call-Off Schedule 8 (Business Continuity and Disaster Recovery)

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- 2.2 At least thirty (30) Working Days from the contract signatory date the Supplier shall prepare and deliver to the Buyer for the Buyer's written approval a plan (a "**BCDR Plan**"), which shall detail the processes and arrangements that the Supplier shall follow to:
 - 2.2.1 ensure continuity of the business processes and operations supported by the Services following any failure or disruption of any element of the Deliverables; and
 - 2.2.2 the recovery of the Deliverables in the event of a Disaster
- 2.3 The BCDR Plan shall be divided into three sections:
 - 2.3.1 Section 1 which shall set out general principles applicable to the BCDR Plan;
 - 2.3.2 Section 2 which shall relate to business continuity (the "**Business Continuity Plan**"); and
 - 2.3.3 Section 3 which shall relate to disaster recovery (the "**Disaster Recovery Plan**").
- 2.4 Following receipt of the draft BCDR Plan from the Supplier, the Parties shall use reasonable endeavours to agree the contents of the BCDR Plan. If the Parties are unable to agree the contents of the BCDR Plan within twenty (20) Working Days of its submission, then such Dispute shall be resolved in accordance with the Dispute Resolution Procedure.

3. General Principles of the BCDR Plan (Section 1)

- 3.1 Section 1 of the BCDR Plan shall:
 - 3.1.1 set out how the business continuity and disaster recovery elements of the BCDR Plan link to each other;
 - 3.1.2 provide details of how the invocation of any element of the BCDR Plan may impact upon the provision of the Deliverables and any goods and/or services provided to the Buyer by a Related Supplier;
 - 3.1.3 contain an obligation upon the Supplier to liaise with the Buyer and any Related Suppliers with respect to business continuity and disaster recovery;
 - 3.1.4 detail how the BCDR Plan interoperates with any overarching disaster recovery or business continuity plan of the Buyer and any of its other Related Supplier in each case as notified to the Supplier by the Buyer from time to time;
 - 3.1.5 contain a communication strategy including details of an incident and problem management service and advice and help desk facility which can be accessed via multiple channels;

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- 3.1.6 contain a risk analysis, including:
 - (a) failure or disruption scenarios and assessments of likely frequency of occurrence;
 - (b) identification of any single points of failure within the provision of Deliverables and processes for managing those risks;
 - (c) identification of risks arising from the interaction of the provision of Deliverables with the goods and/or services provided by a Related Supplier; and
 - (d) a business impact analysis of different anticipated failures or disruptions;
- 3.1.7 provide for documentation of processes, including business processes, and procedures;
- 3.1.8 set out key contact details for the Supplier (and any Subcontractors) and for the Buyer;
- 3.1.9 identify the procedures for reverting to "normal service";
- 3.1.10 set out method(s) of recovering or updating data collected (or which ought to have been collected) during a failure or disruption to minimise data loss;
- 3.1.11 identify the responsibilities (if any) that the Buyer has agreed it will assume in the event of the invocation of the BCDR Plan; and
- 3.1.12 provide for the provision of technical assistance to key contacts at the Buyer as required by the Buyer to inform decisions in support of the Buyer's business continuity plans.
- 3.2 The BCDR Plan shall be designed so as to ensure that:
 - 3.2.1 the Deliverables are provided in accordance with this Contract at all times during and after the invocation of the BCDR Plan;
 - 3.2.2 the adverse impact of any Disaster is minimised as far as reasonably possible;
 - 3.2.3 it complies with the relevant provisions of ISO/IEC 27002; ISO22301/ISO22313 and all other industry standards from time to time in force; and
 - 3.2.4 it details a process for the management of disaster recovery testing.
- 3.3 The BCDR Plan shall be upgradeable and sufficiently flexible to support any changes to the Deliverables and the business operations supported by the provision of Deliverables.
- 3.4 The Supplier shall not be entitled to any relief from its obligations under the Performance Indicators (PI's) or Service levels, or to any increase in the

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Charges to the extent that a Disaster occurs as a consequence of any breach by the Supplier of this Contract.

4. Business Continuity (Section 2)

- 4.1 The Business Continuity Plan shall set out the arrangements that are to be invoked to ensure that the business processes facilitated by the provision of Deliverables remain supported and to ensure continuity of the business operations supported by the Services including:
 - 4.1.1 the alternative processes, options and responsibilities that may be adopted in the event of a failure in or disruption to the provision of Deliverables; and
 - 4.1.2 the steps to be taken by the Supplier upon resumption of the provision of Deliverables in order to address the effect of the failure or disruption.
- 4.2 The Business Continuity Plan shall:
 - 4.2.1 address the various possible levels of failures of or disruptions to the provision of Deliverables;
 - 4.2.2 set out the goods and/or services to be provided and the steps to be taken to remedy the different levels of failures of and disruption to the Deliverables;
 - 4.2.3 specify any applicable Performance Indicators with respect to the provision of the Business Continuity Services and details of any agreed relaxation to the Performance Indicators (PI's) or Service Levels in respect of the provision of other Deliverables during any period of invocation of the Business Continuity Plan; and
 - 4.2.4 set out the circumstances in which the Business Continuity Plan is invoked.

5. Disaster Recovery (Section 3)

- 5.1 The Disaster Recovery Plan (which shall be invoked only upon the occurrence of a Disaster) shall be designed to ensure that upon the occurrence of a Disaster the Supplier ensures continuity of the business operations of the Buyer supported by the Services following any Disaster or during any period of service failure or disruption with, as far as reasonably possible, minimal adverse impact.
- 5.2 The Supplier's BCDR Plan shall include an approach to business continuity and disaster recovery that addresses the following:
 - 5.2.1 loss of access to the Buyer Premises;
 - 5.2.2 loss of utilities to the Buyer Premises;
 - 5.2.3 loss of the Supplier's helpdesk or CAFM system;

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- 5.2.4 loss of a Subcontractor;
- 5.2.5 emergency notification and escalation process;
- 5.2.6 contact lists;
- 5.2.7 staff training and awareness;
- 5.2.8 BCDR Plan testing;
- 5.2.9 post implementation review process;
- 5.2.10 any applicable Performance Indicators (PI's) with respect to the provision of the disaster recovery services and details of any agreed relaxation to the Performance Indicators (PI's) or Service Levels in respect of the provision of other Deliverables during any period of invocation of the Disaster Recovery Plan;
- 5.2.11 details of how the Supplier shall ensure compliance with security standards ensuring that compliance is maintained for any period during which the Disaster Recovery Plan is invoked;
- 5.2.12 access controls to any disaster recovery sites used by the Supplier in relation to its obligations pursuant to this Schedule; and
- 5.2.13 testing and management arrangements.

6. Review and changing the BCDR Plan

- 6.1 The Supplier shall review the BCDR Plan:
 - 6.1.1 on a regular basis and as a minimum once every six (6) Months;
 - 6.1.2 within three (3) calendar Months of the BCDR Plan (or any part) having been invoked pursuant to Paragraph 7; and
 - 6.1.3 where the Buyer requests in writing any additional reviews (over and above those provided for in Paragraphs 6.1.1 and 6.1.2 of this Schedule) whereupon the Supplier shall conduct such reviews in accordance with the Buyer's written requirements. Prior to starting its review, the Supplier shall provide an accurate written estimate of the total costs payable by the Buyer for the Buyer's approval. The costs of both Parties of any such additional reviews shall be met by the Buyer except that the Supplier shall not be entitled to charge the Buyer for any costs that it may incur above any estimate without the Buyer's prior written approval.
- 6.2 Each review of the BCDR Plan pursuant to Paragraph 6.1 shall assess its suitability having regard to any change to the Deliverables or any underlying business processes and operations facilitated by or supported by the Services which have taken place since the later of the original approval of the BCDR Plan or the last review of the BCDR Plan, and shall also have regard to any occurrence of any event since that date (or the likelihood of any such event taking place in the foreseeable future) which may increase the likelihood of the need to invoke the BCDR Plan. The review shall be

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completed by the Supplier within such period as the Buyer shall reasonably require.

- 6.3 The Supplier shall, within twenty (20) Working Days of the conclusion of each such review of the BCDR Plan, provide to the Buyer a report (a **"Review Report"**) setting out the Supplier's proposals (the **"Supplier's Proposals"**) for addressing any changes in the risk profile and its proposals for amendments to the BCDR Plan.
- 6.4 Following receipt of the Review Report and the Supplier's Proposals, the Parties shall use reasonable endeavours to agree the Review Report and the Supplier's Proposals. If the Parties are unable to agree Review Report and the Supplier's Proposals within twenty (20) Working Days of its submission, then such Dispute shall be resolved in accordance with the Dispute Resolution Procedure.
- 6.5 The Supplier shall as soon as is reasonably practicable after receiving the approval of the Supplier's Proposals effect any change in its practices or procedures necessary so as to give effect to the Supplier's Proposals. Any such change shall be at the Supplier's expense unless it can be reasonably shown that the changes are required because of a material change to the risk profile of the Deliverables.

7. Testing the BCDR Plan

- 7.1 The Supplier shall test the BCDR Plan:
 - 7.1.1 regularly and in any event not less than once in every Contract Year;
 - 7.1.2 in the event of any major reconfiguration of the Deliverables
 - 7.1.3 at any time where the Buyer considers it necessary (acting in its sole discretion).
- 7.2 If the Buyer requires an additional test of the BCDR Plan, it shall give the Supplier written notice and the Supplier shall conduct the test in accordance with the Buyer's requirements and the relevant provisions of the BCDR Plan. The Supplier's costs of the additional test shall be borne by the Buyer unless the BCDR Plan fails the additional test in which case the Supplier's costs of that failed test shall be borne by the Supplier.
- 7.3 The Supplier shall undertake and manage testing of the BCDR Plan in full consultation with and under the supervision of the Buyer and shall liaise with the Buyer in respect of the planning, performance, and review, of each test, and shall comply with the reasonable requirements of the Buyer.
- 7.4 The Supplier shall ensure that any use by it or any Subcontractor of "live" data in such testing is first approved with the Buyer. Copies of live test data used in any such testing shall be (if so required by the Buyer) destroyed or returned to the Buyer on completion of the test.

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- 7.5 The Supplier shall, within twenty (20) Working Days of the conclusion of each test, provide to the Buyer a report setting out:
 - 7.5.1 the outcome of the test;
 - 7.5.2 any failures in the BCDR Plan (including the BCDR Plan's procedures) revealed by the test; and
 - 7.5.3 the Supplier's proposals for remedying any such failures.
- 7.6 Following each test, the Supplier shall take all measures requested by the Buyer to remedy any failures in the BCDR Plan and such remedial activity and re-testing shall be completed by the Supplier, at its own cost, by the date reasonably required by the Buyer.

8. Invoking the BCDR Plan

- 8.1 In the event of a complete loss of service or in the event of a Disaster, the Supplier shall immediately invoke the BCDR Plan (and shall inform the Buyer promptly of such invocation). In all other instances the Supplier shall invoke or test the BCDR Plan only with the prior consent of the Buyer.

9. Circumstances beyond your control

- 9.1 The Supplier shall not be entitled to relief under Clause 20 (Circumstances beyond your control) if it would not have been impacted by the Force Majeure Event had it not failed to comply with its obligations under this Schedule.

Call-Off Schedule 9A (Health Security)

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Call-Off Schedule 9A (Health Security)

1 Cyber Security Essentials Scheme

- 1.1 The Supplier shall provide the Buyer with evidence of Cyber Security Essentials compliance, in accordance with its obligations under Framework Schedule 9 (Cyber Essentials Scheme).

2 DSP Toolkit

- 2.1 The Supplier shall within 1 Working Day of the Start Date of this Call-Off Contract register on the DSP Toolkit system (and shall update its registration on any replacement to such system). All organisations that have access to NHS patient data and systems must use this toolkit to provide assurance that they are practising good data security and that personal information is handled correctly. All organisations should aim to achieve compliance level 3, and should satisfy the “Standards Met” level of evidence.
- 2.2 The Supplier shall abide by the terms and guidance as detailed in and provided by the DSP Toolkit system.
- 2.3 The Supplier shall maintain good information governance and security standards and practices that meet or exceed the DSP Toolkit standards required of its organisation type. The Supplier shall at all times apply Good Industry Practice in these areas.
- 2.4 The Supplier shall confirm to the Buyer the DSP Toolkit assessment level received at the frequency set out in Annex 2 of Call Off Schedule 15A (Health Supplier and Contract Management). Where applicable, the Buyer shall include this information within the Information Security Management Document Set annual review in accordance with Paragraph 11 of Annex 3.
- 2.5 Where the Supplier receives a DSP Toolkit assessment grade level of 2 or less, it shall notify the Buyer within 10 Working Days.
- 2.6 The Supplier shall comply with the DSP Toolkit incident reporting requirements in respect of, and notify the Buyer of, any sensitive data breach as soon as the Supplier discovers such breach and provide such information and cooperation as may be required. Where Personal Data is affected this notification must occur in a manner commensurate with the Buyer’s notification requirements as set out in Joint Schedule 11 (Processing Data).

3 Supplier Staff Vetting

- 3.1 All Supplier Staff shall be subject to pre-employment checks that include, as a minimum:

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- 3.1.1 verification of identity;
 - 3.1.2 employment history;
 - 3.1.3 unspent criminal convictions; and
 - 3.1.4 right to work,
- as detailed in the HMG Baseline Staff Security Standard (<https://www.gov.uk/government/publications/government-baseline-personnel-security-standard>), as may be amended or replaced by the Government from time to time.
- 3.2 The Supplier and Buyer shall agree on a case by case basis which Supplier Staff roles require specific government National Security Vetting clearances (such as 'SC') including but not limited to system administrators with privileged access to IT systems which store or Process Government Data.
 - 3.3 The Supplier shall prevent Supplier Staff who have not yet received or are unable to obtain the security clearances required by this Paragraph 3 from accessing systems which store, process, or are used to manage Government Data, or from accessing Buyer Premises, except where agreed with the Buyer in writing.
 - 3.4 All Supplier Staff that have the ability to access Government Data or systems holding Government Data shall undergo regular training on secure information management principles. Unless otherwise agreed with the Buyer in writing, this training must be undertaken annually. Details of training completion for all Supplier Staff shall be retained by the Supplier.
 - 3.5 Supplier Staff shall be granted only those permissions necessary for them to carry out their duties. When Supplier Staff no longer need such access or leave the Supplier organisation, their access rights shall be revoked within 1 Working Day and the Supplier shall notify the Buyer of the same.

4 Exclusions and Application of Annexes

- 4.1 Nothing in this Schedule shall act to override the Supplier's obligation to Process Government Data and Personal Data in accordance with the Core Terms and each relevant Statement of Work. For the avoidance of doubt, unless authorised by the Buyer in writing, nothing in this Schedule shall permit the Supplier to remove any Government Data or Personal Data from the Buyer's system.
- 4.2 The Supplier shall comply with the terms of this Schedule (and any other reasonable cyber security requirements relating to the Deliverables notified to the Supplier by the Buyer from time to time), save where the Buyer specifies in the Order Form that a requirement does not apply or is amended in any way.
- 4.3 At all times, the Supplier shall apply Good Industry Practice with regard to the information and cyber security measures it is required to implement under this Schedule and shall ensure it remains up to date with regard to emerging cyber security practice.

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- 4.4 The Supplier shall document the manner in which it complies with all relevant controls as laid out in this Schedule. This evidence shall be made available for Buyer review in order to assure the ongoing compliance with the requirements laid out herein. The Supplier shall make available such Supplier Staff and resources as are necessary to facilitate the Buyer's review of this information in a timely manner.
- 4.5 Save where the Buyer specifies in the Order Form that a requirement does not apply or is amended in any way, in addition to the terms set out above:
 - 4.5.1 Annex 1 and Annex 2 shall also apply where the Supplier (and/or its Subcontractors) are designing systems that will Process Government Data, or are processing any Government Data (on either the Buyer's system or the Supplier's or Subcontractor's own systems);
 - 4.5.2 Annex 1, Annex 2, Annex 3 and Annex 4 shall also apply where the Supplier (or its Subcontractors) are processing Government Data on the Supplier's or Subcontractor's own systems.
- 4.6 The requirements of Annexes 1 to 4 shall apply automatically based on the nature of the activities being undertaken by the Supplier, however the Buyer may indicate in its Order Form if any Annex shall be disapplied.

Call-Off Schedule 9A (Health Security)

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Annex 1: Glossary of Security Terminology

Annex 2: Data Security by Design

Annex 3: Supplier's systems: Security Testing, Security Monitoring and Reporting Procedures

Annex 4: Information Security Management Document Set Template

Call-Off Schedule 9A (Health Security)

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ANNEX 1**Glossary of Security Terminology****1. Definitions**

The following definitions apply to this Call-Off Schedule 9A (Health Security):

Breach of Security	<p>an event that results, was an attempt to result, or could result, in:</p> <ul style="list-style-type: none"> (a) any unauthorised access to or use of the Government Data, the Deliverables and/or the Information Management System; (b) the loss, corruption, unauthorised modification or unauthorised disclosure of any information or data (including the Confidential Information and the Government Data), including any copies of such information or data, used by the Buyer or the Supplier in connection with this Call-Off Contract; (c) any Personal Data Breach; (d) the loss of access to, corruption, inability to operate or other interference to the Deliverables or Information Management System; or (e) any part of the Supplier's system ceasing to be compliant with the Security Assurance Requirements;
Certification Requirement(s)	has the meaning given in Paragraph 6.2.1 of Annex 3 to this Schedule;
CHECK Service Provider	means a company which has been certified by the National Cyber Security Centre, holds "Green Light" status and is authorised to provide the Security Testing required by Paragraph 12.5 of Annex 3 to this Schedule;
DSP Toolkit	means the NHS's online self-assessment tool that allows organisations to measure their performance against the National Data Guardian's 10 data security standards. All organisations that have access to NHS patient data and systems must use this toolkit to provide assurance that they are practising good data security and that personal information is handled correctly;
Government Security Classifications	<p>means the Government policy that deals with classified information assets to ensure that they are appropriately protected located at:</p> <p>https://www.gov.uk/government/publications/government-security-classifications</p>

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Incident Management Process	is the process which the Supplier shall implement immediately after it becomes aware of, or aware of a high risk of, a Breach of Security which is intended to restore normal operations as quickly as possible, minimising any adverse impact on the Government Data, the Buyer, the Deliverables and users of the Deliverables and which shall be prepared by the Supplier as part of the Information Security Management Document Set using the template set out in Annex 4 to this Schedule;
Information Management System	comprises: (a) the Supplier Equipment; (b) the Supplier's system; and (c) those information assets, ICT systems and/or Sites which will be used by the Supplier or its Subcontractors to Process Government Data, together with the associated information management system (including organisational structure, controls, policies, practices, procedures, processes and resources);
Information Security Approval Statement	a notice issued by the Buyer which sets out the information risks which the Supplier has identified as being associated with using the Information Management System and confirms that the Buyer: (a) is satisfied that the identified risks have been adequately and appropriately addressed; and (b) the Supplier may use the Information Management System to Process Government Data;
Information Assurance Assessment	is the set of policies, procedures, systems and processes which the Supplier shall implement, maintain and update in order to manage, mitigate and, where possible, avoid information security risks including cyber-attacks, hacks, data leaks, Personal Data Breaches and/or theft and which shall be prepared by the Supplier in line with the controls set out in ISO 27001:2013 or latest edition and using the template set out in Annex 4 to this Schedule;
Information Security Management Document Set	comprises: (a) the Information Assurance Assessment; (b) the Personal Data Processing Statement; (c) the Required Changes Register; and (d) the Incident Management Process, which shall be prepared by the Supplier using the templates set out in Annex 4 to this Schedule;

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Information Security Management System or ISMS	means a set of policies and procedures for systematically managing protected data and information in accordance with security standards;
National Security Vetting	means the checks that are set out in the United Kingdom Security Vetting guidance located at: https://www.gov.uk/government/publications/united-kingdom-security-vetting-clearance-levels
NCSC Assured Service (CAS) Service Requirement Sanitation Standard	means the Service Requirement Sanitation Standard under the NCSC Assured Service located at: https://www.ncsc.gov.uk/information/commodity-information-assurance-services
Open Source Software	means computer software that has its source code made available subject to an open-source licence under which the owner of the copyright and other IPR in such software provides the rights to use, study, change and distribute the software to any and all persons and for any and all purposes free of charge;
Personal Data Processing Statement	sets out: <ul style="list-style-type: none"> (a) the types of Personal Data which the Supplier or its Subcontractors are Processing on behalf of the Buyer; (b) the categories of Data Subjects whose Personal Data the Supplier or its Subcontractors are Processing on behalf of the Buyer; (c) the nature and purpose of such Processing; (d) the locations at which the Supplier or its Subcontractors Process Government Data; and (e) the Protective Measures that the Supplier and, where applicable, its Subcontractors have implemented to protect the Government Data against a Breach of Security including a Personal Data Breach, <p>which shall be prepared by the Supplier and included in the Information Security Management Document Set;</p>
Process Government Data	any operation which is performed on Government Data, whether or not by automated means, including adapting, altering, collecting, combining, copying, destroying, erasing, organising, publishing retrieving, storing, structuring, transmitting or otherwise using Government Data;

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Protective Measures	appropriate technical and organisational measures which may include: pseudonymising and encrypting Buyer data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Buyer data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of such measures, as well as steps to reduce the likelihood of compromise of the systems and assets that handle or affect Buyer data;
Required Changes Register	is the register within the Information Security Management Document Set which is to be maintained and updated by the Supplier and which shall record each of the changes that the Supplier shall make to the Information Management System and/or the Information Security Management Document Set as a consequence of the occurrence of any of the events set out in Paragraphs 11.2 or 11.3 of Annex 3 of this Schedule together with the date by which such change shall be implemented and the date on which such change was implemented;
Security Assurance Requirements	has the meaning given in Paragraph 6.2 of Annex 3 to this Schedule;
Security Assurance Statement	has the meaning given in Paragraph 5.1.1 of Annex 3 to this Schedule;
Security Information and Event Management System (SIEM)	means an approach to security management that combines SIM (security information management) and SEM (security event management) functions into one security management system;
Security Testing	means the security testing specified in Paragraph 12 of Annex 3 of this Schedule;
Statement of Applicability	means the Supplier's Statement of Applicability as required in accordance with ISO/IEC 27001:2013;
Supplier COTS Software	means Supplier Software (including Open Source Software) that the Supplier makes generally available commercially prior to the Start Date of this Contract (whether by way of sale, lease or licence) on standard terms which are not typically negotiated by the Supplier save as to price;
Supplier Software	means software which is proprietary to the Supplier (or an Affiliate of the Supplier) and which is or will be used by the Supplier for the purposes of providing the Deliverables;

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Supplier Solution	means the Supplier's solution, tender or bid for the provision of the Deliverables;
Third Party COTS Software	means Third Party Software (including Open Source Software) that the Supplier makes generally available commercially prior to the date of this Contract (whether by way of sale, lease or licence) on standard terms which are not typically negotiated by the Supplier save as to price;
Third Party Software	means software which is proprietary to any third party (other than an Affiliate of the Supplier) or any Open Source Software which in any case is, will be or is proposed to be used by the Supplier for the purposes of providing the Deliverables; and
Vulnerability Correction Plan	has the meaning given to it in Paragraph 12.6 of Annex 3 to this Schedule.

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ANNEX 2:

Data Security by Design

1. Application of this Annex

The provisions of this Annex apply where the Supplier (or its Subcontractors) are (i) processing any Government Data (which could be electronic or on paper), and / or (ii) are designing or updating software and systems for the Buyer.

Further provisions associated with *using Supplier's own systems* to Process Government Data are set out in Annex 3.

2. Compliance with Buyer's Security Procedures When Working on Buyer's systems

2.1 The Supplier shall, and shall ensure that its Subcontractors shall, comply with the Buyer's security policies standards and procedures as notified to the Supplier when working on the Buyer's systems and premises.

2.2 The Supplier shall only use the Government Data and other information provided by the Buyer solely for delivery of the Deliverables.

3. Location of Government Data

3.1 The Supplier shall not and shall procure that none of its Subcontractors Process Government Data outside of the UK without the prior written consent of the Buyer and the Supplier shall not change where it or any of its Subcontractors Process Government Data without the Buyer's prior written consent, which may be subject to conditions.

4. Vulnerabilities and Corrective Action

4.1 The Buyer and the Supplier acknowledge that from time to time vulnerabilities in the Information Management System will be discovered which unless mitigated will present an unacceptable risk to the Government Data.

4.2 Where the Buyer is responsible for the delivery of the Information Management System, and the Supplier recognises any security vulnerability, the Supplier shall notify the Buyer promptly of the issue. Where the Supplier is responsible for delivery of the Information Management System, Paragraph 14 of Annex 3 shall apply.

5. Security by Design

5.1 The Supplier shall ensure that where it is responsible for the design of systems to Process Government Data, this shall be done in accordance with:

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- 5.1.1 the NCSC "Security Design Principles for Digital Services", a copy of which can be found at: <https://www.ncsc.gov.uk/guidance/security-design-principles-digital-services-main>;
- 5.1.2 the NCSC "Bulk Data Principles", a copy of which can be found at <https://www.ncsc.gov.uk/guidance/protecting-bulk-personal-data-main>;
- 5.1.3 the NSCS "Cloud Security Principles", a copy of which can be found at: <https://www.ncsc.gov.uk/collection/cloud-security?curPage=/collection/cloud-security/implementing-the-cloud-security-principlesprinciples> ;
- 5.1.4 the NCSC "Supply Chain Management" a copy of which can be found at: <https://www.ncsc.gov.uk/collection/supply-chain-security>;
- 5.1.5 the NCSC "Penetration Testing Guidance" a copy of which can be found at: <https://www.ncsc.gov.uk/guidance/penetration-testing>; and
- 5.1.6 any reasonable requirements identified by the Buyer from time to time and in accordance with Good Industry Practice.

6. Data Destruction and Deletion

- 6.1 Subject to Paragraph 2.1 of this Annex, where applicable in relation to information on the Supplier's systems or site under the Supplier's control, the Supplier shall, and shall ensure each Subcontractor who has access to the Government Data shall:
 - 6.1.1 prior to securely sanitising any Government Data or when requested, provide the Buyer with all Government Data in an agreed open format;
 - 6.1.2 securely erase in a manner agreed with the Buyer, any or all Government Data held by the Supplier when requested to do so by the Buyer;
 - 6.1.3 securely destroy in a manner agreed with the Buyer all media that has held Government Data at the end of life of that media in accordance with any specific requirements in this Contract and, in the absence of any such requirements, in accordance with Good Industry Practice and as agreed by the Buyer;
 - 6.1.4 ensure Sites used for the destruction of Government Data are included within the scope of an existing certification of compliance with ISO/IEC 27001:2013, subject to the Buyer agreeing the controls as indicated by the Statement of Applicability;
 - 6.1.5 implement processes which address the Centre for the Protection of National Infrastructure (CPNI) and NCSC guidance on secure sanitisation;
 - 6.1.6 are certified as compliant with the NCSC Assured Service (CAS) Service Requirement Sanitisation Standard or an alternative standard as agreed by the Buyer; and

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- 6.1.7 provide the Buyer with formal assurance and evidence of any erasure or destruction occurring pursuant to Paragraph 6 of this Annex (typically in the form of a certificate of destruction).
- 6.2 The Supplier shall provide the Buyer with evidence of its and its Subcontractors' compliance with the requirements set out in this Paragraph before the Supplier or the relevant Subcontractor (as applicable) may carry out the secure destruction of any Government Data.

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Annex 3

Supplier's systems: Security Testing, Security Monitoring and Reporting Procedures

1 Application of this Annex

- 1.1 The provisions of this Annex apply in addition to those set out in Annex 2 where the Supplier (and/or its Subcontractors) are processing Government Data on the Supplier's or Subcontractor's own systems.

2 Security Classification of Information

- 2.1 This Annex defines the further security requirements and assurance process for the Supplier to Process Government Data which is classified up to the Government Security Classifications standard of 'OFFICIAL-SENSITIVE'.

3 Supplier's Information Security Management System

- 3.1 The Supplier shall maintain and operate an Information Security Management System ("ISMS"). The ISMS shall:
- 3.1.1 be owned and approved by Supplier senior management;
 - 3.1.2 cover the entire scope of environments that handle, support or affect Government Data and the Buyer's system;
 - 3.1.3 be created in line with accepted industry standards, including ISO27001, NIST guidance, National Cyber Security Centre (NCSC) advice, as well as specific requirements identified by the Buyer, and Good Industry Practice;
 - 3.1.4 be actively maintained and reviewed on an annual basis from the Call-Off Start Date, as well as in response to relevant incidents, threats and other changes that would necessitate a review of controls;
 - 3.1.5 be supported through policy such that compliance and operation of the ISMS is a mandatory part of all Supplier Staff job performance;
 - 3.1.6 provide for the identification of risks to the Supplier, Government Data and the Buyer System, as well as the appropriate remediation of these risks in line with an agreed risk appetite;
 - 3.1.7 be made available by the Supplier for review by the Buyer for approval;

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- 3.1.8 be updated in response to identified security gaps, emerging security threats or risk areas, relevant internal or external factors, and reasonable requests by the Buyer; and
- 3.1.9 provide for appropriate protective monitoring and incident response measures such that incidents affecting Government Data are identified in a timely manner, and appropriate plans and processes exist to ensure this is performed in a repeatable manner. These plans shall be included for Buyer review.

4 Principles of Security

- 4.1 The Supplier acknowledges that the Buyer places great emphasis on the confidentiality, integrity and availability of the Government Data and, consequently on the security of:
 - 4.1.1 the Supplier's system(s) used to deliver the service to the Buyer;
 - 4.1.2 the Supplier Solution;
 - 4.1.3 the Deliverables; and
 - 4.1.4 the Supplier's corporate security measures
- 4.2 Notwithstanding the involvement of the Buyer in assessing the arrangements which the Supplier shall implement in order to ensure the security of the Government Data and the Information Management System, the Supplier shall be, and shall remain, responsible for:
 - 4.2.1 the security, confidentiality, integrity and availability of the Government Data whilst that Government Data is under the control of the Supplier or any of its Subcontractors; and
 - 4.2.2 the security of the Information Management System.
- 4.3 The Supplier shall provide the Buyer with access to members of its information security personnel to facilitate the Buyer's assessment of the Supplier's compliance with its obligations set out in this Schedule at reasonable times on reasonable notice.
- 4.4 The Supplier shall ensure, at all times during the Call-Off Contract Period, that the Supplier and each Subcontractor who is responsible for any Government Data have documented processes to ensure the availability of Government Data in the event of the Supplier or Subcontractor ceasing to trade.
- 4.5 Where the Supplier subcontracts any activities supporting the delivery of the Deliverables, the Supplier shall be responsible for documenting relevant Subcontractors' compliance with the measures contained herein to the same standard that the Supplier

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is required to document. Such evidence of compliance shall be provided to the Buyer at the Buyer's request, and always prior to any release of information that has not been previously approved. The Buyer reserves the right to reject the Supplier's use of any Subcontractor where such Subcontractor's compliance with applicable security requirements cannot be appropriately assured.

- 4.6 The Supplier shall implement such additional measures as may be agreed with the Buyer from time to time in order to ensure that Government Data is safeguarded in accordance with applicable Standards.
- 4.7 In rare cases an external factor may require the enhancement of the provisions of this Annex 3, (for example the compromise of a previously trusted encryption algorithm). If and when these cases occur, the Supplier shall:
 - 4.7.1 notify the Buyer of the relevant external factor requiring an enhancement of the provisions of this Annex 2; and
 - 4.7.2 implement appropriate compensating controls to mitigate these new risks, subject to approval by the Buyer.

5 Security Assurance Statement

- 5.1 The Supplier may not use the Information Management System to Process Government Data unless and until:
 - 5.1.1 the Supplier has provided a statement to the Buyer presenting the residual security risks associated with the Information Management System and confirming and detailing the Supplier's compliance with the Security Assurance Requirements (a "**Security Assurance Statement**"); and
 - 5.1.2 the Buyer has issued the Supplier with an Information Security Approval Statement.
- 5.2 The Buyer shall review the Security Assurance Statement as soon as possible (and in any event within 20 Working Days of receipt) and shall either issue the Supplier with:
 - 5.2.1 an Information Security Approval Statement; or
 - 5.2.2 a rejection notice which shall set out the Buyer's reasons for rejecting the Security Assurance Statement. If the Buyer rejects the Security Assurance Statement, the Supplier shall take the Buyer's reasons into account in the preparation of a revised Security Assurance Statement, which the Supplier shall submit to the Buyer for review within 10 Working Days or such other timescale as agreed with the Buyer.

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6 Security Assurance Requirements

6.1 The Supplier shall provide a high-level design of the Supplier's system, which illustrates elements of the Supplier's system provided directly by the Supplier and sub-contracted systems used to deliver the Deliverables to the Buyer.

6.2 The Supplier shall, and shall ensure that each Subcontractor which Processes Government Data:

6.2.1 is certified with ISO/IEC 27001:2013 or latest edition, by a United Kingdom Accreditation Service (UKAS) approved certification body or is included within the scope of an existing certification of compliance with ISO/IEC 27001:2013, with a scope sufficient to cover the Deliverables and the Information Management System throughout the Call-Off Contract Period, which includes the sub processors and Subcontractors of the Deliverables, and provides the Buyer with a copy of each such certificate (the "**Certification Requirement(s)**"). The Statement of Applicability for the relevant ISO/IEC 27001 implementation shall be made available for the Buyer to review prior to acceptance of the Supplier's ISO 27001 certification;

6.2.2 completes a self-assessment and maintains registration with the DSP Toolkit (<https://www.dsptoolkit.nhs.uk/>);

6.2.3 provides a statement of compliance, and maintains such compliance, of the Supplier's system, and that of its Subcontractors of being compliant with the Data Protection Legislation;

6.2.4 provides and updates a list of all of the Subcontractors used to deliver the Deliverables to the Buyer; and

6.2.5 completes the Information Security Management Document Set in Annex 4 and documents in the Information Security Management Document Set how the Supplier and its Subcontractors shall comply with the requirements set out in this Schedule and the Contract in order to ensure the security of the Government Data and the Information Management System;

and the requirements of Paragraphs 6.2.1 to 6.2.5 together constitute the "Security Assurance Requirements".

6.3 The Supplier shall notify the Buyer as soon as reasonably practicable and, in any event within 2 Working Days, if the Supplier or any Subcontractor ceases to be compliant with the Security Assurance Requirements and, as directed by the Buyer, shall or shall procure that the relevant Subcontractor shall:

6.3.1 immediately cease using the Government Data; and

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6.3.2 promptly return, destroy and/or erase the Government Data in accordance with the requirements set out in Paragraph 6 of Annex 2 to this Schedule.

6.4 Where such a lack of compliance would constitute a high risk of sensitive information disclosure, the Supplier shall institute the Incident Management Process.

7 End User Devices

7.1 The Supplier shall ensure that any Government Data which resides on a mobile, removable or physically uncontrolled device is stored and encrypted, in line with NCSC guidance on End User Devices (EUD), by using a product or system component which has been formally assured through a recognised certification process agreed with the Buyer except where the Buyer has given its prior written consent to an alternative arrangement.

7.2 The Supplier shall ensure that any device which is used to Process Government Data meets all of the security requirements set out in the NCSC End User Devices Platform Security Guidance, a copy of which can be found at: <https://www.ncsc.gov.uk/guidance/end-user-device-security>.

8 Protecting Data in Transit

8.1 The Supplier shall ensure that any Government Data which it causes to be transmitted over any public or private network (including the internet, mobile networks or unprotected enterprise network) or to a mobile device shall be encrypted when transmitted, to a minimum standard TLS1.2 configured to NCSC standards as set out in the NCSC guidance on Using TLS to Protect Data, a copy of which can be found at: <https://www.ncsc.gov.uk/guidance/tls-external-facing-services>.

9 Identity, Authentication and Access Control

9.1 The Supplier shall operate an access control regime to ensure:

9.1.1 all users and administrators of the Supplier's system are uniquely identified and authenticated, to a minimum standard of AAL2 or AAL3, when accessing or administering the Deliverables. Unless otherwise specified, the default standard shall be AAL2; and

9.1.2 all persons who access the sites are identified and authenticated to a level commensurate with Good Industry Practice bearing in mind the activity that occurs, and the Government Data stored or systems hosted at the relevant sites.

9.2 The Supplier shall apply the 'principle of least privilege' when allowing Supplier Staff access to the Supplier managed systems and sites so that such persons are allowed

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access only to those parts of the sites and systems they require for the fulfilment of their responsibilities in relation to the provision of the Deliverables.

- 9.3 The Supplier shall retain records of access to the sites and to the Supplier's system and shall make such records available to the Buyer on request. The Supplier shall proactively monitor access records for suspicious access events and investigate any suspicious activity.

10 Audit and Protective Monitoring

- 10.1 The Supplier shall collect audit records which relate to security events in a Security Information and Event Management System (SIEM) or an equivalent set of tools and processes. This information must be maintained to a standard that will provide for the review and investigation of incidents, events, and false positives, as well as suspected cases of the previous, after the fact. In order to facilitate effective monitoring and forensic readiness such Supplier audit records should (as a minimum) include regular reports and alerts setting out details of access by users of the Information Management System, to enable the identification of (without limitation) changing access trends, any unusual patterns of usage or accounts accessing higher than average amounts of Government Data, unusual movements of data, as well as all privileged access events and high risk system configuration changes (such as enabling connectivity, changing system software, enabling or disabling of system services or logs).
- 10.2 The Supplier and the Buyer shall work together to establish any additional audit and monitoring requirements for the core Information Management System.
- 10.3 The retention periods for audit records and event logs must be agreed with the Buyer and documented in the Information Security Management Document Set.

11 Compliance Reviews

- 11.1 The Supplier shall regularly review and update the Information Security Management Document Set, and provide such to the Buyer, at least once each year, and upon any material change to the Information Management System and as required by this Paragraph 11. Alongside any updated Information Security Management Document Set, the Supplier shall provide a summary of the changes made.
- 11.2 The Supplier shall notify the Buyer of all planned significant changes to the components or architecture of the Deliverables, and within 2 Working Days after becoming aware of any unplanned significant change to the components or architecture of the Deliverables, and shall not proceed or reverse such change unless the Buyer gives its written consent to such change within 10 Working Days of notification.
- 11.3 The Supplier shall notify the Buyer within the appropriate timescales (see below) after becoming aware of:

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- 11.3.1 a new risk to the components or architecture of the Deliverables;
 - 11.3.2 a vulnerability to the components or architecture of the Services which is classified 'Medium', 'High', 'Critical' or 'Important' in accordance with the classification methodology set out in Paragraph 14.2 of this Annex 3 to this Schedule;
 - 11.3.3 a change in the threat profile;
 - 11.3.4 a significant change to any risk component;
 - 11.3.5 a significant change in the quantity of Personal Data held within the Information Management System;
 - 11.3.6 a proposal to change any of the Sites from which any part of the Deliverables are provided;
 - 11.3.7 a change in any Subcontractor involved in the provision of the Deliverables; or
 - 11.3.8 an ISO 27001 audit report produced in connection with the Certification Requirements indicating significant concerns.
- 11.4 Any identified risks, vulnerabilities, or other security concerns that are rated as Critical shall be notified as soon as possible, and within one hour. Notification to include email, telephone and other measures, and the supplier must secure acknowledgement before considering this SLA to be met. For High, this period may be extended to 1 working day, and for all other topics the period is 2 Working Days.
- 11.5 Within 10 Working Days of such notification to the Buyer or such other timescale as may be agreed with the Buyer, the Supplier shall make the necessary changes to the Required Changes Register and submit the updated Required Changes Register to the Buyer for review and approval. Depending on the impact of the risks being mitigated, this timescale may be considerably shorter and the buyer reserves the right to require priority and / or emergency changes for remediation of Critical and High severity risks.
- 11.6 Where the Supplier is required to implement a change, including any change to the Information Management System, in order to remedy any non-compliance with this Contract, the Supplier shall effect such change at its own cost and expense and within the timescales set out in the Required Changes Register.
- 11.7 The Buyer may require, and the Supplier shall provide the Buyer and its authorised representatives with:
- 11.7.1 access to the Supplier Staff;

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- 11.7.2 access to the Information Management System to audit the Supplier and its Subcontractors' compliance with this Contract; and
- 11.7.3 such other information and/or documentation that the Buyer or its authorised representatives may reasonably require;
- 11.7.4 to assist the Buyer to establish whether the arrangements which the Supplier and its Subcontractors have implemented in order to ensure the security of the Government Data and the Information Management System are consistent with the representations in the Information Security Management Document Set. The Supplier shall provide the access required by the Buyer in accordance with this Paragraph within 10 Working Days of receipt of such request, except in the case of a Breach of Security in which case the Supplier shall provide the Buyer with the access that it requires within 24 hours of receipt of such request.

12 Security Testing

- 12.1 The Supplier shall, at its own cost and expense procure and conduct Security Testing of the Supplier's system, including any subcontracted systems used to provide the Deliverables to the Buyer. If specified by the Buyer this must be undertaken by a CHECK Service Provider, otherwise this may be undertaken by a service provider under the CREST, TIGER or Cyber scheme:
 - 12.1.1 Crest <https://www.crest-approved.org/>
 - 12.1.2 Tiger <https://www.tigerscheme.org/>.
- 12.2 All Security Testing must be scoped so as to provide a realistic assessment of the efficacy of the Supplier's ISMS and risk mitigations. Service providers carrying out Security Testing should be provided with the security designs that they are validating and reports should include an assessment as to whether the existing control set is in line with the expected mitigations.
- 12.3 The Supplier shall complete all of the Security Testing before the Supplier submits the Security Assurance Statement to the Buyer for review in accordance with Paragraph 5 of this Annex, and repeat the Security Testing not less than once every 12 months and upon any significant change to the Supplier's system during the Call-Off Contract Period and submit the results of each such test to the Buyer for review in accordance with this Paragraph.
- 12.4 Reports and results of the Security Testing shall be made available for Buyer review such that the Buyer can have confidence and assurance over the residual risk of the Supplier's system.
- 12.5 If Security Testing is required to be carried out by a CHECK Service Provider pursuant to Paragraph 12.1 the Supplier shall:

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- 12.5.1 agree with the Buyer the aim and scope of the relevant Security Testing; and
- 12.5.2 promptly, following receipt of each Security Testing report, provide the Buyer with a copy of the report.
- 12.6 in the event that the Security Testing report identifies any vulnerabilities, the Supplier shall prepare a remedial plan for approval by the Buyer (each a "**Vulnerability Correction Plan**") which sets out in respect of each vulnerability identified in the Security Testing report:
 - 12.6.1 how the vulnerability will be remedied;
 - 12.6.2 the date by which the vulnerability will be remedied; and
 - 12.6.3 the tests which the Supplier shall perform or procure to be performed (which may, at the discretion of the Buyer, include further Security Testing) to confirm that the vulnerability has been remedied.
- 12.7 The Supplier shall comply with the Vulnerability Correction Plan and conduct such further tests on the Supplier's system as are required by the Vulnerability Correction Plan to confirm that the Vulnerability Correction Plan has been complied with.
- 12.8 The Supplier shall ensure that any Security Testing which could adversely affect the Supplier's system shall be designed and implemented by the Supplier so as to minimise the impact, on the delivery of the Deliverables, for example by using a representative test environment, and the date, timing, content and conduct of such tests shall be agreed in advance with the Buyer.
- 12.9 If any testing conducted by or on behalf of the Supplier identifies a new risk new threat, vulnerability or exploitation technique that has the potential to affect the security of the Information Management System, the Supplier shall within 2 days of becoming aware of such risk, threat, vulnerability or exploitation technique provide the Buyer with a copy of the unredacted test report and:
 - 12.9.1 propose interim mitigation measures to vulnerabilities in the Information Management System known to be exploitable where a security patch is not immediately available; and
 - 12.9.2 where and to the extent applicable, remove or disable any extraneous interfaces, services or capabilities that are not needed for the provision of the Deliverables (in order to reduce the attack surface of the Supplier's system) within the timescales set out in the test report or such other timescales as may be agreed with the Buyer.
- 12.10 The Supplier shall conduct such further tests of the Supplier's system as may be required

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by the Buyer from time to time to demonstrate compliance with its obligations set out this Schedule and the Contract.

12.11 The Supplier shall notify the Buyer immediately if it fails to, or believes that it will not, mitigate the vulnerability within the timescales set out in this Annex.

13 Security Monitoring and Reporting

13.1 The Supplier shall:

13.1.1 monitor the delivery of assurance activities;

13.1.2 maintain and update the Security Assurance Statement in accordance with Paragraph 5 of this Annex;

13.1.3 monitor security risks impacting upon the operation of the Deliverables;

13.1.4 monitor the Information Management System for attempted Breaches of Security, including but not limited to, failed authentication, attempted brute force, indications of attempted denial of service attacks, attempted or actual data exfiltration, suspicious system alterations, and privileged access;

13.1.5 report actual or attempted Breaches of Security in accordance with the approved Incident Management Process; and

13.1.6 agree with the Buyer the frequency and nature of the security reports to be prepared and submitted by the Supplier to the Buyer within 30 days of the Start Date of this Call-Off Contract.

14 Vulnerabilities and Corrective Action

14.1 The Buyer and the Supplier acknowledge that from time to time vulnerabilities in the Information Management System will be discovered which unless mitigated will present an unacceptable risk to the Government Data.

14.2 The severity of vulnerabilities for Supplier COTS Software and Third Party COTS Software shall be categorised by the supplier as 'critical', 'important' and 'other' by aligning these categories to the vulnerability scoring according to the agreed method in the Information Security Management Document Set and using the appropriate vulnerability scoring systems including:

14.2.1 the 'National Vulnerability Database' 'Vulnerability Severity Ratings': 'High', 'Medium' and 'Low' respectively (these in turn are aligned to CVSS scores as set out by NIST at <http://nvd.nist.gov/cvss.cfm>); and

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- 14.2.2 Microsoft's 'Security Bulletin Severity Rating System' ratings 'Critical', 'Important', and the two remaining levels ('Moderate' and 'Low') respectively.
- 14.3 Subject to Paragraphs 14.4 and 14.5 and of this Annex, the Supplier shall procure the application of security patches to vulnerabilities in the core Information Management System within:
 - 14.3.1 2 days after the public release of patches for those vulnerabilities categorised as 'critical';
 - 14.3.2 30 days after the public release of patches for those vulnerabilities categorised as 'important'; and
 - 14.3.3 60 days after the public release of patches for those vulnerabilities categorised as 'other'.
- 14.4 Where a vulnerability is discovered or reasonably suspected to be under active exploitation upon discovery, or within the agreed remediation timeframe, and posing an active risk to Government Data, the timeframes set out in Paragraph 14.3 shall cease to apply and the remediation will be escalated as an emergency and progressed as soon as possible in active consultation with the Buyer.
- 14.5 The timescales for applying patches to vulnerabilities in the core Information Management System set out in Paragraph 14.3 of this Annex shall be extended (subject to Buyer agreement) where:
 - 14.5.1 the Supplier can demonstrate that a vulnerability in the core Information Management System is not exploitable within the context of the Deliverables (e.g. because it resides in a software component which is not involved in running in the Deliverables) provided such vulnerabilities shall be remedied by the Supplier within the timescales set out in Paragraph 14.3 of this Annex if the vulnerability becomes exploitable within the context of the Deliverables;
 - 14.5.2 the application of a 'Critical' or 'Important' security patch adversely affects the Supplier's ability to deliver the Deliverables in which case the Supplier shall be granted an extension to such timescales of 5 days, provided the Supplier had followed and continues to follow the security patch test plan agreed with the Buyer; or
 - 14.5.3 the Buyer agrees a different maximum period after a case-by-case consultation with the Supplier under the processes defined in the Information Security Management Document Set.
- 14.6 The Information Security Management Document Set shall include provisions for major version upgrades of all Supplier COTS Software and Third Party COTS Software to be kept up to date such that all Supplier COTS Software and Third Party COTS Software

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are always in mainstream support throughout the Call-Off Contract Period unless otherwise agreed by the Buyer in writing.

15 Breach of Security

15.1 If either Party becomes aware of an actual or attempted Breach of Security, it shall notify the other in accordance with the Incident Management Process.

15.2 The Incident Management Process shall, as a minimum, require the Supplier to do the following upon it becoming aware of a Breach of Security or attempted Breach of Security:

15.2.1 immediately take all reasonable steps necessary to:

- minimise the extent of actual or potential harm caused by such Breach of Security;
- remedy such Breach of Security to the extent possible;
- apply a tested mitigation against any such Breach of Security;
- prevent a further Breach of Security in the future which exploits the same root cause failure; and
- preserve any evidence that may be relevant to any internal, Buyer or regulatory investigation or criminal or legal proceedings;

15.2.2 notify the Buyer immediately upon becoming aware of a Breach of Security or attempted Breach of Security or circumstances that are likely to give rise to a Breach of Security, providing the Buyer with sufficient information to meet any obligations to report a Breach of Security involving any Personal Data under the Data Protection Legislation; and

15.2.3 as soon as reasonably practicable and, in any event, within 2 Working Days, following the Supplier becoming aware of the Breach of Security or attempted Breach of Security, provide to the Buyer full details of the Breach of Security or attempted Breach of Security, including a root cause analysis where required by the Buyer.

15.3 In the event that any action is taken in response to a Breach of Security or attempted Breach of Security as a result of non-compliance by the Supplier, its Subcontractors and/or all or any part of the Information Management System with this Contract, then such remedial action shall be completed at no additional cost to the Buyer.

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16 Termination Rights

16.1 Without limitation, the following events shall constitute a material Default giving the Buyer a right to terminate for cause pursuant to Clause 10.4.1(d) of the Core Terms:

16.1.1 the Buyer issues two rejection notices in respect of the Security Assurance Statement;

16.1.2 the Supplier fails to implement a change required by the Required Changes Register in accordance with the timescales set out in the Required Changes Register;

16.1.3 the Supplier fails to patch vulnerabilities in accordance with Paragraph 14 of Annex 3;

16.1.4 the Supplier materially fails to comply with the Incident Management Process;

16.1.5 the Supplier fails to meet the Certification Requirements;

16.1.6 the Supplier fails to comply with any Vulnerability Correction Plan; or

16.1.7 the Supplier experiences an event analogous to a Breach of Security in respect of its own or any other customers' data and any contributing factor to such event:

- a) would be a cause for termination pursuant to this Paragraph 16 had such event been a Breach of Security pursuant to this Contract; or
- b) demonstrates a failure to meet the requirements of this Schedule that gives the Buyer a right to terminate pursuant to this Paragraph 16.

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Annex 4

Information Security Management Document Set Template

The Information Security Management Document Set Template is required to be completed	<input checked="" type="checkbox"/>
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The template may be found as a stand-alone file associated with this schedule.

Call-Off Schedule 10A (Health Exit Management)

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Call-Off Schedule 10A (Health Exit Management)

1 Definitions

- 1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

“Exit Plan” means the Exit Plan to be agreed by the parties in accordance with the provisions of Call-Off Schedule 10A; and

“Final Exit Plan” has the meaning given to it in paragraph 4.1 of Call-Off Schedule 10A.

2 Handovers between Statements of Work

- 2.1 Every Statement of Work must include, as part of its final activities, provisions for handover to any subsequent and dependent Statement of Works.
- 2.2 Handovers should include any necessary documentation, training, and data necessary to allow for successful transition or exit, should the latter be decided upon.

3 Exit Plan

3.1 Introduction

- 3.1.1 Within 2 months of the Start Date (or as otherwise agreed between the Buyer and Supplier), the Supplier shall prepare a draft Exit Plan in accordance with Good Industry Practice and the provisions set out below, and shall provide such draft Exit Plan to the Buyer to review and approve.
- 3.1.2 The Buyer and the Supplier shall together review the draft Exit Plan, and shall aim to agree the draft Exit Plan within 3 months of the Start Date.
- 3.1.3 The Supplier shall at any time during the Call-Off Contract Period provide an updated draft Exit Plan where the provision of the Deliverables materially changes and this impacts the provisions of the Exit Plan.
- 3.1.4 The Parties shall annually jointly review, and the Supplier shall update if necessary, the provisions of the Exit Plan.

3.2 Content of Plan

- 3.2.1 The Supplier shall ensure that the Exit Plan facilitates a Service Transfer to

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the Buyer or a Replacement Supplier on expiry or termination of the Call Off Contract.

3.2.2 As a minimum the Exit Plan will include:

- Provision of / access to key Service information, workbook data, Supplier data, key Buyer processes and requirements, and TUPE information;
- Management structure throughout the exit;
- Roles and Responsibilities, which may include:

Role	Responsibilities
Exit Manager	Management of all Workstreams, including Communications and Finance
Project Management Support	Support across all Workstreams
Framework Director	Project Governance
Data Lead	Data & Reporting Workstreams
Technology Lead	Technology Workstream
TUPE lead	People Workstream
Supplier Lead	Supplier Management Workstream
Operations and Delivery Lead	Operations & WIP Workstreams

- Activities and timeline for the exit - The exact nature of the activities and the timelines associated with them will be dependent on the planning and activities defined by the Buyer and the Replacement Supplier, most notably the timelines and phasing of the specific Buyer roll outs, and the associated implications. The Exit Plan should nevertheless incorporate indicative timescales and milestones with these to be firmed up by agreement between the Parties no later than an agreed timespan before the date of expiry or termination;
- Logical workstreams into which the activities will be organised, which may, for example, include:

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Workstream	Key Activities
Project Governance	Identify Exit Manager
	Identify Data Lead
	Identify Exit Board and key sponsors
	Understand scope and scale of new service, phasing, etc
	Confirm exit activities and timelines
	Establish and maintain RAID Log
	Align exit activities to agreed exit timelines
	Sign off detailed plan and activities
	Identify Project Workstream contributors
Technology	Agree timeline to control closure of access to any Buyer Systems
Data	The Supplier to review data requests and provide workforce data in reasonable format and frequency.
	Supplier to provide a final data cut during hold/freeze period in line with WIP requirements
	Agree data archiving approach and data deletion as required by the Buyer, in line with GDPR & contractual requirements.
	Agree how data will be transferred at exit, including encryption
	Buyer data requirements to be finalised re retirement of incumbent workflow
Operations & Delivery	Provide Buyer specific process maps and variations
	Provide responses to reasonable Replacement Supplier clarification requests
People	Provide a point of contact in HR to agree TUPE timelines & approach

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Workstream	Key Activities
	Activities as required to comply with Part E of Call-Off Schedule 2 (<i>Staff Transfer</i>)
Supplier Management	Provide all current suppliers and contact details
	Support reasonable communications to suppliers and issue any required communications
	Manage billing closure with Supplier
Communications and Change Management	Feed into communications plan
	Feed into communications drafting
	Ensure all relevant Supplier teams understand activities/ progress of exit / agreed messaging
	Fully brief helpdesk on FAQs and messaging
	Issue communications to workers and suppliers as per plan
	Provide input to change impact assessment
Reporting	Provide a detailed overview of current reporting suite detailing key criteria, recipients and frequency
Work in Progress Transition (WIP)	Agree process & commercial arrangements for WIP transition
	Support data cleanse activity with a final data cut submitted to incoming service provider
	Support WIP freeze on raising new requisitions and worker changes
Finance	Provide final billing and confirm final time sheeting details
	Support in closing down purchase orders (if applicable)
	Support communication to workers and suppliers on billing transition

- Details of the transition of Deliverables, processes, data etc during the

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exit;

- Details of how technologies and accesses will be retired;
- Issue management governance structure; and
- Key assumptions, which may, for example, include;
 - Data Requests – to be reasonable, specific and where necessary have clear articulation of why such data is required;
 - Response Timelines – timelines for activities and data requests to be reasonable and reflect the work effort required in producing / executing;
 - Active Engagement –Supplier to be kept fully informed of Buyer progress and updates; and
 - Buyer Points of Contact –provide dedicated resource to support in the management of the exit and help manage issues and escalations.

4 Exit Management

4.1 The Supplier agrees that within 20 Working Days of the earliest of:

- 4.1.1 receipt of a notification from the Buyer of a Service Transfer or intended Service Transfer;
- 4.1.2 receipt of the giving of notice of early termination or any Partial Termination of the relevant Contract;
- 4.1.3 the date which is 12 Months before the end of the Term; and
- 4.1.4 receipt of a written request of the Buyer at any time,

the Supplier shall provide a complete set of information it is required to provide under the Exit Plan and the Parties shall agree the dates for completion of the activities set out in the Exit Plan. The Exit Plan, once populated with dates for the completion of activities ("**Final Exit Plan**") shall govern exit and transition of the Deliverables.

4.2 In relation to the delivery of the activities in a Final Exit Plan for a Service Transfer, the Supplier shall provide all reasonable co-operation and collaboration with the Buyer and Replacement Supplier including to agree aligned dates and to perform, and facilitate the performance of, aligned activities.

4.3 To the extent it does not adversely affect the Supplier's performance of any remaining Deliverables, then for the purposes of executing a Final Exit Plan, the Supplier shall:

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- 4.3.1 cease to use the Government Data (subject to paragraph 4.5);
- 4.3.2 comply with the deletion requirements described in paragraph 4.4 as impacted by paragraph 4.5;
- 4.3.3 return to the Buyer all of the following if it is in the Supplier's possession or control:
 - all copies of Buyer Software licensed or provided by the Buyer;
 - all materials and documents owned by the Buyer; and
 - any other Buyer Assets provided by the Buyer.
- 4.4 Subject to paragraph 4.5, the Supplier shall as soon as reasonably practicable after termination of the Deliverables return (if required by the Buyer) all Government Data and any copies of it or of the information it contains, and in any case securely and irrevocably delete from its systems the Government Data in accordance with the applicable provisions of Call Off Schedule 9A (Health Security). The Supplier shall certify that all copies of the Government Data have been deleted within a reasonable time and in any event not later than 90 days after termination of the Deliverables.
- 4.5 The Supplier may continue to Process Personal Data contained within the Government Data following termination of the Deliverables to the extent necessary to support access by the Controllers to historical activity or audit data contained in the Supplier's systems where set out as required and in accordance with the conditions set out in Joint Schedule 11 (Processing Data).
- 4.6 When the Supplier believes that it has completed all activities in a Final Exit Plan, the Supplier shall notify the Buyer who shall then assess whether it is satisfied that the activities have been successfully completed. If the Buyer agrees that the Supplier has completed all of the required activities for that particular Final Exit Plan, it shall confirm its agreement in writing. If the Buyer does not agree with the Supplier's assertion that it has completed all of the required activities, then it shall notify the Supplier of the reasons why and following receipt of such reasons, the Supplier shall complete the required outstanding actions in a timeframe as will be reasonably agreed between the Parties.

5 Confidential Information

- 5.1 Subject to the requirements of Joint Schedule 11 (Processing Data) in relation to data retention, return and destruction, upon termination or expiry of this Call Off Contract, each Party shall return to the other Party (or if requested, destroy or delete) all Confidential Information of the other Party and shall

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certify that it does not retain the other Party's Confidential Information save to the extent (and for the limited period) that such information needs to be retained by the Party in question for the purposes of completing a Service Transfer or for statutory compliance purposes. The parties agree that any Personal Data will be managed in accordance with Joint Schedule 11 (Processing Data).

- 5.2 The Supplier agrees that any Final Exit Plan agreed pursuant to the process described in paragraph 4.1 may be shared with CCS and with the Replacement Supplier(s).

6 Charges

- 6.1 Each Party shall bear its own costs in relation to the performance of its obligations described in this schedule.

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Part A - Implementation

1. DEFINITIONS

- 1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

"Delay"	means <ul style="list-style-type: none">a) a delay in the Achievement of a Milestone by its Milestone Date; orb) a delay in the design, development, testing or implementation of a Deliverable by the relevant date set out in the Implementation Plan;
"Deliverable Item"	means an item or feature in the supply of the Deliverables delivered or to be delivered by the Supplier at or before a Milestone Date listed in the Implementation Plan;
"Handover Date"	means the date on which the Incumbent Provider hands over services and/or activities back to the Buyer or another Supplier named by the Buyer;
"Implementation Plan"	means the set of planning tools (ranging from a traditional Gannt chart through to Agile tools such as Roadmaps, EPIC boards, etc) which may be employed to plan implementation, and includes the Transition Plan;
"Key Milestone Date"	means a Milestone Date which, if not met, may result in liabilities or Delay Payments;
"Milestone Payment"	means a payment identified in the Implementation Plan to be made following the issue of a Satisfaction Certificate in respect of Achievement of the relevant Milestone;

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“Mobilisation Date”	means the date on which individual Supplier workers are required to start Buyer related work as identified in an appropriate mobilisation plan;
“Transition Period”	has the meaning given to it in Paragraph 8.2;
“Transition Plan”	means the plan used to transfer activities and/or Services from the Supplier to the Buyer or from the Supplier to another supplier nominated by the Buyer.

2. THE IMPLEMENTATION PLAN WITHIN THE CONTEXT OF AGILE

- 2.1 Agile development allows for greater refinement and iteration during development and therefore implementation may involve a diverse set of tools, including but not limited to:
- Roadmaps (of different shapes and sizes);
 - EPIC Boards;
 - VMOST Mission Boards; and
 - a wide variety of more granular visual techniques such as Sprint Boards, Kanban Card Walls, etc.
- 2.2 In addition to, or as an alternative to, the traditional Gantt chart type plan, the Buyer may request one or more of the Agile mechanisms described at paragraph 2.1 as part of an Implementation Plan. Annex 3 of this Part A provides a list of the planning tools which may be requested by the Buyer.
- 2.3 The provisions of this Schedule shall apply regardless of any planning or implementation tools requested by the Buyer.

3. AGREEING AND FOLLOWING THE IMPLEMENTATION PLAN

- 3.1 A draft of the Implementation Plan for the Call-Off Contract is set out at Annex 1 to this Schedule. The Supplier shall provide a further draft Implementation Plan with the number of days after the Call-Off Contract Start Date specified within Framework Schedule 6A (Health Order Form) under the heading of Further Implementation Plan.
- 3.2 Each Statement of Work may include an Implementation Plan and Milestones specific to that Statement of Work. This shall form a subset of the Call-Off Contract Implementation Plan at a more detailed level of granularity and shall be as set out in the relevant Statement of Work.
- 3.3 This Schedule shall apply, where relevant, to any Implementation Plan regardless of whether at Call-Off Contract level or Statement of Work level.

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- 3.4 The draft Implementation Plan:
- 3.4.1 must contain information at the level of detail necessary to manage the implementation stage effectively and as the Buyer may otherwise require; and
 - 3.4.2 shall take account of all dependencies known to, or which should reasonably be known to, the Supplier.
- 3.5 Following receipt of the draft Implementation Plan from the Supplier, the Parties shall use reasonable endeavours to agree the contents of the Implementation Plan. If the Parties are unable to agree the contents of the Implementation Plan within twenty (20) Working Days of its submission, then such Dispute shall be resolved in accordance with the Dispute Resolution Procedure.
- 3.6 The Supplier shall aim to provide each of the Deliverable Items identified in the Implementation Plan by the date assigned to that Deliverable Item in the Implementation Plan with the aim of ensuring that each Milestone identified in the Implementation Plan is Achieved on or before its Milestone Date.
- 3.7 The Supplier shall monitor its performance against the Implementation Plan and Milestones (if any) and report to the Buyer on such performance.
- 3.8 The Buyer shall identify any Key Milestone Dates which, if missed, will result in liabilities or Delay Payments being incurred. The Key Milestone Dates are as laid out in Annex 2.
- 3.9 The Supplier shall ensure that the critical path leading to any such Key Milestone Dates is clearly identified. In the event that planned Milestone Dates which lie on such a critical path are missed the Supplier shall take appropriate action to rectify and/or recover progress (which may include completion of a Rectification Plan).

4. REVIEWING AND CHANGING THE IMPLEMENTATION PLAN

- 4.1 Subject to Paragraph 4.3, the Supplier shall keep the Implementation Plan under review in accordance with the Buyer's instructions and ensure that it is updated on a regular basis.
- 4.2 The Buyer shall have the right to require the Supplier to include any reasonable changes or provisions in each version of the Implementation Plan.
- 4.3 If operating under the Fixed Price model, changes to any Milestones, Milestone Payments and Delay Payments shall only be made in accordance with the Variation Procedure.
- 4.4 Under the Incremental Fixed Price model, it is anticipated that Milestones and Milestone Payments will be refined up to the point of being fixed. Once fixed, changes to Milestones and Milestone Payments shall only be made in accordance with the Variation Procedure.

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- 4.5 Under both the Incremental Fixed Price and Capped Time and Materials models, changes to Key Milestone Dates shall only be made in accordance with the Variation Procedure.
- 4.6 Time in relation to compliance with the Implementation Plan shall be of the essence and failure of the Supplier to meet any Key Milestone Dates shall be a material Default.

5. SECURITY REQUIREMENTS BEFORE ANY MOBILISATION DATES

- 5.1 The Supplier shall note that it is incumbent upon them to understand the lead-in period for security clearances and ensure that all Supplier Staff have the necessary security clearance in place before any identified Mobilisation Date.
- 5.2 Prior to a team commencing activity (for example at the beginning of a Statement of Work), the Supplier shall ensure that this requirement is reflected in their Implementation Plans.
- 5.3 The Supplier shall ensure that all Supplier Staff and Subcontractors do not access the Buyer's IT systems, or any IT systems linked to the Buyer, unless they have satisfied the Buyer's security requirements.
- 5.4 The Supplier shall be responsible for providing all necessary information to the Buyer to facilitate security clearances for Supplier Staff and Subcontractors in accordance with the Buyer's requirements.
- 5.5 The Supplier shall provide the names of all Supplier Staff and Subcontractors and inform the Buyer of any alterations and additions as they take place throughout the Call-Off Contract.
- 5.6 The Supplier shall ensure that all Supplier Staff and Subcontractors requiring access to the Buyer Premises have the appropriate security clearance. It is the Supplier's responsibility to establish whether or not the level of clearance will be sufficient for access. Unless prior approval has been received from the Buyer, the Supplier shall be responsible for meeting the costs associated with the provision of security cleared escort services.
- 5.7 If a property requires Supplier Staff or Subcontractors to be accompanied by the Buyer's Authorised Representative, the Buyer must be given reasonable notice of such a requirement, except in the case of emergency access.

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6. WHAT TO DO IF THERE IS A DELAY

- 6.1 If the Supplier becomes aware that there is, or there is reasonably likely to be, a Delay under this Contract it shall:
- 6.1.1 notify the Buyer as soon as practically possible and no later than within two (2) Working Days from becoming aware of the Delay or anticipated Delay;
 - 6.1.2 include in its notification an explanation of the actual or anticipated impact of the Delay;
 - 6.1.3 comply with the Buyer's instructions in order to address the impact of the Delay or anticipated Delay; and
 - 6.1.4 use all reasonable endeavours to eliminate or mitigate the consequences of any Delay or anticipated Delay.

7. COMPENSATION FOR A DELAY

- 7.1 If Delay Payments have been included in the Implementation Plan and a Milestone has not been Achieved by the relevant Key Milestone Date, the Supplier shall pay to the Buyer such Delay Payments (calculated as set out by the Buyer in the Implementation Plan) and the following provisions shall apply:
- 7.1.1 the Supplier acknowledges and agrees that any Delay Payment is a price adjustment and not an estimate of the Loss that may be suffered by the Buyer as a result of the Supplier's failure to Achieve the corresponding Milestone;
 - 7.1.2 if included within the Implementation Plan, Delay Payments shall be the Buyer's exclusive financial remedy for the Supplier's failure to Achieve Milestones by the relevant Key Milestone Date(s) except where:
 - (a) the Buyer is otherwise entitled to or does terminate this Contract pursuant to Clause 10.4 (When CCS or the Buyer can end this contract); or
 - (b) the delay exceeds the number of days (the "**Delay Period Limit**") specified in the Implementation Plan commencing on the relevant Key Milestone Date;
 - 7.1.3 the Delay Payments will accrue on a daily basis from the relevant Key Milestone Date until the date when the Milestones leading to that Key Milestone Date are Achieved;
 - 7.1.4 no payment or other act or omission of the Buyer shall in any way affect the rights of the Buyer to recover the Delay Payments or be

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deemed to be a waiver of the right of the Buyer to recover any such damages; and

- 7.1.5 Delay Payments shall not be subject to or count towards any limitation on liability set out in Clause 11 (How much you can be held responsible for).

8. TRANSITION PLAN

Applies if a Transition Plan is called for within Framework Schedule 6A (Order Form)

- 8.1 The Transition Plan forms part of the overall Implementation Plan
- 8.2 The Transition Period will be a Six (6) Month period for e-RS and a three (3) Month period for Wayfinder.
- 8.3 During the Transition Period, the Incumbent Provider shall retain full responsibility for all existing activities and Services until the Handover Date or as otherwise formally agreed with the Buyer. The Supplier's full service obligations shall formally be assumed on the Handover Date as set out in the Order Form.
- 8.4 In accordance with the Transition Plan, the Supplier shall:
- 8.4.1 work cooperatively and in partnership with the Buyer, the Incumbent Provider, and other suppliers, where applicable, to understand the scope of Services to ensure a mutually beneficial handover of the Services;
 - 8.4.2 work with the Incumbent Provider and Buyer to assess the scope of the Services and prepare a plan which demonstrates how they will mobilise the Services;
 - 8.4.3 liaise with the Incumbent Provider to enable the full completion of the Transition Period activities; and
 - 8.4.4 produce a Transition Plan, to be agreed by the Buyer, for carrying out the requirements within the Transition Period including Key Milestones and dependencies.
- 8.5 The Transition Plan will include detail stating:
- 8.5.1 how the Supplier will work with the Incumbent Provider and the Buyer to capture, transfer and load up information such as software, documentation, pertinent knowledge, data and other information; and
 - 8.5.2 a communications plan, as appropriate and as requested by the Buyer, to be produced and implemented by the Supplier, but to be agreed with the Buyer, including the frequency, responsibility for

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and nature of communication with the Buyer and end users of the Services.

8.6 In addition, the Supplier shall:

- 8.6.1 appoint a Supplier Authorised Representative who shall be responsible for the management of the Transition Plan, to ensure that the Transition Period is planned and resourced adequately, and who will act as a point of contact for the Buyer;
- 8.6.2 mobilise all the Services specified in the Specification within the Call-Off Contract;
- 8.6.3 if appropriate and specifically requested by the Buyer, produce a Transition Plan report for each Buyer Premises to encompass activities that will fulfil all the Buyer's obligations to landlords and other tenants:
 - (a) the format of reports and programmes shall be in accordance with the Buyer's requirements and particular attention shall be paid to establishing the operating requirements of the occupiers when preparing these activities which are subject to the Buyer's approval; and
 - (b) the Parties shall use reasonable endeavours to agree the contents of the report but if the Parties are unable to agree the contents within twenty (20) Working Days of its submission by the Supplier to the Buyer, then such Dispute shall be resolved in accordance with the Dispute Resolution Procedure.
- 8.6.4 manage and report progress against the Transition Plan;
- 8.6.5 construct and maintain a Transition Period risk and issue register in conjunction with the Buyer detailing how risks and issues will be effectively communicated to the Buyer in order to mitigate them;
- 8.6.6 attend progress meetings (frequency of such meetings shall be as set out in the Order Form) in accordance with the Buyer's requirements during the Transition Period. Transition meetings shall be chaired by the Buyer and all meeting minutes shall be kept and published by the Supplier; and
- 8.6.7 ensure that all risks associated with the Transition Period are minimised to ensure a seamless change of control between Incumbent Provider and the Supplier.

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Annex 1: Call-Off Contract Implementation Plan

Refer to individual Statements of Work for Implementation Plans and milestone specific to those Statements of Work.

Note that Key Milestone Dates (which have a commercial impact if not Achieved) are set out in Annex 2. Key Milestone Dates are Achieved on completion of several non-critical Milestones.

The Call-Off Contract Implementation Plan is set out below and the Milestones to be Achieved are identified below:

Milestone	Deliverable Items	Milestone Date	Buyer Responsibilities	Reference to Acceptance Criteria	Milestone Payment (if applicable)	Applicable Delay Payment(s)	Required
1	Provide an up-to-date transition and implementation plan for Buyer review	10 working days prior to the Call-Off contract start date (unless agreed otherwise between the parties)	To provide appropriate and reasonable support to enable the Supplier to develop and complete the required transition and implementation plans	The Supplier will present its transition and implementation plans demonstrating how it will safely and successfully assume the responsibilities outlined in this Call-Off contract including the onboarding of resources			Y

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Milestone	Deliverable Items	Milestone Date	Buyer Responsibilities	Reference to Acceptance Criteria	Milestone Payment (if applicable)	Applicable Delay Payment(s)	Required
2	Transition and Implementation Plans agreed per SOW	10 working days post signing of the Call-Off contract (unless agreed otherwise between the parties)	To review the Suppliers Transition and Implementation Plan (engaging with the Supplier where required) and sign it off if appropriate	Buyers' acceptance of the Supplier's Transition and Implementation Plan			

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Annex 2: Key Milestone Dates

All Milestones listed in Annex 1 with a Milestone Date which precedes the Key Milestone Date listed below are required to be completed and accepted in order for a Key Milestone Date to be considered to have been met

Key Milestone	Key Milestone Description	Pre-requisite Milestones (from Annex 1)	Key Milestone Date	Delay Payments	Required
Not used	Not used	Not used			N

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Annex 3: Planning Tools

The following table provides a list of planning tools which may be required by the Buyer.

Notes:

1. This list is non-exclusive, and the Buyer may elect to include other information.
2. This list is also illustrative and non-exhaustive. It is anticipated the Buyer will review and edit these tables as part of preparing a Call-Off Contract (and reserves the right to amend during the Call-Off Contract Period)

Ref.	Type of Information	Required?	Refresh Frequency
Traditional Planning Artifacts			
A6.01	Call-Off Contract Plan on a Page. A high level plan covering the duration and scope of the Call-Off Contract	Y	Commercial Planning / Review Event
A6.02	SOW Plan on a Page. A high level plan covering the duration and scope of an individual SOW	Y	Operational Planning Event
A6.03	Full duration Project Plan including resources, dependencies, etc (e.g. as created by traditional project planning software)	Y	Operational Planning Event
A6.04	Rolling 3-Month Detailed Look Ahead Plan (as created by traditional project planning software)	Y	Operational Planning Event
Agile Planning Artifacts			
A6.10	Product Road-Map	Y	On request from Buyer
A6.11	Delivery Plans	N	On request from Buyer

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Ref.	Type of Information	Required?	Refresh Frequency
A6.12	Timebox Plans	Y	On request from Buyer
A6.13	EPIC Board	Y	On request from Buyer
A6.14	Elaboration Board	Y	On request from Buyer
A6.15	Sprint Board	Y	On request from Buyer
A6.16	Agile Kanban Board	Y	On request from Buyer
A6.17	Feature Sizing	Y	On request from Buyer

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PART B - TESTING**1. DEFINITIONS**

- 1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

"Component"	means any constituent parts of the Deliverables;
"Material Test Issue"	means a test issue of Severity Level 1 or Severity Level 2 as set out in the relevant Test Plan;
"Release"	shall mean a set of Deliverables, agreed by the Buyer as being something which can be released to the intended users of the set of Deliverables;
"Satisfaction Certificate"	means a certificate materially in the form of the document contained in Annex 2: issued by the Buyer when a Deliverable and/or Milestone has satisfied its relevant Test Success Criteria;
"Severity Level"	means the level of severity of a Test Issue, the criteria for which are described in Annex 1;
"Test"	means a procedure intended to establish the quality, performance, or reliability of a Component;
"Test Issue"	means a test issue of Severity Level 3, Severity Level 4 or Severity Level 5 as set out in the relevant Test Plan;
"Test Issue Management Log"	means a log for the recording of Test Issues as described further in Paragraph 9.1 of this Schedule;
"Test Plan"	means a specific set of tests to be incorporated as part of a release plan;
"Test Reports"	means the reports to be produced by the Supplier setting out the results of Tests;

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"Test Specification"	means the specification that sets out how Tests will demonstrate that the Test Success Criteria have been satisfied, as described in more detail in Paragraph 7.2 of this Schedule;
"Test Strategy"	means a strategy for the conduct of Testing as described further in Paragraph 4.2 of this Schedule;
"Test Success Criteria"	in relation to a Test, the test success criteria for that Test as referred to in Paragraph 6 of this Schedule;
"Test Witness"	means any person appointed by the Buyer pursuant to Paragraph 10 of this Schedule;
"Tester"	means the organisation responsible for testing. Within the context of Sole Responsibility accountability this shall mean the Supplier. Within the context of Rainbow Teams or Self Directed Teams accountability for testing shall be clearly defined within the Test Strategy (since it may involve both Buyer and Supplier). Accountability may vary from Statement of Work to Statement of Work; and
"Testing Procedures"	means the applicable testing procedures and Test Success Criteria set out in this Schedule.

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2. AGILE TESTING

- 2.1 Testing under this Schedule shall apply to software as well as other Deliverables (for example migration of data sets).
- 2.2 When requested by the Buyer, the Supplier shall, with appropriate input from the Buyer, undertake Release planning and shall produce a Test Plan.
- 2.3 With each Agile development iteration development teams are required to incorporate the underlying ethos of Agile testing and the Supplier shall:
- (i) write the test script;
 - (ii) write the code / perform the digital activity; and
 - (iii) test the code / activity against the test script.
- 2.4 Wherever possible Testers are required to automate testing (e.g. relevant functional test cases) and automate and execute any regression tests. This shall form part of acceptance testing.
- 2.5 Prior to release additional tests such as, but not limited to:
- (i) Load, volume, stress and performance tests;
 - (ii) complete regression tests;
 - (iii) penetration tests (to be carried out by an independent company appointed by the Buyer);
 - (iv) user acceptance tests;
 - (v) integration tests;
 - (vi) deployment tests; and
 - (vii) Release readiness tests
- as agreed within the Test Plan, shall be executed by the Tester.
- 2.6 The Supplier shall develop reusable test scripts in a modular manner which can be incorporated within a larger library of routinely run test scripts.
- 2.7 The Test Strategy will define how testing within the context of iterative agile development interacts with the broader testing at Deliverable, Statement of Work and Call-Off Contract levels.

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3. HOW TESTING SHOULD WORK

- 3.1 All Tests conducted by the Tester shall be conducted in accordance with the Test Strategy, Test Specification and, as appropriate within an agile context, the Test Plan.
- 3.2 The Tester shall not submit any Deliverable for Testing:
 - 3.2.1 unless the Tester is reasonably confident that it will satisfy the relevant Test Success Criteria;
 - 3.2.2 until the Buyer has issued a Satisfaction Certificate in respect of any prior, dependant Deliverable(s); and
 - 3.2.3 until the Parties have agreed the Test Plan and the Test Specification relating to the relevant Deliverable(s).
- 3.3 Where agreed within the Test Plan, the Tester shall use reasonable endeavours to submit each Deliverable for Testing or re-Testing by or before the date set out in the Implementation Plan for the commencement of Testing in respect of the relevant Deliverable.
- 3.4 Agile iterative tests, as agreed within the Test Strategy, shall align with the iterative development cycle and shall contribute to, but not necessarily be reflected in, the Deliverable level testing regime described within this Schedule.
- 3.5 Prior to the issue of a Satisfaction Certificate, the Buyer shall be entitled to review the relevant Test Reports and the Test Issue Management Log.

4. PLANNING FOR TESTING

- 4.1 As part of the first relevant Statement of Work under the Call-Off Contract, the Supplier shall develop a relevant Test Strategy as soon as practicable after the SOW Start Date but in any case no later than twenty (20) Working Days after the SOW Start Date.
- 4.2 The initial Test Strategy shall include:
 - 4.2.1 an overview of how Testing will be conducted in relation to the Implementation Plan relevant to the Statement of Work;
 - 4.2.2 the process to be used to capture and record Test results and the categorisation of Test Issues;
 - 4.2.3 the procedure to be followed should a Deliverable fail a Test, fail to satisfy the Test Success Criteria or where the Testing of a Deliverable produces unexpected results, including a procedure for the resolution of Test Issues;
 - 4.2.4 the procedure to be followed to sign off each Test;

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- 4.2.5 the process for the production and maintenance of Test Reports and a sample plan for the resolution of Test Issues;
 - 4.2.6 the names and contact details of the Buyer and the Supplier's Test representatives;
 - 4.2.7 a high level identification of the resources required for Testing including Buyer and/or third party involvement in the conduct of the Tests;
 - 4.2.8 the technical environments required to support the Tests; and
 - 4.2.9 the procedure for managing the configuration of the Test environments.
- 4.3 The Test Strategy shall be approved by the Buyer.
- 4.4 As new Statements of Work are initiated, the Test Strategy is required to be refined to reflect the specific needs of each Statement of Work and shall reflect the Test Strategy required under the Call-Off Contract as a whole.

5. PREPARING FOR TESTING

- 5.1 As defined within the Test Strategy, the Tester shall develop Test Plans and submit these for Approval as soon as practicable but in any case no later than twenty (20) Working Days prior to the start date for the relevant Testing as specified in the relevant Implementation Plan.
- 5.2 Each Test Plan shall include as a minimum:
- 5.2.1 the relevant Test definition and the purpose of the Test, the Milestone to which it relates, the requirements being Tested and, for each Test, the specific Test Success Criteria to be satisfied; and
 - 5.2.2 a detailed procedure for the Tests to be carried out.
- 5.3 The Buyer shall not unreasonably withhold or delay its approval of the Test Plan provided that the Tester shall implement any reasonable requirements of the Buyer in the Test Plan.

6. PASSING TESTING

- 6.1 The Test Success Criteria for all Tests shall be agreed between the Parties as part of the relevant Test Plan pursuant to Paragraph 5.

7. HOW DELIVERABLES WILL BE TESTED

- 7.1 Following approval of a Test Plan, the Tester shall develop the Test Specification for the relevant Deliverables as soon as reasonably practicable and in any event at least 10 Working Days prior to the start of the relevant Testing (as specified in the Implementation Plan).

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7.2 Each Test Specification shall include as a minimum:

- 7.2.1 the specification of the Test data, including its source, scope, volume and management, a request (if applicable) for relevant Test data to be provided by the Buyer and the extent to which it is equivalent to live operational data;
- 7.2.2 a plan to make the resources available for Testing;
- 7.2.3 Test scripts;
- 7.2.4 Test pre-requisites and the mechanism for measuring them; and
- 7.2.5 expected Test results, including:
 - (a) a mechanism to be used to capture and record Test results; and
 - (b) a method to process the Test results to establish their content.

8. PERFORMING THE TESTS

- 8.1 Before submitting any Deliverables for Testing the Tester shall subject the relevant Deliverables to its own internal quality control measures.
- 8.2 The Tester shall manage the progress of Testing in accordance with the relevant Test Plan and shall carry out the Tests in accordance with the relevant Test Specification. Tests may be witnessed by the Test Witnesses in accordance with Paragraph 10.4.
- 8.3 The Tester shall notify the Buyer at least 10 Working Days in advance of the date, time and location of the relevant Tests and the Buyer shall ensure that the Test Witnesses attend the Tests.
- 8.4 The Buyer may raise and close Test Issues during the Test witnessing process.
- 8.5 The Tester shall provide to the Buyer in relation to each Test:
 - 8.5.1 a draft Test Report not less than 2 Working Days prior to the date on which the Test is planned to end; and
 - 8.5.2 the final Test Report within 5 Working Days of completion of Testing.

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- 8.6 Each Test Report shall provide a full report on the Testing conducted in respect of the relevant Deliverables, including:
- 8.6.1 an overview of the Testing conducted;
 - 8.6.2 identification of the relevant Test Success Criteria that have/have not been satisfied together with the Tester's explanation of why any criteria have not been met;
 - 8.6.3 the Tests that were not completed together with the Tester's explanation of why those Tests were not completed;
 - 8.6.4 the Test Success Criteria that were satisfied, not satisfied or which were not tested, and any other relevant categories, in each case grouped by Severity Level in accordance with Paragraph 9.1; and
 - 8.6.5 the specification for any hardware and software used throughout Testing and any changes that were applied to that hardware and/or software during Testing.
- 8.7 When a Milestone has been completed the Tester shall submit any Deliverables relating to that Milestone for Testing.
- 8.8 Each party shall bear its own costs in respect of the Testing. However, if a Milestone is not Achieved the Buyer shall be entitled to recover from the Supplier any reasonable additional costs it may incur as a direct result of further review or re-Testing of a Milestone.
- 8.9 If the Tester successfully completes the requisite Tests, the Buyer shall issue a Satisfaction Certificate as soon as reasonably practical following such successful completion.
- 8.10 Notwithstanding the issuing of any Satisfaction Certificate, the Supplier shall remain responsible for ensuring that the Testing of Deliverables are implemented in accordance with this Contract as defined within the Test Strategy.

9. DISCOVERING PROBLEMS

- 9.1 Where a Test Report identifies a Test Issue, the Parties shall agree the classification of the Test Issue using the criteria specified in Annex 1: and the Test Issue Management Log maintained by the Tester shall log Test Issues reflecting the Severity Level allocated to each Test Issue.
- 9.2 The Tester shall be responsible for maintaining the Test Issue Management Log and for ensuring that its contents accurately represent the current status of each Test Issue at all relevant times. The Tester shall make the Test Issue Management Log available to the Buyer upon request.
- 9.3 The Buyer shall confirm the classification of any Test Issue unresolved at the end of a Test in consultation with the Tester. If the Parties are unable to agree the classification of any unresolved Test Issue, the Dispute shall be dealt with

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in accordance with the Dispute Resolution Procedure using an expedited dispute timetable.

10. TEST WITNESSING

- 10.1 The Supplier shall provide the Buyer with the Test Scripts to review, at its discretion, prior to the commencement of testing;
- 10.2 The Supplier shall agree a schedule of Show and Tells with the Buyer.
- 10.3 The Tester shall give the Test Witnesses access to any documentation and Testing environments reasonably necessary and requested by the Test Witnesses to perform their role as a Test Witness in respect of the relevant Tests.
- 10.4 The Test Witnesses:
 - 10.4.1 shall actively review the Test documentation;
 - 10.4.2 will attend and engage in the performance of the Tests on behalf of the Buyer so as to enable the Buyer to gain an informed view of whether a Test Issue may be closed or whether the relevant element of the Test should be re-Tested;
 - 10.4.3 shall not be involved in the execution of any Test;
 - 10.4.4 shall be required to verify that the Tester conducted the Tests in accordance with the Test Success Criteria and the relevant Test Plan and Test Specification;
 - 10.4.5 may produce and deliver their own, independent reports on Testing, which may be used by the Buyer to assess whether the Tests have been Achieved;
 - 10.4.6 may raise Test Issues on the Test Issue Management Log in respect of any Testing; and
- 10.5 may require the Tester to demonstrate the modifications made to any defective Deliverable before a Test Issue is closed.

11. AUDITING THE QUALITY OF THE TEST

- 11.1 The Buyer or an agent or contractor appointed by the Buyer may perform on-going quality audits in respect of any part of the Testing (each a "**Testing Quality Audit**").
- 11.2 The Tester shall allow sufficient time in the Test Plan to ensure that adequate responses to a Testing Quality Audit can be provided.
- 11.3 The Buyer will give the Tester at least 5 Working Days' written notice of the Buyer's intention to undertake a Testing Quality Audit.
- 11.4 The Tester shall provide all reasonable necessary assistance and access to all relevant documentation required by the Buyer to enable it to carry out the Testing Quality Audit.

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- 11.5 If the Testing Quality Audit gives the Buyer concern in respect of the Testing Procedures or any Test, the Buyer shall prepare a written report for the Tester detailing its concerns and the Tester shall, within a reasonable timeframe, respond in writing to the Buyer's report.
- 11.6 In the event of an inadequate response to the written report from the Tester, the Buyer (acting reasonably) may withhold a Satisfaction Certificate until the issues in the report have been addressed to the reasonable satisfaction of the Buyer.

12. OUTCOME OF THE TESTING

- 12.1 The Buyer will issue a Satisfaction Certificate when the Deliverables satisfy the Test Success Criteria in respect of that Test without any Test Issues.
- 12.2 If the Deliverables (or any relevant part) do not satisfy the Test Success Criteria then the Buyer shall notify the Tester and:
 - 12.2.1 the Buyer may issue a Satisfaction Certificate conditional upon the remediation of the Test Issues;
 - 12.2.2 the Buyer may extend the Test Plan by such reasonable period or periods as the Parties may reasonably agree and require the Tester to rectify the cause of the Test Issue and re-submit the Deliverables (or the relevant part) to Testing; or
 - 12.2.3 where the Supplier has Sole Responsibility and where the failure to satisfy the Test Success Criteria results, or is likely to result, in the failure (in whole or in part) by the Supplier to meet a Milestone, then without prejudice to the Buyer's other rights and remedies, such failure shall constitute a material Default.
- 12.3 Where the Supplier has Sole Responsibility, the Buyer shall be entitled, without prejudice to any other rights and remedies that it has under this Contract, to recover from the Supplier any reasonable additional costs it may incur as a direct result of further review or re-Testing which is required for the Test Success Criteria for that Deliverable to be satisfied.
- 12.4 The Buyer shall issue a Satisfaction Certificate in respect of a given Milestone as soon as is reasonably practicable following:
 - 12.4.1 the issuing by the Buyer of Satisfaction Certificates and/or conditional Satisfaction Certificates in respect of all Deliverables related to that Milestone which are due to be Tested; and
 - 12.4.2 performance by the Supplier to the reasonable satisfaction of the Buyer of any other tasks identified in the Implementation Plan as associated with that Milestone.
- 12.5 The grant of a Satisfaction Certificate shall entitle the Supplier to the receipt of a payment in respect of that Milestone in accordance with the provisions of any Implementation Plan and Clause 4 (Pricing and payments).

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- 12.6 If a Milestone is not Achieved, the Buyer shall promptly issue a report to the Supplier setting out the applicable Test Issues and any other reasons for the relevant Milestone not being Achieved.
- 12.7 If there are Test Issues, but these do not exceed the Test Issues Threshold, then provided there are no Material Test Issues, the Buyer shall issue a Satisfaction Certificate.
- 12.8 If there is one or more Material Test Issue(s), the Buyer shall refuse to issue a Satisfaction Certificate and, without prejudice to the Buyer's other rights and remedies, such failure shall constitute a material Default should the Supplier hold Sole Responsibility
- 12.9 If there are Test Issues which exceed the Test Issues Threshold but there are no Material Test Issues, the Buyer may at its discretion (without waiving any rights in relation to the other options) choose to issue a Satisfaction Certificate conditional on the remediation of the Test Issues in accordance with an agreed Rectification Plan provided that:
 - 12.9.1 any Rectification Plan shall be agreed before the issue of a conditional Satisfaction Certificate unless the Buyer agrees otherwise (in which case the Tester shall submit a Rectification Plan for approval by the Buyer within 10 Working Days of receipt of the Buyer's report pursuant to Paragraph 11.5); and
 - 12.9.2 where the Buyer issues a conditional Satisfaction Certificate, it may (but shall not be obliged to) revise the failed Milestone Date and any subsequent Milestone Date.

13. RISK

- 13.1 The issue of a Satisfaction Certificate and/or a conditional Satisfaction Certificate shall not:
 - 13.1.1 operate to transfer any risk that the relevant Deliverable or Milestone is complete or will meet and/or satisfy the Buyer's requirements for that Deliverable or Milestone; or
 - 13.1.2 affect the Buyer's right subsequently to reject all or any element of the Deliverables and/or any Milestone to which a Satisfaction Certificate relates.

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Annex 1:

Test Issues – Severity Levels

1. SEVERITY 1 ERROR

- 1.1 This is an error that causes non-recoverable conditions, e.g. it is not possible to continue using a Component.

2. SEVERITY 2 ERROR

- 2.1 This is an error for which, as reasonably determined by the Buyer, there is no practicable workaround available, and which:
- 2.1.1 causes a Component to become unusable;
 - 2.1.2 causes a lack of functionality, or unexpected functionality, that has an impact on the current Test; or
 - 2.1.3 has an adverse impact on any other Component(s) or any other area of the Deliverables;

3. SEVERITY 3 ERROR

- 3.1 This is an error which:
- 3.1.1 causes a Component to become unusable;
 - 3.1.2 causes a lack of functionality, or unexpected functionality, but which does not impact on the current Test; or
 - 3.1.3 has an impact on any other Component(s) or any other area of the Deliverables;
- but for which, as reasonably determined by the Buyer, there is a practicable workaround available;

4. SEVERITY 4 ERROR

- 4.1 This is an error which causes incorrect functionality of a Component or process, but for which there is a simple, Component based, workaround, and which has no impact on the current Test, or other areas of the Deliverables.

5. SEVERITY 5 ERROR

- 5.1 This is an error that causes a minor problem, for which no workaround is required, and which has no impact on the current Test, or other areas of the Deliverables.

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Annex 2:

Satisfaction Certificate

To: [insert name of Supplier]

From: [insert name of Buyer]

[insert Date dd/mm/yyyy]

Dear Sirs,

Satisfaction Certificate

Deliverable/Milestone(s): [Insert relevant description of the agreed Deliverables/Milestones].

We refer to the agreement ("**Call-Off Contract**") [insert Call-Off Contract reference number] relating to the provision of the [insert description of the Deliverables] between the [insert Buyer name] ("**Buyer**") and [insert Supplier name] ("**Supplier**") dated [insert Call-Off Start Date dd/mm/yyyy].

The definitions for any capitalised terms in this certificate are as set out in the Call-Off Contract.

[We confirm that all the Deliverables relating to [insert relevant description of Deliverables/agreed Milestones and/or reference number(s) from the Implementation Plan] have been tested successfully in accordance with the Test Plan [or that a conditional Satisfaction Certificate has been issued in respect of those Deliverables that have not satisfied the relevant Test Success Criteria].

[OR]

[This Satisfaction Certificate is granted on the condition that any Test Issues are remedied in accordance with the Rectification Plan attached to this certificate.]

[You may now issue an invoice in respect of the Milestone Payment associated with this Milestone in accordance with Clause 4 (Pricing and payments)].

Yours faithfully

[insert Name]

[insert Position]

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acting on behalf of [insert name of Buyer]

PART B: PERFORMANCE MONITORING

1. MONITORING PRINCIPLE POINTS

- 1.1 Part B to this Call-Off Schedule provides the methodology for monitoring the provision of the Services:
 - 1.1.1 to ensure that the Supplier is complying with the Service Levels; and
 - 1.1.2 for identifying any failures to achieve Service Levels in the performance of the Supplier and/or provision of the Services ("**Performance Monitoring System**").

2. REPORTING OF SERVICE FAILURES

- 2.1 The Supplier shall report all failures to achieve Service Levels and any Critical Service Level Failure to the Buyer in accordance with the processes agreed in paragraph 3 of Part B of this Call-Off Schedule above.

3. NHS E-RS SUPPORT CAPABILITY - PERFORMANCE MANAGEMENT

- 3.1 The Supplier will be responsible for reporting its performance in the achievement of the Service Levels in a Performance Monitoring Report.
- 3.2 Further to paragraph 3.1, where the Buyer's requirement for the Supplier to report on its Service Level performance is dependent on data that can only be provided by the Buyer, the Buyer shall use its reasonable endeavours to provide accurate data in a timely manner, following notification from the Supplier of the information needed to produce the relevant reports.
- 3.3 Subject to the dependency described in paragraph 3.2, the Supplier will provide the Buyer with a draft Performance Monitoring Report (PMR) by the close of business on the 7th Working Day after the Service Period for which the PMR is to be produced.
- 3.4 From the date of receipt of the draft PMR, the Buyer will have 5 Working Days to review the content and provide comments to the Supplier.

4. PERFORMANCE MONITORING AND PERFORMANCE REVIEW

- 4.1 The Supplier shall provide the Buyer with performance monitoring reports ("**Performance Monitoring Reports**") in accordance with the process and timescales detailed in paragraph 3 of Part B of this Call-Off Schedule which shall contain, as a minimum, the following information in respect of the relevant Service Period just ended:
 - 4.1.1 for each Service Level, the actual performance achieved over the Service Level for the relevant Service Period;
 - 4.1.2 a summary of all failures to achieve Service Levels that occurred during that Service Period;
 - 4.1.3 details of any Critical Service Level Failures;
 - 4.1.4 for any repeat failures, actions taken to resolve the underlying cause and prevent recurrence;
 - 4.1.5 the Service Points and associated Service Credits to be applied in respect of the relevant period indicating the failures and Service Levels to which the Service Credits relate; and
 - 4.1.6 such other details as the Buyer may reasonably require from time to time.

- 4.2 The Parties shall attend meetings to discuss Performance Monitoring Reports ("**Performance Review Meetings**") on a monthly basis (unless otherwise agreed). The Performance Review Meetings will be the forum for the review by the Supplier and the Buyer of the Performance Monitoring Reports. The Performance Review Meetings shall (unless otherwise agreed):
- 4.2.1 take place within one week of the Performance Monitoring Reports being issued by the Supplier;
 - 4.2.2 take place at such location and time (within normal business hours) as the Buyer shall reasonably require;
 - 4.2.3 be attended by the Supplier's Representative and the Buyer Authorised Representative; and
 - 4.2.4 be fully minuted by the Supplier. The prepared minutes will be circulated by the Supplier to all attendees at the relevant meeting and also to the Buyer Authorised Representative and any other recipients agreed at the relevant meeting.
- 4.3 The minutes of the preceding month's Performance Review Meeting will be agreed and signed by both the Supplier Authorised Representative and the Buyer Authorised Representative at each meeting.
- 4.4 The Buyer shall be entitled to raise any additional questions and/or request any further information regarding any failure to achieve Service Levels.
- 4.5 The Supplier shall provide to the Buyer such supporting documentation as the Buyer may reasonably require in order to verify the level of the performance by the Supplier and the calculations of the amount of Service Credits for any specified Service Period.

5. NHS E-RS SUPPORT CAPABILITY – PERFORMANCE MEASUREMENT

- 5.1 The Service Level ratings are:
- 5.1.1 the expected level of service ('**Operating Service Level**' or '**OSL**');
 - 5.1.2 the level at which the Supplier fails to achieve the Operating Service Level and Service Points, where relevant, begin to accrue ('**Failure Level 1**' or '**FL1**') to the Supplier (if this Service Level rating applies); or
 - 5.1.3 the level at which the Supplier fails to achieve the FL1 and Service Points, where relevant, accrue ('**Failure Level 2**' or '**FL2**') to the Supplier (if this Service Level rating applies);
- 5.2 The application of Service Credits and Service Points is:
- 5.2.1 the exclusive remedy for the Supplier's failure to deliver the applicable OSL for any Priority of Incident or the Supplier's failure to achieve the FL2 level for any single Priority 3, Priority 4 or Priority 5 Incident; and
 - 5.2.2 the non-exclusive remedy for the Supplier's failure to deliver to the FL2 level for any Priority 1 or Priority 2 Incident.
- 5.3 The Supplier is responsible for delivering the Services to a sufficiently high standard to ensure that the Supplier obtains or exceeds the OSL against each Service Level for each Service Period.
- 5.4 Service Points will be agreed between the Buyer and Supplier at the Performance Review Meeting and submitted to the monthly Commercial Board for approval.

- 5.5 Service Points will not accrue where the sole, primary, main or substantial cause of any reported Service Level failure was the something that is beyond the Supplier's control subject to the following rules:
- 5.5.1 the Supplier will promptly notify the Buyer of any such cause after the Supplier actually becomes aware of it (or from the point in time at which the Supplier should have reasonably become aware of it, which will be agreed as part of the Performance Review Meeting) and will continue to achieve or exceed the OSL;
 - 5.5.2 circumstances solely created by (and/or acts or omissions of) the Buyer and/or its directors or other officers, employees, agents or other contractors will be treated as something that is beyond the Supplier's control; and
 - 5.5.3 circumstances created or aggravated by the Supplier's staff, subcontractors, supply chain or failure to have in place and (where they could reasonably have been implemented by the Supplier) failure to implement business continuity and disaster recovery procedures shall be considered to be within the Supplier's control.
- 5.6 Where a reported Service Level failure is agreed between the Parties to be partly beyond the Supplier's control pursuant to paragraph 5.5 above, the Service Points that shall apply will be proportionate to the actual extent of the Supplier's responsibility for the Service Level failure, as agreed between the Parties, acting reasonably, at the Performance Review Meeting.

6. SATISFACTION SURVEYS

- 6.1 In order to assess the level of performance of the Supplier, the Buyer may undertake satisfaction surveys in respect of the Supplier's provision of the Services.
- 6.2 The Buyer shall be entitled to notify the Supplier of any aspects of their performance of the Services which the responses to the Satisfaction Surveys reasonably suggest are not in accordance with this Call-Off Contract.
- 6.3 All other suggestions for improvements to the provision of Services shall be considered by the Supplier and where applicable incorporated as part of the Continuous Improvement Plan, pursuant to Call-Off Schedule 3 (Continuous Improvement).

Annex 2 - SLA Performance Measurement for Changed Severities

Attached as external document

Annex 3 – Change Management Process

Attached as external document

Annex 4 - NHS e-RS Minimum Data Set

Attached as external document

Annex 5 - Release and Deployment Management policy

Attached as external document

Annex 6 - Higher Priority Service Incident Management Process

Attached as external document

Call-Off Schedule 14C (Service Levels) - Wayfinder
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Call-Off Schedule 14C (Service Levels)

1. Definitions

- 1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

"Critical Service Level Failure"	has the meaning given to it in the Order Form;
"Service Credits"	any service credits specified in the Annex to Part A of this Schedule being payable by the Supplier to the Buyer in respect of any failure by the Supplier to meet one or more Service Levels;
"Service Credit Cap"	has the meaning given to it in the Order Form;
"Service Level Failure"	means a failure to meet the Service Level Performance Measure in respect of a Service Level;
"Service Level Performance Measure"	shall be as set out against the relevant Service Level in the Annex to Part A of this Schedule; and
"Service Level Threshold"	shall be as set out against the relevant Service Level in the Annex to Part A of this Schedule.

2. What happens if you don't meet the Service Levels

- 2.1 The Supplier shall at all times provide the Deliverables to meet or exceed the Service Level Performance Measure for each Service Level.
- 2.2 The Supplier acknowledges that any Service Level Failure shall entitle the Buyer to the rights set out in Part A of this Schedule including the right to any Service Credits and that any Service Credit is a price adjustment and not an estimate of the Loss that may be suffered by the Buyer as a result of the Supplier's failure to meet any Service Level Performance Measure.
- 2.3 The Supplier shall send Performance Monitoring Reports to the Buyer detailing the level of service which was achieved in accordance with the provisions of Part B (Performance Monitoring) of this Schedule.

Call-Off Schedule 14C (Service Levels) - Wayfinder

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- 2.4 A Service Credit shall be the Buyer's exclusive financial remedy for a Service Level Failure except where:
 - 2.4.1 the Supplier has over the previous (twelve) 12 Month period exceeded the Service Credit Cap; and/or
 - 2.4.2 the Service Level Failure:
 - (a) exceeds the relevant Service Level Threshold;
 - (b) has arisen due to a Prohibited Act or wilful Default by the Supplier;
 - (c) results in the corruption or loss of any Government Data; and/or
 - (d) results in the Buyer being required to make a compensation payment to one or more third parties; and/or
 - 2.4.3 the Buyer is otherwise entitled to or does terminate this Contract pursuant to Clause 10.4 (CCS and Buyer Termination Rights).
- 2.5 Not more than once in each Contract Year, the Buyer may, on giving the Supplier at least three (3) Months' notice, change the weighting of Service Level Performance Measure in respect of one or more Service Levels and the Supplier shall not be entitled to object to, or increase the Charges as a result of such changes, provided that:
 - 2.5.1 the total number of Service Levels for which the weighting is to be changed does not exceed the number applicable as at the Start Date;
 - 2.5.2 the principal purpose of the change is to reflect changes in the Buyer's business requirements and/or priorities or to reflect changing industry standards; and
 - 2.5.3 there is no change to the Service Credit Cap.

3. Critical Service Level Failure

On the occurrence of a Critical Service Level Failure:

- 3.1 any Service Credits that would otherwise have accrued during the relevant Service Period shall not accrue; and
- 3.2 the Buyer shall (subject to the Service Credit Cap) be entitled to withhold and retain as compensation a sum equal to any Charges which would otherwise have been due to the Supplier in respect of that Service Period ("**Compensation for Critical Service Level Failure**"),
provided that the operation of this paragraph **Error! Reference source not found.** shall be without prejudice to the right of the Buyer to terminate this Contract and/or to claim damages from the Supplier for material Default.

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Part A: Service Levels and Service Credits

1. Service Levels

If the level of performance of the Supplier:

1.1 is likely to or fails to meet any Service Level Performance Measure; or

1.2 is likely to cause or causes a Critical Service Failure to occur,

the Supplier shall immediately notify the Buyer in writing and the Buyer, in its absolute discretion and without limiting any other of its rights, may:

1.2.1 require the Supplier to immediately take all remedial action that is reasonable to mitigate the impact on the Buyer and to rectify or prevent a Service Level Failure or Critical Service Level Failure from taking place or recurring;

1.2.2 instruct the Supplier to comply with the Rectification Plan Process;

1.2.3 if a Service Level Failure has occurred, deduct the applicable Service Level Credits payable by the Supplier to the Buyer; and/or

1.2.4 if a Critical Service Level Failure has occurred, exercise its right to Compensation for Critical Service Level Failure (including the right to terminate for material Default).

2. Service Credits

2.1 The Buyer shall use the Performance Monitoring Reports supplied by the Supplier to verify the calculation and accuracy of the Service Credits, if any, applicable to each Service Period.

2.2 Service Credits are a reduction of the amounts payable in respect of the Deliverables and do not include VAT. The Supplier shall set-off the value of any Service Credits against the appropriate invoice in accordance with calculation formula in the Annex to Part A of this Schedule.

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Annex A to Part A: Services Levels and Service Credits Table

The following service levels should be looked at in conjunction with the service levels (noting the overall Silver Service metrics and parameters) as set out in 'Section 2.5 - Wayfinder' of the Call-Off Schedule 20.

Service Levels				Service Credit for each Service Period (up to a maximum of 100 Service Credits in total)
Service Level Performance Criterion	Key Indicator	Service Level Performance Measure	Service Level Threshold	
SL1.Live Service Availability measured within the operating time boundaries set in the SLA	Service Availability	Period of uptime of the service during operational hours	99.5%	99.5% to 100% = 0 Service Credits. Between 98% - 99.4% = 2 Service Credits. Between 95% - 97.9% = 5 Service Credits. Between 90% - 94.9% = 10 Service Credits. Up to 89.9% = 25 Service Credits.

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Service Levels				Service Credit for each Service Period (up to a maximum of 100 Service Credits in total)
Service Level Performance Criterion	Key Indicator	Service Level Performance Measure	Service Level Threshold	
SL2. Period of service unavailability over the course of the month that has not been previously agreed between Buyer and Supplier	Service Availability	Allowed unplanned minutes of downtime per month	58 minutes unplanned downtime per month	<p>Less than or equal to 58 minutes = 0 Service Credits.</p> <p>Between 59 minutes to 120 minutes = 2 Service Credits.</p> <p>Between 121 minutes to 300 minutes = 5 Service Credits.</p> <p>Between 301 minutes to 600 minutes = 10 Service Credits.</p> <p>Over 600 minutes = 25 Service Credits.</p>

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Service Levels				Service Credit for each Service Period (up to a maximum of 100 Service Credits in total)
Service Level Performance Criterion	Key Indicator	Service Level Performance Measure	Service Level Threshold	
SL3. Resolution of Incidents within timescales set in SLA	Incident Resolution	Resolution of incidents within allotted resolution time as determined by agreed Severity level	Sev 1 = 4 hours Sev 2 = 8 hours Sev 3 = 20 hours Sev 4 = 80 hours	For each Sev 1 and Sev 2 incident not resolved within the hours allotted = 5 Service Credits. For each Sev 3 and Sev 4 incident not resolved within the hours allotted = 2 Service Credits.

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Service Levels				Service Credit for each Service Period (up to a maximum of 100 Service Credits in total)
Service Level Performance Criterion	Key Indicator	Service Level Performance Measure	Service Level Threshold	
SL4. Resolution of Problems within timescales set in SLA	Problem Resolution	Resolution of problems within allotted resolution time as determined by agreed Severity level	Sev 1 = 30 working days or within an agreed release Sev 2 = 60 working days or within an agreed release Sev 3 = 120 working days or within an agreed release Sev 4 = 240 working days or within an agreed release Sev 5 = 360 working days or within an agreed release	For each Sev 1 and Sev 2 problem not resolved within the working days allotted or the allocated release = 10 Service Credits. For each Sev 3 and Sev 4 problem not resolved within the working days allotted or the allocated release = 5 Service Credits. For each Sev 5 problem not resolved within the working days allotted or the allocated release = 2 Service Credits.

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Service Levels				Service Credit for each Service Period (up to a maximum of 100 Service Credits in total)
Service Level Performance Criterion	Key Indicator	Service Level Performance Measure	Service Level Threshold	
SL5. Supplier Deploying a capable team	Performance Management	Supplier team are in place at the required SFIA rate level and to the required quality, in line with demand as per Statement of Work within 5 working days of Statement of Work start date.	None. This is an indicator to support both the Buyer and Supplier in identifying where there may be potential issues that are or could impact on future delivery against the contract. With the intention of enabling both Supplier and Buyer to review practices and procedures and identify areas and make suggestions for possible improvements.	None.

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Service Levels				Service Credit for each Service Period (up to a maximum of 100 Service Credits in total)
Service Level Performance Criterion	Key Indicator	Service Level Performance Measure	Service Level Threshold	
SL6. Product & Service Design Delivery Timescale	Performance Management	The Supplier is expected to complete all activity labelled under the term 'Discovery activity' (which will include user research) within the agreed timeframes as detailed in the delivery Milestones plan.	None. This is an indicator to support both the Buyer and Supplier in identifying where there may be potential issues that are or could impact on future delivery against the contract. With the intention of enabling both Supplier and Buyer to review practices and procedures and identify areas and make suggestions for possible improvements.	None.

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Service Levels				Service Credit for each Service Period (up to a maximum of 100 Service Credits in total)
Service Level Performance Criterion	Key Indicator	Service Level Performance Measure	Service Level Threshold	
SL7. Development Delivery Timescale	Performance Management	The Supplier is expected to complete all activity labelled under the term 'Development and build activity' (which is to include technical assurance activity) within the agreed timeframes as detailed in the delivery Milestones plan.	None. This is an indicator to support both the Buyer and Supplier in identifying where there may be potential issues that are or could impact on future delivery against the contract. With the intention of enabling both Supplier and Buyer to review practices and procedures and identify areas and make suggestions for possible improvements.	None

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Service Levels				Service Credit for each Service Period (up to a maximum of 100 Service Credits in total)
Service Level Performance Criterion	Key Indicator	Service Level Performance Measure	Service Level Threshold	
SL8. Operating Cost	Performance Management	The Supplier will provide details of the proportion of resource costs specifically set aside to support incident resolution against the actual costs of resource utilisation allocated to resolving incidents in month.	None. This is an indicator to support both the Buyer and Supplier in identifying where there may be possible cost efficiencies to be made by better resource utilisation and whether the Service Credits penalties are driving up those costs and should be reviewed.	None.

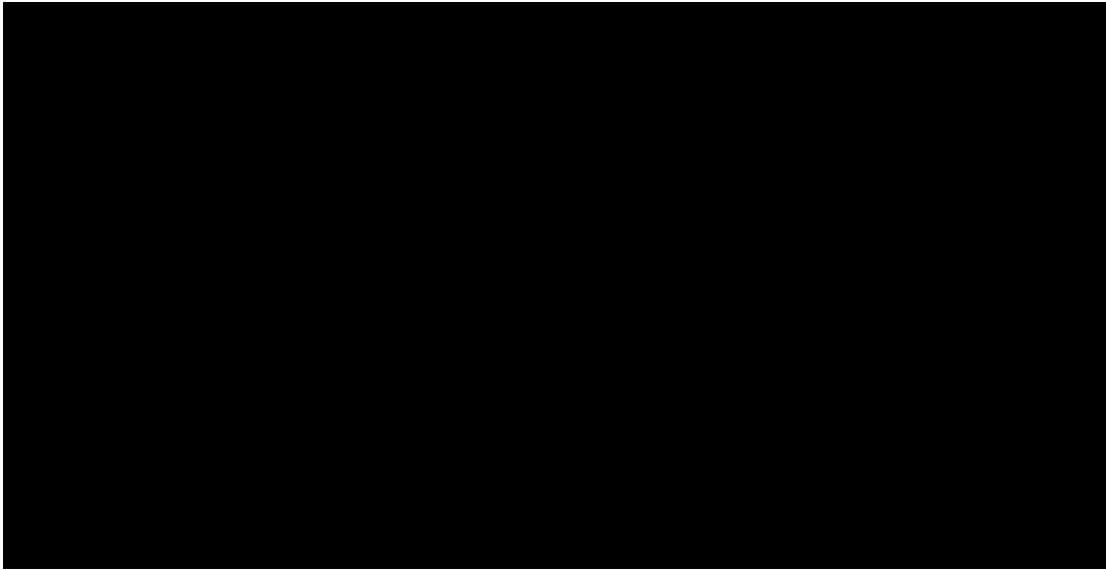
There are 100 Service Credits available which account for [REDACTED] of the total contract value per month allocated to providing the Run and Maintain service and are measured against service indicators SL1, SL2, SL3 and SL4. Where the service meets or exceeds all agreed service indicators then no Service Credits are applied. The Buyer and Supplier are expected to work collaboratively to maintain satisfactory performance levels and avoid the potential for service credits to be levied and the Buyer will at their discretion determine not to apply Service Credits where they are content with the overall service level and that there is an agreed path to resolution where issues with service performance have been identified.

A service credit is equal to:



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Part B: Performance Monitoring

3. Performance Monitoring and Performance Review

- 3.1 Within twenty (20) Working Days of the Start Date the Supplier shall provide the Buyer with details of how the process in respect of the monitoring and reporting of Service Levels will operate between the Parties including proposals on content and format of such reports and the Parties will endeavour to agree such process as soon as reasonably possible.
- 3.2 The Supplier shall provide the Buyer with performance monitoring reports ("**Performance Monitoring Reports**") in accordance with the process and timescales agreed pursuant to paragraph **Error! Reference source not found.** of Part B of this Schedule which shall contain, as a minimum, the following information in respect of the relevant Service Period just ended:
 - 3.2.1 for each Service Level, the actual performance achieved over the Service Level for the relevant Service Period;
 - 3.2.2 a summary of all failures to achieve Service Levels that occurred during that Service Period;
 - 3.2.3 details of any Critical Service Level Failures;
 - 3.2.4 for any repeat failures, actions taken to resolve the underlying cause and prevent recurrence;
 - 3.2.5 the Service Credits to be applied in respect of the relevant period indicating the failures and Service Levels to which the Service Credits relate; and
 - 3.2.6 such other details as the Buyer may reasonably require from time to time.
- 3.3 The Parties shall attend meetings to discuss Performance Monitoring Reports ("**Performance Review Meetings**") on a Monthly basis. The Performance Review Meetings will be the forum for the review by the Supplier and the Buyer of the Performance Monitoring Reports. The Performance Review Meetings shall:
 - 3.3.1 take place within one (1) week of the Performance Monitoring Reports being issued by the Supplier at such location and time (within normal business hours) as the Buyer shall reasonably require;
 - 3.3.2 be attended by the Supplier's Representative and the Buyer's Representative; and
 - 3.3.3 be minuted by the Supplier and the minutes will be circulated by the Supplier to all attendees at the relevant meeting and also to

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the Buyer's Representative and any other recipients agreed at the relevant meeting.

- 3.4 The minutes of the preceding Month's Performance Review Meeting will be agreed and signed by both the Supplier's Representative and the Buyer's Representative at each meeting.
- 3.5 The Supplier shall provide to the Buyer such documentation as the Buyer may reasonably require in order to verify the level of the performance by the Supplier and the calculations of the amount of Service Credits for any specified Service Period.

4. Satisfaction Surveys

- 4.1 The Buyer may undertake satisfaction surveys in respect of the Supplier's provision of the Deliverables. The Buyer shall be entitled to notify the Supplier of any aspects of their performance of the provision of the Deliverables which the responses to the Satisfaction Surveys reasonably suggest are not in accordance with this Contract.

Call-Off Schedule 15A (Health Supplier and Contract Management)

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Call-Off Schedule 15A (Health Supplier and Contract Management)

1. DEFINITIONS

1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

“Agile”	a generic term to cover agile ways of working within the digital environment;
“Backlog”	has the meaning given to it in paragraph 2.3.1;
“Balanced Scorecard”	has the meaning given to it in paragraph 2.3.8;
“Buyer SM Event”	has the meaning given to it in paragraph 2.3.7;
“Call-Off Contract Management”	has the meaning given to it in paragraph 2.1.2;
“Call-Off Rate Card”	means the table of rates for different roles as captured in Call-Off Schedule 5A (Pricing Details);
“Collaborative Buyer/Supplier Event”	has the meaning given to it in paragraph 2.3.9;
“Call-Off Contract Manager”	the Call-Off Contract Manager appointed for the Supplier and for the Buyer in accordance with Annex 6 of this Schedule;
“Commercial Planning/Review Events”	has the meaning given to it in paragraph 2.3.4;
“Executive Sponsor”	has the meaning given to it in paragraph 6.26;
“Operational Board”	the board established in accordance with paragraph 2.3.64.1 of this Schedule;
“Operational Contract Manager”	the operational contract manager appointed for the Supplier and for the Buyer in Annex 6 of this Schedule;
“Operational Planning Event”	has the meaning given to it in paragraph 2.3.2;
“Operational Review Events”	has the meaning given to it in paragraph 2.3.3;
“Orange Book”	means the Orange Book: Management of Risks – Principles and Concepts accessible at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/191513/The_Orange_Book.pdf
“Programme”	means a programme of work, as identified by a portfolio number or equivalent;

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“Scrum Sprint”	means a time boxed period of time in which a useable product increment is created per the Scrum Guide™ (an Agile methodology);
“SOW Management”	has the meaning given to it in paragraph 2.1.1; and
“SOW Variation”	has the meaning given to it in paragraph 2.3.5.

2. OVERVIEW OF SUPPLIER AND CONTRACT MANAGEMENT

- 2.1 There are five levels of relationship and contract management covered by the various parts of this framework:
- 2.1.1 **Statement of Work Management (“SOW Management”)** covering how Statements of Work (SOWs) are managed. SOW Management starts with SOWs being created and ends, typically with handover to the next SOW, as a SOW ends (see paragraph 3.1);
 - 2.1.2 **Call-Off Contract Management (“Call-Off Contract Management”)** covering the specific contract management obligations between Supplier and Buyer relating to a specific Call-Off Contract (see paragraph 3.8);
 - 2.1.3 **Buyer/Supplier Management** covering individual relationships between the Buyer and a single Supplier. These relationships are anticipated to develop as an early part of Call-Off competition as Suppliers bid for potential work. These relationships are also anticipated to persist beyond individual Call-Offs for the duration of the Framework (and beyond, assuming Call-Offs extend beyond the formal term of the Framework) (see paragraph 3.31);
 - 2.1.4 **Buyer Specific Framework Management**, involving the Buyer and all Suppliers under the Framework with whom the Buyer has a relationship. This level of relationship is anticipated to evolve as Call-Offs are awarded. This level of relationship is anticipated to persist beyond individual Call-Offs (see paragraph 3.40); and
 - 2.1.5 **Framework Buyer/Supplier Management** covering “user group” topics such as:
 - Innovation;
 - New developments in technologies;
 - Changes in digital services (e.g. the incorporation of SFIA 8 and changes to Digital, Data and Technology roles);
 - Opportunities to improve the operation of the overall framework; and
 - Proposed updates to the framework;
- 2.2 For the avoidance of doubt, by signing any individual Call-Off Contract, suppliers are obliged to meet the terms of this Schedule, as required by the Buyer, for the durations indicated at each level of relationship.
- 2.3 There are a number of key mechanisms for managing this Call-Off Contract set out below. This list is not an exclusive list but is designed to focus on the key principles underpinning each level of management. Also, whilst logically separated below, the Buyer may elect to combine such mechanisms:

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- 2.3.1 **Product Backlog** (Scrum [™]) or **Prioritised Requirements List** (AgilePM[®]) (the “**Backlog**”) which, within the context of this Contract, should be considered to be the cornerstone of ongoing operational management. As such it should be considered to be a live contract artefact (see paragraph 4.1);
- 2.3.2 “**Operational Planning Events**” or equivalent, managing the granular level refinement from Commercial Planning/Review Event level (typically at requirement/Increment level down to Scrum Sprint / Timebox (AgilePM) sized task level (to be held at the frequency given at paragraph 3.6);
- 2.3.3 “**Operational Review Events**” or equivalent, which provide the basis for among other things, reviewing achievements out of individual Sprints/Timeboxes, learning lessons from the previous activity and understanding the actual effort used. A summary of this will be fed into the Commercial Planning/Review Events (Scrum Sprints or reporting performance and progress of tasks into the Commercial Planning/Review Events is described below at paragraph 3.7);
- 2.3.4 “**Commercial Planning/Review Events**” (usually combined but may be separate events for planning and review):
- These events will refine and prioritise the main Backlog (at Deliverable Increment/user story level and above) for feeding into the more detailed SOW task level backlog managed under the Operational Planning Events described above. If the Incremental Fixed Price charging mechanism is in use under a SOW, these events will agree the “price” for a Deliverable Increment (backed up by an estimate of effort linked to the Call-Off Rate Card).
 - From a review perspective, the Commercial Planning/Review Event will assess completeness of tasks and map this into acceptance of Deliverables or Deliverable Increments as well as collate actual effort spent. Acceptance certificates may be used to acknowledge completeness. The review will typically lead to invoicing and payment.
 - Whilst the frequency of Operational Planning Events is likely to reflect the operational practices specific to the SOW, Commercial Planning/Review Events will normally be held on a monthly basis.
 - These events are seen at the main focus points for Call-Off Contract Management activities (see paragraph 3.8).
- 2.3.5 **Variation and Change Management** covers minor changes to Statements of Work (“**SOW Variations**”) and more formal changes to the contract (see paragraph 4.2 below);
- 2.3.6 Events such as **Operational Board meetings**, where the programme or project teams may escalate topics for resolution or where material decisions may need to be made. (see paragraph 6.21 below);
- 2.3.7 “**Buyer SM Events**” designed to aggregate Call-Off Contract activity into an overarching view of Supplier performance and provide a means to take a holistic view of the performance and relationship with the Supplier as well as address topics escalated from individual Call-Off Contracts. If the Buyer only has one or two Call-Off Contracts with an individual supplier these events may be combined with Commercial Planning/Review Events, however the intent is to focus at the Supplier level rather than the Call-Off Contract level (see paragraph 3.39 below);

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- 2.3.8 **The “Balanced Scorecard”**, providing the mechanism to visually summarise the status of either the Call-Off and/or Supplier performance. Whilst a large individual Call-Off may warrant a dedicated Balanced Scorecard, within the context of this framework it is anticipated the Balanced Scorecard will operate at the overall Buyer/Supplier level (and this is the assumption underpinning the illustrations making up the rest of this Schedule) (see 4.3 below);
- 2.3.9 **“Collaborative Buyer/Supplier Events”** intended to provide a mechanism to share learning, develop collective improvements, share future plans, and discuss topics which may be forwarded for consideration at the Framework level. (see 3.40 below); and
- 2.3.10 in order to manage the time dimension relevant to the Call-Off Contract the Buyer will require some form of delivery planning. This may be in the form of Gantt charts or project plans, or it may be in the form of agile tools such as roadmaps, Epic boards, Elaboration and/or Sprint Boards, Kanban boards, etc.
- 2.4 Throughout the lifetime of both individual Call-Off Contracts and the framework relationship between the Buyer and Suppliers there are risks. Risk management practices applied at Call-Off Contract level are described further at paragraph 5.
- 2.5 Suppliers should be aware that the Buyer will also undertake ongoing Supplier risk management activities (such as ongoing financial credit rating checks) as part of its Call-Off Contract management processes.

3. SUPPLIER AND CONTRACT MANAGEMENT LEVELS

Statement of Work Management

- 3.1 Other than the first SOWs under a Call-Off Contract, which will be defined by the Buyer, SOWs will generally be developed involving joint exploratory discussions between the Buyer and the Supplier. Generally speaking, inputs to the SOW are likely to include:
 - 3.1.1 some form of road map (the context);
 - 3.1.2 initial views on initial resource profile and technology stack and so on, used to inform the sizing of the SOW;
 - 3.1.3 which Accountability Model (Sole Responsibility, Self-Directed Teams or Rainbow), each as defined in Framework Schedule 1 (Specification); and which pricing mechanism (Fixed Price, Capped Time and Material, or Incremental Fixed Priced); and
 - 3.1.4 an initial Backlog (detailing requirements at an appropriate level of detail), provisional resource profile and technologies.
- 3.2 The operation of the Backlog is described under paragraph 4, however, at operational level it is intended to be the basis for agreeing, accepting and capturing tasks as well as related effort. There shall be a continuous alignment between the main Backlog held at Call-Off Contract level and any SOW Backlog (the Call-Off Contract level Backlog focuses on Deliverable Increments whilst the SOW Backlog level focuses on

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the more detailed tasks). At SOW level the Backlog should largely be operational and should be being refined to a level that can be allocated to the next sprint, timebox or equivalent (aiming to task size).

- 3.3 In addition to the Backlog, there will be information required by the Buyer for the purposes of recording resources (e.g. for controlling access to infrastructure), measuring performance (e.g. burn charts, etc), evidencing delivery (e.g. acceptance certificates) and so on. Annex 1 provides a provisional, non-exclusive, list of information types which may be used by the Buyer to initially specify typical requirements.
- 3.4 Whilst individual SOWs may operate under the Fixed Price or Incremental Fixed Price pricing mechanisms, all Call-Off Contracts shall be underpinned by an agreed set of Supplier Call-Off Rate Cards. Under all circumstances, regardless of pricing model, Suppliers shall maintain an accurate record of actual resource utilisation and to make this available to the Buyer on request.
- 3.5 When capturing effort, the Supplier is required to link such effort to the SOW and to the respective entry on the applicable Call-Off Rate Card as well as include period start and end date and utilised effort (in hours, days or fractions thereof as determined by the Buyer).
- 3.6 Operational Planning Events will be held at a frequency determined by the Buyer. The purpose will be to agree the next iteration of work (e.g. Scrum Sprint) and to refine the Backlog. The principle of ongoing refinement is a key Agile concept.
- 3.7 Operational Review Events will be held at a frequency determined by the Buyer. Typically, these will be at regular intervals (e.g. every month or every Scrum Sprint). Two contractual related purposes of Operational Review Events are to:
 - 3.7.1 identify when tasks are completed and provide evidence to the Commercial Planning/Review Events that work is “done”; and
 - 3.7.2 capture actual effort taken (versus the forecast) as a means of improving future estimates and providing the raw data for invoicing purposes.

Call-Off Contract Management

- 3.8 Within the context of this Call-Off Contract, taking into account the other levels of contract management, the primary purpose of Call-Off Contract Management includes:
 - 3.8.1 establishing and managing the information flows relevant to the Call-Off Contract;
 - 3.8.2 managing the overarching Backlog and ensuring it is continuously refined to reflect the evolving work;
 - 3.8.3 establishing new SOWs, providing oversight of SOWs in progress and ensuring handover between SOWs as appropriate;
 - 3.8.4 acting as the bridge between SOW management (operational) and commercial matters such as raising and managing invoices and payment, and tracking and managing commitment and spend against the overall Call-Off Contract value estimate;

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- 3.8.5 providing oversight of the resources (Supplier Staff, Subcontractors, etc.) required to deliver the Deliverables under the Call-Off Contract;
- 3.8.6 creating and maintaining Implementation Plans (as set out in Call-Off Schedule 13A (Health Implementation Plan and Testing);
- 3.8.7 co-ordinating with stakeholders and the Operational Board if applicable;
- 3.8.8 managing overall Call-Off Contract level risks, issues, escalations and commercial matters;
- 3.8.9 managing formal Variations;
- 3.8.10 acting as the linkage point into Buyer/Supplier Management;
- 3.8.11 maintaining and updating the Contract specific Call-Off Rate Card(s);
- 3.8.12 contributing to the maintenance of programme/project artifacts such as business cases, procurement packages, roadmaps, etc;
- 3.8.13 ensuring smooth transition and hand-over to the recipient of Deliverables (always the Buyer, but it may also be to another supplier if there is another major phase of work to be undertaken by the other supplier under a separate Call-Off Contract or SOW); and
- 3.8.14 monitoring Supplier performance against Material KPIs.
- 3.9 Typically, the Buyer shall expect oversight of SOWs to form part of the role of a core team who will persist for the duration of the Call-Off Contract. The Buyer shall consider executing a dedicated SOW (typically a rainbow team, on a Capped Time and Materials basis) for defining and managing Call-Off Contract Management activities. This would be in addition to any specific delivery SOWs. This role is not anticipated to be full time, but rather periodic (e.g. no more than a few days per month). If a single SOW is operating at any given time, the role may to be combined with others.
- 3.10 Whereas SOWs will often be sequential, there is no restriction on the number of SOWs that are able to be effective at any point in time. Likewise it is highlighted that Service Provisions under this framework are not lots. This means a Call-Off Contract may involve more than one Service Provision (with individual SOWs possibly commissioned to deliver distinct services).
- 3.11 The above activities are logically defined under the heading of Call-Off Contract Management for the purposes of this Call-Off Contract however the Buyer may choose to capture the above requirements in a manner of their own choosing.

Establishing and Managing Information Flows

- 3.12 Annex 2 provides an initial list of information which may be requested by the Buyer in connection with Call-Off Contract Management. The Buyer may add to this list at any point in time by notifying the Supplier in writing.
- 3.13 The information set out in Annex 2 shall be expected to be kept up to date by the Supplier at the refresh frequency set out in that Annex. The Supplier is required to maintain tight version control and, where noted, obtain Buyer approval to updates as the work progresses.

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Managing the Backlog

- 3.14 The Backlog is a key artifact for Call-Off Contract Management. The Backlog shall track Deliverable Increments as they are refined during the Call-Off Contract Period, will identify which SOWs cover each Deliverable Increment, will size them (and cost them under either the Fixed Price or Incremental Fixed Price models), will provide the basis for “accepting” them and will track various other information as set out in Annex 4.
- 3.15 Whilst the Buyer may choose to have a single Backlog covering each SOW and the Call-Off Contract, at Call-Off Contract level the Backlog is intended to capture the Deliverable Increments whilst delegating the detailed task-level management down to the SOW Backlog.
- 3.16 Payment under either the Fixed Price or Incremental Fixed Price pricing mechanism will be based on the price agreed in advance. However, the Supplier will be expected to provide a resource estimate which, when combined with Call-Off Rate Card prices, will provide the transparent basis for the fixed price.
- 3.17 The Buyer may elect to use acceptance certificates for all Deliverable Increments agreed as “done” or only for key Deliverable Increments. Under the Fixed Price or Incremental Fixed Price pricing mechanisms, there shall be a clear linkage between an invoiced amount and the relevant Deliverable Increment.
- 3.18 In all cases there shall be a clear linkage between the Backlog and invoices submitted.
- 3.19 Invoice frequency may not align with Operational Review Events (e.g. invoicing may be monthly but review/planning events every two weeks). Under such circumstances, for clarity of receipting and audit purposes, unless agreed otherwise by the Buyer, work yet to be accepted at the Commercial Planning/Review Event shall be held back to the next appropriate invoice period.

Oversight of Statements of Work

- 3.20 Subsequent to the first SOW, new SOWs will be created and agreed under the concept of Call-Off Contract Management. It is anticipated that the team involved in Call-Off Contract Management shall develop the SOW requirements, work with the Supplier to agree the content of the SOW, and decide on the resourcing and pricing models prior to signing off the SOW.
- 3.21 It is the responsibility of the respective Call-Off Contract Managers to ensure SOWs are within the scope of the overarching Call-Off Contract and that budget is available under the Call-Off Contract.
- 3.22 It is envisaged that minor variations to in-place SOWs will be coordinated under the concept of Call-Off Contract Management

Providing oversight of resourcing

- 3.23 Whilst detailed planning of resource allocation to SOW tasks is handled at SOW Management level, there is an ongoing requirement to understand the total resourcing view and where resourcing is deployed at the Call-Off Contract level.
- 3.24 Under the Rainbow Team Accountability Model, the Buyer may have mandatory induction processes to be followed. The Supplier shall ensure that all such

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requirements are met where required prior to beginning work under any Call-Off Contract or SOW.

- 3.25 The Supplier is also responsible for ensuring that its staff (directly or indirectly employed) perform any data handover / cleansing obligations where applicable at the end of a Call-Off Contract. Call-Off Contract Management is accountable for ensuring this is done.

The bridge between SOW Delivery and payment / Call-Off Contract budget management

- 3.26 The Supplier shall, at all times, maintain an audit path linking delivery information together with invoice information.
- 3.27 In an Agile environment, the contract value agreed at Call-Off Contract level is typically a maximum possible value rather than a committed sum. Subject to the terms of this Call-Off Contract, committed charges shall be set out in each SOW.
- 3.28 At all times, the Supplier shall track budgets, forecasts and actuals at purchase order level, SOW level and Call-Off Contract level and shall provide a level of granularity (e.g. monthly) as required by the Buyer.
- 3.29 The Supplier shall update such financial summaries to reflect any changes agreed under the formal Variation process.
- 3.30 The Supplier shall notify the Buyer of any forecast overspend at least 60 days in advance of such an overspend occurring.

Buyer/Supplier Management

- 3.31 Buyer/Supplier Management covers the overall relationship between Buyer and Supplier. If there is only one Call-Off Contract in place between the Buyer and Supplier the below activities may be combined under Call-Off Contract Management. However, Buyer/Supplier Management contains obligations which extend beyond specific Call-Off Contracts as set out below.
- 3.32 Buyer/Supplier Management is considered to formally start on the commencement of the Call-Off Contract. However, it is anticipated that Suppliers start to engage in Buyer/Supplier Management on an informal basis as they first become involved in a Further Competition Procedure.
- 3.33 From the Call-Off Contract Start Date the Supplier shall nominate a Buyer Account Manager and the Buyer shall nominate a Supplier Manager
- 3.34 It is expected, as part of non-Call-Off Contract-specific Supplier engagement, that the Supplier makes efforts to “understand” the Buyer. In order to improve competition and ensure a level playing the Buyer shall support attempts by the Supplier to “understand” the Buyer, without prejudicing any Further Competition Procedure.
- 3.35 It is recommended that, where a Supplier has not previously had a relationship with the Buyer, or specific relevant parts of the Buyer’s business, that “get to know events” are facilitated by the Buyer.
- 3.36 Buyer/Supplier Management is considered to end on the End Date of the last effective Call-Off Contract between the Buyer and Supplier.

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- 3.37 Whilst it is recognised that Buyer/Supplier Management may be incorporated within Call-Off Contract Management, there is certain information which may be aggregated up or is pertinent to the relationship with the Supplier. Examples of such information are listed under Annex 3.
- 3.38 On an ongoing basis, the Buyer and Supplier shall collaborate to ensure appropriate prioritisation of resources, focus and continuous improvement across all Call-Off Contracts between the Buyer and the Supplier.
- 3.39 Buyer SM Events, for handling the above matters, shall be held at a frequency determined by the Buyer.

Collaborative Buyer/Supplier Events

- 3.40 Periodically, the Buyer may elect to meet with all Suppliers with whom it has Call-Off Contracts or who are actively participating in Framework business with the Buyer.
- 3.41 Typically such events will be held quarterly, but the frequency shall be determined by the Buyer. Suppliers should make every reasonable effort to participate in, and contribute to, such events.
- 3.42 The purpose of such events will typically be to:
 - 3.42.1 provide the Buyer with the opportunity to share, on an equitable basis, future pipelines of work;
 - 3.42.2 provide the Buyer with the opportunity to share future technology trends from the Buyer's perspective;
 - 3.42.3 provide Suppliers with the opportunity to suggest overall improvements to the way the Framework Contract is working with the Buyer;
 - 3.42.4 share emerging technologies coming out of Supplier activities;
 - 3.42.5 identify where there may be market shortages in skills and discuss mechanisms (training, knowledge sharing, buddying/mentoring, etc.) to address such shortages;
 - 3.42.6 agree proposals for possible changes to be considered by CCS;
 - 3.42.7 discuss opportunities to improve the operation of the overall Framework Contract;
 - 3.42.8 discuss proposed updates to the Framework Contract; and
 - 3.42.9 any other activity which may be proposed by the Buyer.

4. KEY MECHANISMS

- 4.1 Product **Backlog** (Scrum®) or Prioritised Requirements List (AgilePM®) or equivalent:
 - 4.1.1 Typical information to be held in the Backlog may be found in Annex 4;
 - 4.1.2 The Backlog should be considered to be the operational equivalent of a change control log capturing refinements, changes, additions and deletions. The Backlog demonstrates the value delivered (even if only at Deliverable

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Increment) and provides an indicator on how much change the project/programme has had to absorb;

4.1.3 The Backlog evidences value delivered; and

4.1.4 Since the Backlog captures ongoing refinement, Variations should only be required to changes to funding, scope and high level Milestones/timescales.

4.2 Variation and Change Management

4.2.1 The term “SOW Variation” is used to describe changes to budget, timescales, and scope at the SOW level. Other than the Buyer ensuring finances are still available and that the scope of the SOW remains inside the Call-Off Contract, such SOW Variations are intended to be managed within the Call-Off Contract. As such extended Buyer governance is not anticipated.

4.2.2 The term “Variation”, in this context, is used to describe changes to overall contract value, overall contract milestones and/or term and where overall scope requires to change and such Variations shall follow the procedure set out at Clause 24.

4.2.3 The Supplier is required to maintain copies of all Variation and SOW Variation documentation.

4.3 Balanced Scorecard

4.3.1 Where the Buyer determines, the Supplier shall work with the Buyer to develop the detail of a Balanced Scorecard.

4.3.2 The Buyer shall give notice to the Supplier as to when the Balanced Scorecard shall become effective.

4.3.3 The principles outlined in Procurement Policy Note 09/16: Procurement for Growth Balanced Scorecard (or any later replacement) shall apply.

4.3.4 The Parties shall refer to the Balanced Scorecard Paper, Annex A: Diagram and Annex B: Strategic Themes and Critical Success Factors associated with Procurement Policy Note 09/16 (or latest equivalents) when formulating a Balanced Scorecard.

4.3.5 The Buyer may elect to apply a Balanced Scorecard either per Call-Off Contract or at Supplier level.

4.3.6 The frequency of update to the Balanced Scorecard shall be determined by the Buyer (but will generally align with Commercial Planning/Review Events at Call-Off level and/or Buyer SM Events at Supplier level).

4.3.7 An example of a Balanced Scorecard may be found in Annex 5.

5. RISK MANAGEMENT

5.1 Reference is made to the HM Treasury Green Book supplementary guidance on risk (<https://www.gov.uk/government/publications/green-book-supplementary-guidance-risk>).

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- 5.2 In particular, the principles and concepts contained in the Orange Book shall underpin the risk management practices implemented under this Schedule.
- 5.3 Both Parties shall pro-actively manage risks attributed to them under the terms of this Call-Off Contract.
- 5.4 The Buyer will aim to ensure that the placement of risk is appropriate (i.e. risk is placed where it can be influenced).
- 5.5 The Supplier shall develop, operate, maintain and amend, as agreed with the Buyer, processes for:
 - 5.5.1 the identification and management of risks;
 - 5.5.2 the identification and management of issues; and
 - 5.5.3 monitoring and controlling project plans.
- 5.6 The Supplier shall allow the Buyer to inspect at any time within the Supplier's working hours the accounts and records which the Supplier is required to keep.
- 5.7 The Supplier will maintain a risk register of the risks relating to the Call-Off Contract which the Buyer and the Supplier have identified.
- 5.8 The Buyer may elect, at any point in time, to conduct ongoing Supplier risk management as follows:
 - 5.8.1 the Buyer may choose to use credit rating checks (such as those offered by Experian and Dun & Bradstreet) to monitor the financial health of the Supplier;
 - 5.8.2 should the Buyer determine that a Supplier could be at financial risk, the Buyer may request financial details (including current unpublished accounts) in order to better understand any risk which could have an impact on the Call-Off Contract;
 - 5.8.3 on request by the Buyer, the Supplier shall provide and work to a financial risk mitigation plan as a means of protecting the interests of the Buyer; and
 - 5.8.4 the Supplier shall take reasonable steps to ensure the financial health of any Subcontractors it engages with. In the event of a potential risk with any Subcontractor the Supplier shall notify the Buyer of such risks and the mitigation actions it is taking to protect the interests of the Buyer.

6. KEY ROLES

- 6.1 Key Roles and Key Staff are identified and named in each SOW.
- 6.2 The Supplier and the Buyer shall each nominate an Operational Contract Manager for the purposes of this Call-Off Contract through whom the provision of the Deliverables shall be managed day-to-day.
- 6.3 The Supplier and the Buyer shall each nominate a Call-Off Contract Manager for the purposes of this Call-Off Contract through whom commercial matters may be escalated as and when needed and at a regular frequency as determined by the Parties.

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- 6.4 The Parties shall ensure that appropriate resource is made available on a regular basis such that the contract management aims, objectives and specific provisions of this Call-Off Contract can be fully realised.

Operational Contract Managers

- 6.5 Operational contract management shall cover matters including:
- 6.5.1 developing technical scope for individual SOWs;
 - 6.5.2 ongoing joint management of Backlog item lists;
 - 6.5.3 resource monitoring; and
 - 6.5.4 progress against Deliverables and reporting and receipting of the same.
- 6.6 The Supplier's Operational Contract Manager shall be:
- 6.6.1 the primary point of contact to receive operational communications from the Buyer and will also be the person primarily responsible for providing operational information to the Buyer;
 - 6.6.2 able to delegate his position to another person at the Supplier but must inform the Buyer before proceeding with the delegation and it will be delegated person's responsibility to fulfil the Operational Contract Manager's responsibilities and obligations;
 - 6.6.3 able to cancel any delegation and recommence the position himself; and
 - 6.6.4 replaced only after the Buyer has received notification of the proposed change.
- 6.7 The Buyer's Operational Contract Manager is the Buyer side of the Operational Contract Management relationship, providing operational communications to the Supplier, acknowledging receipt of Deliverables, and having equivalent obligations with respect to delegation and notification of any changes.
- 6.8 The Buyer may provide revised instructions to the Supplier's Operational Contract Manager in regards to the operation of the Call-Off Contract and it will be the Supplier's Operational Contract Manager's responsibility to ensure the information is provided to the Supplier and the actions implemented.
- 6.9 Receipt of communication from the Supplier's Operational Contract Manager by the Buyer does not absolve the Supplier from its responsibilities, obligations or liabilities under the Call-Off Contract.

Call-Off Contract Managers

- 6.10 Commercial Contract Management shall cover matters including:
- 6.10.1 development of commercial scope for individual SOWs;
 - 6.10.2 ensuring compliance with Call-Off Contract terms;
 - 6.10.3 oversight of commercial performance of the Call-Off Contract; and

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- 6.10.4 resolution of commercial issues, including any need for contractual dispute resolution or escalation.
- 6.11 The Supplier's Call-Off Contract Manager shall be:
 - 6.11.1 the primary point of contact to receive commercial communications from the Buyer and will also be the person primarily responsible for providing commercial information to the Buyer;
 - 6.11.2 able to delegate his position to another person at the Supplier but must inform the Buyer before proceeding with the delegation and it will be delegated person's responsibility to fulfil the Call-Off Contract Manager's responsibilities and obligations;
 - 6.11.3 able to cancel any delegation and recommence the position himself; and
 - 6.11.4 replaced only after the Buyer has received notification of the proposed change.
- 6.12 The Buyer's Call-Off Contract Manager is the Buyer side of the Commercial Contract Management relationship, providing commercial communications to the Supplier and having equivalent obligations with respect to delegation and notification of any changes.
- 6.13 The Buyer may provide revised instructions to the Supplier's Call-Off Contract Manager in regards to the commercial aspects of the Call-Off Contract and it will be the Supplier's Call-Off Contract Manager's responsibility to ensure the information is provided to the Supplier and the actions implemented.
- 6.14 Receipt of communication from the Supplier's Call-Off Contract Manager by the Buyer does not absolve the Supplier from its responsibilities, obligations or liabilities under the Call-Off Contract.

Supplier Manager and Account/Buyer Manager

- 6.15 The Buyer side Supplier Manager, if named by the Buyer, is the individual with oversight of the Supplier as a whole and shall be the prime contact for the Supplier's Account/Buyer Manager.
- 6.16 Buyer matters which are not able to be dealt with at the Call-Off Contract level shall be escalated to the Supplier Manager.
- 6.17 The role shall delegate to the Buyer's Call-Off Contract Manager if not named.
- 6.18 The Supplier side Account/Buyer Manager, if named by the Supplier, is the individual with the relationship with the Buyer as a whole and shall be the prime contact for the Buyer's Supplier Manager.
- 6.19 Supplier matters which are not able to be dealt with at the Call-Off Contract level shall be escalated to the Supplier's Account/Buyer Manager.
- 6.20 The role shall delegate to the Supplier's Call-Off Contract Manager if not named.

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Contract Boards

- 6.21 One or more Contract Boards may, at the Buyer's sole option be established for the purposes of this Call-Off Contract. At minimum the Supplier and the Buyer shall be represented on the board.
- 6.22 Where required, the board members, frequency and location of board meetings and planned start date by which the board shall be established shall be set out in Annex 6.
- 6.23 In the event that either Party wishes to replace any of its appointed board members, that Party shall notify the other in writing for approval by the other Party (such approval not to be unreasonably withheld or delayed). Each Buyer board member shall have at all times a counterpart Supplier board member of equivalent seniority and expertise.
- 6.24 Each Party shall ensure that its board members shall make all reasonable efforts to attend board meetings at which that board member's attendance is required. If any board member is not able to attend a board meeting, that person shall use all reasonable endeavours to ensure that a delegate attends the Operational Board meeting in his/her place (wherever possible) and that the delegate is properly briefed and prepared and that he/she is debriefed by such delegate after the board meeting.
- 6.25 The purpose of the board meetings will generally be to review the performance of the Call-Off Contract. The agenda for each meeting shall be set by the Buyer and communicated to the Supplier in advance of that meeting.

Executive Sponsors

- 6.26 Each party may elect to nominate an Executive Sponsor for the purposes of ensuring corporate alignment with the overall Buyer/Supplier relationship as well as acting as a point of escalation to assist in removing potential corporate blockers.

7. KEY INFORMATION

- 7.1 The Buyer requires the Supplier to provide the management information as identified in the Annexes to this Schedule. These requirements are without limitation to the Buyer's right to require the submission of information, reports, records and data as set out elsewhere in the Call-Off Contract.
- 7.2 The Supplier shall, within 30 days of the earliest of:
 - 7.2.1 the date which is 30 days before the end of the Call-Off Contract Period;
 - 7.2.2 receipt of a Termination Notice;
 - 7.2.3 notification by the Buyer of an actual or intended Service Transfer; or
 - 7.2.4 a written request by the Buyer,provide the Buyer with a complete set of up to date information in respect of all types of information set out in the Annexes.

8. INVOICING AND PAYMENT

- 8.1 The frequency of invoicing shall be on a Monthly basis, unless agreed by the Buyer, in writing, as otherwise.

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- 8.2 Invoices for the preceding Month shall be submitted within 10 Working Days of the end of the Month unless agreed, in writing, by the Buyer as otherwise.
- 8.3 Separate invoices shall be provided for each SOW, clearly identifying the Call-Off Contract and SOW which the invoice relates to.
- 8.4 The information to be provided by the Supplier with each Invoice shall be that identified in Annex 7.
- 8.5 In order to facilitate prompt payment of invoices, the Supplier shall coordinate with the Buyer to ensure acceptance of Deliverables completed.
- 8.6 The Buyer shall notify the Supplier of any incorrect Invoice submissions within 5 Working Days of receipt. Incorrect invoices shall include (without limitation) invoices for work which has not been accepted by the Buyer and invoices based on incorrect rates. The Supplier shall resubmit invoices once corrected.
- 8.7 Unless otherwise agreed, the Buyer shall pay all accepted invoices within 30 days of submission.

9. MATERIAL KPIs

- 9.1 The Supplier's performance shall be measured by the Material KPIs set out in the Order Form.
- 9.2 The Supplier shall comply with the Material KPIs and establish processes to monitor its performance against them and the Supplier's achievement of Material KPIs shall be reviewed during Commercial Planning/Review Events.
- 9.3 The Buyer reserves the right to adjust, introduce new, or remove Material KPIs throughout the Call-Off Contract Period, however any significant changes to Material KPIs shall be agreed between the Buyer and the Supplier in accordance with the Variation Procedure.
- 9.4 The Buyer reserves the right to use and publish the performance of the Supplier against the Material KPIs without restriction.
- 9.5 In the event that the Buyer and the Supplier are unable to agree the performance score for any Material KPI during a Commercial Planning/Review Event, the disputed score shall be recorded and the matter shall be referred to the Buyer Authorised Representative and the Supplier Authorised Representative in order to determine the best course of action to resolve the matter (which may involve organising an ad-hoc meeting to discuss the performance issue specifically).
- 9.6 In cases where the Buyer Authorised Representative and the Supplier Authorised Representative fail to reach a solution within a reasonable period of time, the matter shall be referred to the Dispute Resolution Procedure.
- 9.7 Failures to meet Material KPIs shall be addressed in accordance with Paragraphs 5.4 and 5.5 of Framework Schedule 4 (Framework Management).

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Annex 1: SOW Management Related Information

Topic	Frequency or Details
Operational Planning Event Frequency	Monthly
Operational Review Event Frequency	Monthly

The following table provides a list of information required by the Buyer as part of the SOW Management process.

Notes:

1. There are some artifacts which held at Call-Off Management level which could equally apply at this level. Please read that list too (Annex 2).
2. Supplier and Subcontractor related topics are covered under Buyer/Supplier Management
3. This list is non-exclusive, and the Buyer may elect to include other information.

Type of Information		Required ?	Refresh Frequency
A1.01	Backlog (Task level)	Y	Operational Planning Event
A1.02	Forecast Resource Profile	Y	Operational Planning Event
A1.03	Actual Resource Utilisation	Y	Operational Review Event
A1.04	Task Completion Status	Y	Operational Review Event
Typical Agile Artifacts (Statement of Work Information)			
A1.10	Sprint Burndown Report	Y	On request from the Buyer
A1.11	Velocity Chart	Y	On request from the Buyer
A1.12	Epic and Release Burndown Chart	Y	On request from the Buyer
A1.13	Agile Control Chart	Y	On request from the Buyer
A1.14	Cumulative Flow Diagram	Y	On request from the Buyer
A1.15	Value Delivered Chart	Y	On request from the Buyer
A1.16	Work Item Age Chart	Y	On request from the Buyer

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Annex 2: Call-Off Contract Management Information

Topic	Frequency or Details
Commercial Planning/Review Event Frequency	To be agreed between Buyer and Supplier but at least Monthly
Cost and Capacity Optimisation Group (e-RS only)	Monthly

The following table provides a list of information required by the Buyer as part of the Call-Off Contract Management process (note that this is a logical model and the Buyer may elect to operate “events” under different labels).

Notes:

1. This list is non-exclusive, and the Buyer may elect to include other information.
2. This list is also illustrative and non-exhaustive. It is anticipated the Buyer will review and edit these tables as part of preparing a Call-Off Contract (and reserves the right to amend during the Call-Off Contract Period).

Ref.	Type of Information	Required ?	Refresh Frequency
Contract Management Artifacts			
A2.01	Backlog (Deliverable Increment Level) (including agreements to Acceptance, Pricing, Status, etc – see Backlog for details)	Y	Commercial Planning / Review Event
A2.02	List of Supplier Staff including: SOW, Unique ID, Name, Job Role, link to Call-Off Rate Card, rate, Start Date, End Date, Planned Days, Forecast Days, Actual Days, Security Level, Contractor Status, IR35 determination, etc as specified by the Buyer)	Y	Commercial Planning / Review Event
A2.03	Cost/Spend Cash Flow Data including: SOW, Budget, Forecast, Actual, links to POs, Variations, etc as specified by the Buyer	Y	Commercial Planning / Review Event
A2.04	Risks, Issues (and Opportunities) Log including impact assessment, mitigation details, etc.	Y	Commercial Planning / Review Event
A2.05	Any remediation plans agreed, and any progress against an agreed remediation plan.	Y	Commercial Planning / Review Event
A2.06	Statement of any commercial issues by the Supplier during that period (late payment). Report of resolution of any previously noted items.	Y	Commercial Planning / Review Event
A2.07	Copies of notices received and/or issues by the Buyer, and referrals to any Dispute Resolution Procedure	Y	On demand by the Buyer
A2.08	Variations detailing material changes to scope, cost, major milestones and/or overall timescales	Y	On demand by the Buyer
A2.09	Stakeholder Map	Y	N/a
A2.10	Communications Plan	N	N/a
A2.11	Copies of all Contract related documents including referenced documents, relevant Sub-Contracts and any ancillary documents (including amendments)	Y	On demand by the Buyer
A2.12	Current contact and address for notices under the Call-Off Contract.	Y	Immediate and updates following any changes

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Ref.	Type of Information	Required ?	Refresh Frequency
A2.13	Performance Monitoring Report as set out in Schedule 14a Section B	Y	Monthly

Ref.	Type of Information	Required ?	Refresh Frequency
Typical AgilePM® Products (ref: Agile Project Management Handbook by the DSDM® Consortium): https://www.agilebusiness.org/page/ProjectFramework_08_Product			
A2.20	Terms of Reference	N	N/a
A2.21	Business Case	Y	To be agreed
A2.22	Solution Architecture Definition	Y	To be agreed
A2.23	Development Approach Definition	Y	To be agreed
A2.24	Delivery Plan (also under Implementation Plans)	Y	To be agreed
A2.25	Timebox Plans (also under Implementation Plans)	Y	To be agreed
A2.26	Timebox Review Records	Y	To be agreed
A2.27	Management Approach Definition	Y	To be agreed
A2.28	Feasibility Assessment	Y	To be agreed
A2.29	Foundations Summary	N	N/a
A2.30	Project Review Report	Y	To be agreed
A2.31	Sprint Plan	Y	Prior to each Sprint
Other Agile Products (courtesy Blended Agile Delivery www.thebadtoolkit.com)			
A2.40	V MOST Mission Boards	Y	To be agreed
A2.41	ROI Projections	Y	To be agreed
A2.42	EPIC Board (also under Implementation Plans)	Y	To be agreed
A2.43	User Stories	Y	To be agreed
A2.44	Release Propositions	Y	To be agreed
A2.45	Proof of Concepts (POCs) / Spikes	Y	To be agreed
A2.46	Designs / UX (User Functionality)	Y	To be agreed
A2.47	Business Architecture Changes	Y	To be agreed
A2.48	Data Changes	Y	To be agreed
A2.49	Candidate Architectures	Y	To be agreed
A2.50	PTEST Requirements	Y	To be agreed
A2.51	Elaboration Boards (also under Implementation Plans)	Y	To be agreed
A2.52	Spring Boards (also under Implementation Plans)	Y	To be agreed
A2.53	Delivery Metrics	Y	To be agreed
A2.54	Health Checks	Y	To be agreed

Ref.	Type of Information	Required ?	Refresh Frequency
Contributions to Other Programme / Project Management Artifacts (not listed above)			
A2.60	Technical Requirements (Functional / Non-Functional)	Y	To be agreed
A2.61	Technical Constraints (e.g. compatibility with existing systems)	Y	To be agreed
A2.62	Pre-procurement support activities	Y	To be agreed
A2.63	Make or Buy Analysis	Y	To be agreed
A2.64	Technical Stack Specification	Y	To be agreed
A2.65	Technical Road Map	Y	To be agreed
A2.66	Target Operating Model	Y	To be agreed
A2.67	Skills Requirements Profile	Y	To be agreed

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Ref.	Type of Information	Required ?	Refresh Frequency
Security and Personal Data Reporting Information			
A2.70	DSP Toolkit Submissions	Y	Annually in arrears
A2.71	Copies of required security clearance certificates for all staff (where staff process Patient Identifiable Data or are on Buyer Premises or access Buyer Systems)	Y	On demand by the Buyer and In advance of commencement of activity
A2.72	Unique individual identifier number and full name of staff handling Patient Identifiable Data (where staff process Patient Identifiable Data or are on Buyer Premises or access Buyer Systems)	Y	On demand by the Buyer and In advance of commencement of activity
A2.73	Updated DPIA	Y	Written by the Buyer with data provided on demand by the Supplier
A2.74	Completed Information Security Management (ISM) Document Set	Y	Written by the Buyer with data provided on demand by the Supplier
A2.75	Evidence of data destruction certification	Y	On demand by the Buyer
A2.76	Notices of any breach of data provision or security provisions	Y	On occurrence

Ref.	Type of Information	Required ?	Refresh Frequency
Handover / Exit Related Information			
A2.80	Records required by Law as they relate to the provision of the services (including in relation to health and safety matters and health and safety files), such records to be prepared in accordance with any applicable laws or regulations.	Y	On demand by the Buyer
A2.81	All training, implementation, operation and maintenance manuals related to the provision of the Deliverables.	Y	On demand by the Buyer
A2.82	All certificates, licences, registrations or warranties related to the provision of Deliverables	Y	On demand by the Buyer
A2.83	Exit Plan (and any requested updates)	Y	(see Call-Off Schedule 10: Exit Management)

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Ref.	Type of Information	Required ?	Refresh Frequency
TUPE Information			
A2.90	Details of service functions that have provided services to the Buyer, and the denoting characteristics that delineate the functions (including but not limited to function code references and names used on the Supplier's finance system, and period of time for which such code has existed).	N	On demand by the Buyer
A2.91	Details of the number of customers supported by the Supplier's named service functions.	N	On demand by the Buyer
A2.92	The Staffing Information (as defined in Call-Off Schedule 2 (Staff Transfer) Buyer in relation to an anticipated potential Service Transfer or as required to be provided under the Schedule	N	On demand by the Buyer

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Annex 3:

Buyer/Supplier Management Information

Topic	Frequency or Details
Buyer SM Event Frequency	To be agreed between Buyer and Supplier but at least monthly <i>frequency</i>

The following table provides a list of information required by the Buyer as part of the Buyer/Supplier Management process (note that this is a logical model and the Buyer may elect to operate “events” under different labels).

Notes:

1. This list is non-exclusive, and the Buyer may elect to include other information.
2. This list is also illustrative and non-exhaustive. It is anticipated the Buyer will review and edit these tables as part of preparing a Call-Off Contract (and reserves the right to amend during the Call-Off Contract Period).
3. Information which could be seen to be advantageous to all Suppliers or which would be of benefit to all parties are dealt with under Buyer Specific Framework Management.

Ref.	Type of Information	Required ?	Refresh Frequency
Supplier and Sub-Contract Related Information			
A3.01	Report from the Supplier of any change to its financial standing / any change to its group structure.	Y	On demand by the Buyer
A3.02	Request for use of any additional Subcontractors not forming part of the original Framework either: <ul style="list-style-type: none"> • As part of a proposed response to a new Further Competition Procedure; or During execution of an existing Call-Off Contract	Y	Prior to competition. Prior to mobilisation (as appropriate)
A3.03	Written confirmation by the Supplier, confirmed in writing by the Subcontractor(s), that they have in place a contract which mirrors the provisions of the Call-Off Contract with the Supplier	Y	On demand by the Buyer
A3.04	Written assurance by any Subcontractor that the provisions under A3.03 are also cascaded down their supply chain	Y	On demand by the Buyer
A3.05	Copies of published financial accounts	Y	On demand by the Buyer
A3.06	In the event of the Buyer becoming aware of any financial difficulties being faced by the Supplier (as reasonably judged by the Buyer), copies of current accounts (whether published or not)	Y	On demand by the Buyer

Call-Off Schedule 15A (Health Supplier and Contract Management)

Call-Off Ref: C306110 Appointments and Patient Choice

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Ref.	Type of Information	Required ?	Refresh Frequency
Aggregated Views			
A3.10	Summary of all Call-Off Contracts, Variations and SOWs from a performance perspective (possibly in the form of a traffic light report). All as required by the Buyer	Y	Buyer SM Event
A3.11	Summary of cash flow (budget, forecast, actual) for all Call-Off Contracts and SOWs	Y	Buyer SM Event
A3.12	Summary of resources deployed and any people issues requiring resolution	Y	Buyer SM Event
A3.13	Summary of escalated risks, issues and other escalation topics (e.g. around obligations)	Y	Buyer SM Event
A3.14	Quality Review Heat Map (or equivalent) capturing an assessment of quality against things like User needs, roadmaps, technology, delivery, transparency, decision making, go-live readiness, etc as defined by the Buyer	Y	Buyer SM Event
Supplier (and Buyer) Performance and Continuous Improvement			
A3.20	Overall “Temperature Checks” or “Office Vibe” status or equivalent – providing 360° feedback on things like relationships, recognition, growth and development, wellness, happiness, etc (May also be at individual Call-Off Contract level)	N	Buyer SM Event
A3.21	Balanced Scorecard (as defined in detail in paragraph 4.3)	N	Buyer SM Event
A3.22	Mutual personnel development opportunities	Y	As mutually agreed
A3.23	Continuous improvement / opportunities	Y	As mutually agreed
Overall Supplier Governance			
A3.30	Summary of agreed remediation actions and their status	Y	Buyer SM Event
A3.31	Mutual Review and endorsement of Call-Off Contract Variations	Y	On demand by the Buyer
A3.32	Recommendations to be taken to framework level (under the management of the Authority)	Y	As mutually agreed

Call-Off Schedule 15A (Health Supplier and Contract Management)

Call-Off Ref: C306110 Appointments and Patient Choice

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Annex 4:

Product Backlog/Prioritised Requirements List

Please refer to 'Annex 4: Call-Off Schedule 20 – Product Backlog Item List', within 'Call-Off Schedule 20 (Call-Off Specification)'.

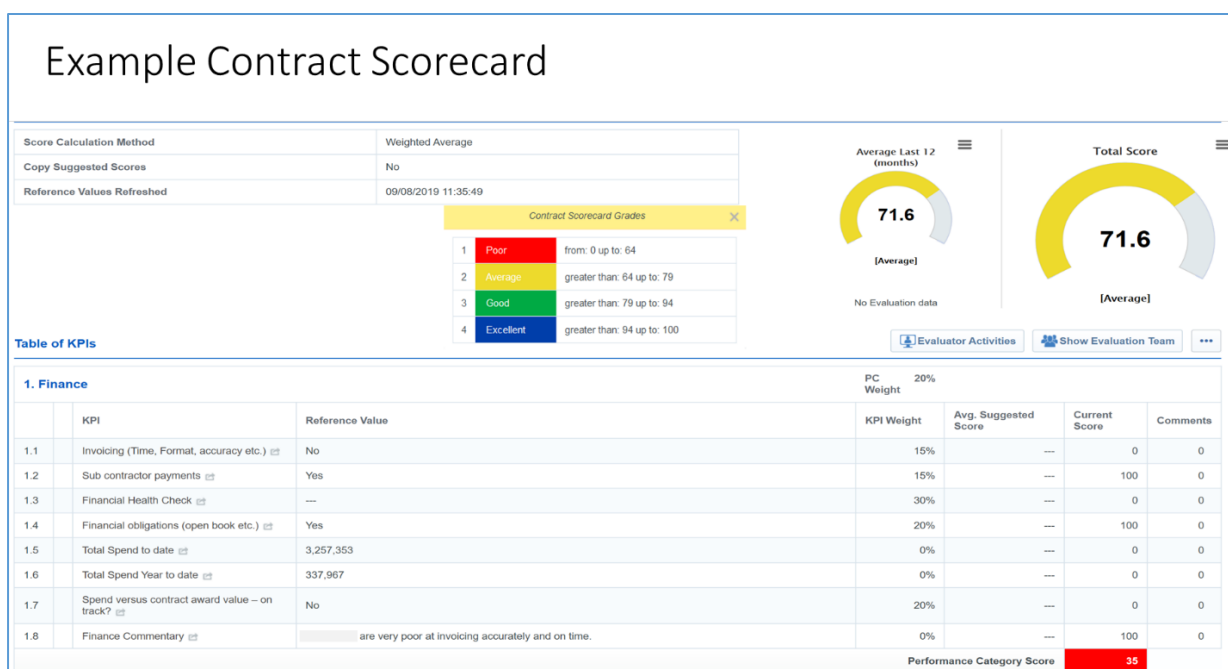
Call-Off Schedule 15A (Health Supplier and Contract Management)

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Annex 5: Balanced Scorecard (Example)

1. In addition to the Supplier's performance management obligations set out in the Framework Contract, the Buyer and the Supplier may agree to the following Balanced Scorecard & KPIs for this Call-Off Contract (see Balanced Scorecard examples below). However, the Balanced Scorecards may change and be amended over the life of the Contract.

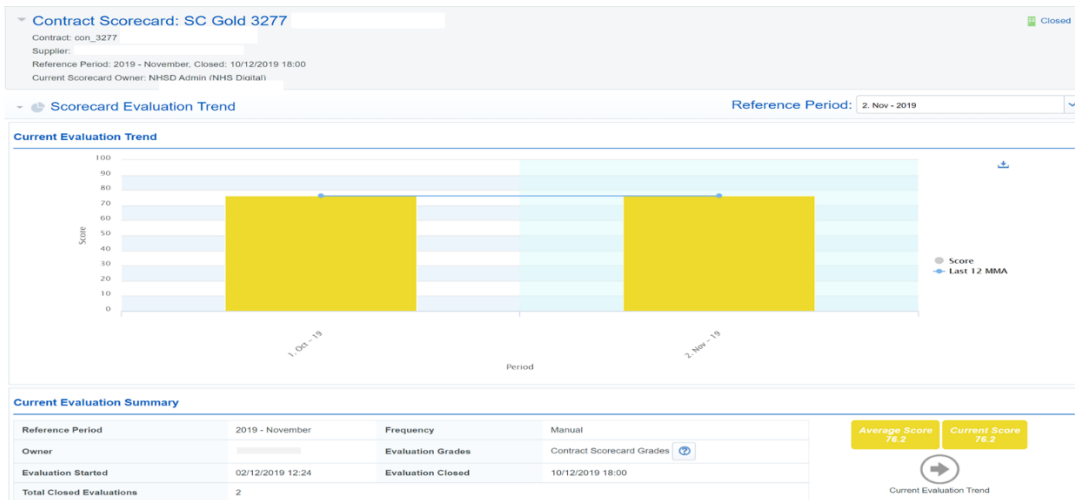
Example 1**Example 2**

Call-Off Schedule 15A (Health Supplier and Contract Management)

Call-Off Ref: C306110 Appointments and Patient Choice

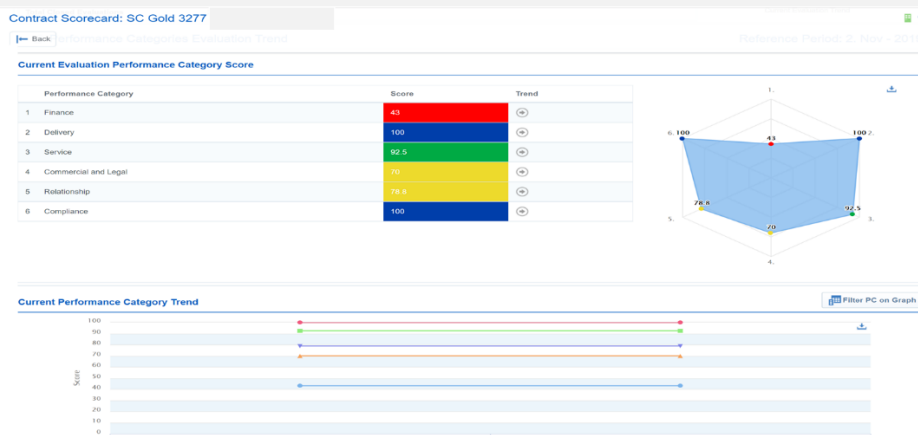
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Example Contract Trend Report



Example 3

Example Contract Trend Report



Example 4

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Example Contract Scorecard - Contract Comparison



2. The purpose of the Balanced Scorecard is to promote contract management activity, through measurement of a Supplier's performance against key performance indicators, which the Buyer and Supplier should agree at the beginning of a Call-Off Contract. The targets and measures listed in the example scorecard (above) are for guidance and should be changed to meet the agreed needs of the Buyer and Supplier.
3. The recommended process for using the Balanced Scorecard is as follows:
 - The Buyer and Supplier agree a templated Balanced Scorecard together with a performance management plan, which clearly outlines the responsibilities and actions that will be taken if agreed performance levels are not achieved.
 - On a pre-agreed schedule (e.g. monthly), both the Buyer and the Supplier provide a rating on the Supplier's performance
 - Following the initial rating, both Parties meet to review the scores and agree an overall final score for each key performance indicator
 - Following agreement of final scores, the process is repeated as per the agreed schedule.

Call-Off Schedule 15A (Health Supplier and Contract Management)

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Annex 6: Contract Boards

Not used.

Call-Off Schedule 15A (Health Supplier and Contract Management)

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Annex 7: Information to be provided on Invoice

The following information is required to be provided along with each invoice:

Ref.	Type of Information	Which Services does this requirement apply to?	Required regularity of Submission
1.1	Details of the reference for the Call-Off Contract.	All	with each invoice
1.2	Details of the reference of the Statement of Work. To include reference to Milestones.	All	with each invoice
1.3	Details of the reference of the Variation.	All	with each invoice
1.4	Unique invoice number.	All	with each invoice
1.5	Buyer Purchase Order number (allocated on a per Programme basis by the Buyer).	All	with each invoice
1.6	Date of invoice.	All	with each invoice
1.7	Portfolio reference and programme name.	All	with each invoice
1.8	The period(s) to which the relevant Charge(s) relate.	All	with each invoice
1.9	Details of payments due in respect of achievement of a milestone.	All	with each invoice
1.10	Details of any service credits or similar incentives that shall apply to the charges detailed on the invoice.	All	with each invoice
1.11	The total charges gross and net of any applicable deductions and, separately, the amount of any disbursements properly chargeable to the Buyer under the terms of this Call-Off Contract, and separately.	All	with each invoice
1.12	Any VAT or other sales tax payable in respect of the same.	All	with each invoice
1.13	A contact name and telephone number of a responsible person in the Supplier's finance department in the event of administrative queries.	All	with each invoice
1.14	The banking details for payment to the Supplier via electronic transfer of funds (i.e. name and address of bank, sort code, account name and number).	All	with each invoice
1.15	Detailed time sheets for any time and materials-based pricing, including unique individual identifier number (and same number to be used in all correspondence, reports, provision of information etc. in relation to Supplier's staff), and full name. To include description of type of work undertaken, role and Team description.	All	with each invoice
1.16	Copies of invoices including VAT information for any expenses-based disbursements and deductions.	All	with each invoice
1.17	Asset number/ Asset type, (hardware/software, perpetual licence or subscription) description and period covered of any purchased / licensed / leased items.	All	with each invoice
1.18	Where appropriate, details of user stories worked on by each individual.	Software Development services	with each invoice

Call-Off Schedule 15A (Health Supplier and Contract Management)

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The information below offers an example of how various types of charges might be best detailed on an invoice:

Buyer Details				Supplier Details			
Buyer Details				Supplier Details			
Buyer Details				Supplier Details			
Buyer Details				Supplier Details			
				Invoice # xxxxx			
				Invoice Date xx/xx/xx			
				Purchase Order xxxxxxxx			
Portfolio Ref (P0xxx/xx)		Programme Name					
SOW xxx	Variation (CCNxx)		SOW Title				
Milestone xx							
Deliverable	Reference #	Description of Work completed				Period	xxxx
Deliverable	Reference #	Description of Work completed					Amount
Deliverable	Reference #	Description of Work completed					Amount
Deliverable	Reference #	Description of Work completed					Amount
Team							
Name	Role	unique individual identifier #	Type of Work (e.g Live Service, Development, Discovery)		Day Rate	Days	Amount
Name	Role	unique individual identifier #	Type of Work (e.g Live Service, Development, Discovery)		Day Rate	Days	Amount
Name	Role	unique individual identifier #	Type of Work (e.g Live Service, Development, Discovery)		Day Rate	Days	Amount
Name	Role	unique individual identifier #	Type of Work (e.g Live Service, Development, Discovery)		Day Rate	Days	Amount
Name	Role	unique individual identifier #	Type of Work (e.g Live Service, Development, Discovery)		Day Rate	Days	Amount
Hardware							
Product	Product Code	Serial #	Type (e.g. Server, Laptop, Tablet, Mobile Phone)		Period	xxxx	Amount
Product	Product Code	Serial #	Type (e.g. Server, Laptop, Tablet, Mobile Phone)				Amount
Product	Product Code	Serial #	Type (e.g. Server, Laptop, Tablet, Mobile Phone)				Amount
Software License							
Product	Description	Perpetual/Subscription	Licence Period	From	To	# Users	Amount
Product	Description	Perpetual/Subscription	Licence Period	From	To	# Users	Amount
Product	Description	Perpetual/Subscription	Licence Period	From	To	# Users	Amount
Expenses							
Name	Date Incurred	Type (Travel, Accomodation etc)	Description including Provider				Amount
Name	Date Incurred	Type (Travel, Accomodation etc)	Description including Provider				Amount
Credits							
Description	Period Applied xxxx					Period Retates Too	Amount
						Net Total	£XXX
						VAT / Sales Tax	£XXX
						Gross Total	£XXX
Banking Details				Supplier Finance Department			
Account Name:				Contact Name:			
Bank:				Contact Number:			
Sort Code:							
Account No:							
IBAN Code:							
VAT Number:							

Call-Off Schedule 16 (Benchmarking)

Call-Off Ref: C306110 Appointments and Patient Choice
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Call-Off Schedule 16 (Benchmarking)

1. DEFINITIONS

- 1.1 In this Schedule, the following expressions shall have the following meanings:

"Benchmark Review"	a review of the Deliverables carried out in accordance with this Schedule to determine whether those Deliverables represent Good Value;
"Benchmarked Deliverables"	any Deliverables included within the scope of a Benchmark Review pursuant to this Schedule;
"Comparable Rates"	the Charges for Comparable Deliverables;
"Comparable Deliverables"	deliverables that are identical or materially similar to the Benchmarked Deliverables (including in terms of scope, specification, volume and quality of performance) provided that if no identical or materially similar Deliverables exist in the market, the Supplier shall propose an approach for developing a comparable Deliverables benchmark;
"Comparison Group"	a sample group of organisations providing Comparable Deliverables which consists of organisations which are either of similar size to the Supplier or which are similarly structured in terms of their business and their service offering so as to be fair comparators with the Supplier or which, are best practice organisations;
"Equivalent Data"	data derived from an analysis of the Comparable Rates and/or the Comparable Deliverables (as applicable) provided by the Comparison Group;
"Good Value"	that the Benchmarked Rates are within the Upper Quartile; and

Call-Off Schedule 16 (Benchmarking)

Call-Off Ref: C306110 Appointments and Patient Choice
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"Upper Quartile"

in respect of Benchmarked Rates, that based on an analysis of Equivalent Data, the Benchmarked Rates, as compared to the range of prices for Comparable Deliverables, are within the top 25% in terms of best value for money for the recipients of Comparable Deliverables.

2. When you should use this Schedule

- 2.1 The Supplier acknowledges that the Buyer wishes to ensure that the Deliverables, represent value for money to the taxpayer throughout the Contract Period.
- 2.2 This Schedule sets to ensure the Contracts represent value for money throughout and that the Buyer may terminate the Contract by issuing a Termination Notice to the Supplier if the Supplier refuses or fails to comply with its obligations as set out in Paragraphs 3 of this Schedule.
- 2.3 Amounts payable under this Schedule shall not fall with the definition of a Cost.

3. Benchmarking

3.1 How benchmarking works

- 3.1.1 The Buyer and the Supplier recognise that, where specified in Framework Schedule 4 (Framework Management), the Buyer may give CCS the right to enforce the Buyer's rights under this Schedule.
- 3.1.2 The Buyer may, by written notice to the Supplier, require a Benchmark Review of any or all of the Deliverables.
- 3.1.3 The Buyer shall not be entitled to request a Benchmark Review during the first six (6) Month period from the Contract Commencement Date or at intervals of less than twelve (12) Months after any previous Benchmark Review.
- 3.1.4 The purpose of a Benchmark Review will be to establish whether the Benchmarked Deliverables are, individually and/or as a whole, Good Value.
- 3.1.5 The Deliverables that are to be the Benchmarked Deliverables will be identified by the Buyer in writing.
- 3.1.6 Upon its request for a Benchmark Review the Buyer shall nominate a benchmarker. The Supplier must approve the nomination within ten (10) Working Days unless the Supplier provides a reasonable explanation for rejecting the appointment. If the appointment is rejected then the Buyer may propose an alternative benchmarker. If the Parties cannot agree the appointment within twenty (20) days of

Call-Off Schedule 16 (Benchmarking)

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the initial request for Benchmark review then a benchmarker shall be selected by the Chartered Institute of Financial Accountants.

- 3.1.7 The cost of a benchmarker shall be borne by the Buyer (provided that each Party shall bear its own internal costs of the Benchmark Review) except where the Benchmark Review demonstrates that the Benchmarked Service and/or the Benchmarked Deliverables are not Good Value, in which case the Parties shall share the cost of the benchmarker in such proportions as the Parties agree (acting reasonably). Invoices by the benchmarker shall be raised against the Supplier and the relevant portion shall be reimbursed by the Buyer.

3.2 Benchmarking Process

- 3.2.1 The benchmarker shall produce and send to the Buyer, for Approval, a draft plan for the Benchmark Review which must include:
- (a) a proposed cost and timetable for the Benchmark Review;
 - (b) a description of the benchmarking methodology to be used which must demonstrate that the methodology to be used is capable of fulfilling the benchmarking purpose; and
 - (c) a description of how the benchmarker will scope and identify the Comparison Group.
- 3.2.2 The benchmarker, acting reasonably, shall be entitled to use any model to determine the achievement of value for money and to carry out the benchmarking.
- 3.2.3 The Buyer must give notice in writing to the Supplier within ten (10) Working Days after receiving the draft plan, advising the benchmarker and the Supplier whether it Approves the draft plan, or, if it does not approve the draft plan, suggesting amendments to that plan (which must be reasonable). If amendments are suggested then the benchmarker must produce an amended draft plan and this Paragraph 3.2.3 shall apply to any amended draft plan.
- 3.2.4 Once both Parties have approved the draft plan then they will notify the benchmarker. No Party may unreasonably withhold or delay its Approval of the draft plan.
- 3.2.5 Once it has received the Approval of the draft plan, the benchmarker shall:
- (a) finalise the Comparison Group and collect data relating to Comparable Rates. The selection of the Comparable Rates (both in terms of number and identity) shall be a matter for the Supplier's professional judgment using:
 - (i) market intelligence;
 - (ii) the benchmarker's own data and experience;
 - (iii) relevant published information; and

Call-Off Schedule 16 (Benchmarking)

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- (iv) pursuant to Paragraph 3.2.6 below, information from other suppliers or purchasers on Comparable Rates;
 - (b) by applying the adjustment factors listed in Paragraph 3.2.7 and from an analysis of the Comparable Rates, derive the Equivalent Data;
 - (c) using the Equivalent Data, calculate the Upper Quartile;
 - (d) determine whether or not each Benchmarked Rate is, and/or the Benchmarked Rates as a whole are, Good Value.
- 3.2.6 The Supplier shall use all reasonable endeavours and act in good faith to supply information required by the benchmarker in order to undertake the benchmarking. The Supplier agrees to use its reasonable endeavours to obtain information from other suppliers or purchasers on Comparable Rates.
- 3.2.7 In carrying out the benchmarking analysis the benchmarker may have regard to the following matters when performing a comparative assessment of the Benchmarked Rates and the Comparable Rates in order to derive Equivalent Data:
- (a) the contractual terms and business environment under which the Comparable Rates are being provided (including the scale and geographical spread of the customers);
 - (b) exchange rates;
 - (c) any other factors reasonably identified by the Supplier, which, if not taken into consideration, could unfairly cause the Supplier's pricing to appear non-competitive.

3.3 Benchmarking Report

- 3.3.1 For the purposes of this Schedule "**Benchmarking Report**" shall mean the report produced by the benchmarker following the Benchmark Review and as further described in this Schedule;
- 3.3.2 The benchmarker shall prepare a Benchmarking Report and deliver it to the Buyer, at the time specified in the plan Approved pursuant to Paragraph 3.2.3, setting out its findings. Those findings shall be required to:
- (a) include a finding as to whether or not a Benchmarked Service and/or whether the Benchmarked Deliverables as a whole are, Good Value;
 - (b) if any of the Benchmarked Deliverables are, individually or as a whole, not Good Value, specify the changes that would be required to make that Benchmarked Service or the Benchmarked Deliverables as a whole Good Value; and
 - (c) include sufficient detail and transparency so that the Party requesting the Benchmarking can interpret and understand

Call-Off Schedule 16 (Benchmarking)

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how the Supplier has calculated whether or not the
Benchmarked Deliverables are, individually or as a whole,
Good Value.

- 3.3.3 The Parties agree that any changes required to this Contract identified in the Benchmarking Report shall be implemented at the direction of the Buyer in accordance with Clause 24 (Changing the contract)

Call-Off Schedule 18 (Background Checks)

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Call-Off Schedule 18 (Background Checks)

1. When you should use this Schedule

This Schedule should be used where Supplier Staff must be vetted before working on the Contract.

2. Definitions

“Relevant Conviction” means any conviction listed in Annex 1 to this Schedule.

3. Relevant Convictions

3.1.1 The Supplier must ensure that no person who discloses that they have a Relevant Conviction, or a person who is found to have any Relevant Convictions (whether as a result of a police check or through the procedure of the Disclosure and Barring Service (DBS) or otherwise), is employed or engaged in any part of the provision of the Deliverables without Approval.

3.1.2 Notwithstanding Paragraph 3.1.1 for each member of Supplier Staff who, in providing the Deliverables, has, will have or is likely to have access to children, vulnerable persons or other members of the public to whom the Buyer owes a special duty of care, the Supplier must (and shall procure that the relevant Sub-Contractor must):

- (a) carry out a check with the records held by the Department for Education (DfE);
- (b) conduct thorough questioning regarding any Relevant Convictions; and
- (c) ensure a police check is completed and such other checks as may be carried out through the Disclosure and Barring Service (DBS),

and the Supplier shall not (and shall ensure that any Sub-Contractor shall not) engage or continue to employ in the provision of the Deliverables any person who has a Relevant Conviction or an inappropriate record.

Call-Off Schedule 18 (Background Checks)

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Annex 1 – Relevant Convictions

A conviction that is relevant to the nature of the Contract, relevant to the work of the Buyer, or is of a type otherwise advised by the Buyer (each such conviction a “**Relevant Conviction**”),

Security Clearance (SC) Roles:

- SOW 01
- SOW 02
- SOW 04
- SOW 05
- SOW 06

Future requirements will be on a SOW-by-SOW basis.

Call-Off Schedule 20 (Call-Off Specification)
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Call-Off Schedule 20 (Call-Off Specification)

This Schedule sets out the characteristics of the Deliverables that the Supplier will be required to make to the Buyers under this Call-Off Contract

Definitions

Defined in document.

Call-Off Schedule 20 (Call-Off Specification)

1. Context

NHS England:

NHS England (NHSE) is the national information and technology partner for the health and care system. Its role is to harness the power of information and technology to make health and care better for the care professionals and people who work in the service, and for the people who receive them. NHS England is responsible for designing, delivering, and managing essential technology infrastructure, data and digital services, products, and standards that health and care professionals use every day to deliver better health and care outcomes. That means more digital services designed around the needs of our health and care professionals, patients and public. Services that offer simple and speedy access to the information and data that matters, whenever and wherever it is needed. Cost effective, sustainable solutions that improve investment value, accelerating the digital transformation of the NHS.

The Digital (Product and Platforms) Sub Directorate:

Historically, the role of the Digital (Product and Platforms) Sub Directorate has been to design and deliver new NHS applications and services commissioned by NHSE and other arm's length bodies to help citizens, patients and clinicians across primary, secondary and social care. This requires leveraging the external healthcare market and fostering digital knowledge, understanding and appetite across the system. It is fully expected that the requirement to continue to design and deliver services for the benefit of public health and social care will exist within the newly shaped NHSE organisation.

The e-RS programme sits within the Digital (Product and Platforms) Sub Directorate and this next contract will include:

- Transition from the incumbent Supplier to the new Supplier.
- Development and Platform Engineer resource to enhance and extend the service, consisting of 2080 delivery points per annum (further details contained within the ITT pack), with requirements being controlled and managed using JIRA/tool(s) as agreed with the Buyer.

Call-Off Schedule 20 (Call-Off Specification)

Call-Off Ref:False

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- Run and Maintain* support services to maintain a gold standard 99.9% availability.
- A forecasting model for new delivery to help manage stakeholder expectations.
- A broad range of development and support skills such as cloud, API development.
- Exit activities at the end of the contract to either transition to a new Supplier or end of e-RS service.
- The programme has a partnership ethos and is looking to develop a positive collaborative team approach to problem solving and delivery of new development activity.

*Run and Maintain is also referred throughout the contract suite of documents as 'DevOps' and 'Support' and means maintenance and support of the live service.

The e-RS Programme:

The vision of the programme is to deliver a fully operational, any-to-any* booking, Advice and Guidance (A&G), triage, referral and appointment management ecosystem for health and social care, that is the first choice for care professionals, administrators, and health systems, and is effective and scalable, by 2025.

*Any to any is considered as 'any referrer to any receiver of a referral inclusive of social care and the ongoing appointments or interaction required.

The programme will focus on the priorities of:

- **elective recovery** – by diverting demand away from secondary care, with increased use of digital triage services, reducing unnecessary referrals and follow-ups, and reducing the administration burden on clinicians; and
- **Integrated Care System (ICS) development** – by providing the booking infrastructure to support networking of services across primary care. Joint access to Directories of Service (DoS) will improve the speed and quality of referrals; and
- the development of the **long-term strategy and ecosystem**, empowering patients to take greater control over their health and well-being, with improved visibility and choice over pathways.

The programme aims to develop a distributed model for collaboration and incremental updates for referrals, keeping patients at the centre. To achieve this the strategic areas that will be addressed in the programme are:

1. to enhance the NHS e-RS features and architecture as used today and optimise NHS e-RS. This will include the ongoing requirement to fund NHS e-RS developments; and
2. to deliver enhanced functionality with a robust technical platform and interoperability standards, therefore delivering the next generation platform.

This will be delivered by:

Call-Off Schedule 20 (Call-Off Specification)

Call-Off Ref:False

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- Enhancing features in e-RS.
- Extending care settings used by e-RS.

The Buyer is extending and enhancing the current e-RS programme which is the platform for GP/referrer to first outpatient referrals, first appointment booking and advice and guidance across the NHS. The NHS e-RS is also used by patients via the NHS App and the Manage Your Referral (MYR) website.

The e-RS service comprises of:

- a professional application (web based), used by NHS professionals to publish health care services, exchange information and refer patients;
- NHS e-RS Patient application (web based), used by patients to book, change or cancel their referral appointments into health care services (Manage Your Referral);
- an API suite to enable third party systems to integrate with e-RS;
- a data platform to enable the NHS to monitor and plan healthcare provision.

The e-RS service is designed to be delivered over the public internet and is also available over the NHS private network called HSCN (Health and Social Care Network). The published roadmap for enhancing the service is issued periodically as changes and updates are applied and is available via this link:

<https://digital.nhs.uk/services/e-referral-service/the-future-of-the-nhs-e-referral-service>.

The Wayfinder Programme sits within the Enabling Products portfolio within Digital (Products & Platforms).

The aim of the Wayfinder programme is to enable and empower patients and carers to take greater control of their experience of elective care - improving outcomes, personalising care and improving NHS productivity and efficiency. The programme will achieve this through development of the capability for people to access, validate and amend additional information about secondary care referrals and appointments, via the NHS App, and point them towards information and services that reduce the negative impact of any longer waits for outpatient appointments.

The case for change, the gaps to be addressed

The NHS wants to put health and care in patient's and carer's hands by enabling access to appointments, repeat prescriptions, personal health information, health advice, messages, and notifications, and more through the NHS App for greater convenience and choice.

Solid foundations are already in place. The NHS App has more than 32 million individuals signed up and there are approximately 800m visits to nhs.uk each year. No other single NHS service can reach this many people so quickly or effectively. The programme has senior level sponsorship from the NHS Director of Transformation and express support from the Secretary of State. It has been

Call-Off Schedule 20 (Call-Off Specification)

Call-Off Ref:False

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prioritised, fully stood up and funding has been confirmed as part of the funding agreed for Mobile First.

During the pandemic there was an increased use of digital tools, and it has transformed the delivery of care. The need now is for the health and care sector to adopt digital tools, urgently and consistently, to address both the long-term health improvement goals and recovering from the pandemic. NHS England's strategy is to digitise services, connect them to support integration and, through these foundations, enable service transformation.

The Long-Term Plan; The Future of our Healthcare and the Transformation Directorate: Key Programmes of Work are core drivers for NHS reform. Since June 2022, **A Plan for Digital Health and Social Care** was published, and additional digital drivers have emerged which strengthen and accelerate the case for digital reform. Strategic alignment between the objectives of the Wayfinder programme and this plan include:

The "Summary" section sets out the need to:

- *'identify the essential, non-negotiable standards of digital capability, going on to explain how in: 'enforcing standards – we are clarifying which technical and data standards are 'musts' for the sector and its tech product suppliers, how we plan to support organisations to achieve them and how we plan to enforce them'*
- *put NHS services in people's pockets through digital channels – over the next 3 years we will increase the functionality of the NHS App and website to offer features that help people stay well, get well and manage their health*
- The "Our Starting point, embedding digital technologies" section stresses that:
 - *to 'free up staff to spend more time with those most in need of human care'.....there needs to be a faster flow of approved, high-quality digital solutions from industry into services....and regulatory mechanisms need to enable its acceleration.*
 - *The NHS App will be a front door for interacting with the NHS and receiving personalised services, with 75% of adults registered for the NHS App by March 2024.*

2. Scope

e-RS:

The high-level scope includes the provision of:

1. services to run and maintain the e-RS live service, delivered by a combination of the Supplier and the Buyer resources (link to NHS website: <https://www.nhs.uk/>);
2. development of the service in line with the latest business case objectives by combination of the Supplier and the Buyer resources. This will include enhancements to the functionality and architecture as well as extending the service for use in new care settings;

Call-Off Schedule 20 (Call-Off Specification)

Call-Off Ref:False

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3. transition service to take on the run and maintain and development services from the incumbent Supplier and exit service at the end of the contract;
4. the capacity for a national booking and referral capability which can operate regardless of care setting.

Wayfinder:

The high-level scope includes the provision of:

1. Services to run and maintain the Wayfinder live service including incident management utilising the Buyers Service Management toolkit and with the Buyer providing the Service Management wrap that will sit over Run and Maintain.
2. Transformation and development services providing product development including research and service design, build, solutions assurance, and deployment into live service. This will include enhancements to the functionality and architecture from the Buyers Roadmap and prioritised backlog and because of other transformation drivers that emerge from time to time.
3. Co-ordination role ensuring all activities are co-ordinated between:
 - PEPs, NHS App team and e-RS (Electronic Referral Service) programme team.
 - Information Governance, Security, Clinical safety and solutions assurance.
4. Co-ordination of notifications, messaging and communications for patients' development and design activity between the PEPs and NHS App team.
5. Transition service to take on the run and maintain and transform/development services from the incumbent Supplier and exit service at the end of the contract.

The scope of this Call-Off Contract is further detailed within the Requirements section of this Schedule 20 and the associated Statements of Works (SOWs).

....

2.1. Geographical Scope

2.1.1. Target Geography

e-RS:

The focus of the NHS e-RS service is to support the public and NHS in England by the provision of a secure, digital advice, booking and referral system.

Wayfinder:

Wayfinder covers NHS services in England.

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2.1.2. Delivery Geography

The 'delivery geography' relevant to this Call-Off Contract is not related to where services are 'consumed' but to the organisation/location of the Buyer development and delivery capability.

The Buyer would **not** consider offshore working. The Supplier and the Supplier hub should be based within the boundaries of the United Kingdom. Sensitive and Personal Data cannot be stored, transported or used outside of the United Kingdom.

It is key and critical that all members of the team (and where appropriate in other areas of the Product and Platforms Directorate and NHS England) work together in ways which maximise security, effectiveness, efficiency, innovation, and delivery velocity. How they collaborate, communicate, coordinate and come together e.g., on joint development tasks, to share knowledge and experience and via ceremonies such as stand ups and retrospectives is therefore very important.

The NHS e-RS team are currently based in the NHS England Leeds hub. The Buyer will require the Supplier to work in Leeds location to work collaboratively for e-RS, frequency to be agreed with the Buyer but expected to be fortnightly for the purposes of development activity. Any travel and expenses required by the Supplier to work at Leeds location to be covered by the Supplier.

The core Wayfinder leadership team are based in the NHSE Leeds hub, 7 and 8 Wellington Place, Leeds, LS1 4AP.

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2.1.3. Organisational Scope

The NHS England Digital (Product and Platforms) Directorate's vision is to improve health outcomes for people in England and equip health and care workers with user-centred, secure, open, interoperable, and inclusive products and services. In doing so it is supported by and works closely with other areas in NHS England particularly Service Management, Data Management, Clinical Safety, Cyber Security and Solution Assurance.

Both e-RS and Wayfinder programmes are supported by and work closely with other areas within the Digital (Products & Platforms) sub-Directorate and wider NHSE, particularly NHS App, NHS Login, Service Management, Solutions Assurance, Platforms & Infrastructure, Clinical Safety, Cyber Security, PTEL (Privacy, Transparency, Ethics and Legal), IOPS (Interoperability Standards), APIM (API Management) and National Outpatient Transformation Programme.

The **e-RS programme** team (within the Product and Platforms Directorate) within NHS England is responsible for the safe, effective, and efficient development and operation of the NHS e-RS service.

The **Wayfinder programme** is responsible for the safe, effective, and efficient development and operation of the Wayfinder systems and services.

2.2. End Users

2.2.1. Target Sectors

Target Sectors details are contained in:	Annex 1
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2.2.2. Target Users

e-RS:

GP Practices, hospitals, patients, clinics, medical practices. The longer-term aim is to expand the service to other healthcare sectors such as eyecare, dentistry, mental health and social care. One of the enablers to this service expansion is that e-RS is now available on the public internet (as well as the NHS private network, Health and Social Care Network (HSCN)).

As a national service which is crucial to the effective and efficient operation of the first appointment and referral system, e-RS has many different users/usages across a wide range of health and social care settings, consisting of GP Practices, hospitals, patients, clinics, medical practices.

Wayfinder:

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Wayfinder is intended to be used by patients and carers via the NHS App. Delivering user value is at the core of the Buyer's development approach and in line with product development standards and procedures end users are expected to be closely involved in any significant maintenance and transformation activity.

Clinicians, health care professionals including administrative staff, patients, carers and Patient Engagement Portal suppliers are all expected to be participants in research. Trust representatives for secondary care providers including both Acute and Specialists as well as clinicians, health care professionals and Patient Engagement Portal suppliers are all expected to be consulted on scope.

2.3. Stakeholders

The major stakeholder groups will be internal NHS England and externally will include system suppliers. The full stakeholder mapping continues to be developed however will include:

e-RS:

- Patient engagement forums (e.g., NHSE Patient and Public Voice Group);
- Patients;
- Carers;
- National health and care partners and influencers:
- UKHSA;
- Representative clinical bodies (royal colleges, BMA, etc);
- NHSE e.g., National Outpatient Transformation Programme;
- NHS England NHS e-RS Team, Finance and Commercial Teams;
- Digital leads in STPs and ICSs;
- CCIOs (Chief Clinical Information Officer, CIOs (Chief Information Officer), CTOs (Chief Technology Officer);
- External Data services (for example, CSU);
- Cyber security leads;
- Influential non-tech leaders (CEOs, board chairs, directors);
- Any clinical, frontline employees with an interest in digital;
- GPs;
- GP Practice Managers;
- Trusts (NHS and independent sector);
- PCNs (Primary Care Networks);
- ICSs (Integrated Care Systems);
- Social Care;
- TechUK;
- Tech suppliers and developers (e.g. TP UK, EMIS, TPP, EPIC);
- INTEROpen;
- Other NHS England programmes (e.g. NHS App, GPITF, SPINE, CIS2, Data Services Directorate);
- Live Services.

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Moreover, there is a need to continue to engage with GP services as there are significant changes which affect the GPs for the future strategy, and they will remain a significant user in the system. Their use of e-RS will continue to be enhanced and extended, including the way a patient sees their information specific to a referral. The incumbent GP system suppliers engage with e-RS via HL7 APIs and there is a requirement to transition to new FHIR APIs.

The Buyer has engaged with professional speciality groups. This includes but is not limited to mental health, MSK (Musculoskeletal), dental (including Urgent Dental Care), ophthalmic (including Community Optometry and Optometry Hubs), Community Pharmacy also ambulance, as well as social care. The Buyer also engages with representatives from all clinical specialties.

Wayfinder:

- Patient Engagement Portal suppliers.
- Patient engagement forums (e.g., NHSE Patient and Public Voice Group);
- Patients;
- Carers;
- National health and care partners and influencers:
- Representative clinical bodies (royal colleges, BMA, etc);
- Digital leads in ICSs;
- CCIOs (Chief Clinical Information Officer, CIOs (Chief Information Officer), CTOs (Chief Technology Officer);
- External Data services (for example, CSU);
- Cyber security leads;
- Influential non-tech leaders (CEOs, board chairs, directors);
- Any clinical, frontline employees with an interest in digital;
- GPs;
- GP Practice Managers;
- Trusts (NHS and possibly independent sector);
- PCNs (Primary Care Networks);
- ICSs (Integrated Care Systems);
- TechUK;
- Tech suppliers and developers;
- INTEROpen;
- Other NHSE programmes (e.g., NHS App, APIM, Onboarding, ONS Service).

A key stakeholder group is patients and to empower patients to take greater control over their health and well-being, improved visibility and choice over pathways is a key objective of the programme.

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The list of stakeholders will be updated regularly through the Buyer PIRM (Product Implementation and Relationship Management) team who maintains a database of contacts for stakeholder groups. The owner of the list of stakeholder groups is the responsibility of the Buyer communications function. It is anticipated that the programme will further communicate with tech industry and suppliers via regular trade bulletins, publications and through organisations such as Tech UK with a continuous review process.

2.4. Timing Scope

This Call-Off Contract is for the duration of 30 months plus optional extensions up to 2 x 12 months, if required.

The e-RS programme has an expectation that the next phase business case will have funding approval to end of financial year 27/28, 3 years being the maximum timeframe allowable for funding approval.

The Wayfinder programme has an approved 5-year Programme Business Case, with confirmed funding allocated for FY23/24 and 24/25. The Programme Business Case provides approval for Transform and Run and Maintain activities in FY 23/24 and 24/25 and Run and Maintain activities for FY 25/26, FY 26/27 and FY 27/28. Future years transformation spend is subject to approval.

2.5. Life-Cycle Scope

e-RS:

The focus of this Call-Off Contract is the effective development, efficient running and maintenance of the Buyer's NHS e-RS service to meet user needs whilst continuing to operate within the Buyer's Service Level Agreements to support 24x7x365 system availability. The e-RS service is a 'gold standard' live operational system which includes 99.90% availability. The Supplier can apply to the Buyer for downtime, as defined in the service levels.

Users call the NHS England national helpdesk who provide first line support. Second line support is provided internally within NHS England and third line support is provided by the e-RS supplier.

For new development of user features and capability, the Buyer will select appropriate items from its prioritised backlog for development and live deployment by the NHS e-RS Programme team. These decisions are led by the Programme Head, in conjunction with the Buyer's NHS e-RS Lead Delivery Manager and Product owners and will be made based on priority, resource availability and value for money. The Buyer will define the prioritised backlog items as user requirements

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The Supplier will be required to write the user stories in collaboration with the Buyer. The Supplier will estimate the development and platform engineer effort and allocate delivery points to develop the prioritised requirements, create the sprint plan and manage the development life cycle. The expectation is that the Buyer and the Supplier will work collaboratively to agree the sprint plan to meet business priorities and development capacity.

These changes (and those to be deployed on/becoming part of NHS e-RS but developed outside of this Call-Off Contract) will have to conform with the Buyer's change and release management process and once implemented will fall within the NHS e-RS Service Management. As part of the Buyer's NHS e-RS Programme and Service teams the Supplier will have to work effectively with the other parties responsible for changes to be deployed on/integrated with the NHS e-RS solution to ensure its implementation and operation in live is in line with agreed delivery outcomes and service level agreements. As such the Supplier will have a key role in managing work onto live service, as well ensuring the effective operation of the NHS e-RS service. The end of the contract may include a transition and handover period to another supplier as required. The Buyer requires flexibility in the event the e-RS service is de-commissioned prior to end of contract. The costs associated with transition to a new supplier or de-commissioning the e-RS service will be agreed between the Buyer and the Supplier through a Statement of Work.

Wayfinder:

The focus of this Call-Off Contract is the effective development, efficient, clinically safe running, and maintenance of the Buyer's Wayfinder service to meet user needs whilst continuing to operate within the Buyer's Service Level Agreement (SLA). See Section 2.7.

The Supplier can apply to the Buyer for downtime, as defined in the service levels. Users call the NHSE national helpdesk (provided by TelePerformance) who provide first line support. Second line support is provided internally within NHSE, and third line support is to be provided by the Supplier.

For new development of user features and capability, the Buyer will select appropriate items from its prioritised backlog for development and live deployment by the Wayfinder Programme team. These decisions are led by the Programme Director, in conjunction with the Lead Delivery Manager and Lead Product Manager and will be made based on priority, resource availability and value for money. The Buyer will define the prioritised backlog items as user requirements. The Supplier will be required to write the user stories in collaboration with the Buyer. The Supplier will estimate the development and platform engineer effort to develop the prioritised requirements, create the sprint plan and manage the development life cycle. The expectation is that the Buyer and the Supplier will work collaboratively to agree the sprint plan to meet business priorities and development capacity.

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Any changes will have to conform with the Buyer's change and release management process and once implemented will fall within NHSE Service Management.

The Supplier will have to work effectively with the other parties responsible for changes to be deployed on/integrated with the Wayfinder solution to ensure its implementation and operation in live is in line with agreed delivery outcomes and service level agreements. As such the Supplier will have a key role in managing work onto live service, as well ensuring the effective operation of the Wayfinder service.

The end of the contract may include a transition and handover period to another supplier as required.

The Buyer requires flexibility in the event the Wayfinder service is de-commissioned prior to end of contract. The costs associated with transition to a new supplier or de-commissioning the Wayfinder service will be agreed between the Buyer and the Supplier through a Statement of Work.

2.6. Technical Scope

2.6.1. Core Technical Capabilities

e-RS:

The e-Referral Service provides a number of services to facilitate the transfer of care between primary and secondary care. This is achieved through several internal interconnected services, that integrate with other NHS England services.

These services are detailed in logical architecture diagram below in section 2.6.2, where the internal services make up most of the diagram and the other external NHS England services are shown in blue on the left of the diagram.

The primary focus of this Call-Off Contract is for activities which support and underpin further development, running and maintenance of the existing e-Referral Service.

Wayfinder:

The Wayfinder's architecture comprises multiple components (systems and services) that are integrated in a loosely coupled fashion to deliver the overall Wayfinder service.

These components and their key capabilities are as follows:

- NHS login – an Identity and Authentication service, which provides patients with a simple, secure and reusable way to access approved digital health and care services.

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- NHS App – a national service that provides citizens with access to a range of NHS services both on their mobile devices (e.g., smartphones or tablets) and desktop computers (e.g., laptops).
- NHS e-RS – a national service that allows patients to choose their first hospital or clinic appointment with a specialist.
- NHS England API Platform (a.k.a. API-M) – is a ‘front door’ for health and care APIs, primarily for NHS in England.
- Patient Engagement Platforms (a.k.a. PEPs, or Portals) – are patient facing systems or web applications that allow patients to access and manage their health care.
- Patient Care Aggregator – is a back-end service, designed specifically for Wayfinder, that retrieves patient data from the PEPs and aggregates those data for presentation in NHS App (i.e., the front-end service).

The primary focus of this Call-Off Contract is for activities which support and underpin further development, running and maintenance of the existing Wayfinder service.

Central to the Buyer’s development and delivery approach are the following activities, predominantly related to the Patient Care Aggregator:

- Continuous improvement
- Addressing technical debt
- Tech refresh (including potential re-platforming)

However, specific evolutionary and other changes may also necessitate changes to other integrated systems and so a close collaboration with those teams will be required.

The timing of the re-platforming will be considered carefully to ensure that this activity is either completed by the start of this new contract or it becomes a key requirement as part of a statement of work within this contract for the supplier to help propose, develop, and transition the service to a new platform.

2.6.2. Diagram of the Technical Scope

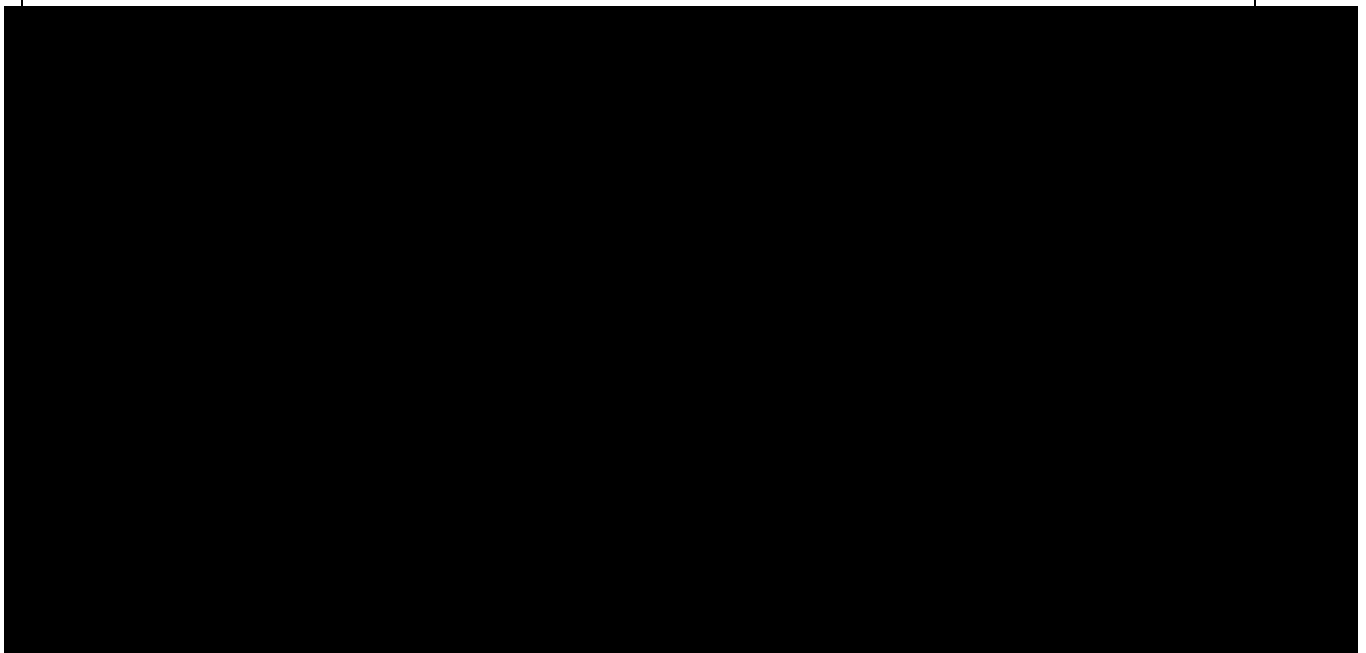
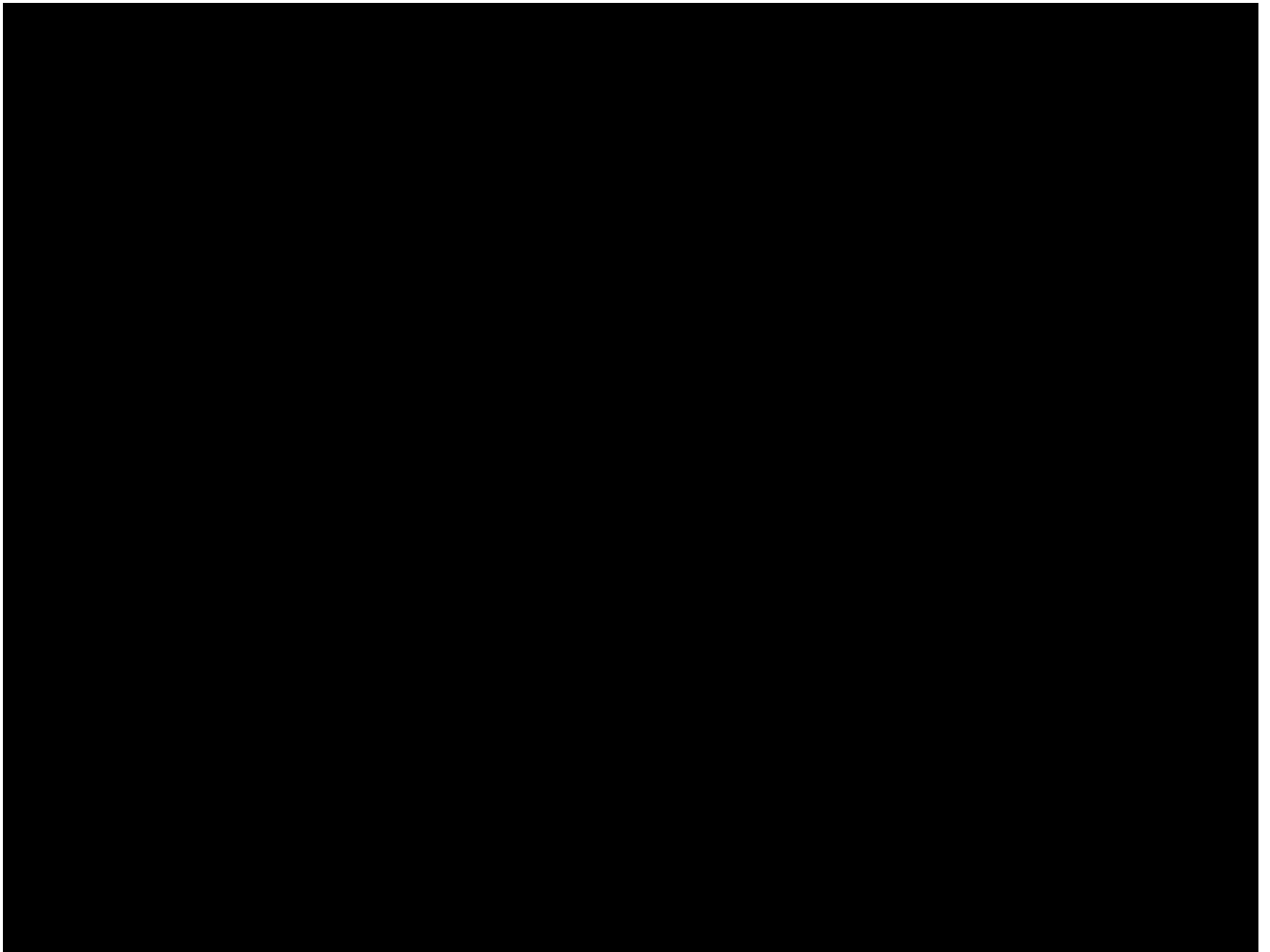
e-RS:

Logical Data Model/Schematic:

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Call-Off Ref:False

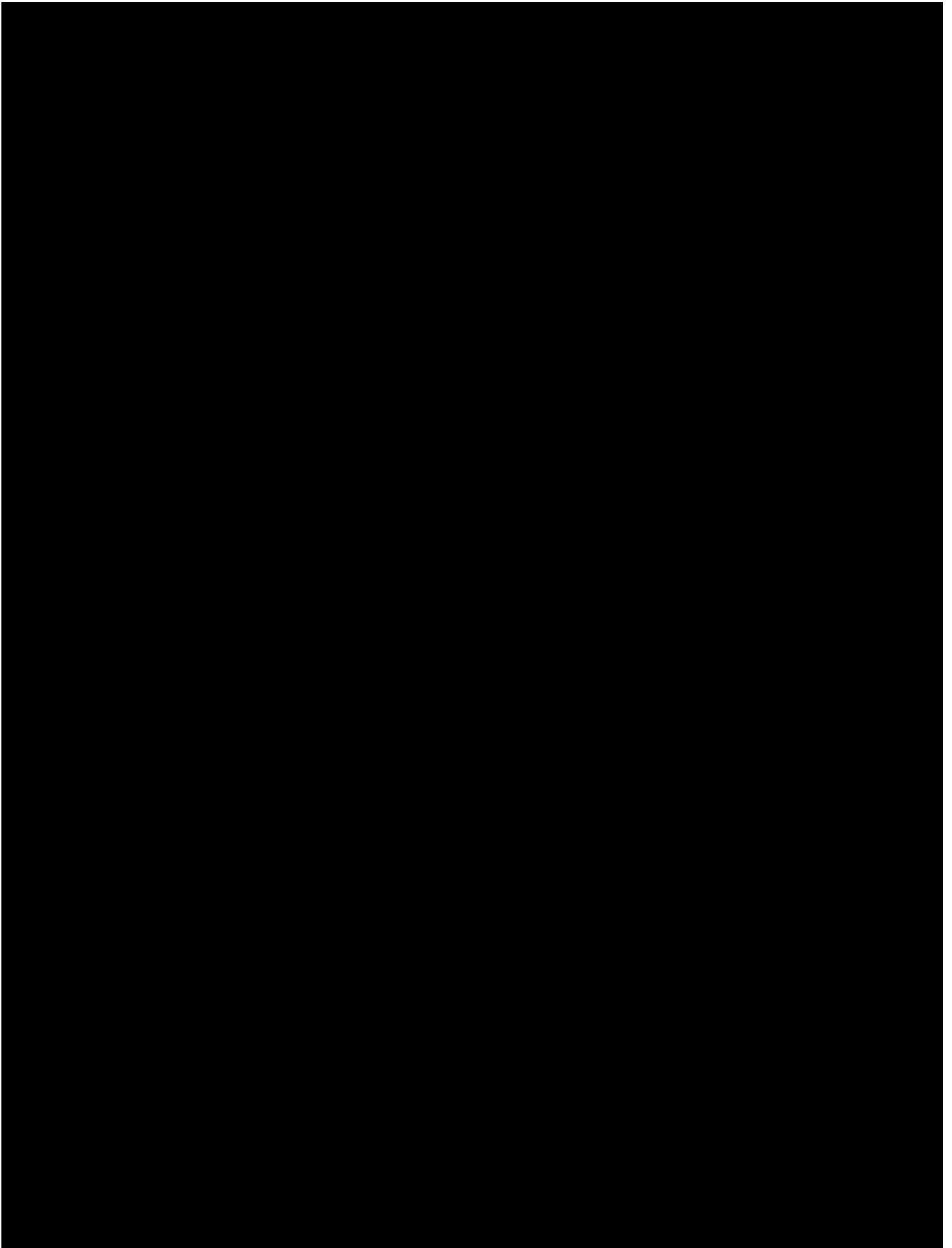
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F, G	PEPs and NHS e-RS are also integrated with NHS login, so when they receive the users' ID tokens via requests 5a, 5b, 5c or 5d, they can validate user identities
H, I	Data received from the PEPs and NHS e-RS contain deep links which enable users to jump off to these systems' portals in a richer way (e.g., to manage their appointment, or complete a questionnaire)
J	PEPs can send notifications and messages directly to the NHS App, where users can read them and take necessary actions
K	NHS App's Notifications & Messaging subsystem can provide PEPs with real time status updates about the notifications and messages they sent

2.6.3. Technical Scope Exclusions

e-RS and Wayfinder:

The Supplier is responsible for interfacing the core service architecture components with the other integrated systems ('External Systems') but not the development of those systems. External systems are not subject to this contract, but the Supplier will be expected to support any integration with the External Systems. The Supplier will work collaboratively with the third party as their system is developed. The scope of this activity will vary but could include, for example, providing access to a suitable environment to test or checking logs to ensure integration is successful.

There are no other specific technical scope exclusions.

2.6.4. Interoperability Considerations

The Supplier is required to assist the Buyer in supporting the interoperability of the e-RS and Wayfinder systems. When requested, this will include:

- providing solutions assurance and advice on external systems that contribute to the delivery of the (e-RS or Wayfinder) service and sit outside of the core service deliverables, but are required to interface with it in some way;
- including contract testing (as part of the build pipeline) between the core system and the external systems with which the core system integrates;
- aligning and adhering to the existing, evolving, and emerging standards.

2.6.5. Technical Constraints

e-RS:

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Solution Architecture

NHS e-RS comprises two web applications: Professional (accessible via the HSCN or public internet for Professional users) and Patient (accessible from anywhere and has always been available via the public internet).

The Professional application, used by NHS staff, accounts for over 90% of current traffic. The Patient application is available globally but used only for patients of NHS England. APIs are also available for many of the capabilities in the professional application.

Other than providing the two web apps (Professional and Patient web applications) and APIs, NHS e-RS also integrates with external systems (such as GP systems, PAS – Patient Administration Systems, national health care systems, and some third party systems) using mainly ReST APIs although some suppliers continue to use legacy HL7 v3 messaging which the Buyer intends to develop plans to deprecate and sunset within the next several years, roadmap to be defined. All changes to architecture, including introduction of new technologies, are subject to NHS England's technical governance reviews and approvals.

Hosting

NHS e-RS is hosted in a public cloud managed by AWS (Amazon Web Services) at the PaaS (Platform as a Service) level. The live service will run across three (3) geographically separate Availability Zones comprising multiple data centres in each Availability Zone. The Supplier is expected to continue the use of AWS as the choice of public cloud i.e. not expected to deliver platform agnostic solutions.

All AWS accounts are owned and managed by NHS England. This means that the infrastructure costs will not form part of this contract. This also means that unavailability of the service due to public cloud service issues and outages will not be the responsibility of the Supplier.

BC/DR (Business Continuity/Disaster Recovery)

Due to the significant increase in resilience of data and infrastructure there will be no separate DR site. The non-production test environments have a similarly resilient solution architecture.

Physical Architecture

NHS e-RS is striving to become more cloud native and is now deployed in orchestrated containers (Amazon EKS). Where opportunities present and the application is appropriate the adoption of serverless solutions may also to be exploited, under agreement with the Buyer.

Integrations

APIs are developed and published which will facilitate direct integration into clinical systems (predominantly FHIR STU3 with some R4), it is hoped this will mean that the proportion of traffic over the Professional application will decrease, and the number of API calls will increase. Version maintenance for the external API code - standard practice will be only three versions will be present in production. If more

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than three versions are present in production (e.g., due to breaking change) support can use delivery points to perform any support activity in relation to any additional versions over the standard three.

Security

The security of the system is paramount with data encrypted in transit and at rest at every point throughout the system. Access to and from the service is controlled using IAM (Identity and Access Management) with MFA (Multi Factor Authentication), The development and the (live service) support teams use federated access to all the cloud resources (including the data). All access is recorded in audit logs forwarded to the organisational protective monitoring.

Data

Most of the data held in the NHS e-RS databases is regarded as Personally Identifiable Data (PID), or Official and Official-Sensitive according to the current government security classification:

<https://www.gov.uk/government/publications/government-security-classifications>

Security is, therefore, of paramount importance for NHS e-RS and is the key system concern. NHS e-RS operates a 'zero data loss' policy where all access to the system is audited and monitored in real-time.

Volumetrics

The Service currently operates at the following volumes:

- there are around 70,000 referrals on average per working day;
- there is over 167,000 active registered users (annually), with around 35,000 of those who are active daily users;
- there are over 68,000 provider (clinical) services published on the NHS e-RS Directory of Services;
- over 48,000 provider services are polled overnight (between 2am and 6am) for appointment availability;
- there are approximately 500 dynamic web page requests per second during peak hours.

Technology Stack

The key runtime technologies include:

- [REDACTED]

Where the key development and configuration technologies are:

- [REDACTED]

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- [REDACTED]
[REDACTED]
[REDACTED]

There are a few COTS products (these are paid for by the Buyer) that have been purchased to support the development, delivery and maintenance of the service:

- [REDACTED]
[REDACTED]

Wayfinder:

Solution architecture

Specific to this call-off contract are two Wayfinder architecture components:

- Patient Care Aggregator (PCA)
- Wayfinder Reporting Service (WRS)

PCA is the key Wayfinder component. This back-end service supports Wayfinder by retrieving, on patient's demand, their data from external systems, thus enabling them to proactively manage their elective care referrals and appointments. PCA comprises 2 main services:

- Record Service – stores pointers to where the relevant patient data can be found
- Events Service – fulfils requests from NHS App (i.e. the patient) to retrieve and return the relevant data

WRS is an additional architecture component that receives and manages MI (Management Information) events from PEPs and PCA.

All changes to architecture, including introduction of new technologies, are subject to NHS England's technical governance reviews and approvals.

Hosting

Both PCA and WRS are hosted in a public cloud managed by [REDACTED], deployed to a single region [REDACTED] across all 3 availability zones.

The Supplier is expected to continue the use of [REDACTED] as the choice of public cloud i.e. not expected to deliver platform agnostic solutions.

All [REDACTED] accounts are owned and managed by NHS England. This means that the infrastructure costs will not form part of this contract. This also means that unavailability of the service due to public cloud service issues and outages will not be the responsibility of the Supplier.

BC/DR

The architectures of both PCA and WRS have in-built resilience and so there are no DR (Disaster Recovery) sites in use. PCA can switch to operate in a 'bypass mode', ensuring business continuity in case of data corruption.

Physical architecture

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PCA architecture is based around the [REDACTED] service. In addition to a handful of other [REDACTED] services, there is also a range of third party components used to support the single Kubernetes cluster.

WRS is fully independent of PCA and has architecture that is largely around the native [REDACTED] serverless technologies.

Integrations

PCA has both inbound and outbound interfaces with external systems, all implemented as APIs. Many of these endpoints are ReST-ful and FHIR (STU3) compliant, whilst a handful are bespoke (not standard based).

The WRS' inbound interface and its downstream feed are also bespoke.

Security

All Wayfinder data in transit and at rest are encrypted. The development and the (live service) support teams use federated access to all the cloud resources (including the data). All access is recorded in audit logs forwarded to the organisational protective monitoring system.

Data

Wayfinder is a transactional system that does not retain the transactional data once a transaction is complete. The only data stored permanently are the Record Service pointers, which are key-value pairs consisting of an NHS Number and a system identifier.

Wayfinder also makes use of a cache to store, on a short term basis, non-PID data such as health organisation or service names.

Volumetrics

The load profile is repeatable throughout the week, where the traffic typically rises sharply from the early morning to around 9am, remaining at peak levels until around 3pm, followed by a steady decline towards the evening, then a sharp decline towards midnight. The traffic currently peaks at around 4 TPS (transactions per second). The weekend load profile follows the same shape but the volumes are typically less than half compared to week days.

Technology Stack

All technologies in use are either cloud ([REDACTED]) services or open-source components apart from one COTS software in use (licence fees are not the responsibility of the Supplier).

The key technologies in use are:

[REDACTED]

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2.7 Requirements

Technical Requirements:

Area	Ref	Summary Requirements
Technical Team	T1	<p>The supplier's technical team shall be self-sufficient and versatile, capable of delivering modern, large-scale, online systems, both on-premise and in a public cloud.</p> <p>The technical team shall include software engineers with skills, knowledge and experience in solution architecture, application programming, databases, infrastructure, and testing.</p> <p>The technical team shall be capable of organising itself into multiple development cells, providing cell leadership roles, as well as overall technical leadership of the team.</p>
Software Development	T2	<ul style="list-style-type: none"> The supplier shall have experience with open source OS and server technologies across various architecture tiers. The supplier shall have experience of open-source development frameworks and technologies. <p>The supplier shall have experience with open source and commercial development support tools such as those for source code control, issue tracking, code reviews, IDEs, source code quality checks.</p>
Continuous Integration	T3	The supplier shall have experience of the CI practice within their organisation and across multiple projects.
Configuration Management and Automation	T4	The supplier shall have experience of configuration management and automation, as well as key open source technologies that support these activities.
Testing	T5	The supplier shall have expertise and experience in testing large scale online systems, including functional, non-functional and automation testing, as well as the most wide-spread open source frameworks, tools and technologies for testing.

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Monitoring	T6	The supplier shall have experience of deploying, configuring and using monitoring tools and technologies for monitoring health and performance of a transactional application.
Security	T7	<p>The supplier's technical staff will need BPSS (Baseline Personnel Security Standard) as a minimum but depending on the job role may need to have a higher level of assurance such as SC (Security Check) level of security clearance obtained through the National Security Vetting Services or provide assurances that there would be no known obstacles to obtaining such clearance for all personnel assigned to work with the NHS e-RS Programme.</p> <p>The supplier will be required to comply with any other security requirements as defined by the Buyer. Refer to Attachment 3 – Pricing Schedule for roles requiring SC level of security clearance.</p>
Large Scale Systems	T8	The supplier shall have experience with the design, development and maintenance of large scale online transactional systems dealing with sensitive data.
Documentation	T9	The supplier shall have an established and mature culture of generating simple, easy to understand, yet comprehensive documentation for all technical work.
Technical Governance	T10	The supplier shall have experience with technical governance processes, both in-house as well as customer-specific ones.
Public Cloud	T11	The supplier shall have experience in developing transactional systems holding sensitive data in a public cloud setting.
Innovation	T12	The supplier should keep up-to-date with the latest advancements in software engineering (particularly the open source technologies) and should proactively innovate by utilising the newly discovered technologies, techniques, platforms, frameworks and tools, to enhance and simplify the development and maintenance of systems they are developing
Technical Engineering	T13	<ul style="list-style-type: none"> • The Supplier will adhere to NHS England's engineering standards as described in https://github.com/NHSDigital/software-engineering-quality-framework • The Supplier will apply the principles & practices described in the NHS England engineering framework. • The Supplier will undertake (at least every 3 months) and act on engineering reviews using the review tool in the NHS England engineering framework. • The Supplier will populate (monthly) and act on engineering dashboards covering the engineering metrics described in the NHS England engineering framework. • The Supplier should contribute to the principles & practices described in the NHS England engineering framework. • The Supplier should contribute to the engineering review tool in the NHS England engineering framework.

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		<ul style="list-style-type: none"> The Supplier should participate in the NHS England communities of practice (for which the terms of reference are in the NHS England engineering framework), including running occasional events for the NHS England engineering communities.
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Development Capability:

Area	Ref	Summary Requirements
Agile Delivery	D1	The Supplier shall implement a Development Capability that employs Agile methodologies and approaches to delivery (in the context of the NHS e-RS and Wayfinder Operating Models, to be agreed between the Supplier and the Buyer).
Collaborative Arrangements	D2	<p>The Supplier shall Deliver a Development Capability that works collaboratively, including:</p> <ul style="list-style-type: none"> Working with collaborative teams and providing the management of 3rd party supplier outputs. Evolving the Operating Model in partnership with the buyer. Supporting continuous improvement and innovation. Engagement with longer term Roadmap/project management. Effective management of cloud services/AWS resources from a cost management perspective.
Governance and Knowledge Transfer	D3	The Supplier shall deliver a Development Capability with appropriate project management, governance and controls in place to support the delivery of the specified outcomes and meet industry standards.
	D4	The Supplier shall deliver a Development Capability which has in place processes and documentation which ensure Knowledge Transfer of all deployable code.
Backlog Development	D5	<p>The Supplier shall deliver a Development Capability that supports, in line with the NHS e-RS and Wayfinder Operating Models (to be agreed between the Supplier and the Buyer, the production and maintenance of an NHS e-RS Product Backlog, populated with:</p> <ul style="list-style-type: none"> Business Requirements authored by the Buyer. User Stories authored by the Supplier.
Delivery Activity	D6	The Supplier shall deliver a Development Capability which is structured, resourced and ready to undertake delivery activities against the NHS e-RS and Wayfinder backlogs (development and technical tasks) that include (but may not be limited to) any of the following tasks or activities:

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		<ul style="list-style-type: none"> • Analysis or development or test activities, or any combination of those activities. • Conducting all activities relating to NHS e-RS integration, either for the purpose of integrating software features developed by other development cells or for the purpose of integrating with other systems and / or services. • Minimising and managing Technical Debt. • Resourcing a Maintenance and Enhancement Development (MED) function (a development capability that supports the maintenance and development of the live service). • Minimising the cost of change. <p>This should include a description of a Standard Development Cell and a structure diagram</p>
Standard Business Day	D7	The Supplier shall deliver a Development Capability which operates on a full time basis during each Standard Business Day.
Sprint Output and Delivery Points	D8	The Supplier shall deliver a Development Capability that includes Platform Engineer capability and that delivers 26 sprints per calendar year, working collaboratively with the Buyer to define the sprint content from a prioritised programme backlog and for NHS e-RS which delivers 80 Delivery Points per 2-week sprint (a single Delivery Point is defined as approximately 17 hours of delivery capability effort).
Code Release	D9	The Supplier shall deliver a Development Capability that manages and delivers code releases in line with the NHS e-RS and Wayfinder Operating Models.
	D10	The Supplier shall deliver a Development Capability that complies with the Development Quality Threshold (DQT) for each deployable code release. A release would be deemed as NOT meeting the DQT if it contains Priority 1 or Priority 2 Defects (refer to section 2.7 for Priority criteria) or that the cumulative expected impact of any outstanding Defects would be deemed too severe to allow the Release to be deployed into the live environment.
CDDO Standards	D11	The Supplier shall deliver a Development Capability that is compliant with Central Digital and Data Office standards (https://www.gov.uk/service-manual).
Information Security Management	D12	The Supplier shall deliver a Development Capability that is compliant with ISO27001 Information Security Management).
Clinical Safety Standard	D13	The Supplier shall deliver a Development Capability that is compliant with national standards relating to the design, development and deployment of Health IT systems (DCB0129 and DCB0160).

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Run and Maintain Capability:

Area	Ref	Summary Requirements
IT Management Framework	S1	<p>The Supplier shall adhere to an IT service management framework using processes that are based on ITIL V4 or equivalent best practice guidance. Demonstrating the capability of the organisation by achieving certification to the ISO/IEC 20000 standard or an equivalent standard is desirable.</p> <ul style="list-style-type: none"> • The Supplier shall interface appropriately, where required, with the Buyer's ITIL aligned Service Management. • The Supplier shall provide evidence and approach for the following processes from day one of the contract: <ul style="list-style-type: none"> • Incident Management Process • Problem Management Process • Service Request Management Process • Change Management Process • Release Management Process • Service Asset and Configuration Management Process • Capacity Management • Availability Management • IT Service Continuity Management • Continuous Service Improvement Process
Service review	S2	This supplier shall hold a monthly service review with NHS England, to present and review the previous calendar month's performance with relevant Service Management Performance reporting.
Toolset Collaboration	S3	The supplier should detail how they might collaborate in this way, adopting the use of a Buyer toolset to manage the ITIL disciplines.
User Support	S4	The Supplier shall provide diagnostic scripts, tools, knowledge articles, and training materials to enable the Buyer's service desks to triage incidents, support local resolution, and capture the information necessary to resolve incidents. These must be subject to continual service improvement.

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HSSI Incident Management	S5	<p>The Supplier shall provide a dedicated High Priority Service Incident Management (HSSI) function for handling Priority 1 and 2 incidents and shall inform the Buyer's Service Bridge within 20 minutes of any Incidents assigned a Priority Level of 1 or 2 and/or are deemed to have a clinical safety or system security/integrity impact. Further updates on the progress and resolution of such Incidents shall be provided to the Buyer's Service Bridge at intervals of 60 minutes for a Priority 1 Incident 90 minutes for a Priority 2 Incident, unless otherwise reasonably requested by the Buyer.</p> <p>The Supplier will be required to contribute to any post HSSI review instigated by the Buyer, to include timeline of activity, and post incident investigation reporting.</p>
Known Error Management	S6	The Supplier shall make Known Errors relating to Buyer Problems available to the Buyer's Incident Management teams in order to match them to Incidents and regularly maintain (monthly) the list of Known Errors.
Change and Release Management	S7	The Supplier shall implement an ITIL aligned Change and Release Management process that supports multiple environments. Consideration should be given to how these integrate effectively with the Buyer's Change and Release processes. The expected outputs would be the production of RFCs (Request For Change) and Release and deployment notes and defect reports.
Configuration Management	S8	The Supplier shall implement an ITIL aligned Service Asset and Configuration Management process using the Buyer's toolset to develop and maintain a Configuration Management Database (CMDB).
Continuous Service Improvement	S9	<p>The Supplier shall implement a Continual Service Improvement (CSI) approach to supporting e-RS using an appropriate toolset to develop and maintain a CSI register of activities.</p> <p>This is specific criteria measuring the interfaces between the Supplier and the respective process area to ensure collaborative working and improve the effectiveness of each process area.</p>
IT Service Continuity / Disaster Recovery	S10	The Supplier's organisation and the services provided must be underpinned by a robust Business Continuity Management System (BCMS).
	S11	The BCMS methodology must embrace good practice, standards and innovation and should comply with the relevant provisions of ISO/IEC 27001, ISO/IEC 27002, ISO/IEC 27005, ISO/IEC 27031, ISO/IEC 22301 ISO/IEC 22313 and all other relevant industry standards such as the Business Continuity Institute Good Practice Guidelines and ITIL®. See https://www.thebci.org/ for the Good Practice Guidelines.
	S12	Leadership at senior level and in other relevant management roles must be sufficient to enable the necessary governance, escalation and direction for the BCMS.
	S13	The BCMS must be able to protect against, reduce the likelihood of occurrence, prepare for, respond to and recover from the full range of incidents, up to and including a potential or actual crisis.

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	S14	Business continuity plans and associated documents must be kept up to date and regularly tested, minimum annually or as specified in the latest Business Continuity Plan, to confirm that business continuity and disaster recovery solutions function as designed.
	S15	Each Supplier will undertake an Authority witnessed business continuity and disaster recovery test at least annually. Full access and visibility of the execution of the Tests must be provided to Authority Test witnesses, including access to documentation and the execution of procedures throughout the whole Test including the resolution of any issues that occur during the Testing window. The scope of the business continuity test shall be a scenario test to exercise the end to end process.
	S16	The Supplier will undertake an Authority witnessed disaster recovery test at least annually. Full access and visibility of the execution of the Tests must be provided to Authority Test witnesses, including access to documentation and the execution of procedures throughout the whole Test including the resolution of any issues that occur during the Testing window. The scope of the disaster recovery test shall be a full failover of the system service(s).
Cloud Technology	S17	In relation to all criteria above, detail your approach to managing and delivering the service in an ██████ Cloud hosted environment.

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2.7. Requirements continued

General requirements

The Buyer expects the Supplier to work collaboratively, proactively and in partnership with it, its other suppliers, and stakeholders to deliver its objectives and outcomes. In doing so the Supplier will need to fully satisfy the Buyer's following key requirements:

- provide and resource required personal hardware and software (kit) to support the delivery of the Buyer's outcomes (all hardware and software used by the Supplier must conform to NHSE security standards);
- be available for out of hours and on-call working to support the delivery of a 24x7x365 service as required. New build development capability takes place predominantly within standard UK office hours (except for deployments) however for e-RS the Buyer requires 24x7x365 business support by the Supplier for live service and for Wayfinder the Buyer requires 8am – 6pm Monday to Friday excluding Public Holidays in England business support;
- be willing to work collaboratively with the Buyer from the Buyer Leeds office location, frequency to be agreed, but initially expected to be fortnightly for development related work.
- be available (if required) to visit/work from Buyer's selected accommodation/location;
- demonstrate required operational delivery competency in technologies, software etc. used by the Buyer; demonstrate full compliance with Buyer's security requirements;
- take shared responsibility for the Buyer's delivery outcomes;
- work effectively within, and support the development of the Buyer's delivery approach, culture, and ways of working;
- fully enable and support compliance with Buyer's Service Level Agreements;
- implement an ITIL aligned Change and Release Management process that supports multiple environments. The Supplier will be required to consider how these integrate effectively with the Buyer's Change and Release processes. The expected outputs would be the production of the RFCs and Release and deployment notes and defect reports;

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- implement Service Asset and Configuration Management process to support configuration management of the Services. The Supplier will develop and maintain a configuration management database (CMDB) to provide an extract of the Customer's data in the Configuration Management System (CMS) to the Customer when reasonably requested;
- implement a Continual Service Improvement (CSI) approach to support e-RS using an appropriate toolset to develop and maintain a CSI register of activities. This is with specific criteria measuring the interfaces between the Supplier and the respective process area to ensure collaborative working and improve the effectiveness of each process area;
- specify and agree the environment requirements with the Buyer;
- provide a robust Business Continuity Management System (BCMS) with the appropriate governance and leadership in place, that can protect against, reduce the likelihood of occurrence, prepare for, respond to and recover from the full range of incidents, up to and including a potential or actual crisis. The BCMS methodology must embrace good practice, standards and innovation and should comply with the relevant provisions of ISO/IEC 27001, ISO/IEC 27002, ISO/IEC 27005, ISO/IEC 27031, ISO/IEC 22301 ISO/IEC 22313 and all other relevant industry standards such as the Business Continuity Institute Good Practice Guidelines and ITIL®;
- develop and maintain an IT Service Continuity Plan (Disaster Recovery Plan) and governance procedures to ensure e-RS maintains availability in the event of a disaster or event impacting the running of e-RS, to contain the Recovery Time Objectives (RTO) and Recovery Point Objectives (RPO). The Supplier shall provide and maintain a Business Continuity (BC) Plan which will contain the details of the agreed Supplier critical services and levels of recovery. The Supplier to carry out a Buyer witnessed Disaster Recovery exercise at least annually and provide all test results to the Buyer. Full access and visibility of the execution of the tests must be provided to authority test witnesses, including access to documentation and the execution of procedures throughout the whole test including the resolution of any issues that occur during the testing window. The scope of the business continuity test shall be a scenario test to exercise the end-to-end process;
- detail an approach to managing and delivering the live service in an AWS Cloud hosted environment;
- implement and maintain a capacity management system for all operating environments and feed metrics to the Buyer's Service Management Team. The scope of capacity monitoring must provide coverage of all key infrastructure components and Component and provide Demand Forecast and long term Capacity Forecasting;

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- provide knowledge transfer as required to the Buyer, to the Supplier (or other Buyer suppliers), to be estimated by the Supplier and planned as part of a sprint delivery;
- demonstrate experience and competence in the delivery of a dynamic development and operational capability supporting high volume critical services as required by the Buyer;
- work effectively within, and maximise the value of the Buyer's agile delivery approach;
- ensure that incidents, problems, and defects are managed proactively in accordance with the Buyer's operating processes including use of its Service Management Toolsets;
- provide diagnostic scripts, tools, knowledge articles, and training materials to enable the Buyer's service desks to triage incidents, support local resolution, and capture the information necessary to resolve incidents. These must be subject to continual service improvement;
- support the Buyer's commitment to continuous improvement, maximising delivery efficiency, technology utilisation and innovation;
- work collaboratively with all involved/interested parties (including Buyer's staff) to deliver agreed outcomes including effectively and efficiently transitioning work into (including from other suppliers) and out of (including to other suppliers) the Buyer's NHS e-RS team and Wayfinder teams;
- provide suitably skilled and experienced resources with the required aptitude and approach to deliver the Buyer's outcomes;
- the Supplier will, in all cases, provide the Cell Leadership Roles;
- be flexible in Supplier approach to the delivery of the Buyer's outcomes including via its resource management e.g., efficiently removing/replacing resources when required and appropriate succession planning;
- compliance with the Buyer's analysis, code development and deployment process including use of peer reviews, test driven development, automation and code promotion using path to live approach;
- for e-RS develop and deliver 80 delivery points per 2-week sprint (a single delivery point is defined as approximately 17 hours of delivery capability effort) and 26 sprints per year. Any request from the Buyer for the Supplier to reduce resources will be put in writing by the Buyer with 30 days' notice and specified by role type. After the 30 days' notice has elapsed the Buyer

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will not be liable for any further charges in respect of the resources it has requested be removed. The Supplier will notify the Buyer of the resulting impact to the development capability. The maximum number of Supplier resources that can be removed from the Supplier's SDC (Standard Delivery Capability) per calendar month is 10. Consequently, if the Buyer has a requirement to remove more than 10 resources from the SDC, an additional 30 days' notice will be required for every additional 10 resources that the Buyer requests be removed from the Supplier's SDC (after the first 30 days has expired). For the avoidance of doubt, there is no requirement for resources to be removed from the Supplier's SDC in multiples of 10;

- adapt the resource profile as required by the Buyer. The Buyer may formally request additional Supplier resource, for a term to be specified by the Buyer. Any additional resource required by the Buyer will be agreed via revision of existing Statements of Works (SOWs) or additional SOWs using the Contract Pricing Model. The Buyer may request Supplier resources from other Buyer endeavours to increase development capacity (i.e. other endeavours not related to NHS e-RS or Wayfinder delivery). There will be no cost to the Buyer for reallocating Supplier resources however the cost bases for each of the Buyer endeavours will be updated accordingly, and there will be no impact to the Supplier's revenue resulting from any resource allocation between Buyer endeavours;
- provide and proactively manage an onboarding and delivery transition and implementation plan to ensure the Supplier can fully support the Buyer in the effective operation of its NHS e-RS and Wayfinder services;
- utilise common collaboration tools and messaging services (e.g., MS Teams, Slack, Confluence, Service Now, etc.) that can be used by both Supplier and Buyer;
- bring added value to the delivery of the Buyer's outcomes;
- the Buyer requires regular reporting against agile metrics, to be defined in more detail between the Buyer and the Supplier. The metrics will support continuous improvement activity and may include burndown of resources by project; velocity; cumulative flow; lead time;
- the Supplier will ensure that all team members use JIRA (or whichever work planning tool the Buyer specifies) and the Supplier will use those tools consistently and in line with NHS England guidelines;
- the Supplier will agree the meetings schedule with the Buyer and is likely to consist of a meeting between the Supplier and the Buyer once a month during the term of the contract specifically for the purpose of a Service Review and a meeting once a month for the purpose of a Commercial Review;

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- for e-RS the Supplier will provide NHS England with a three-month development release window during which the roadmap items will be delivered. This window will be refined to a specific month no later than 3 months from the start of the three month window;
- the Supplier will provide a Development Capability that works full time on each standard business day. The Development Capability will have appropriate project management, governance and controls in place to support the delivery of the specified outcomes and meet industry standards and will have in place processes and documentation which ensure Knowledge Transfer of all deployable code;
- the Supplier will provide a description of a Standard Development Cell and a structure diagram;
- The development capability will conduct all activities relating to NHS e-RS and Wayfinder integration, either for the purpose of integrating software features developed by other development cells or for the purpose of integrating with other systems and/or services. The Development Capability will resource a Maintenance and Enhancement Development (MED) function (a development capability that supports the maintenance and development of the live service);
- The Supplier will deliver a Development Capability that is compliant with Cabinet Digital and Data Office (CDDO) standards;
- the Supplier will plan and agree with the Buyer and the incumbent Supplier(s) the transition plan from the incumbent Supplier(s);
- the Supplier will plan and agree with the Buyer the Exit Plan for the end of the contract and/or end of life for the e-RS and Wayfinder services.

Technical

- The Supplier's technical team shall be self-sufficient and able to organise itself into multiple development cells. The Supplier will provide technical/leadership roles and software engineers, with required skills, knowledge and experience in solution architecture, application programming, databases, infrastructure, and testing, and capable of delivering modern, large-scale, online systems, both on-premise and in a public cloud;
- The Supplier will have experience with open source OS and server technologies across various architecture tiers, open-source development frameworks and technologies, commercial development support tools such

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as those for source code control and other uses listed in Section 2.7 requirement T2 for software development;

- The Supplier will have experience of the Continuous Integration practice within their organisation and across multiple projects;
- The Supplier shall have experience of configuration management and automation, as well as key open source technologies that support these activities;
- The Supplier shall have expertise and experience in testing large scale online systems, including functional, non-functional and automation testing, as well as the most wide-spread open source frameworks, tools and technologies for testing;
- The Supplier will have experience with the design, development and maintenance of large scale online transactional systems dealing with sensitive data;
- The Supplier will have experience of deploying, configuring and using monitoring tools and technologies for monitoring health and performance of a transactional application;
- The Supplier will have experience with technical governance processes, both in-house as well as customer-specific ones;
- The Supplier will comply with the Technical Engineering requirements detailed in Section 2.7 Technical Requirements, T13.

Run and Maintain

The NHS Run and Maintain team, which will incorporate Buyer and Supplier staff as a single entity working collaboratively, has the responsibility of ensuring through run, (including proactive incident management using the Buyer's Service Management toolset to maintain 24x7x365 availability) and maintenance activities, that it operates within its agreed service level agreements. This includes the services outlined in the scope which it supports and manages.

How the Buyer organises its NHS e-RS and Wayfinder Run and Maintain function(s), the key responsibilities of its Run and Maintain team(s), the outcomes it needs to deliver, as well as the context, culture and approach which inform, frame and supports how it operates are described below. Whilst as part of its requirement for continuous improvement the Buyer wants to work with a Supplier who can help maximise its operational efficiency etc, it is critical that the Supplier recognises the fundamental importance to the Buyer that its Run and Maintain team(s) continues to operate its NHS e-RS and Wayfinder services and how both these key objectives contribute to its availability, user value and effectiveness.

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The Buyer requires governance to best industry practice and as such requires the Supplier to adhere to an IT service management framework using processes that are based on ITIL V4 or equivalent best practice guidance. The Supplier will be required to demonstrate the capability of their organisation by achieving certification to the ISO/IEC 20000 standard or an equivalent standard is desirable, The Buyer will require the Supplier to comply with but not limited to the following:

- The Supplier shall interface appropriately, where required, with the Buyer's ITIL aligned Service Management.
- The Supplier shall provide evidence and approach for the following processes from day one of the contract:
- Incident Management Process
- Problem Management Process
- Service Request Management Process
- Change Management Process
- Release Management Process
- Service Asset and Configuration Management Process
- Capacity Management
- Availability Management
- IT Service Continuity Management
- Continuous Service Improvement Process.

Run and Maintain includes ongoing work intended to maintain the ongoing availability and security of the systems, i.e., provide bug fixes, support incident resolution, and otherwise support the live service to allow it to meet or exceed the requirements placed upon it by its Service Level Agreements and Critical National Infrastructure status. It is expected that during the usual running of the services, there will be opportunities to incrementally improve the services outside of adding new user functionality and features. There are three key themes of 'lights on' (Run) work:

- For NHS e-RS providing full 24x7x365 operational cover for the service to enable effective incident and problem resolution, including staffing a multi-person 24x7 rota. For Wayfinder providing operational cover for business support hours 8am to 6pm Monday to Friday excluding public holidays in England and 24x7x365 cover for priority 1 and 2 incidents. To ensure effective incident and problem management processes are undertaken and deploying speedy and effective fixes to all service impacting incidents.
- Diligent defect management to identify and address issues following the deployment of code or other changes into live service. This differs from

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incident resolution in that defects can be detected through a variety of means and might not have had any live service impact before they need to be addressed. Opportunities for incremental improvement might also be detected here, for prioritisation and delivery. The Buyer's defect management approach applies to all issues as they impact the delivery of the core live services and not based on how they arose e.g. who was responsible for the change to which the issue relates. The Buyer will use the learning from the identification and resolution of defects to inform its continuous improvement and contract management processes.

- Underpinning the above is a need to diligently run the services by following organisational and operational processes. Common examples include the overheads of due process covering financial and commercial matters, team and staffing management, provision of adequate procedural and operations documentation, attendance, and support for operational and security reviews, and managing a relationship with key stakeholders and the user community. Also assessing and impacting requests for change from external sources. Basically, undertaking all the expected BAU operational overheads of running a critical service.

The work required is intended to specifically ensure the ongoing service maintenance and sustainability. It is not intended to improve or otherwise enhance the functionality or features of the services offered to users. However, opportunities might present themselves where, for instance, an update with essential security fixes also contains new features and functionality which could be exploited later to realise benefits for the users. There are two key themes of maintenance work:

- Ensuring preventative and proactive maintenance activities are undertaken to ensure that service components are kept abreast of the ever-changing operational needs of Security, suppliers, Service Management, and users. This will typically be satisfied by ongoing updates and patches to components as well as swap-out replacements for outdated or no-longer-supported components.
- Ensuring opportunities to reduce operational overheads (and hence costs) are identified and work undertaken to realise these benefits. This is essential to offset the expected rise in operational overheads due to tech atrophy and the growing impact of tech debt which might not have been paid off in good time.

As part of the Supplier's overall support capability, the Supplier will establish Maintenance and Development (MED) function(s). The objectives of the MED function will be the completion of any development, specified by the Buyer, for the purpose of maintaining or enhancing the quality function or quality operation of existing NHS e-RS and Wayfinder software and features that are already deployed in the Live environment. The Supplier's MED function(s) will exist as a logical team, or teams, operating as part of the Supplier's Development capability. As

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such, the Supplier's MED function resources will exist as a proportion of the overall capacity of the Supplier's total Development capability, rather than as a discreet team of named individuals or roles that are specifically targeted at MED activity.

For details of the expected ways of working of the MED function(s), which themselves are defined by the ways of working for the Supplier's development capability, see the Development Capability requirements.

Whilst the nature of the above work is well understood, the specific needs, resources and associated skills and capabilities required to deliver them are unknown and will inevitably need to change over time. For example:

Significant new security exploits will be discovered, and specific action will be required at short notice. This may require patching and/or specialist development work to mitigate the risks. Once the work is completed, specialists may no longer be required. As vendors introduce new technologies and deprecate old there may be a requirement for them to be updated to remain within support agreements. This also extends to commercial agreements, where changes of suppliers and/or supply agreements require subsequent changes to the underlying components within the service. Implementing these changes may require additional resource and/or specialists who, once the work is complete, may no longer be required for implementations but may be retained for support and maintenance. Where alternative components offer improved serviceability or reduce overall operational complexity, there will be work required to exploit these benefits. As above, these may require additional and/or specialist resources to implement and/or maintain these components once in place.

Release Management

The NHS e-RS and Wayfinder Service Management teams are also responsible for the release process, incorporating 'feature' implementation, bug fixes and configuration changes. These are done on a regular basis e.g., small and often, during each development cycle, and require engagement with the relevant stakeholders for approvals, communication to existing live partners and orchestration of the releases themselves, ensuring sufficient quality assurance and oversight has been applied before affecting the live environment and the service currently being used by partners and their users. Standard deployments are arranged currently once every four (4) weeks although the Buyer may select to choose more frequent and smaller releases in future.

The Supplier will develop and deploy unplanned releases as required by the Buyer.

The Supplier shall deliver a Development Capability that complies with the Development Quality Threshold (DQT) for each deployable code release. A release would be deemed as NOT meeting the DQT and the Buyer will reject the release where there are any Priority 1 or 2 defects or that the cumulative expected impact of any outstanding Defects would be deemed too severe to allow the Release to be deployed into the live environment, plus other criteria to be agreed

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between the Buyer and the Supplier. Where the release is rejected according to the agreed criteria, the Supplier will rectify the defects at the cost of the Supplier.

Live Service/Service Level Agreements

For definitions of priority levels see: <https://developer-test.nhs.uk/wp-content/uploads/2017/06/NHS-Digital-Severity-Level-Guidelines.docx>

The NHS e-RS and Wayfinder services are live, user/patient facing services and as such must be available 24x7x365. It is a requirement that the Supplier fully appreciates (and demonstrates that appreciation) the criticality of the NHS e-RS and Wayfinder services to the NHS and Social Care, and as such fully supports the Buyer in maintaining that availability including understanding and taking appropriate responsibility to respond/resolve to live service incidents within agreed timescales, being available when required for out of hours service support and working with the Buyer's team (including Service Management) to increase the efficiency of its service delivery process, technology utilisation and solution innovation.

NHS e-RS

The Service Levels (Gold + 24x7x365 user support) under which the NHS e-RS services operate are as follows:

- Operational hours (Service Hours) = 24x7x365
- Business Support Hours (Service Support Hours) = 24x7x365
- Planned Maintenance Downtime = Service Specific
- Availability (in business support hours) = 99.90%

Incident Resolution Times:

- Priority 1 = 3.5 hrs (24*7*365)
- Priority 2 = 7 hrs (24*7*365)
- Priority 3 = 9 hrs (Mon-Fri 8-6 excluding Bank Holidays)
- Priority 4 = 48 hrs (Mon-Fri 8-6 excluding Bank Holidays)
- Priority 5 = 138 hrs (Mon-Fri 8-6 excluding Bank Holidays)

Problem Fix Times

- P1 - 14 days - 24*7*365

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- P2 - 28 days - 24*7*365

Remainder are 10 hour working days:

- P3 - 46 days
- P4 - 88 days
- P5 - 175 days

Additionally, Service Request (Max time listed - against a 10-hour working day):

- P1 - 10 days
- P2 - 20 days
- P3 - 30 days
- P4 - 40 days
- P5 - 50 days
- Service Reporting = Monthly
- Disaster Recovery = 4 hrs
- Recovery Point Objective (RPO) = Zero

Due to the service being live and user/patient facing, the Buyer will require the Supplier to provide a dedicated HSSI function for handling Priority 1 and 2 incidents and to notify the Buyer's Service Bridge within 20 minutes of any Incidents assigned a Priority Level of 1 or 2 and/or are deemed to have a clinical safety or system security/integrity impact.

Further updates on the progress and resolution of such Incidents shall be provided to the Buyer's Service Bridge at intervals of 60 minutes for a Priority 1 Incident 90 minutes for a Priority 2 Incident, unless otherwise reasonably requested by the Buyer.

The Supplier will also be required to contribute to any post HSSI review instigated by the Buyer, to include timeline of activity, and post incident investigation reporting.

The Supplier will also be required to make Known Errors (a Known Error is defined as 'a problem that has a documented root cause and a workaround.') relating to Buyer Problems available to the Buyer's Incident Management teams in order to match them to Incidents and regularly maintain (monthly) the list of Known Errors.

NHS e-RS Support Capability - Standard Hours of Operation

The Standard Hours of Operation for the Supplier's Support Capability will be:

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24 hours per day, seven days a week for Priority 1 and Priority 2 Incidents (resourced by the Supplier's On-Call outside of the Standard Business Day).

08:00 hrs to 18:00 hrs, Monday to Friday for Priority 3, Priority 4 and Priority 5 Incidents (excluding English Public Holidays).

Wayfinder

The live service SLA for Wayfinder is known as Silver + service, which is Silver (as detailed below) with the addition of out of hours support for Priority 1 & 2 Incidents.

SLA for Wayfinder Service	Silver
Operational Hours (Service Hours)	24x7x365
Business Support Hours (Service Support Hours)	8-6 Mon-Fri (excluding public holidays in England)
Planned Maintenance Downtime	Service Specific
Availability (in business support hours)	99.50%
Allowable Unplanned Downtime (mins per month)	58
Incident Resolution Times (in business support hours)	
Priority 1	4 hrs *
Priority 2	8 hrs *
Priority 3	20 hrs
Priority 4	80 hrs
Priority 5	200 hrs
Problem Fix Times	
Priority 1	30 working days or an agreed release
Priority 2	60 working days or an agreed release
Priority 3	120 working days or an agreed release
Priority 4	240 working days or an agreed release
Priority 5	360 working days or an agreed release
Service Reporting	Monthly
Service Request (Max time listed)	Max 3 months
Disaster Recovery	Optional Bolt-on

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Recovery Point Objective (RPO)	24 hrs
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* Runs 24x7x365

Out of Hours and On-Call working

Through its role in the Buyer's NHS e-RS and Wayfinder Service Management teams the Supplier is expected to play a key and proactive part in building service resilience and reducing technical debt thereby decreasing the support overhead and on-call occurrence and cost.

However, the Buyer (and suppliers working with it) must ensure that the NHS e-RS service is fully available 24x7x365. Arrangements are therefore in place for out of hours and on-call working/cover which the Supplier is expected to appropriately support as requested by the Buyer. [Refer to Schedule 14a Annex 6 – Higher Severity Service Process].

Change

In addition to the above the NHS England e-RS Support team undertake work related to the development of services which use, want to use, or are a component of NHS e-RS. Transform activities can be commissioned internally or externally to the Product and Platforms Directorate or NHS England and are managed through the Buyer's New Work Request process and once approved are placed into a prioritised backlog managed by the NHS England e-RS Delivery Manager/Product Owner. When appropriate these backlog items are either added to the Development/Support work stack or taken forward as individual work items. Changes in priorities may mean that work may be paused or stopped to allow more urgent work to be taken forward both from a system maintenance or transformation perspective. Requirements will be developed by the Buyer. User stories will be written by the Supplier.

Examples of 22/23 backlog items are shown in Annex 4.

It is the joint responsibility of both the Buyer and Supplier to ensure that the Supplier is working with other elements of the Buyer's NHS e-RS and Wayfinder teams to optimise the Buyer's delivery of its business objectives. This includes supporting the implementation and live service operation of transform work developed and delivered through other commercial/organisational arrangements.

Digital Definition Services

Whilst the majority of discovery work will fall within the design element of this Call-Off Contract there is an expectation that some of the resources responsible for NHS e-RS or Wayfinder run and maintain activities will be involved in providing technical and process insight to the discovery work e.g., as part of a technical spike, prototyping or Subject Matter Expert input. As highlighted above it is

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the Buyer and Supplier joint responsibility to ensure that outcomes and products developed and delivered via the Buyer's User Centred Design commercial arrangements will be appropriately managed should there be a requirement to do so under this Call-Off Contract and associated Statements of Work.

End to End Development Services

The Supplier will be required to provide advice on commissioning the proof of concept for new digital technologies and the programme will be working with the NHSE commercial team to establish those routes to market.

This includes:

- redesigning care services to remove friction for our patients, employees, and clinicians;
- bringing the power of data and analytics to our clinicians, employees, and patients; and
- building a learning health system that generates knowledge to improve population health.

Ways of Working

For this Call-Off Contract (but not necessarily for all the Statements of Work which are associated with it) the Supplier team to work collaboratively with the Buyer team to deliver the Buyer's business objectives. Other approaches will be discussed with the Supplier and outlined in relevant Statement of Works. The Supplier is encouraged to identify and suggest different ways of working which may increase delivery efficiency and cost effectiveness.

Over the duration of this Call-Off Contract the Supplier will be expected to assist in/take responsibility for the managed 'hand over' of work e.g. from the output of discovery work or technical spike to other parties for continued development.

Equally the Supplier may be expected to proactively and efficiently be involved in/take responsibility for work to further develop and implement changes developed by others outside of the NHS e-RS and/or Wayfinder team(s) for incorporation in/or temporary use of the NHS e-RS or Wayfinder services utilising the Buyer's agile development, assurance, and release management approaches.

In both the 'exporting' and 'importing' of work it is a requirement that the Supplier will work collaboratively and proactively with those involved/interested parties to ensure that hand offs are minimised, effective, and auditable to maintain delivery momentum, scope and delivery accuracy through appropriate documentation, development of/adherence to critical success factors (or other mechanisms) and joint working.

Integral to the Buyer's approach is the value of colleagues from different areas (including but not limited to the Buyer, Supplier, other suppliers) working together

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to deliver joint objectives. As such within the Buyer's NHS e-RS and Wayfinder delivery approaches it is a requirement that the Supplier, in supporting the delivery of the Buyer's outcomes, will ensure that it is able – through experience, aptitude, and approach – to fully support and enhance the Buyer's delivery model. It is essential that the Buyer and Supplier work collaboratively to be able to respond quickly and effectively to identify and resolve issues, build and utilise subject matter expertise to maintain and enhance the operations of its systems and services, and that there are no internal hand offs, incorrect mind sets, or process inefficiencies which lead to the Buyer's capability and requirement being considered as separate rather than a single, collaborative function. Working as part of a collaborative team the Supplier is expected to fully embrace the Buyer's culture and delivery approach. This also involves taking part in/identifying value adding activities such as knowledge sharing through presentations and 'show & tells', supporting development through mentoring or joint learning opportunities, and assisting the Buyer in identifying new/alternative development, delivery or solution management options and approaches.

General Standards and Principles

- The Supplier's processes will be compliant with ISO27001 Information Security Management for its Support and Development capability and the Buyer acting reasonably can independently audit if required.
- The Supplier shall give the Buyer at least four (4) weeks' notice of configuration that it requires to be implemented in the Buyer's Service Management tool.
- The Supplier shall ensure that all the Supplier's resources that have access to Personally Identifiable Data (PID) / Personally Confidential Data (PCD) are security cleared in line with NHS England security clearance requirements. If there are any requirements for the Supplier's resource to progress through the Buyer's security clearance process, any costs associated to the security clearance process itself shall be at the Buyer's expense. Note that any costs incurred by the Supplier's resources, through travel to the Buyer's Leeds site(s) for the purpose of achieving security clearance, will not constitute a cost of the security clearance process. The Supplier should seek to assign staff with SC clearance, but the Buyer will assist and sponsor the SC clearance process subject to agreement by the Buyer. The Buyer will allow up to 16 weeks from the start date of the Call Off Contract for Supplier staff requiring SC clearance to be confirmed. In the event of delays, SC clearance will be prioritised to run and maintain and test roles.
- The Supplier is also responsible for ensuring that its security cleared staff prevent non-security cleared Supplier staff and / or other parties (either Supplier affiliates or other third parties not connected to the Supplier or its staff) from viewing and / or accessing PID.

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- The Supplier will be required to access the NHS e-RS and Wayfinder live services and live back end services in line with NHS Security Policies, as provided by Buyer and updated from time to time.
- The Supplier shall be mindful of the national standards relating to the design, development and deployment of Health IT systems (as described in DCB0129 and DCB0160) and will support the NHS e-RS and Wayfinder Programme teams in their compliance with these standards:
- The Supplier will prioritise the investigation and resolution of clinical safety incidents or concerns as per the agreed incident management process and will support the NHS e-RS and Wayfinder Programme teams in their investigations and resolution of such incidents or concerns as per the agreed process.
- The Supplier will ensure that at least one named person undertakes the role of Clinical Safety Liaison Lead within its organisation once formal training has been provided. The Clinical Safety Lead's formal training will be provided by the Buyer, at the Buyer's cost.
- The Supplier will ensure that, wherever possible, the Clinical Safety Liaison Lead attends planned and urgent (ad hoc) Patient Safety Assessments, as arranged by the NHS e-RS and Wayfinder Programme teams, providing adequate notice has been given.

Where clinical safety concerns are identified by the Supplier during design, development or assurance of the product, the Clinical Safety Liaison Lead will be made aware of such concerns at the earliest opportunity and will liaise directly with the Clinical Safety Officer (or deputy) within the NHS e-RS or Wayfinder programme teams as appropriate. Where appropriate, any urgent or remedial action, including the need for further investigation, may be authorised by the NHS e-RS or Wayfinder Programme's Clinical Safety Officer, following discussion with the Clinical Safety Liaison Lead but without the need for a formal Patient Safety Assessment to have taken place (e.g. if inadequate information is available for such an assessment to take place) as per the agreed incident management process.

2.8. Business Outcomes

<p>e-RS: The Supplier to support the Buyer with delivery of the following business objectives:</p> <ol style="list-style-type: none"> 1. ensuring the continued operation to meet the ongoing demand for the service in-order to achieve the levels of benefits that are already being realised as part of business as usual; 	Annex 3
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<ol style="list-style-type: none"> 2. deliver an any-to-any booking, triage, referral and appointment management ecosystem for health and social care, that is the first choice for care professionals, administrators, and health systems by 2025; 3. limit the rise in waiting lists: Divert demand away from Secondary Care, with increased use of digital triage services; 4. improve efficiency: Reduce unnecessary referrals and in turn follow-ups, and reduce the administration burden on clinicians; 5. support the development of the infrastructure for PCNs: provide the booking infrastructure to support networking of services across primary care; 6. Health & Social Care collaboration: Joint access to Directories of Service (DoS) will improve the speed and quality of referrals; 7. System Interoperability: provide the booking infrastructure to support networking of services across primary care; 8. Patient Empowerment: empowering patients to take greater control over their health and well-being, with improved visibility and choice over pathways. <p>Wayfinder: Wayfinder balances the priorities of patients, Trusts, PEPs and the wider NHS system to determine which features are included in the roadmap and how these are prioritised. Once a feature has been agreed and prioritised, Wayfinder holds integrated planning sessions to assess the size and scale of the work required across each of the impacted stakeholders. Estimated t-shirt sizes are provided, and the features are scheduled into an integrated plan which is cascaded to all relevant stakeholders and impacted parties and tracked against in regular governance forums. As an agile project operating in a regularly changing environment, these priorities are regularly reviewed and updated where required. Any changes to the plan are agreed at the appropriate governance forum.</p> <p>The Supplier to support the Buyer with delivery of the following business objectives:</p> <ol style="list-style-type: none"> 1. Ensuring the continued operation to meet the ongoing demand for the service in-order to achieve the levels of benefits that are already being realised as part of business as usual; 2. Patient Empowerment: empowering patients to take greater control over their health and well-being, with improved visibility and choice over their referrals and appointments. <p>Further details on the phases and features currently in scope can be found in:</p>	<p>Annex 3 & 4</p>
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3. Deliverables

The e-RS Product Backlog is kept in JIRA and Wayfinder in Trello. Examples are contained in:	Annex 4
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3.1. Functional and Non-Functional Requirements

Wayfinder:

Non-Functional Requirements

Patient Care Aggregator must comply with a small number (around 20) of non-functional requirements (NFRs), where key Quality Attributes are used to indicate how well the system satisfies the needs of its stakeholders. The Quality Attributes include: Availability, Clinical safety, Cost, Evolvability, Information governance, Interoperability, Observability, Performance, Reliability, Security, Serviceability, Testability, and Usability.

The NFRs are all testable and cover typical areas, such as: Access to personal identifiable data, Age restriction, Authentication, Contract testing, Data timeliness, Error handling, Hosting, Logging and alerting, Operations, Partial responses, Releases & Maintenance, Response times, Service availability, Throttling, Timeouts, and Volumetrics.

3.1.1. Period (up to month N)

Functional Requirement	Related Non-Functional Requirement
e-RS: <ul style="list-style-type: none"> Refer to Annex 4 	

3.1.2. Period (from P to Q)

Functional Requirement	Related Non-Functional Requirement
e-RS: <ul style="list-style-type: none"> Refer to Annex 4 	

3.2. Target Operating Model

e-RS:

To operate within agreed agile principles to be agreed with the Buyer. The team size and profile will be agreed between the buyer and the supplier based on the SOWs and the supplier team profile submitted as part of the bid.

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Wayfinder:

We are expecting as part of this contract to have a Head of Delivery Management and fulfil the following functions: Delivery Management and Analysis, Aggregator development & maintenance, Design Team & Functional and Non-Functional Testing.

The Supplier's resources are expected to work tightly together with both NHSE and possible other externally sourced resources e.g., CSUs, with each functional area also working closely with each other and being managed through a Cluster management function. The Design function is expected to be a blended team incorporating an internally sourced Head of Design, Head of Product, senior Product Manager and Business Analysis manager with all other roles met by the Supplier, whereas the Delivery function incorporating live service Run and Maintain and testing resource is expected to all be met through Supplier resources except for an internally provided Test & Assurance Lead.

There will be a drive towards moving away from working under a Programme structure and instead taking a Product led approach. The Buyer will be keen to work with the Supplier to help shape that approach and drive towards new ways of working that are more product focused.

Similarly, as Wayfinder will be moving towards a steady state run and maintain model there will be a drive to adopt a DevOps approach to support this. The Buyer will be keen to work with the Supplier to help develop and embed DevOps ways of working that will be suited towards a product focused run and maintain operating model.

3.3. Initial Statement/s of Work (SOW/s)

3.3.1. SOW 01

e-RS:

SOW01 covers a 12-month period and covers the operational live run and maintain of the service.

3.3.2. SOW 02

e-RS:

SOW02 covers a 12-month period and describes the Development requirement.

3.3.3. SOW 03

e-RS:

SOW03 covers a minimum 6-month period and covers the Implementation and Transition period from the incumbent Supplier to the new Supplier.

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3.3.4. SOW 04

e-RS:

SOW04 covers a 6-month period for the dual running live service as transition takes place from the incumbent Supplier to the new Supplier.

3.3.5. SOW 05

e-RS:

SOW05 covers a 6-month period for the dual running of the Development service as transition takes place from the incumbent Supplier to the new Supplier.

3.3.6. SOW 06

Wayfinder:

SOW06 will be to support the running and maintenance of the Wayfinder service, covering a 12 month period from contract start date. This will include supporting the identification and embedding of DevOps ways of working within the Wayfinder programme team.

3.3.7. SOW 07

Wayfinder:

SOW07 covers a minimum 5-month period and covers the Implementation and Transition period from the incumbent Supplier to the new Supplier.

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4. Key Milestones and Call-Off Deliverables

e-RS:

Key Milestone/ Deliverable	Description	Timeframe or Delivery Date
Milestone 1	e-RS - Set up of transition resource plan and team completed	Within 2 weeks of contract signature
Milestone 2	e-RS - Implementation, Test and Transition Plans and artefacts completed	Within 6 weeks of contract signature
Milestone 3	e-RS - Business Continuity Disaster Recovery (BCDR) plan completed and agreed	Within 3 months of contract signature
Milestone 4	e-RS period of dual running of Run and Maintain service between Supplier and incumbent Supplier.	Between months 5-6 after contract signature (minimum 2 months)
Milestone 5	e-RS - full transition from incumbent Supplier to the new Supplier completed in accordance with agreed handover criteria.	Within 6 months of contract signature
Milestone 6	e-RS - Deliver items prioritised on the programme backlog and agreed as per 3-month rolling development plan.	No later than contract end date

Wayfinder:

Key Milestone/ Deliverable	Description	Timeframe or Delivery Date
W1	Wayfinder - handover & knowledge transfer of Product & Service Design capability from incumbent Supplier to the new Supplier completed.	Within 2 months of Contract Award.
W2	Wayfinder - handover & knowledge transfer of Build, Run and Maintain capability from incumbent Supplier to the new Supplier completed.	Within 3 months of Contract Award.
W3	Wayfinder – period of dual running of Run and Maintain service between Supplier and incumbent Supplier.	Between month 3 and month 5 after Contract Award.

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W4	Wayfinder - full transition from incumbent Supplier to the new Supplier completed in accordance with agreed handover criteria.	Within 5 months of Contract Award.
W5	Wayfinder - Completion of remaining Phase 4 features discovery.	No later than 01/12/2025.
W6	Wayfinder - Completion of remaining Phase 4 features development	No later than 01/04/2025.
W7	Wayfinder - Phase 5 discovery plan complete.	No later than 01/02/2025.

5. Responsibilities of the Parties

RACI to be agreed with Supplier and the Buyer.
--

6. Skills / Capabilities Profile

Although rates will be commercially evaluated on the basis of a sample profile, the listing below is intended to provide the Supplier with an initial idea. It is not intended, at this level, to be definitive (individual Statements of Work should be more specific in this regard).

Resource Profile details are contained in:	Annex 5
--	---------

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Annex 1: Call-Off Schedule 20 – Target Sectors

	e-RS	Wayfinder
HEALTH AND SOCIAL CARE SETTINGS	Tick boxes	Tick boxes
Primary Care	Y	Y
Ambulance Services	N	N
Secondary Care - Hospital Settings	Y	Y
Pharmacy	N	Y
Mental Health	Y	Y
Community Care - Childrens Services	N	Y
Community Care - Adult Services	N	Y
Public Health & Wellbeing	N	Y
Screening	Y	Y
Social Care - Childrens Services	N	N
Social Care - Adult Services	N	N
Genomics	N	N
Health and Social Care Policy	N	N
Health Informatics	Y	N

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Medicines and Healthcare Products	N	N
Health and Social Care Regulation / Quality	N	N
Health Sector Education, Training and Workforce	N	N
Health and Social Care Research	N	N
Blood and Transplant Services	N	N
Independent Health Provision	N	N

e-RS

Wayfinder

HEALTH AND SOCIAL CARE SYSTEMS		
SPINE (Summary Care Record)	N	N
Screening Systems	N	N
Electronic Prescription Service (EPS)	N	N
Electronic Referral Service (ERS)	Y	Y
GP IT Systems & Services	N	N
Health and Social Care Mobile Apps	N	Y
Health and Social Care Web Apps	N	Y
Citizen Identification and Verification Services	N	Y
Health System Infrastructure (email, etc)	N	N

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Secondary Uses Services	N	N
Health Data Collection, Processing and Dissemination	N	N
Care Management Systems	N	N

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Annex 2: Call-Off Schedule 20 – Technology Capabilities

e-RS and Wayfinder

Application Development	Tick boxes
Continuous Integration & Delivery Tools	Y
Testing & Quality Assurance Tools	Y

Business Applications	Tick boxes
Data Warehousing	Y
Enterprise Applications	Y
Geospatial	N
Project Management	Y

Customer Management	Tick boxes
CRM	
Enterprise Applications	Y

IT Management	Tick boxes
Middleware	Y
Networking	Y
Service Management	Y
System Management	Y

IT Services	Tick boxes
Anti-Virus, Vulnerability Mgt & Monitoring	Y
Cloud Orchestration	Y
Encryption	Y
Remote Access Service	Y

(continued on next page)

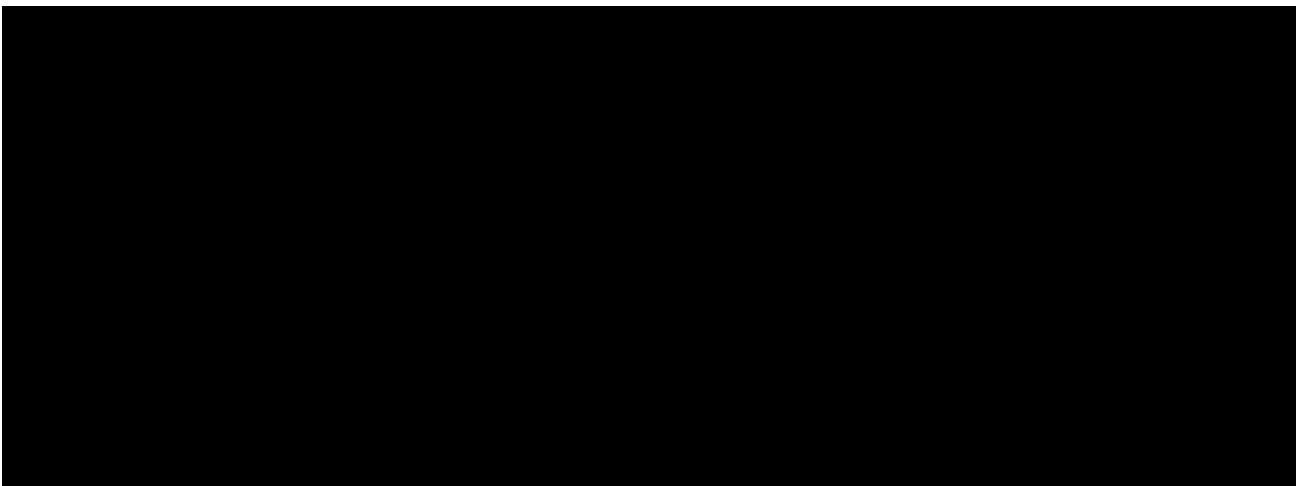
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Software Infrastructure	Tick boxes
Enterprise Architecture Tools	
Architecture Tools	Y
Intelligent Business Process Management Suites	
Business Process Management	Y
Architecture Tools	Y
Discovery / Search	Y
Frameworks, Languages, & Libraries	Y
Identity & Access Management	Y
Non-Relational Databases	Y
Performance & Availability Monitoring	Y
Relational Databases	Y
Server Technology	Y
Server/Desktop OS	Y
Serverless	Y
Source Code Management	Y
Storage	Y
Virtualisation & Containerisation	Y
Visualisation Tools	Y
Web Analytics	Y

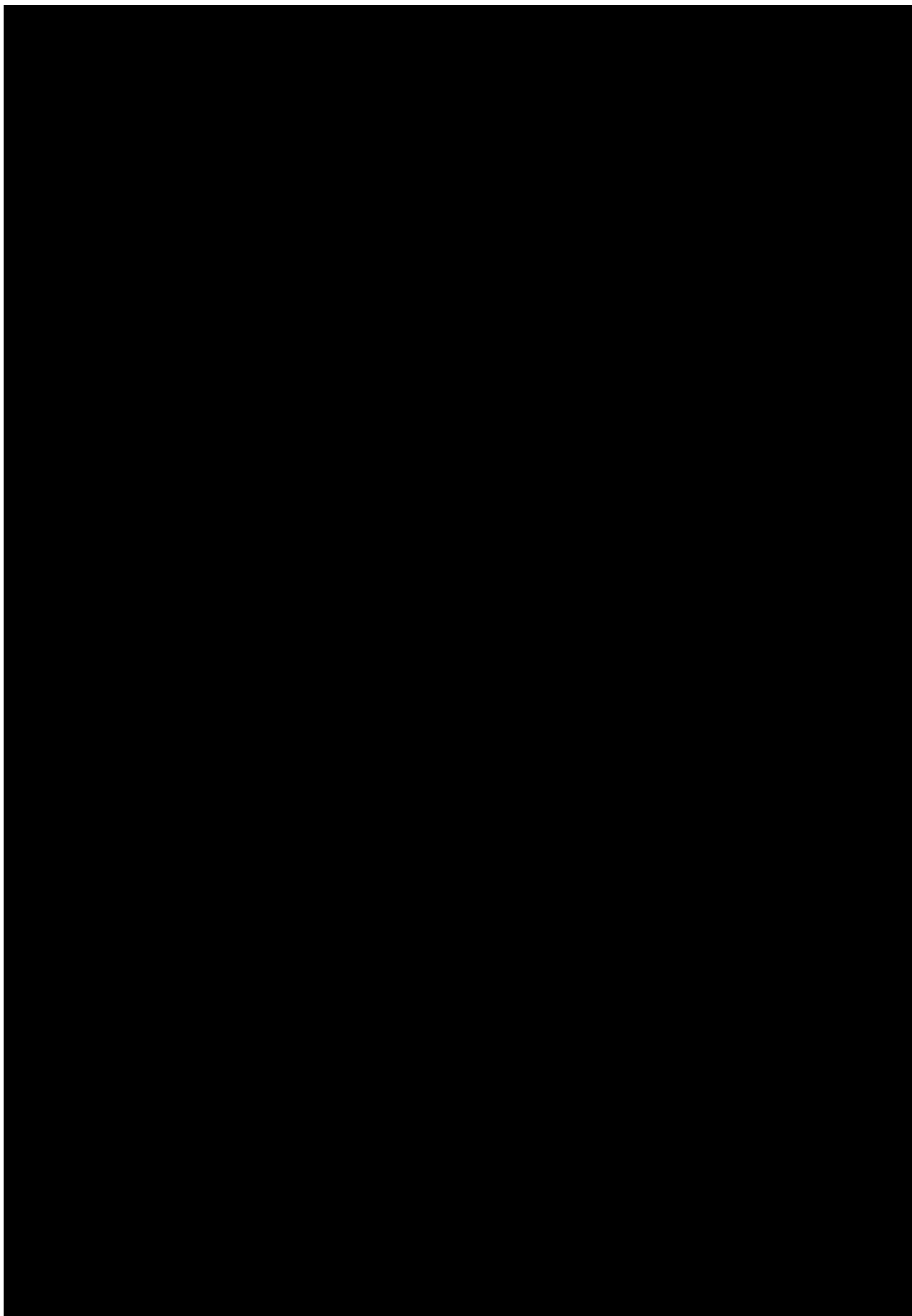
The following specific technologies used by e-RS and Wayfinder are out of scope for the Supplier to supply and support however the Supplier may be expected to use them:



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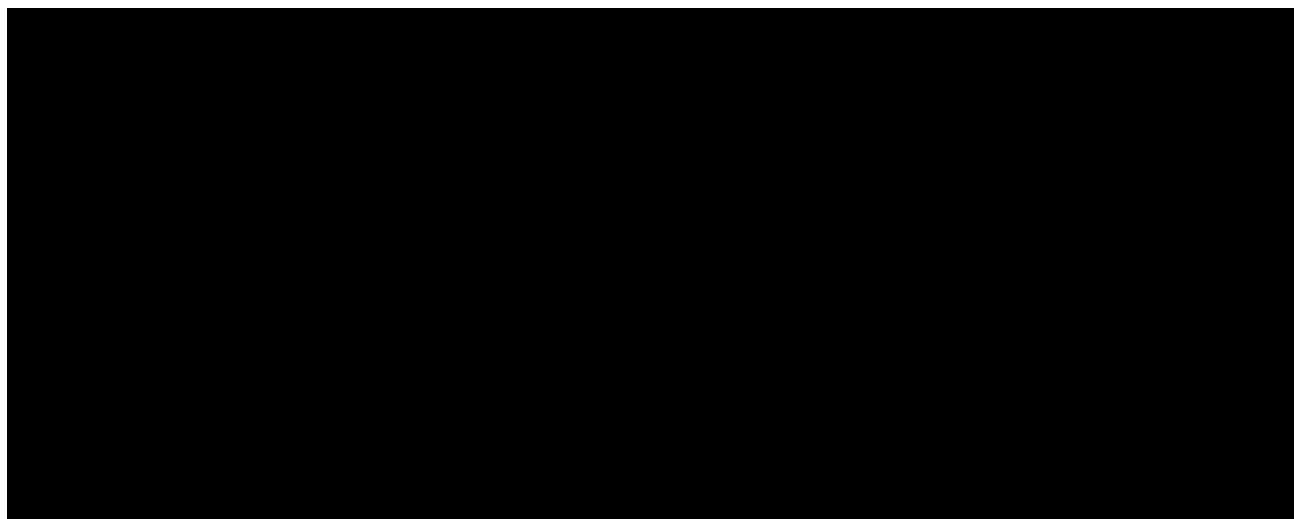
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**e-RS and Wayfinder**

Application Development	Tick boxes
Continuous Integration & Delivery Tools	Y
Testing & Quality Assurance Tools	Y

Business Applications	Tick boxes
Data Warehousing	Y
Enterprise Applications	Y
Geospatial	N
Project Management	Y

Customer Management	Tick boxes
CRM	
Enterprise Applications	Y

IT Management	Tick boxes
Middleware	Y
Networking	Y
Service Management	Y
System Management	Y

IT Services	Tick boxes
Anti-Virus, Vulnerability Mgt & Monitoring	Y
Cloud Orchestration	Y
Encryption	Y
Remote Access Service	Y

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The top three technologies in relation to the ITT case study only are as follows:

e-RS top three technology groups are as follows:

Family 1 – Design

- Business Analysts
- Designers
- User Research

Family 2 – Build and Test

- Developers
- Functional Test
- Non-Functional Test
- Platform Engineer

Family 3 – Management Capability inc. Live Service

- Service Management
- Delivery Management
- Product Management
- Architects

Wayfinder top three technologies are:

- AWS EKS (Kubernetes)
- CloudWatch
- DocumentDB

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Annex 3: Call-Off Schedule 20 – EPIC Template

There are no EPICs provided within this Schedule 20.

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Annex 3a: Call-Off Schedule 20 – Phase Overview

Wayfinder

Title	Phase 4
Timelines	FY24/25
Objectives	Phase 4 will build on the work Wayfinder has delivered so far and will focus on expanding the scope of patients that can access their appointment information and it will increase the features available to patients. There will also be a continued focus on rolling out existing Phase 1, 2 and 3 functionalities through existing Portals and Trusts.
Features	Test Results, Condition/Pathway ID, Patient Initiated Follow Up, supporting Mental Health Trusts and supporting Community Trusts, Patient Care Timeline

Title	Phase 5
Timelines	FY25/26
Objectives	Phase 5 will deliver further functionality to patients throughout the NHS and will aim to also provide benefits to those outside of direct patients, including both carers and clinicians. It will also include the continued roll-out and iteration of Phase 1-4 features. As this is an agile programme, it is likely that other features may be included as and when there is a trust, patient or NHS need for them
Features	Proxy Access, Care Plans, Short Notice Reserve, Clinician Access, Primary Care Expansion

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Annex 4: Call-Off Schedule 20 – Product Backlog Item List

e-RS:

The following table provides an example of the information which should typically be maintained within the Backlog. This is an indicative backlog, taken from the items on the e-RS backlog during August 2023.

The Supplier should also be aware that a number of strategic pieces of work are also under review and may require development over the contract term:

- 1) An uplift from Angular JS to Angular.
- 2) Re-architecting the e-RS service from a single interconnected system to enable different services (UI, reporting, data) to be developed and enhanced independently.
- 3) The implementation of a Publish/Subscribe Model to improve the efficiency of customers looking to integrate with the API suite.

NHS e-Referral Service / Feature boards / 2b. Prioritised Backlog by Value/Effort ☆

Grouped by: Sorted list e-Referral Service Status

	Hierarchy	FORMULA e-RS Value	RoM (1-10)	FORMULA e-RS Value/Effort	SRO / Ministerial...	EoL upgrade	User impact score	TASKS Sizing req.
RM39 - CDC programme requirement for new e-RS clinic Types	Outpatient Rec...	5096	2	5096	1	0	1	COMPLETED
Add CQC data to MYR	Patient	5250	5	2100	1	0	0	COMPLETED
Remove Fragility From Patient Synchronisation Process	System Upgrade	518	2	518	0	0	0	COMPLETED
Alternatives to SDS changelog consumption	System Upgrade	656	3	437	0	0	1	COMPLETED
RM52 - NHS number available for provider organisations	Providers	610	3	407	0	0	40	COMPLETED
Advice & Guidance - patient communication or patient view	Patient	374	2	374	0	0	13	COMPLETED
Security Testing within the Pipeline - OWASP ZAP	System Upgrade	535	3	357	0	0	0	COMPLETED
Add 'Referral Letter outstanding option' when onward referring to a triage service	Providers	483	3	322	0	0	1	COMPLETED
Housekeeping: Removal of old slot data	System Upgrade	268	2	268	0	0	0	COMPLETED
Provide alternative clinic contact details for service definers	Providers	507	4	254	0	0	14	COMPLETED
UI Evolve MYR Initial Analysis	UI Uplift MYR	585	5	234	0	0	0	NOT NEEDED
Enable the role of the referrer to be identified	Any-to-Any / Ne...	565	7	161	0	0	50	COMPLETED
Manually poll some/all directly bookable services at my organisation (Slot poll)	Slot Manageme...	176	-	0	0	0	32	
Export worklist to Excel	UI Evolve Provi...	445	-	0	0	0	50	
Ensure Slot Polling Requests Distributed Evenly Across Target Hour	Slot Manageme...	0	-	0	0	0	0	
Replace terminology with racially neutral terms	System Upgrade	0	-	0	0	0	0	

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Wayfinder:

The following table outlines core details for all the features currently in scope for Phase 4

Feature	Condition/Pathway ID
Use Case	As a patient, I want to be able to see appointments linked by the condition or care pathway they relate too, so that I can better follow and understand my care
Product details	Utilising condition or pathway ID provider by portals to associate with patients and displaying this intuitively within the Wayfinder screens. Patients would be able to see related appointments and the documents related to them, for both past and future appointments
Anticipated Benefits	<ul style="list-style-type: none"> • Avoiding DNAs through providing patients with better details • Reduction in administrative burden through better patient understanding • Improved clinical safety by delivering patient tasks

Feature	Test Results
Use Case	As a patient, I want to be able to see the results of tests that are linked to the appointments I have attended
Product details	<p>At a high level, this could include the below functionality:</p> <ul style="list-style-type: none"> • Test results displayed to patients with clear explanation of results and next steps • Test results linked to the appointment and/or care pathway to which they relate • Information to support patients with understanding these results
Anticipated Benefits	<ul style="list-style-type: none"> • Reduction in administrative burden through better patient understanding • Improved clinical safety by delivering patient with a wider range of details • Improved patient experience through better understanding of their care

Feature	Patient Initiated Follow Up (PIFU)
Use Case	As a patient, I want to know when and how to initiate my follow up so that I can avoid unnecessary care events safely.
Product details	<p>At a high level, this could include the below functionality:</p> <ul style="list-style-type: none"> • Booking details available natively in the NHS App

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	<ul style="list-style-type: none"> • Documents and resources for patients to understand their PIFU choices • Decision support tools to help patients choose PIFU safely.
Anticipated Benefits	<ul style="list-style-type: none"> • Reduction in volume of appointments required • Reduction on in volume of letters/SMS through fewer appointments • Lower labour cost at clinics by partially automating referral triage • Lower call and letter cost by digitising self-referral • Increased clinical safety by allowing patients to seek care early

Feature	Supporting Mental Health Trusts and supporting Community Trusts
Use Case	As a patient, I want to see my care events in community healthcare and mental health in one place so I can understand and plan for care
Product details	<p>At a high level, this could include the below functionality:</p> <ul style="list-style-type: none"> • Community and MH trusts integrated into Wayfinder • New Portals covering these trusts integrated into Wayfinder • Existing Wayfinder functionality expanded into these trusts
Anticipated Benefits	<ul style="list-style-type: none"> • Increased use of Wayfinder functionality beyond acute trusts, enabling key programme benefits around cost saving and reduction in DNAs • Enables essential strategic direction by allowing a holistic view of patient disposition beyond physical health • Clinical safety improvements by inclusion of mental and specialist healthcare in patient choice

Feature	Patient Care Timeline
Use Case	As a patient, I want to be able to see all the information relating to my care pathway in one place, so I understand where I am.
Product details	<p>This is the estimated end product vision for the Wayfinder programme and may include the following details:</p> <ul style="list-style-type: none"> • A chronological view of care events • Primary and secondary appointments, test results, referrals integrated • Waiting times included for referrals • Required actions highlighted • Content library material visible • Condition ID included • Past and future appointments included

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Anticipated Benefits	<ul style="list-style-type: none">• Avoiding DNAs through providing patients with better details• Reduction in administrative burden through better patient understanding• Lower call volumes at all key channels with better signposting• Improved clinical safety by delivering patient tasks• Improved clinical safety by allowing second party care management
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Call-Off Schedule 20 (Call-Off Specification)

Call-Off Ref:False

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Annex 5: Call-Off Schedule 20 – Resource Profile

Although rates will be commercially evaluated based on a sample profile, the listing below is intended to provide the Supplier with an initial idea. It is not intended, at this level, to be definitive (individual Statements of Work should be more specific in this regard).

The lists below provide an overview of the Buyer's current NHS e-RS and Wayfinder capabilities and articulates the currently anticipated requirement for resources from the Supplier for this call off contract. The Buyer will discuss and agree any resource implications with the Supplier if this occurs over the term of this Call-Off Contract.

e-RS:

DDaT Cluster	Role Family	Approx. No
Data	Data Engineer	
Data	Data Scientist	
Data	Performance Analyst	
IT Ops	Business Relationship Manager	
IT Ops	Change and Release Manager	
IT Ops	Command and Control	
IT Ops	Applications Operations	
IT Ops	Engineer End User	
IT Ops	Engineer Infrastructure	
IT Ops	Incident Manager	
IT Ops	IT Service Manager	
IT Ops	Problem Manager	
IT Ops	Service Desk Manager	
IT Ops	Service Transition Manager	
Product Delivery	Business Analysis	
Product Delivery	Delivery	
Product Delivery	Product Manager	
QAT	QAT Analyst	
QAT	Test Engineer	
QAT	Test Manager	
Technical	Data Architect	
Technical	DevOps	
Technical	Infrastructure Engineer	
Technical	Network Architect	
Technical	Security Architect	
Technical	Software Developer	
Technical	Technical Architect	

Call-Off Schedule 20 (Call-Off Specification)

Call-Off Ref:False

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User Centred Design
User Centred Design
User Centred Design
User Centred Design
User Centred Design
No DDaT Cluster Mapping

Content Designer
Graphic Interaction Designer
Service Designer
Technical Writer
User Researcher
Cyber Security

Wayfinder:

DDaT Cluster
Data
Data
Data
IT Ops
IT Ops
IT Ops
IT Ops
IT Ops
IT Ops
IT Ops
IT Ops
IT Ops
IT Ops
IT Ops
Product Delivery
Product Delivery
Product Delivery
QAT
QAT
QAT
Technical
Technical
Technical
Technical
Technical
Technical
Technical
User Centred Design
User Centred Design
User Centred Design
User Centred Design
User Centred Design

Role Family
Data Engineer
Data Scientist
Performance Analyst
Business Relationship Manager
Change and Release Manager
Command and Control
Applications Operations
Engineer End User
Engineer Infrastructure
Incident Manager
IT Service Manager
Problem Manager
Service Desk Manager
Service Transition Manager
Business Analysis
Delivery
Product Manager
QAT Analyst
Test Engineer
Test Manager
Data Architect
DevOps
Infrastructure Engineer
Network Architect
Security Architect
Software Developer
Technical Architect
Content Designer
Graphic Interaction Designer
Service Designer
Technical Writer
User Researcher

Call-Off Schedule 20 (Call-Off Specification)

Call-Off Ref:False

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No DDaT Cluster Mapping

Cyber Security

The top role families in relation to the ITT case study only are as follows:

Wayfinder:

- User Researcher
- Delivery
- IT Service Manager
- Test Engineer
- Dev Ops

e-RS:

Family 1 – Design

- BA's
- Designers
- User Research

Family 2 – Build and Test

- Developers
- Functional Test
- Non-Functional Test
- Platform Engineer

Family 3 – Management Capability inc. Live Service

- Service Management
- Delivery Management
- Product Management
- Architects

Call-Off Schedule 23 (Health Additional Call-Off Terms)

Call-Off Ref: C306110 Appointments and Patient Choice

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Call-Off Schedule 23 (Health Additional Call-Off Terms)

1. Definitions

- 1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

“Buyer Software”	means any software which is owned by or licensed to the Buyer and which is or will be used by the Supplier for the purposes of providing the Deliverables;
"COTS Software"	means non-customised software where the IPR may be owned and licensed either by the Supplier or a third party, and which is commercially available for purchase and subject to standard licence terms;
“Malicious Software”	any software program or code intended to destroy, interfere with, corrupt, or cause undesired effects on program files, data or other information, executable code or application software macros, whether or not its operation is immediate or delayed, and whether the malicious software is introduced wilfully, negligently or without knowledge of its existence;
“Medical Devices”	means any Deliverable that falls under the definition of a Medical Device in accordance with guidance published by the Medicines and Healthcare Products Regulatory Agency;
“Open Source Software”	means computer software that has its source code made available subject to an open-source licence under which the owner of the copyright and other IPR in such software provides the rights to use, study, change and distribute the software to any and all persons and for any and all purposes free of charge;
"Software Supporting Materials"	has the meaning given to it in paragraph 3A.1.2;

Call-Off Schedule 23 (Health Additional Call-Off Terms)

Call-Off Ref: C306110 Appointments and Patient Choice

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“Source Code”	means computer programs and/or data in eye-readable form and in such form that it can be compiled or interpreted into equivalent binary code together with all related design comments, flow charts, technical information and documentation necessary for the use, reproduction, maintenance, modification and enhancement of such software;
“Specially Written Software”	any software (including database software, linking instructions, test scripts, compilation instructions and test instructions) created by the Supplier (or by a Subcontractor or other third party on behalf of the Supplier) specifically for the purposes of this Contract, including any modifications, enhancements or configurations to COTS Software; and
“Third Party Body”	has the meaning given to it in paragraph 6.1.

2. Additional Warranties

- 2.1 The Supplier represents and undertakes to the Buyer that all Deliverables will meet the Buyer’s acceptance criteria, as defined in each Statement of Work.
- 2.2 The Supplier undertakes to maintain all interface and interoperability between Third Party Software or services and Specially Written Software as required for the performance of the Services or delivery of any Deliverables.
- 2.3 The Supplier undertakes and warrants that it has or shall procure all consents, registrations, approvals, licences and permissions relating to Medical Devices as recommended or stipulated by any materials published by the Medicines and Healthcare Products Regulatory Agency.

3. Additional Intellectual Property Terms

- 3.1 Unless otherwise agreed in a Statement of Work under paragraph 3.3, the Supplier grants to the Buyer a perpetual, irrevocable, non-exclusive, assignable, royalty-free licence to use, assign, sub-license, adapt, commercially exploit or otherwise deal with any of the Supplier’s Existing IPR and any Third Party IPR to the extent necessary to enable the Buyer to obtain the full benefits of ownership of any New IPRs. The Supplier shall procure that such licence shall permit subsequent sub-licensees to sub-license the Existing IPR and Third Party IPR on the same terms and subject to the same

Call-Off Schedule 23 (Health Additional Call-Off Terms)

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restrictions as under this paragraph to enable each further subsequent sub-licensee to obtain the full benefits of any New IPRs that are sub-licensed to them.

- 3.2 In respect of all Government Data, the Authority shall be the owner of all such Government Data and any Existing IPR and New IPR in such Government Data and any modifications, updates and amendments in relation to the same. The Supplier may not assign, license or otherwise deal with any Government Data or IPRs in such Government Data without the Authority's specific written consent.
- 3.3 The Supplier may only use its Existing IPR or any Third Party IPR (including COTS Software) in any New IPR if the Buyer has given its written consent in advance. Details of such Existing IPR and Third Party IPR (as applicable) and the applicable licensing terms shall be set out in the relevant Statement of Work.
- 3.4 The Supplier may only use Open Source Software in any New IPR or Specially Written Software if the Buyer has given its written consent in advance.
- 3.5 The Supplier shall ensure that all New IPR, Existing IPR and Third Party IPR licensed or assigned to the Buyer is able to be assigned, novated or otherwise transferred to:
- 3.5.1 any other Central Government Body, DHSC or any other Crown Body or any public or private sector body which performs or carries on any of the functions and/or activities that previously had been performed and/or carried on by the Buyer; or
 - 3.5.2 any other public or private body.
- 3.6 Unless otherwise agreed by the Parties in writing, the Supplier shall ensure that all computer program elements of New IPR shall be created in a format, or able to be converted (in which case the Supplier shall also provide the converted format to the Buyer) into a format, which is suitable for publication by the Buyer as Open Source and based on Open Standards (where applicable), and the Buyer may, at its sole discretion, publish the same as Open Source.
- 3.7 Nothing herein shall prevent the Supplier from using for any purpose that experience which is gained by its Personnel in providing the Services, or prevent the Supplier from providing similar services to others using the same or different Personnel.

3A Assignments granted by the Supplier: Specially Written Software

- 3A.1 The Supplier assigns (by present assignment of future rights to take effect immediately on it coming into existence) to the Buyer with full guarantee (or shall

Call-Off Schedule 23 (Health Additional Call-Off Terms)

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procure assignment to the Buyer), title to and all rights and interest in the Specially Written Software together with and including:

3A.1.1 the Documentation, Source Code and the object code of the Specially Written Software; and

3A.1.2 all build instructions, test instructions, test scripts, test data, operating instructions and other documents and tools necessary for maintaining and supporting the Specially Written Software and the New IPR (together the "**Software Supporting Materials**").

3A.2 The Supplier shall:

3A.2.1 inform the Buyer of all Specially Written Software or New IPRs that are a modification, customisation, configuration or enhancement to any COTS Software;

3A.2.2 deliver to the Buyer the Specially Written Software and any computer program elements of the New IPRs in both Source Code and object code forms together with relevant Documentation and all related Software Supporting Materials within seven days of completion or, if a relevant Milestone has been identified in an Implementation Plan or Statement of Work, Achievement of that Milestone and shall provide updates of them promptly following each new release of the Specially Written Software, in each case on media that is reasonably acceptable to the Buyer and the Buyer shall become the owner of such media upon receipt; and

3A.2.3 without prejudice to paragraph 3A.2.2, provide full details to the Buyer of any of the Supplier's Existing IPRs or Third Party IPRs which are embedded or which are an integral part of the Specially Written Software. Unless otherwise agreed in a Statement of Work the Supplier shall grant to the Buyer and shall procure that any relevant third party licensor shall grant to the Buyer a perpetual, irrevocable, non-exclusive, assignable, royalty free licence to use, sub-license and/or commercially exploit such Supplier's Existing IPRs and Third Party IPRs to the extent that it is necessary to enable the Buyer to obtain the full benefits of ownership of the Specially Written Software.

3A.3 The Supplier shall promptly execute all such assignments as are required to ensure that any rights in the Specially Written Software and New IPRs are properly

Call-Off Schedule 23 (Health Additional Call-Off Terms)

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transferred to the Buyer.

3A.4 Where the Buyer approves the use of Third Party IPR that is not COTS Software the Supplier shall procure that the owners or the authorised licensors of any such Third Party IPR grant a direct licence to the Buyer on terms at least equivalent to those set out in Paragraph 3A.2.3. If the Supplier cannot obtain such a licence for the Buyer it shall:

3A.4.1 notify the Buyer in writing giving details of what licence terms can be obtained and whether there are alternative software providers which the Supplier could seek to use; and

3A.4.2 only use such Third Party IPR as referred to at paragraph 3A.4.1 if the Buyer approves the terms of the licence from the relevant third party.

4. Document and Source Code Management Repository

4.1 The Parties shall work together to ensure that there is appropriate IPR asset management. Where the Supplier is working on the Buyer's system the Supplier shall comply with the Buyer's IPR asset management approach and procedures. Where the Supplier is working on the Supplier's system it will ensure that it maintains its IPR asset management procedures in accordance with Good Industry Practice. Records and documentation associated with IPR asset management shall form part of the Deliverables associated with any Specially Written Software or New IPR.

4.2 The Supplier shall comply with any reasonable instructions given by the Buyer as to where it will store Documentation and Source Code, both finished and in progress, during the term of this Call-Off Contract, and at what frequency/intervals.

4.3 The Supplier shall ensure that all items that are uploaded to any repository contain sufficient detail, code annotations and instructions so that a third-party developer with the relevant technical abilities within the applicable role would be able to understand how the item was created and how it works together with the other items in the repository within a reasonable timeframe.

4.4 The Supplier shall maintain a register of all Open Source Software used in the provision of the Deliverables in accordance with its IPR asset management obligations under this Contract.

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- 4.5 The Supplier shall provide the Buyer with a copy of the IPR asset management information relating to the Deliverables on request by the Buyer, in a standard portable machine readable format.

5. Escrow

- 5.1 The Supplier shall on request from the Buyer within 20 Working Days after the Start Date, deposit the Source Code of software that is the Supplier's Existing IPR or Third Party IPR in escrow with the National Computing Centre on their standard terms.
- 5.2 The Supplier shall ensure that the deposited version of the Source Code is the current version of the Software and that the deposited version is kept up to date as the Software is modified or upgraded. The Buyer shall pay the deposit and maintenance fees under the escrow agreement and the Supplier shall pay the release fees under the escrow agreement.
- 5.3 Where the Supplier is unable to procure compliance with the provisions of paragraph 5.1 in respect of any Third Party IPR, it shall provide the Buyer with written evidence of its inability to comply with these provisions and shall agree with the Buyer a suitable alternative to escrow that affords the Customer the nearest equivalent protection. The Supplier shall be excused from its obligations under paragraph 5.1 only to the extent that the parties have agreed on a suitable alternative.
- 5.4 In circumstances where the Buyer obtains the release of the Source Code from escrow, the Supplier hereby grants to the Buyer (on behalf of itself and the Replacement Supplier) a perpetual, assignable, royalty-free and non-exclusive licence to use, support, modify and enhance the Source Code version of the software to the extent necessary for the receipt of the Deliverables or any replacement services.

6. Information Sharing By the Buyer

- 6.1 The Supplier shall, if requested by the Buyer, provide such management information as is provided under Call-Off Schedule 15A (Health Supplier and Contract Management) to another Buyer or to any Central Government Body, whose role it is to analyse such management information in accordance with UK government policy (to include, without limitation, for the purposes of analysing public sector expenditure and planning future procurement activities) ("**Third Party Body**"). The Supplier confirms and agrees that the Buyer may itself provide the Third Party Body with management information relating to the Deliverables, any payments made under this Contract, and any other information relevant to the operation of this Contract.

Call-Off Schedule 23 (Health Additional Call-Off Terms)

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- 6.2 Upon receipt of management information supplied by the Supplier to the Buyer and/or the Third Party Body, or by the Buyer to the Third Party Body, the Parties hereby consent to the Third Party Body and the Buyer:
- 6.2.1 storing and analysing the management information and producing statistics; and
 - 6.2.2 sharing the management information or any statistics produced using the management information with any other Buyer or Central Government Body.
- 6.3 If the Third Party Body and/or the Buyer shares the management information or any other information provided under paragraph 6.2, any Buyer or Central Government Body receiving the management information shall, where such management information is subject to obligations of confidence under this Contract and such management information is provided direct by the Buyer to such other Buyer or Central Government Body, be informed of the confidential nature of that information by the Buyer and shall be requested by the Buyer not to disclose it to any body that is not a Buyer or Central Government Body (unless required to do so by Law).
- 6.4 Without limitation, the following additional information may be shared by the Buyer with Third Party Bodies subject to the terms of this Paragraph 6:
- 6.4.1 the Buyer's requirements;
 - 6.4.2 the Supplier's rate card and summary cost information;
 - 6.4.3 the Buyer's spend information; and
 - 6.4.4 the Supplier's registration information on the procurement platform used by the Buyer for the purposes of this Call-Off Contract.

7. Malicious Software

- 7.1 The Supplier shall, throughout the Call-Off Contract Period, use the latest versions of anti-virus definitions and software available from an industry accepted anti-virus software vendor to check for, contain the spread of, and minimise the impact of Malicious Software.
- 7.2 If Malicious Software is found, the Parties shall co-operate to reduce the effect of the Malicious Software and, particularly if Malicious Software causes loss of operational efficiency or loss or corruption of Government Data, assist each other to mitigate any losses and to restore the provision of the Deliverables to its desired operating efficiency.

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7.3 Any cost arising out of the actions of the Parties taken in compliance with the provisions of paragraph 7.2 shall be borne by the Parties as follows:

7.3.1 by the Supplier, where the Malicious Software originates from the Supplier Software, the Third Party Software supplied by the Supplier or the Government Data (whilst the Government Data was under the control of the Supplier) unless the Supplier can demonstrate that such Malicious Software was present and not quarantined or otherwise identified by the Buyer when provided to the Supplier; and

7.3.2 by the Buyer, if the Malicious Software originates from the Buyer Software or the Government Data (whilst the Government Data was under the control of the Buyer).

8. Data Protection Impact Assessment Delivery and Assistance

8.1 Without limitation to the obligations as set out in Joint Schedule 11 (Processing Data) and the Order Form, the Supplier shall provide a draft DPIA prior to Contract Award for each Deliverable under the Contract.

8.2 The Supplier shall update the DPIA to be complete for the agreed Deliverables and meeting all Law, prior to the Start Date of the Contract. The Supplier shall be responsible for updating the DPIA at each material change of the Deliverables (including but not limited to each release of new software) and following any Variation.

9. Third Party Rights for a Public Sector Data Processing

9.1 Further to Clause 19, where in Joint Schedule 11 (Processing Data) there is a third-party public sector Controller listed, the named third party public sector Controller will have CRTPA rights in relation to Data Protection Legislation obligations, where the Buyer has indicated this should be the case in the Order Form.

9.2 Where the third party public sector Controller wishes to exercise its rights pursuant to paragraph 9.1, the Buyer shall notify the Supplier that the rights are to be exercised.

9.3 The enforcement rights granted by Clause 9.1 are subject to the following restrictions and qualifications:

9.3.1 the Parties may vary, terminate or rescind the Call-Off Contract without the consent of any third party; and

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- 9.3.2 the Buyer may, as agent or trustee, enforce any term of the Call-Off Contract on behalf of another such relevant third party to whom rights have been granted.

10. Data Protection Indemnity

- 10.1 The Supplier recognises that the Buyer (where controller) will have obligations to meet in Law in relation to any breach and communication to subjects and the ICO, as well as government obligations as to conduct and transparency. Clause 26.2 to 26.5 inclusive of the Core Terms shall not apply in relation to any confidentiality or data protection indemnity provided by the Supplier including but not limited to Clause 14.8(e) of the Core Terms.

11. Confidentiality

- 11.1 It is recognised that the Health public sector is subject to National Health Service Act 2006 section 9, and in accordance with that statute does not put in place binding legal contracts.
- 11.2 In relation to Clause 15.5 of the Core Terms, the Buyer shall only be required to notify any public sector recipient that any confidential information is classed as confidential.

12. Premises

- 12.1 Where either Party uses the other Party's premises, such Party is liable for all Losses arising from any damage it causes to the premises. Such Party is responsible for repairing any damage to the premises or any objects on the premises, other than fair wear and tear.
- 12.2 The Supplier will use the Buyer Premises solely for the Call-Off Contract.
- 12.3 This clause does not create a tenancy or exclusive right of occupation.
- 12.4 While on the Buyer Premises, the Supplier will:
- 12.4.1 ensure the security of the premises;
 - 12.4.2 comply with Buyer requirements for the conduct of personnel;
 - 12.4.3 comply with any health and safety measures implemented by the Buyer;
 - 12.4.4 comply with any instructions from the Buyer on any necessary associated safety measures ; and

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12.4.5 notify the Buyer immediately in the event of any incident occurring on the premises where that incident causes any personal injury or damage to property which could give rise to personal injury.

12.5 The Supplier will ensure that its health and safety policy statement (as required by the Health and Safety at Work etc Act 1974) is made available to the Buyer on request.

12.6 All Supplier Equipment brought onto the Buyer Premises will be at the Supplier's risk. Upon termination or expiry of the Call-Off Contract, the Supplier will remove such Supplier Equipment.

13. Audit

13.1 The Buyer may Audit the Supplier at any time by giving notice in writing, such notice to set out details of the scope of such Audit and the details of the relevant Auditor.

13.2 Further to Clause 6.6, the Supplier must provide a copy of its Self Audit Certificate supported by an audit report to the Buyer at the end of each Contract Year.

14. Non-Solicitation of Employees or Contractors

14.1 The Supplier recognises that the Buyer invests a considerable amount of time, cost and effort in the recruitment and training of staff in the niche area of ICT health services in the public sector. Furthermore, the necessary recruitment governance activity and security checks result in a long lead time in onboarding new staff. Consequently, the Buyer has a legitimate business interest to prevent the unauthorised solicitation or employment or engagement of Restricted Staff.

14.2 In order to protect the legitimate business interests of the Buyer (and in particular the Confidential Information, goodwill and the stable trained workforce of each Party), the Supplier agrees that it shall not for the duration of the Call-Off Contract and for a period of 3 months after termination or expiry of this Call-Off Contract solicit or entice away from the employment or service or engagement of the Buyer any Restricted Staff, other than by means of a national advertising campaign open to all-comers and not specifically targeted at the Restricted Staff. The Supplier shall not be deemed to be in breach of this paragraph 14 where Restricted Staff are engaged in response to applying to a general advertising campaign.

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15. Further consequences of Call-Off Contract Expiry or Termination

15.1 In addition to the provisions of Clause 10.5, at the end of the Call-Off Contract (howsoever arising), the Supplier must:

15.1.1 immediately return to the Buyer:

15.1.1.1 all copies of Buyer Software and any other software licensed by the Buyer to the Supplier under this Call-Off Contract;

15.1.1.2 any materials created by the Supplier under this Call-Off Contract or work in progress where the IPRs are or will be owned by the Buyer; and

15.1.1.3 all Buyer Assets provided to the Supplier by the Buyer in good working order.

15.1.2 immediately upload any items that are or were due to be uploaded to the repository in accordance with paragraph 4 of this Schedule when this Call-Off Contract was terminated;

15.1.3 ensure that any Government Data returned under Clause 10.6.1(d) is, at the direction of the Buyer, provided to the Buyer and any Replacement Supplier with a complete and uncorrupted version of the Government Data in electronic form in the formats and on media agreed with the Buyer and any Replacement Supplier;

15.1.4 work with the Buyer on any work in progress and ensure an orderly transition of the Services to the Replacement Supplier;

15.1.5 provide all information requested by the Buyer on the provision of the Services so that:

15.1.5.1 the Buyer is able to understand how the Services have been provided; and

15.1.5.2 the Buyer and any Replacement Supplier can conduct due diligence.

15.2 Each Party will return all of the other Party's Confidential Information. Each Party will confirm that it does not retain the other Party's Confidential Information except where the information must be retained by the Party as a legal requirement or where this Call-Off Contract states otherwise.

Joint Schedule 1 (Definitions)

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Joint Schedule 1 (Definitions)

- 1.1 In each Contract, unless the context otherwise requires, capitalised expressions shall have the meanings set out in this Joint Schedule 1 (Definitions) or the relevant Schedule in which that capitalised expression appears.
- 1.2 If a capitalised expression does not have an interpretation in this Schedule or any other Schedule, it shall, in the first instance, be interpreted in accordance with the common interpretation within the relevant market sector/industry where appropriate. Otherwise, it shall be interpreted in accordance with the dictionary meaning.
- 1.3 In each Contract, unless the context otherwise requires:
 - 1.3.1 the singular includes the plural and vice versa;
 - 1.3.2 reference to a gender includes the other gender and the neuter;
 - 1.3.3 references to a person include an individual, company, body corporate, corporation, unincorporated association, firm, partnership or other legal entity or Central Government Body;
 - 1.3.4 a reference to any Law includes a reference to that Law as amended, extended, consolidated or re-enacted from time to time;
 - 1.3.5 the words "**including**", "**other**", "**in particular**", "**for example**" and similar words shall not limit the generality of the preceding words and shall be construed as if they were immediately followed by the words "**without limitation**";
 - 1.3.6 references to "**writing**" include typing, printing, lithography, photography, display on a screen, electronic and facsimile transmission and other modes of representing or reproducing words in a visible form, and expressions referring to writing shall be construed accordingly;
 - 1.3.7 references to "**representations**" shall be construed as references to present facts, to "**warranties**" as references to present and future facts and to "**undertakings**" as references to obligations under the Contract;
 - 1.3.8 references to "**Clauses**" and "**Schedules**" are, unless otherwise provided, references to the clauses and schedules of the Core Terms and references in any Schedule to parts, paragraphs, annexes and tables are, unless otherwise provided, references to the parts, paragraphs, annexes and tables of the Schedule in which these references appear;
 - 1.3.9 references to "**Paragraphs**" are, unless otherwise provided, references to the paragraph of the appropriate Schedules unless otherwise provided;
 - 1.3.10 references to a series of Clauses or Paragraphs shall be inclusive of the clause numbers specified;
 - 1.3.11 the headings in each Contract are for ease of reference only and shall not affect the interpretation or construction of a Contract;

Joint Schedule 1 (Definitions)

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1.3.12 in entering into a Contract the Relevant Authority is acting as part of the Crown; and

1.3.13 any reference in a Contract which immediately before Exit Day was a reference to (as it has effect from time to time):

- (a) any EU regulation, EU decision, EU tertiary legislation or provision of the EEA agreement ("**EU References**") which is to form part of domestic law by application of section 3 of the European Union (Withdrawal) Act 2018 shall be read on and after Exit Day as a reference to the EU References as they form part of domestic law by virtue of section 3 of the European Union (Withdrawal) Act 2018 as modified by domestic law from time to time; and
- (b) any EU institution or EU authority or other such EU body shall be read on and after Exit Day as a reference to the UK institution, authority or body to which its functions were transferred.

1.4 In each Contract, unless the context otherwise requires, the following words shall have the following meanings:

"Achieve"	in respect of a Test, to successfully pass such Test without any Test Issues and in respect of a Milestone, the issue of a Satisfaction Certificate in respect of that Milestone if specified within the Buyer's acceptance testing procedure and " Achieved ", " Achieving " and " Achievement " shall be construed accordingly;
"Additional Insurances"	insurance requirements relating to a Call-Off Contract specified in the Order Form additional to those outlined in Joint Schedule 3 (Insurance Requirements);
"Admin Fee"	means the costs incurred by CCS in dealing with MI Failures calculated in accordance with the tariff of administration charges published by the CCS on: http://CCS.cabinetoffice.gov.uk/i-am-supplier/management-information/admin-fees ;
"Affected Party"	the Party seeking to claim relief in respect of a Force Majeure Event;
"Affiliates"	in relation to a body corporate, any other entity which directly or indirectly Controls, is Controlled by, or is under direct or indirect common Control of that body corporate from time to time;
"Annex"	extra information which supports a Schedule;
"Approval"	the prior written consent of the Buyer and " Approve " and " Approved " shall be construed accordingly;
"Audit"	the Relevant Authority's right to: a) verify the accuracy of the Charges and any other amounts payable by a Buyer under a Call-Off Contract (including

Joint Schedule 1 (Definitions)

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	<p>proposed or actual variations to them in accordance with the Contract);</p> <p>b) verify the costs of the Supplier (including the costs of all Subcontractors and any third party suppliers) in connection with the provision of the Services;</p> <p>c) verify the Open Book Data;</p> <p>d) verify the Supplier's and each Subcontractor's compliance with the applicable Law;</p> <p>e) identify or investigate actual or suspected breach of Clauses 27 to 33 and/or Joint Schedule 5 (Corporate Social Responsibility), impropriety or accounting mistakes or any breach or threatened breach of security and in these circumstances the Relevant Authority shall have no obligation to inform the Supplier of the purpose or objective of its investigations;</p> <p>f) identify or investigate any circumstances which may impact upon the financial stability of the Supplier, any Guarantor, and/or any Subcontractors or their ability to provide the Deliverables;</p> <p>g) obtain such information as is necessary to fulfil the Relevant Authority's obligations to supply information for parliamentary, ministerial, judicial or administrative purposes including the supply of information to the Comptroller and Auditor General;</p> <p>h) review any books of account and the internal contract management accounts kept by the Supplier in connection with each Contract;</p> <p>i) carry out the Relevant Authority's internal and statutory audits and to prepare, examine and/or certify the Relevant Authority's annual and interim reports and accounts;</p> <p>j) enable the National Audit Office to carry out an examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Relevant Authority has used its resources; or</p> <p>k) verify the accuracy and completeness of any Management Information delivered or required by the Framework Contract;</p>
"Auditor"	<p>a) the Buyer's internal and external auditors;</p> <p>b) the Buyer's statutory or regulatory auditors;</p> <p>c) the Comptroller and Auditor General, their staff and/or any appointed representatives of the National Audit Office;</p> <p>d) HM Treasury or the Cabinet Office;</p> <p>e) any party formally appointed by the Buyer to carry out audit or similar review functions; and</p> <p>f) successors or assigns of any of the above;</p>

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"Authority"	CCS and each Buyer;
"Authority Cause"	any breach of the obligations of the Relevant Authority or any other default, act, omission, negligence or statement of the Relevant Authority, of its employees, servants, agents in connection with or in relation to the subject-matter of the Contract and in respect of which the Relevant Authority is liable to the Supplier;
"BACS"	the Bankers' Automated Clearing Services, which is a scheme for the electronic processing of financial transactions within the United Kingdom;
"Balanced Scorecard"	a tool for Call-Off Contract management activity, through measurement of a Supplier's performance against key performance indicator, which the Buyer and Supplier may agree at the Call-Off Contract Start Date;
"Beneficiary"	a Party having (or claiming to have) the benefit of an indemnity under this Contract;
"Buyer"	the relevant public sector purchaser identified as such in the Order Form;
"Buyer Assets"	the Buyer's infrastructure, data, software, materials, assets, equipment or other property owned by and/or licensed or leased to the Buyer and which is or may be used in connection with the provision of the Deliverables which remain the property of the Buyer throughout the term of the Contract;
"Buyer Authorised Representative"	the representative appointed by the Buyer from time to time in relation to the Call-Off Contract initially identified in the Order Form;
"Buyer Premises"	premises owned, controlled or occupied by the Buyer which are made available for use by the Supplier or its Subcontractors for the provision of the Deliverables (or any of them);
"Call-Off Contract"	the contract between the Buyer and the Supplier (entered into pursuant to the provisions of the Framework Contract), which consists of the terms set out and referred to in the Order Form;
"Call-Off Contract Period"	the Contract Period in respect of the Call-Off Contract;
"Call-Off Expiry Date"	the latter of the scheduled date of the end of a Call-Off Contract as stated in the Order Form or the date of completion of the last Deliverable due under the last Statement of Work under the Call-Off Contract;
"Call-Off Incorporated Terms"	the contractual terms applicable to the Call-Off Contract specified under the relevant heading in the Order Form;
"Call-Off Initial Period"	the Initial Period of a Call-Off Contract specified in the Order Form;

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"Call-Off Optional Extension Period"	such period or periods beyond which the Call-Off Initial Period may be extended as specified in the Order Form;
"Call-Off Procedure"	the process for awarding a Call-Off Contract pursuant to Clause 2 (How the contract works) and Framework Schedule 7 (Call-Off Award Procedure);
"Call-Off Special Terms"	any additional terms and conditions specified in the Order Form incorporated into the applicable Call-Off Contract;
"Call-Off Start Date"	the date of start of a Call-Off Contract as stated in the Order Form;
"Call-Off Tender"	the tender submitted by the Supplier in response to the Buyer's Statement of Requirements following a Further Competition Procedure and set out at Call-Off Schedule 4 (Call-Off Tender);
"Cap"	the maximum amount to be paid by the Buyer under a Time and Materials mechanism for the delivery of an agreed scope;
"Capped Time and Materials"	Time and Materials payable up to a specified Cap for delivery of the agreed scope of Deliverables;
"CCS"	the Minister for the Cabinet Office as represented by Crown Commercial Service, which is an executive agency and operates as a trading fund of the Cabinet Office, whose offices are located at 9th Floor, The Capital, Old Hall Street, Liverpool L3 9PP;
"CCS Authorised Representative"	the representative appointed by CCS from time to time in relation to the Framework Contract initially identified in the Framework Award Form;
"Central Government Body"	<p>a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics:</p> <ul style="list-style-type: none"> a) Government Department; b) Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal); c) Non-Ministerial Department; d) Executive Agency; or e) NHSx;
"Change in Law"	any change in Law which impacts on the supply of the Deliverables and performance of the Contract which comes into force after the Start Date;
"Change of Control"	a change of control within the meaning of Section 450 of the Corporation Tax Act 2010;
"Charges"	the prices (exclusive of any applicable VAT), payable to the Supplier by the Buyer under the Call-Off Contract, as set out in the Order Form, for the full and proper performance by the Supplier of its obligations under the Call-Off Contract less any Deductions;

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"Claim"	any claim which it appears that a Beneficiary is, or may become, entitled to indemnification under this Contract;
"Commercially Sensitive Information"	the Confidential Information listed in the Framework Award Form or Order Form (if any) comprising of commercially sensitive information relating to the Supplier, its IPR or its business or which the Supplier has indicated to the Authority that, if disclosed by the Authority, would cause the Supplier significant commercial disadvantage or material financial loss;
"Comparable Supply"	the supply of Deliverables to another Buyer of the Supplier that are the same or similar to the Deliverables;
"Confidential Information"	means any information, however it is conveyed, that relates to the business, affairs, developments, trade secrets, Know-How, personnel and suppliers of CCS, the Buyer or the Supplier, including IPRs, together with information derived from the above, and any other information clearly designated as being confidential (whether or not it is marked as "confidential") or which ought reasonably to be considered to be confidential;
"Conflict of Interest"	a conflict between the financial or personal duties of the Supplier or the Supplier Staff and the duties owed to CCS or any Buyer under a Contract, in the reasonable opinion of the Buyer or CCS;
"Contract"	either the Framework Contract or the Call-Off Contract, as the context requires;
"Contract Period"	the term of either a Framework Contract or Call-Off Contract on and from the earlier of the: a) applicable Start Date; or b) the Effective Date up to and including the applicable End Date;
"Contract Value"	the higher of the actual or expected total Charges paid or payable under a Contract where all obligations are met by the Supplier;
"Contract Year"	a consecutive period of twelve (12) Months commencing on the Start Date or each anniversary thereof;
"Control"	control in either of the senses defined in sections 450 and 1124 of the Corporation Tax Act 2010 and "Controlled" shall be construed accordingly;
"Controller"	has the meaning given to it in the GDPR;
"Core Terms"	CCS' terms and conditions for common goods and services which govern how Suppliers must interact with CCS and Buyers under Framework Contracts and Call-Off Contracts;
"Costs"	the following costs (without double recovery) to the extent that they are reasonably and properly incurred by the Supplier in providing the Deliverables:

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	<p>a) the cost to the Supplier or the Key Subcontractor (as the context requires), calculated per Work Day, of engaging the Supplier Staff, including:</p> <ul style="list-style-type: none"> a) base salary paid to the Supplier Staff; b) employer's National Insurance contributions; c) pension contributions; d) car allowances; e) any other contractual employment benefits; f) staff training; g) work place accommodation; h) work place IT equipment and tools reasonably necessary to provide the Deliverables (but not including items included within limb (b) below); and i) reasonable recruitment costs, as agreed with the Buyer; <p>b) costs incurred in respect of Supplier Assets which would be treated as capital costs according to generally accepted accounting principles within the UK, which shall include the cost to be charged in respect of Supplier Assets by the Supplier to the Buyer or (to the extent that risk and title in any Supplier Asset is not held by the Supplier) any cost actually incurred by the Supplier in respect of those Supplier Assets;</p> <p>c) operational costs which are not included within (a) or (b) above, to the extent that such costs are necessary and properly incurred by the Supplier in the provision of the Deliverables; and</p> <p>d) Reimbursable Expenses to the extent these have been specified as allowable in the Order Form and are incurred in delivering any Deliverables;</p> <p>but excluding:</p> <ul style="list-style-type: none"> (i) Overhead; (ii) financing or similar costs; (iii) maintenance and support costs to the extent that these relate to maintenance and/or support Deliverables provided beyond the Call-Off Contract Period whether in relation to Supplier Assets or otherwise; (iv) taxation; (v) fines and penalties; (vi) amounts payable under Call-Off Schedule 16 (Benchmarking) where such Schedule is used; and (vii) non-cash items (including depreciation, amortisation, impairments and movements in provisions);
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"CRTPA"	the Contract Rights of Third Parties Act 1999;
"Data Protection Impact Assessment"	an assessment by the Controller of the impact of the envisaged Processing on the protection of Personal Data;
"Data Protection Legislation"	(i) the GDPR, the LED and any applicable national implementing Laws as amended from time to time; (ii) the DPA 2018 to the extent that it relates to Processing of Personal Data and privacy; (iii) all applicable Law about the Processing of Personal Data and privacy;
"Data Protection Liability Cap"	the amount specified in the Framework Award Form;
"Data Protection Officer"	has the meaning given to it in the GDPR;
"Data Subject"	has the meaning given to it in the GDPR;
"Data Subject Access Request"	a request made by, or on behalf of, a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation to access their Personal Data;
"Deductions"	all Service Credits, Delay Payments (if applicable), or any other deduction which the Buyer is paid or is payable to the Buyer under a Call-Off Contract;
"Default"	any breach of the obligations of the Supplier (including abandonment of a Contract in breach of its terms) or any other default (including material default), act, omission, negligence or statement of the Supplier, of its Subcontractors or any Supplier Staff howsoever arising in connection with or in relation to the subject-matter of a Contract and in respect of which the Supplier is liable to the Relevant Authority;
"Default Management Charge"	has the meaning given to it in Paragraph 8.1.1 of Framework Schedule 5 (Management Charges and Information);
"Delay Payments"	the amounts (if any) payable by the Supplier to the Buyer in respect of a delay in respect of a Milestone as specified in the Implementation Plan;
"Deliverables"	Goods and/or Services that may be ordered under the Contract including the Documentation;
"Delivery"	delivery of the relevant Deliverable or Milestone in accordance with the terms of a Call-Off Contract as confirmed and accepted by the Buyer by the either (a) confirmation in writing to the Supplier; or (b) where Call-Off Schedule 13A (Health Implementation Plan and Testing) or Call-Off Schedule (Implementation Plan and Testing) is used issue by the Buyer of a Satisfaction Certificate. "Deliver" and "Delivered" shall be construed accordingly;

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"Disclosing Party"	the Party directly or indirectly providing Confidential Information to the other Party in accordance with Clause 15 (What you must keep confidential);
"Dispute"	any claim, dispute or difference (whether contractual or non-contractual) arising out of or in connection with the Contract or in connection with the negotiation, existence, legal validity, enforceability or termination of the Contract, whether the alleged liability shall arise under English law or under the law of some other country and regardless of whether a particular cause of action may successfully be brought in the English courts;
"Dispute Resolution Procedure"	the dispute resolution procedure set out in Clause 34 (Resolving disputes);
"Documentation"	<p>descriptions of the Services and Service Levels, technical specifications, user manuals, training manuals, operating manuals, process definitions and procedures, system environment descriptions and all such other documentation (whether in hardcopy or electronic form) is required to be supplied by the Supplier to the Buyer under a Contract as:</p> <ul style="list-style-type: none"> a) would reasonably be required by a competent third party capable of Good Industry Practice contracted by the Buyer to develop, configure, build, deploy, run, maintain, upgrade and test the individual systems that provide the Deliverables b) is required by the Supplier in order to provide the Deliverables; and/or c) has been or shall be generated for the purpose of providing the Deliverables;
"DOTAS"	the Disclosure of Tax Avoidance Schemes rules which require a promoter of Tax schemes to tell HMRC of any specified notifiable arrangements or proposals and to provide prescribed information on those arrangements or proposals within set time limits as contained in Part 7 of the Finance Act 2004 and in secondary legislation made under vires contained in Part 7 of the Finance Act 2004 and as extended to National Insurance Contributions;
"DPA 2018"	the Data Protection Act 2018;
"Due Diligence Information"	any information supplied to the Supplier by or on behalf of the Authority prior to the Start Date;
"Effective Date"	the date on which the final Party has signed the Contract;
"EIR"	the Environmental Information Regulations 2004;
"Electronic Invoice"	an invoice which has been issued, transmitted and received in a structured electronic format which allows for its automatic and electronic processing and which complies with (a) the European

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	standard and (b) any of the syntaxes published in Commission Implementing Decision (EU) 2017/1870;
"Employment Regulations"	the Transfer of Undertakings (Protection of Employment) Regulations 2006 (SI 2006/246) as amended or replaced or any other Regulations implementing the European Council Directive 77/187/EEC;
"End Date"	the earlier of: a) the Expiry Date (as extended by any Extension Period exercised by the Relevant Authority under Clause 10.1.2); or b) if a Contract or Statement of Work is terminated before the date specified in (a) above, the date of termination of the Contract or Statement of Work (as the context dictates);
"Environmental Policy"	to conserve energy, water, wood, paper and other resources, reduce waste and phase out the use of ozone depleting substances and minimise the release of greenhouse gases, volatile organic compounds and other substances damaging to health and the environment, including any written environmental policy of the Buyer;
"Equality and Human Rights Commission"	the UK Government body named as such as may be renamed or replaced by an equivalent body from time to time;
"Estimated Year 1 Charges"	the anticipated total Charges payable by the Buyer in the first Contract Year specified in the Order Form;
"Estimated Yearly Charges"	means for the purposes of calculating each Party's annual liability under Clause 11.2 : a) in the first Contract Year, the Estimated Year 1 Charges; or b) in the any subsequent Contract Years, the Charges paid or payable in the previous Call-off Contract Year; or c) after the end of the Call-off Contract, the Charges paid or payable in the last Contract Year during the Call-off Contract Period;
"Existing IPR"	any and all IPR that are owned by or licensed to either Party and which are or have been developed independently of the Contract (whether prior to the Start Date or otherwise);
"Exit Day"	shall have the meaning in the European Union (Withdrawal) Act 2018;
"Expiry Date"	the Framework Expiry Date or the Call-Off Expiry Date (as the context dictates);
"Extension Period"	the Framework Optional Extension Period or the Call-Off Optional Extension Period as the context dictates;

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"Fixed Price"	the pricing mechanism whereby the Buyer agrees to pay the Supplier based on a capped price which shall cover all work performed and Deliverables required to be provided by the Supplier Staff and all materials used in the project, no matter how much work is required to complete each identified Deliverable within the agreed scope;
"FOIA"	the Freedom of Information Act 2000 and any subordinate legislation made under that Act from time to time together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government department in relation to such legislation;
"Force Majeure Event"	<p>any event, occurrence, circumstance, matter or cause affecting the performance by either the Relevant Authority or the Supplier of its obligations arising from acts, events, omissions, happenings or non-happenings beyond the reasonable control of the Affected Party which prevent or materially delay the Affected Party from performing its obligations under a Contract and which are not attributable to any wilful act, neglect or failure to take reasonable preventative action by the Affected Party, including:</p> <ul style="list-style-type: none"> a) riots, civil commotion, war or armed conflict; b) acts of terrorism; c) acts of a Central Government Body, local government or regulatory bodies; d) fire, flood, storm or earthquake or other natural disaster, <p>but excluding any industrial dispute relating to the Supplier, the Supplier Staff or any other failure in the Supplier or the Subcontractor's supply chain;</p>
"Force Majeure Notice"	a written notice served by the Affected Party on the other Party stating that the Affected Party believes that there is a Force Majeure Event;
"Framework Award Form"	the document outlining the Framework Incorporated Terms and crucial information required for the Framework Contract, to be executed by the Supplier and CCS;
"Framework Contract"	the framework agreement established between CCS and the Supplier in accordance with Regulation 33 by the Framework Award Form for the provision of the Deliverables to Buyers by the Supplier pursuant to the OJEU Notice;
"Framework Contract Period"	the period from the Framework Start Date until the End Date of the Framework Contract;
"Framework Expiry Date"	the scheduled date of the end of the Framework Contract as stated in the Framework Award Form;

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"Framework Incorporated Terms"	the contractual terms applicable to the Framework Contract specified in the Framework Award Form;
"Framework Optional Extension Period"	such period or periods beyond which the Framework Contract Period may be extended as specified in the Framework Award Form;
"Framework Price(s)"	the price(s) applicable to the provision of the Deliverables set out in Framework Schedule 3 (Framework Prices);
"Framework Special Terms"	any additional terms and conditions specified in the Framework Award Form incorporated into the Framework Contract;
"Framework Start Date"	the date of start of the Framework Contract as stated in the Framework Award Form;
"Framework Tender Response"	the tender submitted by the Supplier to CCS and annexed to or referred to in Framework Schedule 2 (Framework Tender);
"Further Competition Procedure"	the further competition procedure described in Framework Schedule 7 (Call-Off Award Procedure);
"GDPR"	the General Data Protection Regulation (Regulation (EU) 2016/679);
"General Anti-Abuse Rule"	a) the legislation in Part 5 of the Finance Act 2013; and b) any future legislation introduced into parliament to counteract Tax advantages arising from abusive arrangements to avoid National Insurance contributions;
"General Change in Law"	a Change in Law where the change is of a general legislative nature (including Tax or duties of any sort affecting the Supplier) or which affects or relates to a Comparable Supply;
"Goods"	goods made available by the Supplier as specified in Framework Schedule 1 (Specification) and in relation to a Call-Off Contract as specified in the Order Form ;
"Good Industry Practice"	standards, practices, methods and procedures conforming to the Law and the exercise of the degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged within the relevant industry or business sector;
"Government"	the government of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Government and the National Assembly for Wales), including government ministers and government departments and other bodies, persons, commissions or agencies from time to time carrying out functions on its behalf;
"Government Data"	the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any

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	<p>electronic, magnetic, optical or tangible media, including any of the Authority's Confidential Information, and which:</p> <ul style="list-style-type: none"> a) are supplied to the Supplier by or on behalf of the Authority; or b) the Supplier is required to generate, process, store or transmit pursuant to a Contract;
"Guarantor"	the person (if any) who has entered into a guarantee in the form set out in Joint Schedule 8 (Guarantee) in relation to this Contract;
"Halifax Abuse Principle"	the principle explained in the CJEU Case C-255/02 Halifax and others;
"HMRC"	Her Majesty's Revenue and Customs;
"ICT Policy"	the Buyer's policy in respect of information and communications technology, referred to in the Order Form, which is in force as at the Call-Off Start Date (a copy of which has been supplied to the Supplier), as updated from time to time in accordance with the Variation Procedure;
"Impact Assessment"	<p>an assessment of the impact of a Variation request by the Relevant Authority completed in good faith, including:</p> <ul style="list-style-type: none"> a) details of the impact of the proposed Variation on the Deliverables and the Supplier's ability to meet its other obligations under the Contract; b) details of the cost of implementing the proposed Variation; c) details of the ongoing costs required by the proposed Variation when implemented, including any increase or decrease in the Framework Prices/Charges (as applicable), any alteration in the resources and/or expenditure required by either Party and any alteration to the working practices of either Party; d) a timetable for the implementation, together with any proposals for the testing of the Variation; and e) such other information as the Relevant Authority may reasonably request in (or in response to) the Variation request;
"Implementation Plan"	the plan for provision of the Deliverables set out in Call-Off Schedule 13A (Health Implementation Plan and Testing) or Call-Off Schedule 13B (Implementation Plan and Testing), as applicable, where that Schedule is used or otherwise as agreed between the Supplier and the Buyer;
"Incremental Fixed Price"	the pricing mechanism where the overall Statement of Work is based on Capped Time and Materials, but where the prices for individual Deliverables Increments are fixed prior to the work being undertaken. The Charges for the first Deliverable Increment or Deliverables Increments for the Statement of Work will be fixed, but the Charges for subsequent Deliverables Increments will be

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	reviewed and refined prior to the execution of each subsequent Deliverables Increment within the same Statement of Work;
"Indemnifier"	a Party from whom an indemnity is sought under this Contract;
"Independent Control"	where a Controller has provided Personal Data to another Party which is not a Processor or a Joint Controller because the recipient itself determines the purposes and means of Processing but does so separately from the Controller providing it with Personal Data and "Independent Controller" shall be construed accordingly;
"Indexation"	the adjustment of an amount or sum in accordance with Framework Schedule 3 (Framework Prices) and the relevant Order Form;
"Information"	has the meaning given under section 84 of the Freedom of Information Act 2000;
"Information Commissioner"	the UK's independent authority which deals with ensuring information relating to rights in the public interest and data privacy for individuals is met, whilst promoting openness by public bodies;
"Initial Period"	the initial term of a Contract specified in the Framework Award Form or the Order Form, as the context requires;
"Insolvency Event"	<p>with respect to any person, means:</p> <p>(a) that person suspends, or threatens to suspend, payment of its debts, or is unable to pay its debts as they fall due or admits inability to pay its debts, or:</p> <p>(i) (being a company or a LLP) is deemed unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986, or</p> <p>(ii) (being a partnership) is deemed unable to pay its debts within the meaning of section 222 of the Insolvency Act 1986;</p> <p>(b) that person commences negotiations with one or more of its creditors (using a voluntary arrangement, scheme of arrangement or otherwise) with a view to rescheduling any of its debts, or makes a proposal for or enters into any compromise or arrangement with one or more of its creditors or takes any step to obtain a moratorium pursuant to Section 1A and Schedule A1 of the Insolvency Act 1986 other than (in the case of a company, a LLP or a partnership) for the sole purpose of a scheme for a solvent amalgamation of that person with one or more other companies or the solvent reconstruction of that person;</p> <p>(c) another person becomes entitled to appoint a receiver over the assets of that person or a receiver is appointed over the assets of that person;</p> <p>(d) a creditor or encumbrancer of that person attaches or takes possession of, or a distress, execution or other such process is levied or enforced on or sued against, the whole or any part of that</p>

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	<p>person's assets and such attachment or process is not discharged within 14 days;</p> <p>(e) that person suspends or ceases, or threatens to suspend or cease, carrying on all or a substantial part of its business;</p> <p>(f) where that person is a company, a LLP or a partnership:</p> <p>(i) a petition is presented (which is not dismissed within 14 days of its service), a notice is given, a resolution is passed, or an order is made, for or in connection with the winding up of that person other than for the sole purpose of a scheme for a solvent amalgamation of that person with one or more other companies or the solvent reconstruction of that person;</p> <p>(ii) an application is made to court, or an order is made, for the appointment of an administrator, or if a notice of intention to appoint an administrator is filed at Court or given or if an administrator is appointed, over that person;</p> <p>(iii) (being a company or a LLP) the holder of a qualifying floating charge over the assets of that person has become entitled to appoint or has appointed an administrative receiver; or</p> <p>(iv) (being a partnership) the holder of an agricultural floating charge over the assets of that person has become entitled to appoint or has appointed an agricultural receiver; or</p> <p>(g) any event occurs, or proceeding is taken, with respect to that person in any jurisdiction to which it is subject that has an effect equivalent or similar to any of the events mentioned above;</p>
"Installation Works"	all works which the Supplier is to carry out at the beginning of the Call-Off Contract Period to install the Goods in accordance with the Call-Off Contract;
"Intellectual Property Rights" or "IPR"	<p>a) copyright, rights related to or affording protection similar to copyright, rights in databases, patents and rights in inventions, semi-conductor topography rights, trade marks, service marks, logos, rights in internet domain names and website addresses and other rights in trade or business names, goodwill, designs (whether registrable or otherwise), Know-How, trade secrets and other rights in Confidential Information;</p> <p>b) applications for registration, and the right to apply for registration, for any of the rights listed at (a) that are capable of being registered in any country or jurisdiction; and</p> <p>c) all other rights having equivalent or similar effect in any country or jurisdiction and the right to sue for passing off;</p>
"Invoicing Address"	the address to which the Supplier shall invoice the Buyer as specified in the Order Form;

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"IPR Claim"	any claim of infringement or alleged infringement (including the defence of such infringement or alleged infringement) of any IPR, used to provide the Deliverables or otherwise provided and/or licensed by the Supplier (or to which the Supplier has provided access) to the Relevant Authority in the fulfilment of its obligations under a Contract;
"IR35"	the off-payroll rules requiring individuals who work through their company pay the same income tax and National Insurance contributions as an employee which can be found online at: https://www.gov.uk/guidance/ir35-find-out-if-it-applies ;
"Joint Controller Agreement"	the agreement (if any) entered into between the Relevant Authority and the Supplier substantially in the form set out in Annex 2 of Joint Schedule 11 (<i>Processing Data</i>);
"Joint Controllers"	where two or more Controllers jointly determine the purposes and means of Processing;
"Joint Control"	where two or more Controllers agree to jointly determine the purposes and means of Processing Personal Data;
"Key Staff"	the individuals (if any) identified as such in the Order Form and any Statement of Work;
"Key Sub-Contract"	each Sub-Contract with a Key Subcontractor;
"Key Subcontractor"	<p>any Subcontractor:</p> <ul style="list-style-type: none"> a) which is relied upon to deliver any work package within the Deliverables in their entirety; and/or b) which, in the opinion of CCS or the Buyer performs (or would perform if appointed) a critical role in the provision of all or any part of the Deliverables; and/or c) with a Sub-Contract with a contract value which at the time of appointment exceeds (or would exceed if appointed) 10% of the aggregate Charges forecast to be payable under the Call-Off Contract, <p>and the Supplier shall list all such Key Subcontractors in section 19 of the Framework Award Form and in the Key Subcontractor Section in Order Form;</p>
"Know-How"	all ideas, concepts, schemes, information, knowledge, techniques, methodology, and anything else in the nature of know-how relating to the Deliverables but excluding know-how already in the other Party's possession before the applicable Start Date;
"KPI Target"	a key performance indicator target included in the Balanced Scorecard;
"Law"	any law, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of Section 2 of the European Communities Act 1972, regulation, order, regulatory policy,

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	mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements with which the relevant Party is bound to comply;
“LED”	Law Enforcement Directive (Directive (EU) 2016/680);
"Losses"	all losses, liabilities, damages, costs, expenses (including legal fees), disbursements, costs of investigation, litigation, settlement, judgment, interest and penalties whether arising in contract, tort (including negligence), breach of statutory duty, misrepresentation or otherwise and "Loss" shall be interpreted accordingly;
"Lots"	the number of lots specified in Framework Schedule 1 (Specification), if applicable;
"Management Charge"	the sum specified in the Framework Award Form payable by the Supplier to CCS in accordance with Framework Schedule 5 (Management Charges and Information);
"Management Information" or "MI"	the management information specified in Framework Schedule 5 (Management Charges and Information);
“MI Default”	means when two (2) MI Reports are not provided in any rolling six (6) month period
"MI Failure"	means when an MI report: <ul style="list-style-type: none"> a) contains any material errors or material omissions or a missing mandatory field; or b) is submitted using an incorrect MI reporting Template; or c) is not submitted by the reporting date (including where a declaration of no business should have been filed);
"MI Report"	means a report containing Management Information submitted to the Authority in accordance with Framework Schedule 5 (Management Charges and Information);
"MI Reporting Template"	means the form of report set out in the Annex to Framework Schedule 5 (Management Charges and Information) setting out the information the Supplier is required to supply to the Authority;
"Milestone"	an event or task described in the Implementation Plan or Statement of Work;
"Milestone Date"	the target date set out against the relevant Milestone in the Implementation Plan by which the Milestone must be Achieved;
“Misconduct”	has the meaning given to it in Paragraph 7.2 of Framework Schedule 7 (Call-Off Award Procedures);
"Month"	a calendar month and "Monthly" shall be interpreted accordingly;
"National Insurance"	contributions required by the Social Security Contributions and Benefits Act 1992 and made in accordance with the Social Security (Contributions) Regulations 2001 (SI 2001/1004);

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"New IPR"	<p>a) IPR in items created by the Supplier (or by a third party on behalf of the Supplier) specifically for the purposes of a Contract and updates and amendments of these items including (but not limited to) database schema; and/or</p> <p>b) IPR in or arising as a result of the performance of the Supplier's obligations under a Contract and all updates and amendments to the same;</p> <p>but shall not include the Supplier's Existing IPR;</p>
"NHSx"	means a joint unit bring together teams from the Department of Health and Social Care and NHS England and NHS Improvement to drive the digital transformation of care;
"Occasion of Tax Non-Compliance"	<p>where:</p> <p>a) any Tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 is found on or after 1 April 2013 to be incorrect as a result of:</p> <ul style="list-style-type: none"> a) a Relevant Tax Authority successfully challenging the Supplier under the General Anti-Abuse Rule or the Halifax Abuse Principle or under any Tax rules or legislation in any jurisdiction that have an effect equivalent or similar to the General Anti-Abuse Rule or the Halifax Abuse Principle; b) the failure of an avoidance scheme which the Supplier was involved in, and which was, or should have been, notified to a Relevant Tax Authority under the DOTAS or any equivalent or similar regime in any jurisdiction; and/or <p>b) any Tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 which gives rise, on or after 1 April 2013, to a criminal conviction in any jurisdiction for Tax related offences which is not spent at the Start Date or to a civil penalty for fraud or evasion;</p>
"Open Book Data "	<p>complete and accurate financial and non-financial information which is sufficient to enable the Buyer to verify the Charges already paid or payable and Charges forecast to be paid during the remainder of the Call-Off Contract, including details and all assumptions relating to:</p> <ul style="list-style-type: none"> a) the Supplier's Costs broken down against each Good and/or Service and/or Deliverable, including actual capital expenditure (including capital replacement costs) and the unit cost and total actual costs of all Deliverables; b) operating expenditure relating to the provision of the Deliverables including an analysis showing: <ul style="list-style-type: none"> a) the unit costs and quantity of Goods and any other consumables and bought-in Deliverables;

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	<ul style="list-style-type: none"> b) staff costs broken down into the number and grade/role of all Supplier Staff (free of any contingency) together with a list of agreed rates against each grade; c) a list of Costs underpinning those rates for each grade, being the agreed rate less the Supplier Profit Margin; and d) Reimbursable Expenses, if allowed under the Order Form; c) Overheads; d) all interest, expenses and any other third party financing costs incurred in relation to the provision of the Deliverables; e) the Supplier Profit achieved over the Framework Contract Period and on an annual basis; f) confirmation that all methods of Cost apportionment and Overhead allocation are consistent with and not more onerous than such methods applied generally by the Supplier; g) an explanation of the type and value of risk and contingencies associated with the provision of the Deliverables, including the amount of money attributed to each risk and/or contingency; and h) the actual Costs profile for each Service Period;
"Order"	means an order for the provision of the Deliverables placed by a Buyer with the Supplier under a Contract;
"Order Form"	a completed Order Form Template (or equivalent information issued by the Buyer) used to create a Call-Off Contract;
"Order Form Template"	the template in Framework Schedule 6A (Health Order Form Template, SOW Template and Call-Off Schedules) or Framework Schedule 6B (Order Form Template, SOW Template and Call-Off Schedules), as applicable;
"Other Contracting Authority"	any actual or potential Buyer under the Framework Contract;
"Overhead"	those amounts which are intended to recover a proportion of the Supplier's or the Key Subcontractor's (as the context requires) indirect corporate costs (including financing, marketing, advertising, research and development and insurance costs and any fines or penalties) but excluding allowable indirect costs apportioned to facilities and administration in the provision of Supplier Staff and accordingly included within limb (a) of the definition of "Costs";
"Parliament"	takes its natural meaning as interpreted by Law;
"Party"	in the context of the Framework Contract, CCS or the Supplier, and in the in the context of a Call-Off Contract the Buyer or the Supplier. "Parties" shall mean both of them where the context permits;

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"Performance Indicators" or "PIs"	the performance measurements and targets in respect of the Supplier's performance of the Framework Contract set out in Framework Schedule 4 (Framework Management);
"Personal Data"	has the meaning given to it in the GDPR;
"Personal Data Breach"	has the meaning given to it in the GDPR;
"Personnel"	all directors, officers, employees, agents, consultants and suppliers of a Party and/or of any Subcontractor and/or Subprocessor engaged in the performance of its obligations under a Contract;
"Prescribed Person"	a legal adviser, an MP or an appropriate body which a whistleblower may make a disclosure to as detailed in 'Whistleblowing: list of prescribed people and bodies', 24 November 2016, available online at: https://www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2/whistleblowing-list-of-prescribed-people-and-bodies ;
"Processing"	has the meaning given to it in the GDPR;
"Processor"	has the meaning given to it in the GDPR;
"Progress Meeting"	a meeting between the Buyer Authorised Representative and the Supplier Authorised Representative;
"Progress Meeting Frequency"	the frequency at which the Supplier shall conduct a Progress Meeting in accordance with Clause 6.1, as specified in the Order Form;
"Progress Report"	a report provided by the Supplier indicating the steps taken to achieve Milestones or delivery dates;
"Progress Report Frequency"	the frequency at which the Supplier shall deliver Progress Reports in accordance with Clause 6.1 as specified in the Order Form;
"Prohibited Acts"	<ul style="list-style-type: none"> a) to directly or indirectly offer, promise or give any person working for or engaged by a Buyer or any other public body a financial or other advantage to: <ul style="list-style-type: none"> a) induce that person to perform improperly a relevant function or activity; or b) reward that person for improper performance of a relevant function or activity; b) to directly or indirectly request, agree to receive or accept any financial or other advantage as an inducement or a reward for improper performance of a relevant function or activity in connection with each Contract; or c) committing any offence: <ul style="list-style-type: none"> a) under the Bribery Act 2010 (or any legislation repealed or revoked by such Act); or

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	<p>b) under legislation or common law concerning fraudulent acts; or</p> <p>c) defrauding, attempting to defraud or conspiring to defraud a Buyer or other public body; or</p> <p>d) any activity, practice or conduct which would constitute one of the offences listed under (c) above if such activity, practice or conduct had been carried out in the UK;</p>
"Protective Measures"	appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it including those outlined in Framework Schedule 9 (Cyber Essentials Scheme), if applicable, in the case of the Framework Contract or, Call-Off Schedule 9A (Health Security) or Call-Off Schedule 9B (Security), if applicable, in the case of a Call-Off Contract.
"Recall"	a request by the Supplier to return Goods to the Supplier or the manufacturer after the discovery of safety issues or defects (including defects in the right IPR rights) that might endanger health or hinder performance;
"Recipient Party"	the Party which receives or obtains directly or indirectly Confidential Information;
"Rectification Plan"	<p>the Supplier's plan (or revised plan) to rectify its breach using the template in Joint Schedule 10 (Rectification Plan) which shall include:</p> <p>a) full details of the Default that has occurred, including a root cause analysis;</p> <p>b) the actual or anticipated effect of the Default; and</p> <p>c) the steps which the Supplier proposes to take to rectify the Default (if applicable) and to prevent such Default from recurring, including timescales for such steps and for the rectification of the Default (where applicable);</p>
"Rectification Plan Process"	the process set out in Clause 10.3.1 to 10.3.4 (Rectification Plan);
"Regulations"	the Public Contracts Regulations 2015 and/or the Public Contracts (Scotland) Regulations 2015 (as the context requires);
"Reimbursable Expenses"	the reasonable out of pocket travel and subsistence (for example, hotel and food) expenses, properly and necessarily incurred in the performance of the Services, calculated at the rates and in accordance with the Buyer's expenses policy current from time to time, but not including:

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	<p>a) travel expenses incurred as a result of Supplier Staff travelling to and from their usual place of work, or to and from the premises at which the Services are principally to be performed, unless the Buyer otherwise agrees in advance in writing; and</p> <p>b) subsistence expenses incurred by Supplier Staff whilst performing the Services at their usual place of work, or to and from the premises at which the Services are principally to be performed;</p>
"Relevant Authority"	the Authority which is party to the Contract to which a right or obligation is owed, as the context requires;
"Relevant Authority's Confidential Information"	<p>a) all Personal Data and any information, however it is conveyed, that relates to the business, affairs, developments, property rights, trade secrets, Know-How and IPR of the Relevant Authority (including all Relevant Authority Existing IPR and New IPR);</p> <p>b) any other information clearly designated as being confidential (whether or not it is marked "confidential") or which ought reasonably be considered confidential which comes (or has come) to the Relevant Authority's attention or into the Relevant Authority's possession in connection with a Contract; and</p> <p>information derived from any of the above;</p>
"Relevant Requirements"	all applicable Law relating to bribery, corruption and fraud, including the Bribery Act 2010 and any guidance issued by the Secretary of State pursuant to section 9 of the Bribery Act 2010;
"Relevant Tax Authority"	HMRC, or, if applicable, the tax authority in the jurisdiction in which the Supplier is established;
"Reminder Notice"	a notice sent in accordance with Clause 10.5 given by the Supplier to the Buyer providing notification that payment has not been received on time;
"Replacement Deliverables"	any deliverables which are substantially similar to any of the Deliverables and which the Buyer receives in substitution for any of the Deliverables following the Call-Off Expiry Date, whether those goods are provided by the Buyer internally and/or by any third party;
"Replacement Subcontractor"	a Subcontractor of the Replacement Supplier to whom Transferring Supplier Employees will transfer on a Service Transfer Date (or any Subcontractor of any such Subcontractor);
"Replacement Supplier"	any third party provider of Replacement Deliverables appointed by or at the direction of the Buyer from time to time or where the Buyer is providing Replacement Deliverables for its own account, shall also include the Buyer;

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"Request For Information"	a request for information or an apparent request relating to a Contract for the provision of the Deliverables or an apparent request for such information under the FOIA or the EIRs;
"Required Insurances"	the insurances required by Joint Schedule 3 (Insurance Requirements) or any additional insurances specified in the Order Form;
"Restricted Staff"	any person employed or engaged by either Party, in the capacity of director or in any research, technical, IT, security, engineering, procurement, financial, legal or managerial role who has been engaged in the provision of the Deliverables or management of the Contract either as principal, agent, employee, independent contractor or in any other form of employment or engagement over the previous 12 months, directly worked with or had any material dealings, but shall not include any person employed or engaged in an administrative, clerical, manual or secretarial capacity;
"Satisfaction Certificate"	the certificate (materially in the form of the document contained in of Part B of Call-Off Schedule 13A (Health Implementation Plan and Testing) or Call-Off Schedule 13B (Implementation Plan and Testing), as applicable, or as agreed by the Parties where Call-Off Schedule 13 is not used in this Contract) granted by the Buyer when the Supplier has met all of the requirements of an Order, Achieved a Milestone or a Test;
"Security Management Plan"	the Supplier's security management plan prepared pursuant to Call-Off Schedule 9A (Health Security) or Call-Off Schedule 9B (Security) (if applicable);
"Security Policy"	the Buyer's security policy, referred to in the Order Form, in force as at the Call-Off Start Date (a copy of which has been supplied to the Supplier), as updated from time to time and notified to the Supplier;
"Self Audit Certificate"	means the certificate in the form as set out in Framework Schedule 8 (Self Audit Certificate);
"Serious Fraud Office"	the UK Government body named as such as may be renamed or replaced by an equivalent body from time to time;
"Service Levels"	any service levels applicable to the provision of the Deliverables under the Call Off Contract (which, where Call Off Schedule 14 (Service Levels) is used in this Contract, are specified in the Annex to Part A of such Schedule);
"Service Period"	has the meaning given to it in the Order Form;
"Service Provision"	one or more of the service provisions set out in Paragraph 1.1 of Framework Schedule 1 (Specification);

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"Services"	services made available by the Supplier as specified in Framework Schedule 1 (Specification) and in relation to a Call-Off Contract as specified in the Order Form;
"Service Transfer"	any transfer of the Deliverables (or any part of the Deliverables), for whatever reason, from the Supplier or any Subcontractor to a Replacement Supplier or a Replacement Subcontractor;
"Service Transfer Date"	the date of a Service Transfer;
"Sites"	any premises (including the Buyer Premises, the Supplier's premises or third party premises) from, to or at which: a) the Deliverables are (or are to be) provided; or b) the Supplier manages, organises or otherwise directs the provision or the use of the Deliverables;
"SME"	an enterprise falling within the category of micro, small and medium sized enterprises defined by the Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium enterprises;
"Special Terms"	any additional Clauses set out in the Framework Award Form or Order Form which shall form part of the respective Contract;
"Specific Change in Law"	a Change in Law that relates specifically to the business of the Buyer and which would not affect a Comparable Supply where the effect of that Specific Change in Law on the Deliverables is not reasonably foreseeable at the Start Date;
"Specification"	the specification set out in Framework Schedule 1 (Specification), as may, in relation to a Call-Off Contract, be supplemented by the Order Form;
"Standards"	any: a) standards published by BSI British Standards, the National Standards Body of the United Kingdom, the International Organisation for Standardisation or other reputable or equivalent bodies (and their successor bodies) that a skilled and experienced operator in the same type of industry or business sector as the Supplier would reasonably and ordinarily be expected to comply with; b) standards detailed in the specification in Framework Schedule 1 (Specification); c) standards detailed by the Buyer in the Order Form or agreed between the Parties from time to time; d) relevant Government codes of practice and guidance applicable from time to time;

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"Start Date"	in the case of the Framework Contract, the date specified on the Framework Award Form, in the case of a Call-Off Contract, the date specified in the Order Form, and in the case of a Statement of Work, the date specified in that Statement of Work;
"Statement of Requirements"	a statement issued by the Buyer detailing its requirements and expected outcomes in respect of Deliverables issued in accordance with the Call-Off Procedure;
"Statement of Works" "(SOW)"	the document which, upon its execution by the Buyer and Supplier, shall become incorporated into their Call-Off Contract and outlines the agreed body of works to be undertaken as part of the Call-Off Contract Deliverables. There may be any number of Statements of Work incorporated into a Call-Off Contract and each Statement of Work may include (but is not limited to) the Statement of Requirements, identified output(s), completion date(s) and charging method(s);
"Storage Media"	the part of any device that is capable of storing and retrieving data;
"Sub-Contract"	any contract or agreement (or proposed contract or agreement), other than a Call-Off Contract or the Framework Contract, pursuant to which a third party: a) provides the Deliverables (or any part of them); b) provides facilities or services necessary for the provision of the Deliverables (or any part of them); and/or c) is responsible for the management, direction or control of the provision of the Deliverables (or any part of them);
"Subcontractor"	any person other than the Supplier, who is a party to a Sub-Contract and the servants or agents of that person;
"Subprocessor"	any third Party appointed to process Personal Data on behalf of that Processor related to a Contract;
"Supplier"	the person, firm or company identified in the Framework Award Form;
"Supplier Assets"	all assets and rights used by the Supplier to provide the Deliverables in accordance with the Call-Off Contract but excluding the Buyer Assets;
"Supplier Authorised Representative"	the representative appointed by the Supplier named in the Framework Award Form, or later defined in a Call-Off Contract;
"Supplier Compliance Officer"	the person(s) appointed by the Supplier who is responsible for ensuring that the Supplier complies with its legal obligations;
"Supplier's Confidential Information"	a) any information, however it is conveyed, that relates to the business, affairs, developments, IPR of the Supplier (including

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	<p>the Supplier Existing IPR) trade secrets, Know-How, and/or personnel of the Supplier;</p> <p>b) any other information clearly designated as being confidential (whether or not it is marked as "confidential") or which ought reasonably to be considered to be confidential and which comes (or has come) to the Supplier's attention or into the Supplier's possession in connection with a Contract;</p> <p>c) Information derived from any of (a) and (b) above;</p>
"Supplier's Contract Manager"	the person identified in the Order Form appointed by the Supplier to oversee the operation of the Call-Off Contract and any alternative person whom the Supplier intends to appoint to the role, provided that the Supplier informs the Buyer prior to the appointment;
"Supplier Equipment"	the Supplier's hardware, computer and telecoms devices, equipment, plant, materials and such other items supplied and used by the Supplier (but not hired, leased or loaned from the Buyer) in the performance of its obligations under this Call-Off Contract;
"Supplier Marketing Contact"	shall be the person identified in the Framework Award Form;
"Supplier Non-Performance"	<p>where the Supplier has failed to:</p> <p>a) Achieve a Milestone by its Milestone Date;</p> <p>b) provide the Goods and/or Services in accordance with the Service Levels ; and/or</p> <p>c) comply with an obligation under a Contract;</p>
"Supplier Profit"	in relation to a period, the difference between the total Charges (in nominal cash flow terms but excluding any Deductions and total Costs (in nominal cash flow terms) in respect of a Call-Off Contract for the relevant period;
"Supplier Profit Margin"	in relation to a period or a Milestone (as the context requires), the Supplier Profit for the relevant period or in relation to the relevant Milestone divided by the total Charges over the same period or in relation to the relevant Milestone and expressed as a percentage;
"Supplier Staff"	all directors, officers, employees, agents, consultants and contractors of the Supplier and/or of any Subcontractor engaged in the performance of the Supplier's obligations under a Contract;
"Supporting Documentation"	sufficient information in writing to enable the Buyer to reasonably assess whether the Charges, Reimbursable Expenses and other sums due from the Buyer under the Call-Off Contract detailed in the information are properly payable;
"Tax"	<p>a) all forms of taxation whether direct or indirect;</p> <p>b) national insurance contributions in the United Kingdom and similar contributions or obligations in any other jurisdiction;</p>

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	<p>c) all statutory, governmental, state, federal, provincial, local government or municipal charges, duties, imports, contributions, levies or liabilities (other than in return for goods or services supplied or performed or to be performed) and withholdings; and</p> <p>d) any penalty, fine, surcharge, interest, charges or costs relating to any of the above,</p> <p>in each case wherever chargeable and whether of the United Kingdom and any other jurisdiction;</p>
"Termination Notice"	a written notice of termination given by one Party to the other, notifying the Party receiving the notice of the intention of the Party giving the notice to terminate a Contract on a specified date and setting out the grounds for termination;
"Test Issue"	any variance or non-conformity of the Deliverables from their requirements as set out in a Call-Off Contract;
"Test Plan"	<p>a plan:</p> <p>a) for the Testing of the Deliverables; and</p> <p>b) setting out other agreed criteria related to the achievement of Milestones;</p>
"Tests "	any tests required to be carried out pursuant to a Call-Off Contract as set out in the Test Plan or elsewhere in a Call-Off Contract and "Tested" and "Testing" shall be construed accordingly;
"Third Party IPR"	Intellectual Property Rights owned by a third party which is or will be used by the Supplier for the purpose of providing the Deliverables;
"Time and Materials"	a pricing mechanism where by the Buyer agrees to pay the Supplier for the work performed by the Supplier Staff and for the materials used in the project based on pre-agreed rate cards and material disclosures and subject to time approval;
"Transferring Supplier Employees"	those employees of the Supplier and/or the Supplier's Subcontractors to whom the Employment Regulations will apply on the Service Transfer Date;
"Transparency Information"	<p>the Transparency Reports and the content of a Contract, including any changes to this Contract agreed from time to time, except for –</p> <p>(a) any information which is exempt from disclosure in accordance with the provisions of the FOIA, which shall be determined by the Relevant Authority; and</p> <p>(b) Commercially Sensitive Information;</p>
"Transparency Reports"	the information relating to the Deliverables and performance of the Contracts which the Supplier is required to provide to the Buyer in accordance with the reporting requirements in Call-Off Schedule 1 (Transparency Reports);

Joint Schedule 1 (Definitions)

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"Variation"	any change to a Contract;
"Variation Form"	the form set out in Joint Schedule 2 (Variation Form);
"Variation Procedure"	the procedure set out in Clause 24 (Changing the contract);
"VAT"	value added tax in accordance with the provisions of the Value Added Tax Act 1994;
"VCSE"	a non-governmental organisation that is value-driven and which principally reinvests its surpluses to further social, environmental or cultural objectives;
"Worker"	any one of the Supplier Staff which the Buyer, in its reasonable opinion, considers is an individual to which Procurement Policy Note 08/15 (Tax Arrangements of Public Appointees) (https://www.gov.uk/government/publications/procurement-policy-note-0815-tax-arrangements-of-appointees) applies in respect of the Deliverables;
"Working Day"	any day other than a Saturday or Sunday or public holiday in England and Wales unless specified otherwise by the Parties in the Order Form;
"Work Day"	a minimum of 7.5 Work Hours, whether or not such hours are worked consecutively and whether or not they are worked on the same day; and
"Work Hours"	the hours spent by the Supplier Staff properly working on the provision of the Deliverables including time spent travelling (other than to and from the Supplier's offices, or to and from the Sites) but excluding lunch breaks.

Joint Schedule 2 (Variation Form)

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Joint Schedule 2 (Variation Form)

This form is to be used in order to change a contract in accordance with Clause 24 (Changing the contract):

Contract Details	
This variation is between:	[delete] as applicable: CCS / Buyer] ("CCS" / "the Buyer") And [insert] name of Supplier] ("the Supplier")
Contract name:	[insert] name of contract to be changed] ("the Contract")
Contract reference number:	[insert] contract reference number]
[Statement of Work (SOW) reference:]	[insert] SOW reference number and title (if applicable) or delete row]
[Buyer reference:]	[insert] cost centre/portfolio codes as appropriate]
Details of Proposed Variation	
Variation initiated by:	[delete] as applicable: CCS/Buyer/Supplier]
Variation number:	[insert] variation number]
Date variation is raised:	[insert] date]
Proposed variation	[insert] detail here or use Annex 1 below]
Reason for the variation:	[insert] reason]
An Impact Assessment shall be provided within:	[insert] number] days
Impact of Variation	
Likely impact of the proposed variation:	[Supplier to insert] assessment of impact]
Outcome of Variation	
Contract variation:	This Contract detailed above is varied as follows: <ul style="list-style-type: none"> [CCS/Buyer to insert] original Clauses or Paragraphs to be varied and the changed clause] [reference Annex 1 as appropriate]
Financial variation:	Original Contract Value: £ [insert] amount]
	Additional cost due to variation: £ [insert] amount]
	New Contract value: £ [insert] amount]
[Timescale variation/s:]	[insert] changes to dates/milestones or delete row]

1. This Variation must be agreed and signed by both Parties to the Contract and shall only be effective from the date it is signed by **[delete]** as applicable: CCS / Buyer]
2. Words and expressions in this Variation shall have the meanings given to them in the Contract.
3. The Contract, including any previous Variations, shall remain effective and unaltered except as amended by this Variation.

Signed by an authorised signatory for and on behalf of the Buyer

Buyer Signature

|

Signed by an authorised signatory for and on behalf of the Supplier

Supplier Signature

Joint Schedule 2 (Variation Form)

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ANNEX 1

[insert] details as required]

Joint Schedule 3 (Insurance Requirements)

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Joint Schedule 3 (Insurance Requirements)

1. The insurance the Supplier needs to have

- 1.1 The Supplier shall take out and maintain, or procure the taking out and maintenance of the insurances as set out in the Annex to this Schedule, any additional insurances required under a Call-Off Contract (specified in the applicable Order Form) ("**Additional Insurances**") and any other insurances as may be required by applicable Law (together the "**Insurances**"). The Supplier shall ensure that each of the Insurances is effective no later than:
 - 1.1.1 the Framework Start Date in respect of those Insurances set out in the Annex to this Schedule and those required by applicable Law; and
 - 1.1.2 the Call-Off Contract Effective Date in respect of the Additional Insurances.
- 1.2 The Insurances shall be:
 - 1.2.1 maintained in accordance with Good Industry Practice;
 - 1.2.2 (so far as is reasonably practicable) on terms no less favourable than those generally available to a prudent contractor in respect of risks insured in the international insurance market from time to time;
 - 1.2.3 taken out and maintained with insurers of good financial standing and good repute in the international insurance market; and
 - 1.2.4 maintained for the Contract Period and for at least six (6) years after the End Date.
- 1.3 The Supplier shall ensure that the public and products liability policy contain an indemnity to principals clause under which the Relevant Authority shall be indemnified in respect of claims made against the Relevant Authority in respect of death or bodily injury or third party property damage arising out of or in connection with the Deliverables and for which the Supplier is legally liable.

2. How to manage the insurance

- 2.1 Without limiting the other provisions of this Contract, the Supplier shall:
 - 2.1.1 take or procure the taking of all reasonable risk management and risk control measures in relation to Deliverables as it would be reasonable to expect of a prudent contractor acting in accordance with Good Industry Practice, including the investigation and reports of relevant claims to insurers;
 - 2.1.2 promptly notify the insurers in writing of any relevant material fact under any Insurances of which the Supplier is or becomes aware; and
 - 2.1.3 hold all policies in respect of the Insurances and cause any insurance broker effecting the Insurances to hold any insurance slips and other

Joint Schedule 3 (Insurance Requirements)

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evidence of placing cover representing any of the Insurances to which it is a party.

3. What happens if the Supplier is not insured

- 3.1 The Supplier shall not take any action or fail to take any action or (insofar as is reasonably within its power) permit anything to occur in relation to it which would entitle any insurer to refuse to pay any claim under any of the Insurances.
- 3.2 Where the Supplier has failed to purchase or maintain any of the Insurances in full force and effect, the Relevant Authority may elect (but shall not be obliged) following written notice to the Supplier to purchase the relevant Insurances and recover the reasonable premium and other reasonable costs incurred in connection therewith as a debt due from the Supplier.

4. Evidence of insurance to be provided

- 4.1 The Supplier shall upon the Start Date and within 15 Working Days after the renewal of each of the Insurances, provide evidence, in a form satisfactory to the Relevant Authority, that the Insurances are in force and effect and meet in full the requirements of this Schedule.

5. Required amount of insurance

- 5.1 The Supplier shall ensure that any Insurances which are stated to have a minimum limit "in the aggregate" are maintained at all times for the minimum limit of indemnity specified in this Contract and if any claims are made which do not relate to this Contract then the Supplier shall notify the Relevant Authority and provide details of its proposed solution for maintaining the minimum limit of indemnity.

6. Cancelled Insurance

- 6.1 The Supplier shall notify the Relevant Authority in writing at least five (5) Working Days prior to the cancellation, suspension, termination or non-renewal of any of the Insurances.
- 6.2 The Supplier shall ensure that nothing is done which would entitle the relevant insurer to cancel, rescind or suspend any insurance or cover, or to treat any insurance, cover or claim as voided in whole or part. The Supplier shall use all reasonable endeavours to notify the Relevant Authority (subject to third party confidentiality obligations) as soon as practicable when it becomes aware of any relevant fact, circumstance or matter which has caused, or is reasonably likely to provide grounds to, the relevant insurer to give notice to cancel, rescind, suspend or void any insurance, or any cover or claim under any insurance in whole or in part.

7. Insurance claims

- 7.1 The Supplier shall promptly notify to insurers any matter arising from, or in relation to, the Deliverables, or each Contract for which it may be entitled to claim under any of the Insurances. In the event that the Relevant Authority receives a claim relating to or arising out of a Contract or the Deliverables,

Joint Schedule 3 (Insurance Requirements)

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the Supplier shall co-operate with the Relevant Authority and assist it in dealing with such claims including without limitation providing information and documentation in a timely manner.

- 7.2 Except where the Relevant Authority is the claimant party, the Supplier shall give the Relevant Authority notice within twenty (20) Working Days after any insurance claim in excess of 10% of the sum required to be insured pursuant to Paragraph 5.1 relating to or arising out of the provision of the Deliverables or this Contract on any of the Insurances or which, but for the application of the applicable policy excess, would be made on any of the Insurances and (if required by the Relevant Authority) full details of the incident giving rise to the claim.
- 7.3 Where any Insurance requires payment of a premium, the Supplier shall be liable for and shall promptly pay such premium.
- 7.4 Where any Insurance is subject to an excess or deductible below which the indemnity from insurers is excluded, the Supplier shall be liable for such excess or deductible. The Supplier shall not be entitled to recover from the Relevant Authority any sum paid by way of excess or deductible under the Insurances whether under the terms of this Contract or otherwise.

Joint Schedule 3 (Insurance Requirements)

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ANNEX: REQUIRED INSURANCES

1. The Supplier shall hold the following insurance cover from the Framework Start Date in accordance with this Schedule:
 - 1.1 professional indemnity insurance with cover (for a single event or a series of related events and in the aggregate) of not less than five million pounds (£5,000,000);
 - 1.2 public liability and products insurance with cover (for a single event or a series of related events and in the aggregate) of not less than five million pounds (£5,000,000); and
 - 1.3 employers' liability insurance with cover (for a single event or a series of related events and in the aggregate) of not less than five million pounds (£5,000,000).

Joint Schedule 4 (Commercially Sensitive Information)
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Joint Schedule 4 (Commercially Sensitive Information)

1. What is the Commercially Sensitive Information?

- 1.1 In this Schedule the Parties have sought to identify the Supplier's Confidential Information that is genuinely commercially sensitive and the disclosure of which would be the subject of an exemption under the FOIA and the EIRs.
- 1.2 Where possible, the Parties have sought to identify when any relevant Information will cease to fall into the category of Information to which this Schedule applies in the table below and in the Order Form (which shall be deemed incorporated into the table below).
- 1.3 Without prejudice to the Relevant Authority's obligation to disclose Information in accordance with FOIA or Clause 16 (When you can share information), the Relevant Authority will, in its sole discretion, acting reasonably, seek to apply the relevant exemption set out in the FOIA to the following Information:

No.	Date	Item(s)	Duration of Confidentiality

Joint Schedule 4 (Commercially Sensitive Information)
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Joint Schedule 5 (Corporate Social Responsibility)

1. What we expect from our Suppliers

- 1.1 In September 2017, HM Government published a Supplier Code of Conduct setting out the standards and behaviours expected of suppliers who work with government.
(https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/646497/2017-09-13_Official_Sensitive_Supplier_Code_of_Conduct_September_2017.pdf)
- 1.2 CCS expects its suppliers and subcontractors to meet the standards set out in that Code. In addition, CCS expects its suppliers and subcontractors to comply with the standards set out in this Schedule.
- 1.3 The Supplier acknowledges that the Buyer may have additional requirements in relation to corporate social responsibility. The Buyer expects that the Supplier and its Subcontractors will comply with such corporate social responsibility requirements as the Buyer may notify to the Supplier from time to time.

2. Equality and Accessibility

- 2.1 In addition to legal obligations, the Supplier shall support CCS and the Buyer in fulfilling its Public Sector Equality duty under section 149 of the Equality Act 2010 by ensuring that it fulfils its obligations under each Contract in a way that seeks to:
 - 2.1.1 eliminate discrimination, harassment or victimisation of any kind; and
 - 2.1.2 advance equality of opportunity and 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.

3. Modern Slavery, Child Labour and Inhumane Treatment

"Modern Slavery Helpline" means the mechanism for reporting suspicion, seeking help or advice and information on the subject of modern slavery available online at <https://www.modernslaveryhelpline.org/report> or by telephone on 08000 121 700.

- 3.1 The Supplier:
 - 3.1.1 shall not use, nor allow its Subcontractors to use forced, bonded or involuntary prison labour;
 - 3.1.2 shall not require any Supplier Staff to lodge deposits or identify papers with the employer and shall be free to leave their employer after reasonable notice;

Joint Schedule 5 (Corporate Social Responsibility)

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- 3.1.3 warrants and represents that it has not been convicted of any slavery or human trafficking offences anywhere around the world;
- 3.1.4 warrants that to the best of its knowledge it is not currently under investigation, inquiry or enforcement proceedings in relation to any allegation of slavery or human trafficking offenses anywhere around the world;
- 3.1.5 shall make reasonable enquires to ensure that its officers, employees and Subcontractors have not been convicted of slavery or human trafficking offenses anywhere around the world;
- 3.1.6 shall have and maintain throughout the term of each Contract its own policies and procedures to ensure its compliance with the Modern Slavery Act and include in its contracts with its Subcontractors anti-slavery and human trafficking provisions;
- 3.1.7 shall implement due diligence procedures to ensure that there is no slavery or human trafficking in any part of its supply chain performing obligations under a Contract;
- 3.1.8 shall prepare and deliver to CCS, an annual slavery and human trafficking report setting out the steps it has taken to ensure that slavery and human trafficking is not taking place in any of its supply chains or in any part of its business with its annual certification of compliance with Paragraph 3;
- 3.1.9 shall not use, nor allow its employees or Subcontractors to use physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation of its employees or Subcontractors;
- 3.1.10 shall not use or allow child or slave labour to be used by its Subcontractors;
- 3.1.11 shall report the discovery or suspicion of any slavery or trafficking by it or its Subcontractors to CCS, the Buyer and Modern Slavery Helpline.

4. Income Security**4.1 The Supplier shall:**

- 4.1.1 ensure that that all wages and benefits paid for a standard working week meet, at a minimum, national legal standards in the country of employment;
- 4.1.2 ensure that all Supplier Staff are provided with written and understandable Information about their employment conditions in respect of wages before they enter;
- 4.1.3 ensure all workers shall be provided with written and understandable Information about their employment conditions in respect of wages before they enter employment and about the particulars of their wages for the pay period concerned each time that they are paid;

Joint Schedule 5 (Corporate Social Responsibility)

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4.1.4 not make deductions from wages:

- (a) as a disciplinary measure
- (b) except where permitted by law; or
- (c) without expressed permission of the worker concerned;

4.1.5 record all disciplinary measures taken against Supplier Staff; and

4.1.6 ensure that Supplier Staff are engaged under a recognised employment relationship established through national law and practice.

5. Working Hours

5.1 The Supplier shall:

5.1.1 ensure that the working hours of Supplier Staff comply with national laws, and any collective agreements;

5.1.2 that the working hours of Supplier Staff, excluding overtime, shall be defined by contract, and shall not exceed 48 hours per week unless the individual has agreed in writing;

5.1.3 ensure that use of overtime used responsibly, taking into account:

- (a) the extent;
- (b) frequency; and
- (c) hours worked;

by individuals and by the Supplier Staff as a whole;

5.2 The total hours worked in any seven day period shall not exceed 60 hours, except where covered by Paragraph 5.3 below.

5.3 Working hours may exceed 60 hours in any seven day period only in exceptional circumstances where all of the following are met:

5.3.1 this is allowed by national law;

5.3.2 this is allowed by a collective agreement freely negotiated with a workers' organisation representing a significant portion of the workforce;

appropriate safeguards are taken to protect the workers' health and safety; and

5.3.3 the employer can demonstrate that exceptional circumstances apply such as unexpected production peaks, accidents or emergencies.

5.4 All Supplier Staff shall be provided with at least one (1) day off in every seven (7) day period or, where allowed by national law, two (2) days off in every fourteen (14) day period.

Joint Schedule 5 (Corporate Social Responsibility)

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6. Sustainability

- 6.1 The Supplier shall meet the applicable Government Buying Standards applicable to Deliverables which can be found online at:

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

Joint Schedule 6 (Key Subcontractors)

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Joint Schedule 6 (Key Subcontractors)**1. Restrictions on certain subcontractors**

- 1.1 The Supplier is entitled to sub-contract its obligations under the Framework Contract to the Key Subcontractors set out in the Framework Award Form.
- 1.2 The Supplier is entitled to sub-contract its obligations under a Call-Off Contract to Key Subcontractors listed in the Framework Award Form who are specifically nominated in the Order Form.
- 1.3 Where during the Contract Period the Supplier wishes to enter into a new Key Sub-Contract or replace a Key Subcontractor, it must obtain the prior written consent of CCS and the Buyer and the Supplier shall, at the time of requesting such consent, provide CCS and the Buyer with the information detailed in Paragraph 1.4. The decision of CCS and the Buyer to consent or not will not be unreasonably withheld or delayed. Where CCS consents to the appointment of a new Key Subcontractor then they will be added to section 21 of the Framework Award Form. Where the Buyer consents to the appointment of a new Key Subcontractor then they will be added to Key Subcontractor section of the Order Form. CCS and the Buyer may reasonably withhold their consent to the appointment of a Key Subcontractor if it considers that:
 - 1.3.1 the appointment of a proposed Key Subcontractor may prejudice the provision of the Deliverables or may be contrary to its interests;
 - 1.3.2 the proposed Key Subcontractor is unreliable and/or has not provided reliable goods and or reasonable services to its other customers; and/or
 - 1.3.3 the proposed Key Subcontractor employs unfit persons.
- 1.4 The Supplier shall provide CCS and the Buyer with the following information in respect of the proposed Key Subcontractor:
 - 1.4.1 the proposed Key Subcontractor's name, registered office and company registration number;
 - 1.4.2 the scope/description of any Deliverables to be provided by the proposed Key Subcontractor;
 - 1.4.3 where the proposed Key Subcontractor is an Affiliate of the Supplier, evidence that demonstrates to the reasonable satisfaction of the CCS and the Buyer that the proposed Key Sub-Contract has been agreed on "arm's length" terms;
 - 1.4.4 for CCS, the Key Sub-Contract price expressed as a percentage of the total projected Framework Price over the Framework Contract Period;
 - 1.4.5 for the Buyer, the Key Sub-Contract price expressed as a percentage of the total projected Charges over the Call Off Contract Period; and
 - 1.4.6 (where applicable) the Credit Rating Threshold (as defined in Joint Schedule 7 (Financial Distress)) of the Key Subcontractor.

Joint Schedule 6 (Key Subcontractors)

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- 1.5 If requested by CCS and/or the Buyer, within 10 Working Days, the Supplier shall also provide:
 - 1.5.1 a copy of the proposed Key Sub-Contract; and
 - 1.5.2 any further information reasonably requested by CCS and/or the Buyer.
- 1.6 The Supplier shall ensure that each new or replacement Key Sub-Contract shall include:
 - 1.6.1 provisions which will enable the Supplier to discharge its obligations under the Contracts;
 - 1.6.2 a right under CRTPA for CCS and the Buyer to enforce any provisions under the Key Sub-Contract which confer a benefit upon CCS and the Buyer respectively;
 - 1.6.3 a provision enabling CCS and the Buyer to enforce the Key Sub-Contract as if it were the Supplier;
 - 1.6.4 a provision enabling the Supplier to assign, novate or otherwise transfer any of its rights and/or obligations under the Key Sub-Contract to CCS and/or the Buyer;
 - 1.6.5 obligations no less onerous on the Key Subcontractor than those imposed on the Supplier under the Framework Contract in respect of:
 - (a) the data protection requirements set out in Clause 14 (Data protection);
 - (b) the FOIA and other access request requirements set out in Clause 16 (When you can share information);
 - (c) the obligation not to embarrass CCS or the Buyer or otherwise bring CCS or the Buyer into disrepute;
 - (d) the keeping of records in respect of the goods and/or services being provided under the Key Sub-Contract, including the maintenance of Open Book Data; and
 - (e) the conduct of audits set out in Clause 6 (Record keeping and reporting);
 - 1.6.6 provisions enabling the Supplier to terminate the Key Sub-Contract on notice on terms no more onerous on the Supplier than those imposed on CCS and the Buyer under Clauses 10.4 (When CCS or the buyer can end this contract) and 10.5 (When the supplier can end the contract) of this Contract; and
 - 1.6.7 a provision restricting the ability of the Key Subcontractor to sub-contract all or any part of the provision of the Deliverables provided to the Supplier under the Key Sub-Contract without first seeking the written consent of CCS and the Buyer.

Joint Schedule 7 (Financial Difficulties)

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Joint Schedule 7 (Financial Difficulties)

1. Definitions

1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

"Credit Rating Threshold"	the minimum credit rating level for the Monitored Company as set out in Annex 2 and
"Financial Distress Event"	<p>the occurrence or one or more of the following events:</p> <ul style="list-style-type: none">a) the credit rating of the Monitored Company dropping below the applicable Credit Rating Threshold;b) the Monitored Company issuing a profits warning to a stock exchange or making any other public announcement about a material deterioration in its financial position or prospects;c) there being a public investigation into improper financial accounting and reporting, suspected fraud or any other impropriety of the Monitored Company;d) Monitored Company committing a material breach of covenant to its lenders;e) a Key Subcontractor (where applicable) notifying CCS that the Supplier has not satisfied any sums properly due under a specified invoice and not subject to a genuine dispute; orf) any of the following:<ul style="list-style-type: none">i) commencement of any litigation against the Monitored Company with respect to financial indebtedness or obligations under a contract;ii) non-payment by the Monitored Company of any financial indebtedness;

Joint Schedule 7 (Financial Difficulties)

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- iii) any financial indebtedness of the Monitored Company becoming due as a result of an event of default; or
- iv) the cancellation or suspension of any financial indebtedness in respect of the Monitored Company

in each case which CCS reasonably believes (or would be likely reasonably to believe) could directly impact on the continued performance of any Contract and delivery of the Deliverables in accordance with any Call-Off Contract;

"Financial Distress Service Continuity Plan"

a plan setting out how the Supplier will ensure the continued performance and delivery of the Deliverables in accordance with [each Call-Off] Contract in the event that a Financial Distress Event occurs;

"Monitored Company"

Supplier or any Key Subcontractor;

"Rating Agencies"

the rating agencies listed in Annex 1.

2. When this Schedule applies

- 2.1 The Parties shall comply with the provisions of this Schedule in relation to the assessment of the financial standing of the Monitored Companies and the consequences of a change to that financial standing.
- 2.2 The terms of this Schedule shall survive:
 - 2.2.1 under the Framework Contract until the later of (a) the termination or expiry of the Framework Contract or (b) the latest date of termination or expiry of any call-off contract entered into under the Framework Contract (which might be after the date of termination or expiry of the Framework Contract); and
 - 2.2.2 under the Call-Off Contract until the termination or expiry of the Call-Off Contract.

3. What happens when your credit rating changes

- 3.1 The Supplier warrants and represents to CCS that as at the Start Date the long term credit ratings issued for the Monitored Companies by each of the Rating Agencies are as set out in Annex 2.
- 3.2 The Supplier shall promptly (and in any event within five (5) Working Days) notify CCS in writing if there is any downgrade in the credit rating issued by any Rating Agency for a Monitored Company.
- 3.3 If there is any downgrade credit rating issued by any Rating Agency for the Monitored Company the Supplier shall ensure that the Monitored Company's auditors thereafter provide CCS within 10 Working Days of the

Joint Schedule 7 (Financial Difficulties)

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end of each Contract Year and within 10 Working Days of written request by CCS (such requests not to exceed 4 in any Contract Year) with sufficient working accounts to allow further validation of financial status to be undertaken.

3.4 The Supplier shall:

3.4.1 regularly monitor the credit ratings of each Monitored Company with the Rating Agencies; and

3.4.2 promptly notify (or shall procure that its auditors promptly notify) CCS and Buyers in writing following the occurrence of a Financial Distress Event or any fact, circumstance or matter which could cause a Financial Distress Event and in any event, ensure that such notification is made within 10 Working Days of the date on which the Supplier first becomes aware of the Financial Distress Event or the fact, circumstance or matter which could cause a Financial Distress Event.

3.5 For the purposes of determining whether a Financial Distress Event has occurred the credit rating of the Monitored Company shall be deemed to have dropped below the applicable Credit Rating Threshold if any of the Rating Agencies have rated the Monitored Company at or below the applicable Credit Rating Threshold.

4. What happens if there is a financial distress event

4.1 In the event of a Financial Distress Event then, immediately upon notification of the Financial Distress Event (or if CCS becomes aware of the Financial Distress Event without notification and brings the event to the attention of the Supplier), the Supplier shall have the obligations and CCS shall have the rights and remedies as set out in Paragraphs 4.2 to 4.5.

4.2 The Supplier shall and shall procure that the other Monitored Companies shall:

4.2.1 at the request of CCS meet CCS as soon as reasonably practicable (and in any event within three (3) Working Days of the initial notification (or awareness) of the Financial Distress Event) to review the effect of the Financial Distress Event on the continued performance of each Contract and delivery of the Deliverables in accordance each Call-Off Contract; and

4.2.2 where CCS or Buyers reasonably believes (taking into account the discussions and any representations made under Paragraph 4.3.1 which CCS may share with Buyers) that the Financial Distress Event could impact on the continued performance of each Contract and delivery of the Deliverables in accordance with each Call-Off Contract:

(a) submit to CCS for its Approval, a draft Financial Distress Service Continuity Plan as soon as reasonably practicable (and in any event, within ten (10) Working Days of the initial notification (or awareness) of the Financial Distress Event); and

Joint Schedule 7 (Financial Difficulties)

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- (b) provide such financial information relating to the Monitored Company as CCS may reasonably require.
- 4.3 If CCS does not (acting reasonably) approve the draft Financial Distress Service Continuity Plan, it shall inform the Supplier of its reasons and the Supplier shall take those reasons into account in the preparation of a further draft Financial Distress Service Continuity Plan, which shall be resubmitted to CCS within five (5) Working Days of the rejection of the first or subsequent (as the case may be) drafts. This process shall be repeated until the Financial Distress Service Continuity Plan is Approved by CCS or referred to the Dispute Resolution Procedure.
- 4.4 If CCS considers that the draft Financial Distress Service Continuity Plan is insufficiently detailed to be properly evaluated, will take too long to complete or will not remedy the relevant Financial Distress Event, then it may either agree a further time period for the development and agreement of the Financial Distress Service Continuity Plan or escalate any issues with the draft Financial Distress Service Continuity Plan using the Dispute Resolution Procedure.
- 4.5 Following Approval of the Financial Distress Service Continuity Plan by CCS, the Supplier shall:
 - 4.5.1 on a regular basis (which shall not be less than Monthly), review the Financial Distress Service Continuity Plan and assess whether it remains adequate and up to date to ensure the continued performance each Contract and delivery of the Deliverables in accordance with each Call-Off Contract;
 - 4.5.2 where the Financial Distress Service Continuity Plan is not adequate or up to date in accordance with Paragraph 4.6.1, submit an updated Financial Distress Service Continuity Plan to CCS for its Approval, and the provisions of Paragraphs 4.4 and 4.5 shall apply to the review and Approval process for the updated Financial Distress Service Continuity Plan; and
 - 4.5.3 comply with the Financial Distress Service Continuity Plan (including any updated Financial Distress Service Continuity Plan).
- 4.6 Where the Supplier reasonably believes that the relevant Financial Distress Event (or the circumstance or matter which has caused or otherwise led to it) no longer exists, it shall notify CCS and subject to the agreement of the Parties, the Supplier may be relieved of its obligations under Paragraph 4.5.
- 4.7 CCS shall be able to share any information it receives from the Buyer in accordance with this Paragraph with any Buyer who has entered into a Call-Off Contract with the Supplier.

5. When CCS or the Buyer can terminate for financial distress

- 5.1 CCS shall be entitled to terminate this Contract and Buyers shall be entitled to terminate their Call-Off Contracts for material Default if:
 - 5.1.1 the Supplier fails to notify CCS of a Financial Distress Event in accordance with Paragraph 3.4;

Joint Schedule 7 (Financial Difficulties)

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- 5.1.2 CCS and the Supplier fail to agree a Financial Distress Service Continuity Plan (or any updated Financial Distress Service Continuity Plan) in accordance with Paragraphs 4.3 to 4.5;
- 5.1.3 in the case of the Buyer, the Supplier fails to agree a Financial Service Continuity Plan (or any updated Financial Distress Service Continuity Plan) that ensures the continued performance of the Contract and delivery of the Deliverables under its Contract; and/or
- 5.1.4 the Supplier fails to comply with the terms of the Financial Distress Service Continuity Plan (or any updated Financial Distress Service Continuity Plan) in accordance with Paragraph 4.6.3.

6. What happens If your credit rating is still good

- 6.1 Without prejudice to the Supplier's obligations and CCS' and the Buyer's rights and remedies under Paragraph 5, if, following the occurrence of a Financial Distress Event, the Rating Agencies review and report subsequently that the credit ratings do not drop below the relevant Credit Rating Threshold, then:
 - 6.1.1 the Supplier shall be relieved automatically of its obligations under Paragraphs 4.3 to 4.6; and
 - 6.1.2 CCS shall not be entitled to require the Supplier to provide financial information in accordance with Paragraph 4.3.2(b).

Joint Schedule 7 (Financial Difficulties)

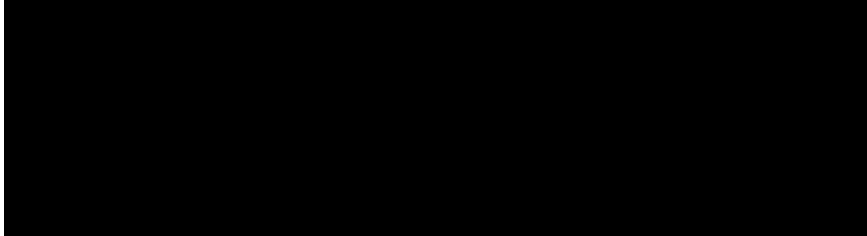
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ANNEX 1: RATING AGENCIES

Dun & Bradstreet

ANNEX 2: CREDIT RATINGS & CREDIT RATING THRESHOLDS

Part 1: Current Rating



Joint Schedule 8 (Guarantee)

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Joint Schedule 8 (Guarantee)

Not Used

Joint Schedule 10 (Rectification Plan)

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Joint Schedule 10 (Rectification Plan)

Request for [Revised] Rectification Plan			
Details of the Default:	[Guidance: Explain the Default, with clear Schedule, Clause and Paragraph references as appropriate]		
Deadline for receiving the [Revised] Rectification Plan:	[add date (minimum 10 days from request)]		
Signed by [CCS/Buyer] :		Date:	
Supplier [Revised] Rectification Plan			
Cause of the Default	[add cause]		
Anticipated impact assessment:	[add impact]		
Actual effect of Default:	[add effect]		
Steps to be taken to rectification:	Steps	Timescale	
	1.	[date]	
	2.	[date]	
	3.	[date]	
	4.	[date]	
	[...]	[date]	
Timescale for complete rectification of Default	[X] Working Days		
Steps taken to prevent recurrence of Default	Steps	Timescale	
	1.	[date]	
	2.	[date]	
	3.	[date]	
	4.	[date]	
	[...]	[date]	

Joint Schedule 10 (Rectification Plan)

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Signed by the Supplier:		Date:	
Review of Rectification Plan [CCS/Buyer]			
Outcome of review	[Plan Accepted] [Plan Rejected] [Revised Plan Requested]		
Reasons for rejection (if applicable)	[add reasons]		
Signed by [CCS/Buyer]		Date:	

Joint Schedule 11 (Processing Data)

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Joint Schedule 11 (Processing Data)

Status of the Controller

1. The Parties acknowledge that for the purposes of the Data Protection Legislation, the nature of the activity carried out by each of them in relation to their respective obligations under a Contract dictates the status of each party under the DPA. A Party may act as:
 - (a) “Controller” in respect of the other Party who is “Processor”;
 - (b) “Processor” in respect of the other Party who is “Controller”;
 - (c) “Joint Controller” with the other Party;
 - (d) “Independent Controller” of the Personal Data where there other Party is also “Controller”,

in respect of certain Personal Data under a Contract and shall specify in Annex 1 (*Processing Personal Data*) which scenario they think shall apply in each situation.

Where one Party is Controller and the other Party its Processor

2. Where a Party is a Processor, the only processing that it is authorised to do is listed in Annex 1 (*Processing Personal Data*) by the Controller.
3. The Processor shall notify the Controller immediately if it considers that any of the Controller’s instructions infringe the Data Protection Legislation.
4. The Processor shall provide all reasonable assistance to the Controller in the preparation of any Data Protection Impact Assessment prior to commencing any Processing. Such assistance may, at the discretion of the Controller, include:
 - (a) a systematic description of the envisaged Processing and the purpose of the Processing;
 - (b) an assessment of the necessity and proportionality of the Processing in relation to the Services;
 - (c) an assessment of the risks to the rights and freedoms of Data Subjects; and
 - (d) the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.
5. The Processor shall, in relation to any Personal Data Processed in connection with its obligations under the Contract:
 - (a) Process that Personal Data only in accordance with Annex 1 (*Processing Personal Data*) unless the Processor is required to do otherwise by Law.

Joint Schedule 11 (Processing Data)

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If it is so required the Processor shall promptly notify the Controller before Processing the Personal Data unless prohibited by Law;

- (b) ensure that it has in place Protective Measures, including in the case of the Supplier the measures set out in Clause 14.3 of the Core Terms, which the Controller may reasonably reject (but failure to reject shall not amount to approval by the Controller of the adequacy of the Protective Measures) having taken account of the:
 - (i) nature of the data to be protected;
 - (ii) harm that might result from a Data Loss Event;
 - (iii) state of technological development; and
 - (iv) cost of implementing any measures;
- (c) ensure that :
 - (i) the Processor Personnel do not Process Personal Data except in accordance with the Contract (and in particular Annex 1 (*Processing Personal Data*));
 - (ii) it takes all reasonable steps to ensure the reliability and integrity of any Processor Personnel who have access to the Personal Data and ensure that they:
 - (A) are aware of and comply with the Processor's duties under this Joint Schedule 11, Clauses 14 (Data protection), 15 (What you must keep confidential) and 16 (When you can share information);
 - (B) are subject to appropriate confidentiality undertakings with the Processor or any Subprocessor;
 - (C) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Controller or as otherwise permitted by the Contract; and
 - (D) have undergone adequate training in the use, care, protection and handling of Personal Data;
- (d) not transfer Personal Data outside of the EU unless the prior written consent of the Controller has been obtained and the following conditions are fulfilled:
 - (i) the Controller or the Processor has provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or LED Article 37) as determined by the Controller;
 - (ii) the Data Subject has enforceable rights and effective legal remedies;
 - (iii) the Processor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection

Joint Schedule 11 (Processing Data)

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- to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Controller in meeting its obligations); and
 - (iv) the Processor complies with any reasonable instructions notified to it in advance by the Controller with respect to the Processing of the Personal Data; and
 - (e) at the written direction of the Controller, delete or return Personal Data (and any copies of it) to the Controller on termination of the Contract unless the Processor is required by Law to retain the Personal Data.
6. Subject to Paragraph 7 of this Joint Schedule 11, the Processor shall notify the Controller immediately if in relation to it Processing Personal Data under or in connection with the Contract it:
- (a) receives a Data Subject Access Request (or purported Data Subject Access Request);
 - (b) receives a request to rectify, block or erase any Personal Data;
 - (c) receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
 - (d) receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data Processed under the Contract;
 - (e) receives a request from any third Party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or
 - (f) becomes aware of a Data Loss Event.
7. The Processor's obligation to notify under Paragraph 6 of this Joint Schedule 11 shall include the provision of further information to the Controller in phases, as details become available.
8. Taking into account the nature of the Processing, the Processor shall provide the Controller with reasonable assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under Paragraph 6 of this Joint Schedule 11 (and insofar as possible within the timescales reasonably required by the Controller) including by promptly providing:
- (a) the Controller with full details and copies of the complaint, communication or request;
 - (b) such assistance as is reasonably requested by the Controller to enable it to comply with a Data Subject Access Request within the relevant timescales set out in the Data Protection Legislation;
 - (c) the Controller, at its request, with any Personal Data it holds in relation to a Data Subject;

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- (d) assistance as requested by the Controller following any Data Loss Event; and/or
 - (e) assistance as requested by the Controller with respect to any request from the Information Commissioner's Office, or any consultation by the Controller with the Information Commissioner's Office.
- 9. The Processor shall maintain complete and accurate records and information to demonstrate its compliance with this Joint Schedule 11. This requirement does not apply where the Processor employs fewer than 250 staff, unless:
 - (a) the Controller determines that the Processing is not occasional;
 - (b) the Controller determines the Processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the GDPR; or
 - (c) the Controller determines that the Processing is likely to result in a risk to the rights and freedoms of Data Subjects.
- 10. The Processor shall allow for audits of its Data Processing activity by the Controller or the Controller's designated auditor.
- 11. The Parties shall designate a Data Protection Officer if required by the Data Protection Legislation.
- 12. Before allowing any Subprocessor to Process any Personal Data related to the Contract, the Processor must:
 - (a) notify the Controller in writing of the intended Subprocessor and Processing;
 - (b) obtain the written consent of the Controller;
 - (c) enter into a written agreement with the Subprocessor which give effect to the terms set out in this Joint Schedule 11 such that they apply to the Subprocessor; and
 - (d) provide the Controller with such information regarding the Subprocessor as the Controller may reasonably require.
- 13. The Processor shall remain fully liable for all acts or omissions of any of its Subprocessors.
- 14. The Relevant Authority may, at any time on not less than 30 Working Days' notice, revise this Joint Schedule 11 by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to the Contract).
- 15. The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Relevant Authority may on not less than 30

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Working Days' notice to the Supplier amend the Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.

Where the Parties are Joint Controllers of Personal Data

16. In the event that the Parties are Joint Controllers in respect of Personal Data under the Contract, the Parties shall implement Paragraphs that are necessary to comply with GDPR Article 26 based on the terms set out in Annex 2 to this Joint Schedule 11 (*Processing Data*).

Independent Controllers of Personal Data

17. With respect to Personal Data provided by one Party to another Party for which each Party acts as Controller but which is not under the Joint Control of the Parties, each Party undertakes to comply with the applicable Data Protection Legislation in respect of their Processing of such Personal Data as Controller.
18. Each Party shall Process the Personal Data in compliance with its obligations under the Data Protection Legislation and not do anything to cause the other Party to be in breach of it.
19. Where a Party has provided Personal Data to the other Party in accordance with Paragraph 7 of this Joint Schedule 11 above, the recipient of the Personal Data will provide all such relevant documents and information relating to its data protection policies and procedures as the other Party may reasonably require.
20. The Parties shall be responsible for their own compliance with Articles 13 and 14 GDPR in respect of the Processing of Personal Data for the purposes of the Contract.
21. The Parties shall only provide Personal Data to each other:
 - (a) to the extent necessary to perform their respective obligations under the Contract;
 - (b) in compliance with the Data Protection Legislation (including by ensuring all required data privacy information has been given to affected Data Subjects to meet the requirements of Articles 13 and 14 of the GDPR); and
 - (c) where it has recorded it in Annex 1 (Processing Personal Data).
22. Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of Processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, each Party shall, with respect to its Processing of Personal Data as Independent Controller, implement and maintain appropriate technical and organisational measures to ensure a level of security appropriate to that risk, including, as appropriate, the measures referred to in Article 32(1)(a), (b), (c) and (d) of the GDPR, and the measures shall, at a minimum, comply with the requirements of the Data Protection Legislation, including Article 32 of the GDPR.

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23. A Party Processing Personal Data for the purposes of the Contract shall maintain a record of its Processing activities in accordance with Article 30 GDPR and shall make the record available to the other Party upon reasonable request.
24. Where a Party receives a request by any Data Subject to exercise any of their rights under the Data Protection Legislation in relation to the Personal Data provided to it by the other Party pursuant to the Contract (**“Request Recipient”**):
- (a) the other Party shall provide any information and/or assistance as reasonably requested by the Request Recipient to help it respond to the request or correspondence, at the cost of the Request Recipient; or
 - (b) where the request or correspondence is directed to the other Party and/or relates to that other Party's Processing of the Personal Data, the Request Recipient will:
 - (i) promptly, and in any event within five (5) Working Days of receipt of the request or correspondence, inform the other Party that it has received the same and shall forward such request or correspondence to the other Party; and
 - (ii) provide any information and/or assistance as reasonably requested by the other Party to help it respond to the request or correspondence in the timeframes specified by Data Protection Legislation.
25. Each Party shall promptly notify the other Party upon it becoming aware of any Personal Data Breach relating to Personal Data provided by the other Party pursuant to the Contract and shall:
- (a) do all such things as reasonably necessary to assist the other Party in mitigating the effects of the Personal Data Breach;
 - (b) implement any measures necessary to restore the security of any compromised Personal Data;
 - (c) work with the other Party to make any required notifications to the Information Commissioner's Office and affected Data Subjects in accordance with the Data Protection Legislation (including the timeframes set out therein); and
 - (d) not do anything which may damage the reputation of the other Party or that Party's relationship with the relevant Data Subjects, save as required by Law.
26. Personal Data provided by one Party to the other Party may be used exclusively to exercise rights and obligations under the Contract as specified in Annex 1 (*Processing Personal Data*).
27. Personal Data shall not be retained or processed for longer than is necessary to perform each Party's respective obligations under the Contract which is specified in Annex 1 (*Processing Personal Data*).

Joint Schedule 11 (Processing Data)

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28. Notwithstanding the general application of Paragraphs 2 to 15 of this Joint Schedule 11 to Personal Data, where the Supplier is required to exercise its regulatory and/or legal obligations in respect of Personal Data, it shall act as an Independent Controller of Personal Data in accordance with Paragraphs 16 to 27 of this Joint Schedule 11.

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Annex 1 - Processing Personal Data Template

This Annex shall be completed by the Controller, who may take account of the view of the Processors, however the final decision as to the content of this Annex shall be with the Relevant Authority at its absolute discretion.

- 1.1 The contact details of the Relevant Authority's Data Protection Officer are [REDACTED] email: england.dpo@nhs.net
- 1.2 The contact details of the Supplier's Data Protection Officer are: **[Insert Contact details]**
- 1.3 The Processor shall comply with any further written instructions with respect to Processing by the Controller.
- 1.4 Any such further instructions shall be incorporated into this Annex.

Description	Details
Identity of Controller for each Category of Personal Data	<p>NHS England is Controller and the Supplier is Processor</p> <p>The Parties acknowledge that in accordance with Paragraph 2 to Paragraph 15 and for the purposes of the Data Protection Legislation, NHS England is the Controller and the Supplier is the Processor of the following Personal Data:</p> <p>Any information accessed on NHS England systems as part of the Services, including:</p> <ul style="list-style-type: none"> • Patient / citizen : demographics data: NHS number, name, address, postcode, language preferences and contact information relation to subjects. • Patient / citizen: clinical data: NHS number, details of subject's health, historic information regarding subject's health. • NHS England staff information • Wider NHS staff information <p>Further details of the information assets hosted on the listed platforms are detailed in the NHS England Unified Registry. To note, NHS England may solely be a processor to another government controller, and in which case the Supplier shall remain NHS England's processor (i.e., a sub-processor).</p>
	<p>NHS England is not the Supplier's processor for any information assets.</p> <p>The Parties are not Joint Controllers for any information assets.</p>

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	<p>The Parties are Independent Controllers of the following Personal Data:</p> <p><i>The Parties acknowledge that they are Independent Controllers for the purposes of the Data Protection Legislation in respect of:</i></p> <ul style="list-style-type: none"> • business contact details of Supplier Personnel for which the Supplier is the Controller, • business contact details of any directors, officers, employees, agents, consultants and contractors of NHS England named in the Contract (excluding the Supplier Personnel), that are engaged in the performance of the NHS England duties under the Contract) for which the NHS England is the Controller (and their replacements).
Duration of the Processing	<p>For the duration of the Contract only.</p> <p>Save for data specified above where the Parties are specified as 'Independent Controllers', where each Party shall retain post Contract for their own business purposes.</p>
Nature and purposes of the Processing	<p><i>The purpose of the Processing is:</i></p> <ul style="list-style-type: none"> • the delivery of all of NHS England platforms day-to-day operations (running the service including incident management utilising NHS England's Service Management toolkit); • ongoing maintenance within agreed service level agreements to maintain 24x7x365 user availability; • the development and safe delivery of transformation activity into live service from NHS England's prioritised backlog and from other transformation drivers. <p>The nature of the Processing may include activities such as:</p> <ul style="list-style-type: none"> • collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, • use, alignment or combination, restriction, • modification of data, <p>The following processing activities shall not occur unless specifically required in writing by NHS England:</p>

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	<ul style="list-style-type: none"> disclosure by transmission, dissemination or otherwise making available; erasure or destruction of entire data set (whether or not by automated means) etc.
Type of Personal Data	<p>NHS England information assets include datasets relating to employees, NHS staff, patients and the public, including the following broad categories:</p> <ul style="list-style-type: none"> Patient / citizen : demographics information, NHS number, name, address, postcode, date of birth, NI number, telephone number, email address, access and language preferences. Patient / citizen: security and logon information. Patient / citizen: clinical information, images, biometric data, clinical data (current and historic), communications. NHS England staff: pay, contact details, employment information, logon and security information. Wider NHS Staff : contact details, employment information, logon and security information, security information. Supplier staff providing systems and services to NHS England and the wider NHS: business contact information, educational achievement, security information. <p>Further details of the information assets hosted on the listed platforms are detailed in the NHS England Unified Registry.</p>
Categories of Data Subject	<p><i>Dependant on the platform, categories of data subject include:</i></p> <ul style="list-style-type: none"> NHS England staff (including volunteers, agents, and temporary workers). Wider NHS staff (including volunteers, agents, and temporary workers). Patients / citizens: residents of England, Wales, Scotland and Northern Ireland. Supplier staff providing systems and services to NHS England and the wider NHS. Manufacturing inventory and product details, including some commercially sensitive data.

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<p>Plan for return and destruction of the data once the Processing is complete</p> <p>UNLESS requirement under Union or Member State law to preserve that type of data</p>	<p>The personal data will remain on NHS England controlled platforms and subject to NHS England security. No data will be removed by the Supplier from the NHS England controlled platforms.</p> <p>Save that the Supplier may retain the business contact details of any directors, officers, employees, agents, consultants and contractors of NHS England named in the Contract (excluding the Supplier Personnel), that are engaged in the performance of the NHS England duties under the Contract) for which the NHS England is the Controller (and their replacements).</p> <p>Save that. NHS England may retain the business contact details of Supplier Personnel for which the Supplier is the Controller.</p>
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Joint Schedule 11 (Processing Data)

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Annex 2 - Joint Controller Agreement

1. Joint Controller Status and Allocation of Responsibilities

1.1 With respect to Personal Data under Joint Control of the Parties, the Parties envisage that they shall each be a Data Controller in respect of that Personal Data in accordance with the terms of this Annex 2 (Joint Controller Agreement) in replacement of Paragraphs 2-15 of Joint Schedule 11 (Where one Party is Controller and the other Party is Processor) and Paragraphs 7-27 of Joint Schedule 11 (Independent Controllers of Personal Data). Accordingly, the Parties each undertake to comply with the applicable Data Protection Legislation in respect of their Processing of such Personal Data as Data Controllers.

1.2 The Parties agree that the Relevant Authority:

- (a) is the exclusive point of contact for Data Subjects and is responsible for all steps necessary to comply with the GDPR regarding the exercise by Data Subjects of their rights under the GDPR;
- (b) shall direct Data Subjects to its Data Protection Officer or suitable alternative in connection with the exercise of their rights as Data Subjects and for any enquiries concerning their Personal Data or privacy;
- (c) is solely responsible for the Parties' compliance with all duties to provide information to Data Subjects under Articles 13 and 14 of the GDPR;
- (d) is responsible for obtaining the informed consent of Data Subjects, in accordance with the GDPR, for Processing in connection with the Services where consent is the relevant legal basis for that Processing; and
- (e) shall make available to Data Subjects the essence of this Annex (and notify them of any changes to it) concerning the allocation of responsibilities as Joint Controller and its role as exclusive point of contact, the Parties having used their best endeavours to agree the terms of that essence. This must be outlined in the Relevant Authority's privacy policy (which must be readily available by hyperlink or otherwise on all of its public facing services and marketing).

1.3 Notwithstanding the terms of clause 1.2, the Parties acknowledge that a Data Subject has the right to exercise their legal rights under the Data Protection Law as against the relevant Party as Controller.

2. Undertakings of both Parties

2.1 The Supplier and the Relevant Authority each undertake that they shall:

- (a) report to the other Party every 3 months on:

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- (i) the volume of Data Subject Access Requests (or purported Data Subject Access Requests) from Data Subjects (or third parties on their behalf);
- (ii) the volume of requests from Data Subjects (or third parties on their behalf) to rectify, block or erase any Personal Data;
- (iii) any other requests, complaints or communications from Data Subjects (or third parties on their behalf) relating to the other Party's obligations under applicable Data Protection Legislation;
- (iv) any communications from the Information Commissioner or any other regulatory authority in connection with Personal Data; and
- (v) any requests from any third party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law,

that it has received in relation to the subject matter of the Contract during that period;

- (b) notify each other immediately if it receives any request, complaint or communication made as referred to in Clauses 2.1(a)(i) to (v);
- (c) provide the other Party with full cooperation and assistance in relation to any request, complaint or communication made as referred to in Clauses 2.1(a)(iii) to (v) to enable the other Party to comply with the relevant timescales set out in the Data Protection Legislation;
- (d) not disclose or transfer the Personal Data to any third party unless necessary for the provision of the Services and, for any disclosure or transfer of Personal Data to any third party, save where such disclosure or transfer is specifically authorised under the Contract or is required by Law) ensure consent has been obtained from the Data Subject before disclosing or transferring the Personal Data to the third party. For the avoidance of doubt to which Personal Data is transferred must be subject to equivalent obligations which are no less onerous than those set out in this Annex;
- (e) request from the Data Subject only the minimum information necessary to provide the Services and treat such extracted information as Confidential Information;
- (f) ensure that at all times it has in place appropriate Protective Measures to guard against unauthorised or unlawful Processing of the Personal Data and/or accidental loss, destruction or damage to the Personal Data and unauthorised or unlawful disclosure of or access to the Personal Data;

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- (g) take all reasonable steps to ensure the reliability and integrity of any of its Personnel who have access to the Personal Data and ensure that its Personnel:
 - (i) are aware of and comply with their duties under this Annex 2 (Joint Controller Agreement) and those in respect of Confidential Information
 - (ii) are informed of the confidential nature of the Personal Data, are subject to appropriate obligations of confidentiality and do not publish, disclose or divulge any of the Personal Data to any third party where that Party would not be permitted to do so; and
 - (iii) have undergone adequate training in the use, care, protection and handling of personal data as required by the applicable Data Protection Law;
- (h) ensure that it has in place Protective Measures as appropriate to protect against a Personal Data Breach having taken account of the:
 - (i) nature of the data to be protected;
 - (ii) harm that might result from a Personal Data Breach;
 - (iii) state of technological development; and
 - (iv) cost of implementing any measures;
- (i) ensure that it has the capability (whether technological or otherwise), to the extent required by Data Protection Legislation, to provide or correct or delete at the request of a Data Subject all the Personal Data relating to that Data Subject that the Supplier holds; and
- (i) ensure that it notifies the other Party as soon as it becomes aware of a Personal Data Breach.

2.2 Each Joint Controller shall use its reasonable endeavours to assist the other Controller to comply with any obligations under applicable Data Protection Legislation and shall not perform its obligations under this Annex in such a way as to cause the other Joint Controller to breach any of its obligations under applicable Data Protection Legislation to the extent it is aware, or ought reasonably to have been aware, that the same would be a breach of such obligations

3. Data Protection Breach

3.1 Without prejudice to Paragraph 3.2, each Party shall notify the other Party promptly and without undue delay, and in any event within 48 hours, upon becoming

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aware of any Personal Data Breach or circumstances that are likely to give rise to a Personal Data Breach, providing the other Party and its advisors with:

(a) sufficient information and in a timescale which allows the other Party to meet any obligations to report a Personal Data Breach under the Data Protection Legislation;

(b) all reasonable assistance, including:

- (i) co-operation with the other Party and the Information Commissioner investigating the Personal Data Breach and its cause, containing and recovering the compromised Personal Data and compliance with the applicable guidance;
- (ii) co-operation with the other Party including taking such reasonable steps as are directed by the other Party to assist in the investigation, mitigation and remediation of a Personal Data Breach;
- (iii) co-ordination with the other Party regarding the management of public relations and public statements relating to the Personal Data Breach; and/or
- (iv) providing the other Party and to the extent instructed by the other Party to do so, and/or the Information Commissioner investigating the Personal Data Breach, with complete information relating to the Personal Data Breach, including, without limitation, the information set out in Clause 3.2.

3.2 Each Party shall take all steps to restore, re-constitute and/or reconstruct any Personal Data where it has lost, damaged, destroyed, altered or corrupted as a result of a Personal Data Breach as it was that Party's own data at its own cost with all possible speed and shall provide the other Party with all reasonable assistance in respect of any such Personal Data Breach, including providing the other Party, as soon as possible and within 48 hours of the Personal Data Breach relating to the Personal Data Breach, in particular:

(a) the nature of the Personal Data Breach;

(b) the nature of Personal Data affected;

(c) the categories and number of Data Subjects concerned;

(d) the name and contact details of the Supplier's Data Protection Officer or other relevant contact from whom more information may be obtained;

(e) measures taken or proposed to be taken to address the Personal Data Breach; and

(f) describe the likely consequences of the Personal Data Breach.

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Model Version: v4.1

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4. Audit

4.1 The Supplier shall permit:

- (a) the Relevant Authority, or a third-party auditor acting under the Relevant Authority's direction, to conduct, at the Relevant Authority's cost, data privacy and security audits, assessments and inspections concerning the Supplier's data security and privacy procedures relating to Personal Data, its compliance with this Annex 2 and the Data Protection Law; and/or
- (b) the Relevant Authority, or a third-party auditor acting under the Relevant Authority's direction, access to premises at which the Personal Data is accessible or at which it is able to inspect any relevant records, including the record maintained under Article 30 GDPR by the Supplier so far as relevant to the Contract, and procedures, including premises under the control of any third party appointed by the Supplier to assist in the provision of the Services.

4.2 The Relevant Authority may, in its sole discretion, require the Supplier to provide evidence of the Supplier's compliance with Clause 4.1 in lieu of conducting such an audit, assessment or inspection.

5. Impact Assessments

5.1 The Parties shall:

- (a) provide all reasonable assistance to each other to prepare any data protection impact assessment as may be required (including provision of detailed information and assessments in relation to Processing operations, risks and measures); and
- (b) maintain full and complete records of all Processing carried out in respect of the Personal Data in connection with the Contract, in accordance with the terms of Article 30 GDPR.

6. ICO Guidance

The Parties agree to take account of any guidance issued by the Information Commissioner and/or any relevant Central Government Body. The Relevant Authority may on not less than thirty (30) Working Days' notice to the Supplier amend the Contract to ensure that it complies with any guidance issued by the Information Commissioner and/or any relevant Central Government Body.

7. Liabilities for Data Protection Breach

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7.1 If financial penalties are imposed by the Information Commissioner on either the Relevant Authority or the Supplier for a Personal Data Breach ("**Financial Penalties**") then the following shall occur:

- (a) if in the view of the Information Commissioner, the Relevant Authority is responsible for the Personal Data Breach, in that it is caused as a result of the actions or inaction of the Relevant Authority, its employees, agents, contractors (other than the Supplier) or systems and procedures controlled by the Relevant Authority, then the Relevant Authority shall be responsible for the payment of such Financial Penalties. In this case, the Relevant Authority will conduct an internal audit and engage at its reasonable cost when necessary, an independent third party to conduct an audit of any such Personal Data Breach. The Supplier shall provide to the Relevant Authority and its third party investigators and auditors, on request and at the Supplier's reasonable cost, full cooperation and access to conduct a thorough audit of such Personal Data Breach;
- (b) if in the view of the Information Commissioner, the Supplier is responsible for the Personal Data Breach, in that it is not a Personal Data Breach that the Relevant Authority is responsible for, then the Supplier shall be responsible for the payment of these Financial Penalties. The Supplier will provide to the Relevant Authority and its auditors, on request and at the Supplier's sole cost, full cooperation and access to conduct a thorough audit of such Personal Data Breach; or
- (c) if no view as to responsibility is expressed by the Information Commissioner, then the Relevant Authority and the Supplier shall work together to investigate the relevant Personal Data Breach and allocate responsibility for any Financial Penalties as outlined above, or by agreement to split any financial penalties equally if no responsibility for the Personal Data Breach can be apportioned. In the event that the Parties do not agree such apportionment then such Dispute shall be referred to the Dispute Resolution Procedure set out in Clause 34 of the Core Terms (*Resolving disputes*).

7.2 If either the Relevant Authority or the Supplier is the defendant in a legal claim brought before a court of competent jurisdiction ("**Court**") by a third party in respect of a Personal Data Breach, then unless the Parties otherwise agree, the Party that is determined by the final decision of the court to be responsible for the Personal Data Breach shall be liable for the losses arising from such Personal Data Breach. Where both Parties are liable, the liability will be apportioned between the Parties in accordance with the decision of the Court.

7.3 In respect of any losses, cost claims or expenses incurred by either Party as a result of a Personal Data Breach (the "**Claim Losses**"):

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- (a) if the Relevant Authority is responsible for the relevant Personal Data Breach, then the Relevant Authority shall be responsible for the Claim Losses;
- (b) if the Supplier is responsible for the relevant Personal Data Breach, then the Supplier shall be responsible for the Claim Losses: and
- (c) if responsibility for the relevant Personal Data Breach is unclear, then the Relevant Authority and the Supplier shall be responsible for the Claim Losses equally.

7.4 Nothing in either clause 7.2 or clause 7.3 shall preclude the Relevant Authority and the Supplier reaching any other agreement, including by way of compromise with a third party complainant or claimant, as to the apportionment of financial responsibility for any Claim Losses as a result of a Personal Data Breach, having regard to all the circumstances of the Personal Data Breach and the legal and financial obligations of the Relevant Authority.

9. Termination

If the Supplier is in material Default under any of its obligations under this Annex 2 (*Joint Control Memorandum of Understanding*), the Relevant Authority shall be entitled to terminate the Contract by issuing a Termination Notice to the Supplier in accordance with Clause 10 (*Ending the contract*).

10. Sub-Processing

10.1 In respect of any Processing of Personal Data performed by a third party on behalf of a Party, that Party shall:

- (a) carry out adequate due diligence on such third party to ensure that it is capable of providing the level of protection for the Personal Data as is required by the Contract, and provide evidence of such due diligence to the other Party where reasonably requested; and
- (b) ensure that a suitable agreement is in place with the third party as required under applicable Data Protection Law.

11. Data Retention

The Parties agree to erase Personal Data from any computers, storage devices and storage media that are to be retained as soon as practicable after it has ceased to be necessary for them to retain such Personal Data under applicable Data Protection Law and their privacy policy (save to the extent (and for the limited period) that such information needs to be retained by the a Party for statutory compliance purposes or as otherwise required by the Contract), and taking all further actions as may be necessary to ensure its compliance with Data Protection Law and its privacy policy.

Joint Schedule 12 (Supply Chain Visibility)
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Joint Schedule 12 (Supply Chain Visibility)

1. Definitions

1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

"Contracts Finder"	the Government's publishing portal for public sector procurement opportunities;
"SME"	an enterprise falling within the category of micro, small and medium sized enterprises defined by the Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium sized enterprises;
"Supply Chain Information Report Template"	the document at Annex 1 of this Schedule 12; and
"VCSE"	a non-governmental organisation that is value-driven and which principally reinvests its surpluses to further social, environmental or cultural objectives.

2. Visibility of Sub-Contract Opportunities in the Supply Chain

2.1 The Supplier shall:

- 2.1.1 subject to Paragraph 2.3, advertise on Contracts Finder all Sub-Contract opportunities arising from or in connection with the provision of the Deliverables above a minimum threshold of £10,000 that arise during the Contract Period;
- 2.1.2 within 90 days of awarding a Sub-Contract to a Subcontractor, update the notice on Contract Finder with details of the successful Subcontractor;
- 2.1.3 monitor the number, type and value of the Sub-Contract opportunities placed on Contracts Finder advertised and awarded in its supply chain during the Contract Period;
- 2.1.4 provide reports on the information at Paragraph 2.1.3 to the Relevant Authority in the format and frequency as reasonably specified by the Relevant Authority; and

Joint Schedule 12 (Supply Chain Visibility)

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- 2.1.5 promote Contracts Finder to its suppliers and encourage those organisations to register on Contracts Finder.
- 2.2 Each advert referred to at Paragraph 2.1.1 of this Schedule 12 shall provide a full and detailed description of the Sub-Contract opportunity with each of the mandatory fields being completed on Contracts Finder by the Supplier.
- 2.3 The obligation on the Supplier set out at Paragraph 2.1 shall only apply in respect of Sub-Contract opportunities arising after the Effective Date.
- 2.4 Notwithstanding Paragraph 2.1, the Authority may by giving its prior Approval, agree that a Sub-Contract opportunity is not required to be advertised by the Supplier on Contracts Finder.

3. Visibility of Supply Chain Spend

- 3.1 In addition to any other management information requirements set out in the Contract, the Supplier agrees and acknowledges that it shall, at no charge, provide timely, full, accurate and complete SME management information reports (the “SME Management Information Reports”) to the Relevant Authority which incorporates the data described in the Supply Chain Information Report Template which is:
 - (a) the total contract revenue received directly on the Contract;
 - (b) the total value of sub-contracted revenues under the Contract (including revenues for non-SMEs/non-VCSEs); and
 - (c) the total value of sub-contracted revenues to SMEs and VCSEs.
- 3.2 The SME Management Information Reports shall be provided by the Supplier in the correct format as required by the Supply Chain Information Report Template and any guidance issued by the Relevant Authority from time to time. The Supplier agrees that it shall use the Supply Chain Information Report Template to provide the information detailed at Paragraph 3.1(a) –(c) and acknowledges that the template may be changed from time to time (including the data required and/or format) by the Relevant Authority issuing a replacement version. The Relevant Authority agrees to give at least thirty (30) days’ notice in writing of any such change and shall specify the date from which it must be used.

Joint Schedule 12 (Supply Chain Visibility)

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- 3.3 The Supplier further agrees and acknowledges that it may not make any amendment to the Supply Chain Information Report Template without the prior Approval of the Authority.

Annex 1

Supply Chain Information Report template

