



Restricted Commercial Service Level Specifications and Performance Monitoring						
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GPSoC Service Level Specifications and Performance Monitoring

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Service Level Specifications and Performance Monitoring

1. DEFINITIONS

1.1 In this document, unless the context otherwise requires, the following words shall have the following meanings:

Action Report means a report on any operational issue or problem arising in the delivery of the GPSoC Services which is produced by the Authority and/or a PCT in accordance with paragraph 4.5 of this document;

Accurate means that the content and structure of a Message is maintained (subject only to changes made in accordance with the Authority's Requirements) from the moment of receipt or generation of the Message by the Supplier to the moment of Transfer, or completion of all required processing, of the Message by the Supplier, and **Accuracy** shall be construed accordingly;

Availability has the meaning given to it in paragraph 3.1 of this document;

Available has the meaning given to it in paragraph 3.1 of this document;

Call Answer Time has the meaning given to it in paragraph 3.3.4 of this document;

Cluster means one of the five designated regions of England under the National Programme for IT being East and East Midlands; London; North- East; North West and West Midlands; and Southern, in respect of which the Local Service Providers provide services to the Department of Health;

Commencement Date means the date that the Framework Agreement is entered into;

Component System means the set of software applications and hardware (as applicable) used by the Supplier to provide the GPSoC Services, as listed in Appendix 4 of this document;

Compliance or **Compliant** means the Supplier's GPSoC Service has achieved compliance in accordance with CAP-GP and has been issued with a certificate for Full Rollout Approval;

Core Hours means the hours during which the highest Service Levels are required for a Component System, as set out in Appendix 1;

Corrupt means that a Message is not Accurate, and the word **Corrupted** shall be construed accordingly;

"Emergency Maintenance Release" means ad hoc and unplanned Maintenance to a GPSoC Service provided by the Supplier where:

- (i) the End User reasonably suspects that the GPSoC Compliant System or the GPSoC Services, or any part thereof, has or may develop a fault, and notifies the Supplier of the same; or
- (ii) the Supplier reasonably suspects that the GPSoC Compliant System or GPSoC Services, or any part thereof, has or may develop a fault; or

(iii) the Authority suspects that the GPSoC Services, or any part thereof, has or may develop a fault;

and, in each case, the maintenance is required to Resolve or prevent an actual or potential Severity 1 or 2 Service Failure.

End to End Response Time means the round trip time taken from the moment that a signal is transmitted from the End User desktop to the moment that the required response is received at the End User desktop and shall include the time required for the transfer of data, processing of the data/request, and display of the end result at the End User desktop;

End User means any person authorised to use the GPSoC Compliant System and/or the GPSoC Services or the Authority or NHS Trust representing the End User;

"**Excusing Cause**" has the meaning as set out in clause 5.6.1.1;

Fix Time means, in relation to a Service Failure, the length of time it takes the Supplier to Resolve the Service Failure, calculated in accordance with paragraph 3 of this document;

Framework Agreement means the agreement between the Supplier and the Secretary of State for Health for the provision of GPSoC Services dated [dd/mm/yy];

"**Functional Release**" means a collection of authorised changes to a GPSoC Service which provides additional functionality and either (i) satisfies the Authority's Requirements as set out in Schedule 2 of the Framework Agreement ("Authority Release"), or (ii) introduces new or changed Supplier defined functionality other than that included in an Authority Release ("Supplier Initiated Release");

GPSoC Compliant System means a clinical IT system for GPs to be provided under the terms of the Framework Agreement which has been tested and has reached a particular level of Compliance in accordance with the GPSoC Solution Maturity Model;

GPSoC Hosted Services means both GPSoC Services Hosted to NHS CFH Standards and Hosted GPSoC Services not Hosted to NHS CFH Standards;

GPSoC Services means the services described in schedule 4 of the Framework Agreement to be supplied by the Supplier to meet the GPSoC Services Specifications in schedule 2 of the Framework Agreement;

GPSoC Services Hosted to NHS CFH Standards are those GPSoC Services delivered in accordance with the requirements for GPSoC Services Hosted to NHS CFH Standards as set out in the Service Level Specifications and the Disaster Recovery and Business Continuity Plan;

GPSoC Services Specifications means the specifications set out in schedule 2 of the Framework Agreement;

Help Desk means the single point of contact help desk set up and operated by the Supplier pursuant to the Help Desk Service;

Help Desk Service means a help desk facility to support the GPSoC Services;

Hosted means GPSoC Services where the primary data source accessed by the GP clinical IT system is in a data centre;

Hosted GPSoC Services not Hosted to NHS CFH Standards are those GPSoC Services delivered in accordance with the requirements for Hosted GPSoC Services not Hosted to NHS CFH Standards as set out in the Service Level Specifications and the Disaster Recovery and Business Continuity Plan;

Incident means any contact by an End User with the Help Desk Service including calls, emails, webforms and faxes and any Service Failure identified by the Supplier;

Integrated Service Provider or ISP means the Supplier, each GPSoC supplier each LSP, each NISP, each NASP and each third party supplier that provides ICT under the NPfIT;

Local Server Based GPSoC Services are GPSoC Services where the delivery of the Core Services is reliant on the use of a Practice based server;

LSP or Local Service Provider means each local service provider for a Cluster under the National Programme for IT;

Maintenance means any work or change, including Major Maintenance Release, Minor Maintenance Release and Emergency Maintenance Release, carried out in relation to the GPSoC Services by or on behalf of the Supplier;

Major Maintenance Release means a collection of authorised changes to a GPSoC Service which resolves a minimum of twenty Service Failures;

Maintenance Schedule has the meaning given to it in paragraph 6.1 of this document;

Message means a structured set of data which is, or is intended to be, transferred as part of the GPSoC Services;

Minor Maintenance Release means either: (i) a collection of planned authorised changes to a GPSoC Service which Resolve less than twenty Service Failures where there are no functional changes; or (ii) a collection of planned authorised changes which are Supplier initiated where there are no functional changes; or (iii) a planned authorised standard change,

NASP means each national application service provider under the NPfIT from time to time;

NISP means each national infrastructure service provider under the NPfIT from time to time;

Non-Availability means in relation to a Component System that that Component System is not Available;

NPfIT means the Department of Health's National Programme for Information Technology in England;

Non-Core Hours means hours other than the Core Hours;

Operating Service Level or **OSL** has the meaning set out in paragraph 2.5 of this document (and for each GPSoC Service Level the appropriate OSL is set out in Appendix 1);

Performance Monitoring Reports means the monthly reports prepared by the Supplier in accordance with paragraph 4.3.2 of this document;

Performance Monitoring System has the meaning given to it in paragraph 4.1.1 of this document;

Performance Review Meeting means the regular meeting to manage and review the Supplier's performance under the Framework Agreement, as further described in paragraph 4 of this document;

Permitted Downtime means a period of Service Downtime in relation to which no Service Points accrue to the Supplier, as set out in Appendix 1;

Planned Downtime means a period of time, agreed between the Authority and the Supplier (in accordance with an agreed operational change process), for the purposes of implementing a Service or System change, during which time any or all of the Component System(s) will not be available to the End Users of such Component System(s) (See below for definition of Used Planned Downtime).

Practice means all locations that constitute a GP practice including all branch sites of such GP practices and any locations where a GP clinical IT system is used and the GPSoC Services are supplied;

Problem means a Service Failure, or multiple Service Failures, in relation to which the underlying root cause is not known but where a temporary solution or workaround has been implemented;

Quarterly Summary means the summary of the Supplier's performance to be provided by the Supplier to the Authority and the relevant PCT pursuant to paragraph 4.3.7 of this document;

Repeat Failure has the meaning given to it in paragraph 5.2 of this document;

Resolved has the meaning given to it in paragraph 3.16 of this document, and **Resolve** and **Resolution** shall be construed accordingly;

Routine Changes means changes which, in the reasonable opinion of the Authority, are necessary to reflect any increased level of monitoring of the Supplier by the Authority or any increase in the level of monitoring by the Supplier of its own performance;

Service Deductions has the meaning detailed at paragraph 2.6 of this document;

Service Downtime means any period of time during which a Component System is not Available and includes Planned Downtime and Unplanned Downtime;

Service Failure means any defect in or failure of any GPSoC Service (whether or not a Component System is Available) which results (or would result if End Users were, at the relevant time, using that GPSoC Service) in a failure to provide that GPSoC Service, or any part of that GPSoC Service, in accordance with the requirements of this Schedule;

Service Failure Log means the hard copy and the electronic version of the log created and maintained by the Supplier as part of the GPSoC Services in accordance with paragraph 3.5 of this document;

Service Failure Report means the first notification of a Service Failure received by the Help Desk Service (including from the Supplier itself) in respect of that Service Failure;

Service Hours means 24 hours a day, seven days a week, 365 days per year (366 days per leap year);

Service Level means a Service Level Specification as identified in Appendix 1;

Service Points means the points set out in Appendix 1 and which accrue to the Supplier in the event of any failure by the Supplier to achieve an Operating Service Level in respect of GPSoC Services which are GPSoC Services Hosted to NHS CFH Standards;

Severity Level means the level of severity allocated to a Service Failure by the Supplier (or any other person authorised by a PCT to do so) in accordance with paragraphs 3.5 to 3.13 of this document;

Severity Level Guidelines means the rules and guidance notes which apply to the assessment of Severity Levels as set out in document NPFIT-FNT-IMD-SMG-1340.

Supplier Release means a collection of authorised changes to the GPSoC Service, whether hardware, software or infrastructure, on which the GPSoC Service operates and includes any Functional Release or Maintenance;

Supplier Response Time means the round trip time taken to process a Message, or request from the moment the first block of data is received at the boundary of the Supplier's responsibility, until the required response is generated and the first block of data leaves the boundary of the Supplier's responsibility. Where system components are used that are not the responsibility of the Supplier, within the process of generating a response, the time taken for these processes to complete will be excluded from the Supplier Response Time measured in Appendix 1;

Support Hours as set out in Appendix 1;

Transaction Type means one of the transaction types described in Appendix 3;

Transfer means the point at which responsibility for a Message transfers from the Supplier to a PCT;

Unplanned Downtime means a period of Service Downtime not planned or agreed between the Authority and the Supplier (in accordance with an agreed operational change process) resulting from a Service Failure or, any Planned Downtime that exceeds the monthly Permitted Downtime allowance during which time the Component System(s) will not be available to the End Users of such Component System(s);

Unresolved means, in relation to a Service Failure, that such Service Failure is not Resolved; and;

Used Planned Downtime has the meaning given to it in paragraph 6.20.

2. KEY PRINCIPLES

- 2.1 This document sets out the standards to which the Supplier must deliver the GPSoC Services, the mechanism by which Service Levels will be managed, and the method by which the Supplier's performance under the Framework Agreement will be monitored.
- 2.2 This document details the Service Levels that will apply to the three categories of GPSoC Services offered by the Supplier:
- 2.2.1 GPSoC Services Hosted to NHS CFH Standards, in relation to which the GPSoC Service Levels set out in Part A of Appendix 1 shall apply, and which shall be effective from the date of achieving Compliance with GPSoC Services Hosted to NHS CFH Standards;
- 2.2.2 Hosted GPSoC Services not Hosted to NHS CFH Standards, in relation to which the Supplier Service Levels (save for Message Accuracy and Transfer) set out in Part B of Appendix 1 shall apply; and,
- 2.2.3 Local Server Based GPSoC Services, in relation to which the Supplier Service Levels (save for Message Accuracy and Transfer) set out in Part B of Appendix 1 shall apply,

and illustrated below in Table 1:

Table 1: GPSoC Operating Service Levels

Type of GPSoC Service	Operating Service Levels							
	Availability	Supplier Response Times		Help Desk	Service Failure Management			Problem Resolution
		Transaction Types	Message Accuracy and Transfer		Fix Times	Call Referral	All Severities Fix Times	
Local Server Based GPSoC Services	Supplier Service Levels	Supplier Service Levels	GPSoC Service Levels	Supplier Service Levels	Supplier Service Levels	Supplier Service Levels	Supplier Service Levels	Supplier Service Levels
Hosted GPSoC Services not Hosted to NHS CFH Standards	Supplier Service Levels	Supplier Service Levels	GPSoC Service Levels	Supplier Service Levels	Supplier Service Levels	Supplier Service Levels	Supplier Service Levels	Supplier Service Levels
GPSoC Services Hosted to NHS CFH Standards	GPSoC Service Levels	GPSoC Service Levels	GPSoC Service Levels	GPSoC Service Levels	GPSoC Service Levels	GPSoC Service Levels	GPSoC Service Levels	GPSoC Service Levels

Service Levels in Table 1 are either:

- **GPSoC Service Levels** detailed in Part A of Appendix 1 to the Service Level document; or

- **Supplier Service Levels** as proposed by the Supplier and which at a minimum meet the prescribed GPSoC CSLs, as agreed with the Authority, and detailed in Part B of Appendix 1 to the Service Level document.
- 2.3 The Service Levels are intended to:
- 2.3.1 ensure that the GPSoC Services are of a consistently high quality and meet the Authority's requirements as to performance and reliability as set out in the Framework Agreement; and
 - 2.3.2 provide a mechanism whereby the End User can demonstrate meaningful recognition of inconvenience and/or loss resulting from the Supplier's failure to deliver the level of GPSoC Service which it has contracted to deliver.
- 2.4 The GPSoC Services will be monitored against the following five categories of Service Levels:
- 2.4.1 Availability (section 3.1, below);
 - 2.4.2 Supplier Response Times (section 3.2, below);
 - 2.4.3 Help Desk (section 3.3, below);
 - 2.4.4 Service Failure Management (section 3.4, below); and
 - 2.4.5 Problem Resolution (section 3.28, below).
- 2.5 Each Service Level is measured against three performance bands: "Operating Service Level" (the expected level of service) ("**OSL**"); "Failure Service Levels" (levels of service at which Service Points, where relevant, accrue) ("**FL**"). Some FLs are classified as "Critical Service Levels" ("**CSL**") (a level of service which is totally unacceptable) as detailed in Appendix 1.
- 2.6 For GPSoC Services Hosted to NHS CFH Standards, in the event that the GPSoC Compliant System fails to achieve the OSL band for the relevant Service Level in any calendar month, Service Points shall accrue on a sliding scale basis. These Service Points are used to calculate the proportion of the Service Charge that will be refunded by the Supplier to the Authority in the form of service deductions ("**Service Deductions**").
- 2.7 All Service Levels and the Service Points applicable to them shall be reviewed on an ongoing basis by the Authority and the Supplier and any Changes or updates to the Service Levels and the Service Deductions applicable to them shall be dealt with via the Change Control Procedure in the Framework Agreement and incorporated into this document. Service Levels for any Additional Services or Future Services not agreed prior to the Commencement Date shall be determined in accordance with the Change Control Procedure.
- 2.8 The Supplier will be required to use best practice change and release management processes, as detailed within the Service Introduction Requirements, to manage all Supplier Releases.
- 2.9 The Supplier acknowledges that the interoperability of its GPSoC Services with those of other suppliers is of critical importance to the Authority. The successful provision

of all relevant services pursuant to the National Programme for IT will not be possible without frequent information exchange and good co-operation between the providers of all components of the National Programme for IT.

- 2.10 The Supplier agrees to co-operate and liaise, at its own expense, with the Authority and other suppliers to the National Programme for IT so as to assist with the successful and timely delivery of the National Programme for IT and the resolution of any Incidents as may reasonably be required by the Authority.

3. GPSOC SERVICE LEVELS

3.1 Availability

- 3.1.1 The Supplier shall be responsible for measuring the Availability of the Component Systems.
- 3.1.2 A Component System shall be Available when End Users are able to access and utilise the functions of that Component System.
- 3.1.3 A Component System shall be deemed to be Available when any Non-Availability is subject to an Excusing Cause which has been accepted by the Authority.
- 3.1.4 The Supplier shall monitor the Availability of each Component System in accordance with the Performance Monitoring System and the provisions of paragraph 4, and shall provide the results of such monitoring to the Authority in accordance with the provisions of paragraph 4.
- 3.1.5 The Authority reserves the right to verify the Availability of any Component System including by:
 - 3.1.5.1 sending pre-defined test transactions through the relevant Component System which shall be monitored by the Supplier and the outcomes of which shall be assessed by the Authority; and
 - 3.1.5.2 receiving from the Supplier reports and data about any calls to and from the Suppliers' Help Desk Service relating to Service Downtime.
- 3.1.6 The Availability formulae set out in paragraphs 3.1.6.1 and 3.1.6.2 applies:
 - 3.1.6.1 The Availability of each Component System during Core Hours in a calendar month shall be measured as a percentage of the total minutes in those Core Hours in that calendar month, in accordance with the following formula:

$$\% \text{ Availability} = ((\text{TUM} - \text{LUM}) / \text{TUM}) \times 100$$

Where:

Variable	Calculation	Meaning
LUM (Lost User Minutes) =	The sum of (Unplanned Downtime Minutes x Users Affected) for each incident during the calendar month	lost user minutes in Core Hours
TUM (Total User Minutes) =	TAM x ACU	total number of user minutes in Core Hours
TAM (Total Available Minutes) =	Total Minutes in the measurement period minus the Lesser of ((Permitted	Total Available Minutes in Core Hours for the calendar month

	Downtime Minutes) and (Used Planned Downtime Minutes))	
ACU (Average Concurrent Users) =	the average of the daily maximum number of concurrent Users of the Services measured during Core Hours (Monday to Friday only excluding public holidays) in a calendar month and excludes any other periods as agreed by the parties	Average Concurrent Users

3.1.6.2 The Availability of each Component System during Non-Core Hours in a calendar month shall be measured in the same manner and using the same formula as the Availability within Core Hours as set out in paragraph 3.1.6.1., except that the calculations of TAM, TUM and LUM variables will come from the minutes during Non-Core hours.

3.1.7 Where applicable, the maximum number of Service Points that may accrue to the Supplier for Service Downtime of all Component Systems is set out in Appendix 1 of this document. The method of calculating the Service Points applicable to any instance of Service Downtime in relation to individual Component Systems is set out in Appendix 4 to this document.

3.2 Supplier Response Times

3.2.1 Service Levels for Supplier Response Times set out in Parts A and B of Appendix 1 are expressed in terms of a continuous number of hours. As a result, Service Points shall accrue to the Supplier in respect of those Service Levels if the actual Supplier Response Times achieved fall below the relevant contracted Service Levels at any time during the calendar month for the relevant continuous number of hours.

3.2.2 The Supplier shall monitor and measure the Supplier Response Times of the Component Systems in accordance with the Performance Monitoring System and the provisions of paragraph 4 and shall provide the results of such monitoring to the Authority in accordance with the provisions of paragraph 4.

3.2.3 Where a performance Incident regarding GPSoC Services Hosted to NHS CFH Standards is escalated to the Authority, the Authority may measure the performance of the relevant GPSoC Services. If the relevant GPSoC Services do not meet the applicable Service Level as detailed within Appendix 1 Part A Section 2.2 the Supplier, Authority and relevant parties shall work together to identify which component(s) are not performing to specification.

3.2.4 Where a failure to meet the Supplier Response Times as set out in Appendix 1 Part B section 2.2 is identified for Hosted GPSoC Services not Hosted to NHS CFH Standards and Local Server Based GPSoC Services, then the

Authority and the Supplier shall agree a modified set of Supplier Response Times for the duration in which the Hosted GPSoC Services not Hosted to NHS CFH Standards and Local Server Based GPSoC Services were not performing at the level required to meet the Supplier Response Times as set out in Appendix 1 Part B section 2.2. The mechanism for monitoring performance of Hosted GPSoC Services not Hosted to NHS CFH Standards and Local Server Based GPSoC Services is to utilise Service Failure management (including service failures, fix times), Help Desk calls and Problem OSL. The Incident Fix Times will drive dynamic fixes for failing or unacceptably performing Hosted GPSoC Services not Hosted to NHS CFH Standards and Local Server Based GPSoC Services. Problem management will be engaged when continued Incidents do not resolve re-occurring problems.

End to End Response Times

- 3.2.5 Subject to the provisions of paragraphs 3.2.11, the Supplier is responsible for measuring, monitoring and reporting the:
 - 3.2.5.1 End to End Response Times for each Transaction Type; and
 - 3.2.5.2 round trip time taken from the moment that a signal is transmitted from the End User desktop to the moment that the required response is received at the End User desktop and shall include the time required for the transfer of data, processing of the data/request and display of the end result at the End User desktop.
- 3.2.6 The Authority may, at its discretion, deploy the Authority's performance monitoring tools at a location used to deliver GPSoC Services including, but without limitation, a Practice or a Supplier's data centre.
- 3.2.7 The Supplier shall use its best endeavours, including collaborating with other ISPs and PCTs, to achieve the End to End Response Times as detailed in Appendix 1. For the avoidance of doubt no Service Points shall accrue for the failure to meet End to End Response Times.
- 3.2.8 For Hosted GPSoC Services not Hosted to NHS CFH Standards and Local Server Based GPSoC Services:
 - 3.2.8.1 Where a performance Incident regarding Hosted GPSoC Services not Hosted to NHS CFH Standards and Local Server Based GPSoC Services is escalated to the Authority, the Authority may measure the performance of the relevant GPSoC Services. If the relevant GPSoC Services do not meet the applicable Service Level as detailed within Appendix 1 Part B Table 2.2 the Supplier, Authority and relevant parties shall work together to identify which component(s) are not performing to specification.
 - 3.2.8.2 Where a failure to meet the End to End Response Times as set out in Appendix 1 Part B section 2.2 is identified for Hosted GPSoC Services not Hosted to NHS CFH Standards and Local Server Based GPSoC Services, then the Authority and the Supplier shall agree a modified set of End to End to Response

Times for the duration in which the Hosted GPSoC Services not Hosted to NHS CFH Standards and Local Server Based GPSoC Services were not performing at the level required to meet the End to End Response Times as set out in Appendix 1 Part B section 2.2.

- 3.2.9 The mechanism for monitoring the performance of Hosted GPSoC Services not Hosted to NHS CFH Standards and Local Server Based GPSoC Services is to utilise Service Failure management (including service failures, fix times), Help Desk calls and Problem Resolution OSL. The Incident Fix Times will drive dynamic fixes for failing or unacceptably performing Hosted GPSoC Services not Hosted to NHS CFH Standards and Local Server Based GPSoC Services. Problem management will be engaged when continued incidents do not resolve re-occurring problems.

Message Accuracy and Transfer

- 3.2.10 The Message Accuracy Service Level shall apply and be measured across each calendar month. Any failure to comply with this obligation will be classed as a Critical Service Level.

- 3.2.11 The Supplier shall ensure that:

3.2.11.1 the GPSoC Service will enable messaging to be used to support the delivery of functionality or information to an End User or to authenticate an End User as part of the log-on procedure; and

3.2.11.2 such Messages will be transmitted and responded to (where required) by the Supplier in the manner required in order to achieve the relevant Supplier Response Time Service Level.

- 3.2.12 Any Message which becomes Corrupted as a consequence of the GPSoC Services or any other GPSoC services provided by or on behalf of the Supplier or due to any fault of the Supplier or any sub-contractor of the Supplier but which are still accepted by the End User terminal shall be regarded as a breach of a Critical Service Level (as set out in Appendix 1).

3.3 Help Desk

- 3.3.1 The Help Desk Service Levels detailed at Appendix 1 shall apply. The Supplier shall provide a Help Desk Service during Support Hours for the End User to log an Incident and notify the Supplier of any Service Failure.

- 3.3.2 An Incident shall be deemed to have been logged when an Incident is recorded as set out in clause 3.3.10 and when an appropriate Severity Level for the Incident is confirmed to the person reporting the Incident ("Logged") in accordance with the Service Levels detailed at Appendix 1.

- 3.3.3 The parties acknowledge that the use of automated call answering technologies may be permitted on a case by case basis as agreed by the Authority.

Call Answer Times

- 3.3.4 Measurement will be based on the time taken for a Help Desk operative to answer a call (**Call Answer Time**). Calls receiving an automated response or placed into a queuing system shall be deemed not to have been answered. During any Incident agreed by the parties to be a major incident (**High Severity Incident**), the Supplier may provide the caller with a message regarding the High Severity Incident. Calls abandoned within 30 seconds shall not count towards call answer statistics for the duration of the Incident.

Call Referral Times

- 3.3.5 The Supplier is also responsible for the referral of Service Failures to the help desk of any ISP or the End User where such Service Failures are received by the Supplier's help desk but are, in the Supplier's reasonable opinion, the responsibility of another ISP.
- 3.3.6 Where applicable Service Points for Call Referral Times accrue against the excess (over and above the OSL) time taken to refer a Service Failure to another ISP.
- 3.3.7 The Supplier shall ensure that the Help Desk Service provides advisors with the means securely and accurately to perform the following functions:
- (a) provide technical support;
 - (b) catalogue an Incident;
 - (c) record contact details;
 - (d) answer Incidents;
 - (e) schedule and manage call back;
 - (f) initiate management information;
 - (g) validate identity of person reporting an Incident; and
 - (h) set, clear and monitor outstanding work.
- 3.3.8 The Supplier shall ensure that the Help Desk Service provides the means to register, track and manage Incidents from initiation to resolution, and that Incident histories are retained by the Supplier for a minimum period of 12 months.
- 3.3.9 The Supplier shall ensure that the Help Desk Service provides the means to record, action and escalate complaints.
- 3.3.10 The Supplier shall ensure that Help Desk advisors record and update an appropriate level of details for resolution and the transfer of Incidents within their own Help Desk systems, including the following notifying individual's information:
- 3.3.10.1 name;
 - 3.3.10.2 address;

- 3.3.10.3 daytime contact information including telephone and / or pager;
- 3.3.10.4 email address;
- 3.3.10.5 enquiry type (option to categorise e.g. technical subsets or free text);
- 3.3.10.6 action taken;
- 3.3.10.7 preferred reply medium;
- 3.3.10.8 expected time and date of resolution; and
- 3.3.10.9 free text facility.
- 3.3.11 The Supplier shall ensure that any changes requiring changes to patient information on GPSoC Compliant Systems are carried out in accordance with the Authority's Information Governance policy.
- 3.3.12 The Supplier shall ensure that Incidents reported to the Help Desk by an End User or detected by the Supplier are recorded and logged on a single system, which shall be the same as the system tracking Incidents reported by the Supplier.
- 3.3.13 UNUSED.
- 3.3.14 The Supplier shall ensure that its Help Desk Service will enable advisors to book and manage 'call back' action in a prompt and professional manner.
- 3.3.15 The Supplier shall automatically generate a uniquely identifiable reference number for all Incidents as soon as the caller is identified or the Supplier notifies their Help Desk Service of a Service Failure it has detected.
- 3.3.16 The Supplier shall ensure that the system used in the provision of the Help Desk Service shall automatically capture, record and report upon service operation with appropriate management information, including the number and percentage (if appropriate), in relation to the following items:
 - 3.3.16.1 calls answered within n seconds (banded);
 - 3.3.16.2 emails responded to within n minutes (banded);
 - 3.3.16.3 actual and mean Incident duration;
 - 3.3.16.4 actual and mean time to answer a Incident;
 - 3.3.16.5 actual and mean time taken to resolve a Incident;
 - 3.3.16.6 advisor occupancy;
 - 3.3.16.7 Incident volumes by Incident type;
 - 3.3.16.8 calls abandoned;
 - 3.3.16.9 calls abandoned after n seconds (banded);

- 3.3.16.10 calls offered, i.e. all calls made whether answered or not, forecast and actual;
- 3.3.16.11 calls queued for advisors in real time; and
- 3.3.16.12 Incident resolved at first point of contact.
- 3.3.17 The Supplier shall provide cumulative reporting of Incident data as part of the Performance Monitoring Reports in accordance with paragraph 4.2.2.
- 3.3.18 The Supplier shall ensure that its Help Desk Service call number is either free or chargeable at local rates.
- 3.3.19 The Supplier shall provide web portal access to Help Desk Incident logs for the use by those operating Authority or PCT help desks, and for general access and use by PCTs.

Email Support

- 3.3.20 The Supplier shall provide an email service during Support Hours for the End User to notify the Supplier of any Service Failure. Incident emails shall be deemed received by the Supplier once they are received by the Supplier's mail server or equivalent remote mail server ("**Receipt**").
- 3.3.21 The Supplier shall provide an automatic email acknowledgement when an Incident email has been received.

All Severities Fix Times

- 3.3.22 The All Severities Fix Time Service Level measures the time to Resolution of all Service Failures of all Severities against a single Fix Time within a calendar month.
- 3.3.23 This Service Level shall only include Service Failures that have been Resolved within the calendar month.

3.4 **Service Failure Management**

Reporting of Incidents

- 3.4.1 The Service Failure Management Service Levels detailed within paragraphs 3.4 to 3.31 and Appendix 1 shall apply. Where a Service Failure is notified to the Supplier the Service Failure shall be recorded in a Service Failure log in accordance with paragraphs 3.4.6 to 3.4.14 (**Service Failure Log**).
- 3.4.2 The Supplier shall have responsibility for immediately notifying all issues, including but not limited to Service Failures, encountered by End Users and reported to the Supplier, to other ISPs or other third parties whom the Supplier identifies as being responsible for progressing the Incident.
- 3.4.3 The Supplier acknowledges that Service Failures may be notified to the Help Desk by the End User or any ISP.
- 3.4.4 If the Supplier itself becomes aware of a Service Failure prior to the Help Desk receiving notification of that Service Failure, the Supplier shall

immediately notify the Service Failure to the Help Desk provided by the Supplier as part of the GPSoC Service.

- 3.4.5 For Severity 1 and 2 Incidents, the Supplier shall immediately notify the Authority and any other appropriate ISP and PCT help desk likely to be affected by that Service Failure.

Service Failure Log

- 3.4.6 The Supplier shall be responsible for allocating a Severity Level to each Service Failure notified to or discovered by it in accordance with paragraph 3.4.4 and the Supplier shall ensure that the Service Failure and the Severity Level allocated to it are recorded in the Service Failure Log.

- 3.4.7 The Authority and any relevant party has the right to check the accuracy and completeness of all entries made by the Supplier in the Service Failure Log.

- 3.4.8 Where the Help Desk service receives more than one report in respect of a particular Service Failure, all such reports shall be logged in the Service Failure Log (but the first report of the Service Failure shall be deemed to be the Service Failure Report).

- 3.4.9 The Supplier shall ensure that, as a minimum, the following details are recorded on the Service Failure Log (by the time the Service Failure is Resolved) in respect of each Service Failure:

3.4.9.1 a unique report number (report numbers shall be applied sequentially);

3.4.9.2 the date and time the report is received at the Help Desk;

3.4.9.3 the nature and location of the Service Failure;

3.4.9.4 the person/organisation making the report;

3.4.9.5 the Severity Level assigned to the Service Failure;

3.4.9.6 an estimate (produced with all due care and diligence) of the number of End Users affected by the Service Failure (whether they are individual End Users or groups of End Users);

3.4.9.7 details of any communication with a End User in connection with the Service Failure;

3.4.9.8 any notes and comments regarding any mitigating circumstances with regard to the Service Failure;

3.4.9.9 the Supplier's plans for remedying the Service Failure including details, where applicable, of the estimated time within which such Service Failure will be remedied; and

3.4.9.10 the reasons for any inability of the Supplier to meet the OSL for Resolution of the Service Failure.

- 3.4.10 The Supplier shall provide to the Authority and the relevant PCT(s) a copy of the entry in the Service Failure Log in respect of any Severity Level 1, 2 and,

where requested, Severity Level 3 Service Failure within 2 (two) hours of receipt of the Service Failure Report or, where the Service Failure has resulted in the Supplier's performance of a GPSoC Service falling below a Critical Service Level or with respect to any Severity Level 1 or 2 Service Failure, within such shorter period as the Authority and the relevant PCT(s) shall reasonably require.

- 3.4.11 The Supplier shall, by no later than 09:00 each day, provide to the Authority and the relevant PCT(s) a report detailing, for each Severity Level, the number of Service Failures:
 - 3.4.11.1 occurring during the 24 hour period ending at midnight on the preceding day;
 - 3.4.11.2 Resolved during the 24 hour period ending at midnight on the preceding day; and
 - 3.4.11.3 Unresolved at midnight on the preceding day.
- 3.4.12 The Supplier shall, whenever so requested by the Authority and the relevant PCT(s) and in any case with respect to any Service Failure which has resulted in either the Supplier's performance of a GPSoC Service falling below a Critical Service Level or with respect to any Severity Level 1 or 2 Service Failure, or both, provide to the Authority and the relevant PCT(s) an up-to-date status report in respect of each Service Failure at intervals of no more than 1 (one) hour.
- 3.4.13 The Supplier shall be responsible for updating the Service Failure Log in respect of all faults which are reported to it until such faults are Resolved, irrespective of whether it is responsible for the faults.
- 3.4.14 If a fault is reported to the Supplier by another ISP the Supplier will record the fault log number of the reporting ISP in the Service Failure Log and shall update the reporting ISP on a regular basis until the fault is Resolved.

Severity Levels

- 3.5 The Supplier shall allocate a Severity Level to each Service Failure in accordance with the Severity Level Guidelines and shall inform the End User of the Severity Level which has been allocated along with the appropriate reference number, immediately upon an Incident being logged by the Help Desk.
- 3.6 In the event that any Severity Level 2 Service Failure is not Resolved within the Severity Level 2 Fix Time CSL, that Service Failure shall, immediately upon that period expiring, automatically become a Severity Level 1 Service Failure and from such time, the Supplier shall treat the Service Failure as a Severity Level 1 Service Failure. Where applicable, the Service Points which shall accrue will be the greater of the number of Service Points determined by the:
 - 3.6.1 time the Service Failure was at the original Severity Level; and
 - 3.6.2 Fix Time for the increased Severity Level measured from the time the Service Failure Severity Level was increased.

- 3.7 In the event that two or more reports of the same Service Failure are allocated different Severity Levels, the applicable Severity Level shall be the highest Severity Level so allocated.
- 3.8 The End User may, acting reasonably and in accordance with Severity Level Guidance, require the Supplier to change the Severity Level allocated to any Service Failure at any time.
- 3.9 The Supplier shall increase and, subject to the approval of the End User (such approval not to be unreasonably withheld or delayed), decrease the Severity Level allocated to a Service Failure as soon as it becomes aware of any facts or circumstances which make such an increase or decrease appropriate.
- 3.10 Where applicable, any Service Points that accrue to the Supplier in respect of a Service Failure where the Severity Level has been changed shall be calculated in accordance with paragraph 5.
- 3.11 The Supplier shall record in the Service Failure Log any change in the Severity Level allocated to a Service Failure.
- 3.12 In relation to any Service Failure, the End User may review the allocation of the Severity Level. If the End User (having regard to the information available to the Supplier or the End User at the time) determines that the Supplier failed to increase the Severity Level allocated to the Service Failure (in accordance with paragraph 3), the End User may retrospectively allocate a different Severity Level to the Service Failure.
- 3.13 If the Supplier disagrees with any reallocation of the Severity Level by the End User, then the Supplier shall be entitled to raise the issue at the GPSoC Service Performance Review Meeting. Failing agreement the issue shall be dealt with in accordance with the Dispute Resolution Procedure set out in clause 22 of the Framework Agreement.

Fix Times

- 3.14 The Supplier shall be responsible for the resolution of each Service Failure in accordance with the relevant Fix Time attached to that Service Failure.
- 3.15 Subject to clause 3.24, the Fix Time for each Service Failure shall be measured from the moment the Service Failure Report is received by the Help Desk until the moment the Service Failure is Resolved except that:
 - 3.15.1 for Severity Level 3, 4 and 5 Service Failures the Fix Time shall exclude Non Core Hours
 - 3.15.2 End Users may continue to notify the Help Desk of Service Failures 24 hours a day, seven days a week, 365 days a year.
- 3.16 Subject to paragraph 3.18, a Service Failure shall be considered **Resolved** when the Supplier confirms to the reasonable satisfaction of the End User that the relevant GPSoC Service is being provided to the standard required by this document. Such confirmation may be given verbally or by email by the Supplier to the End User, provided that where it is given verbally it is confirmed in writing to the End User no later than 17.00 the following day.

- 3.17 If the Supplier wishes to apply a temporary solution to a Service Failure it shall provide to the End User, with a copy to the Authority and the relevant PCT(s):
- 3.17.1 details of the temporary solution; and
 - 3.17.2 a plan setting out how the Supplier intends to provide a permanent solution.
- 3.18 If the End User approves the proposed temporary solution and plan, then;
- 3.18.1 the Service Failure shall be deemed to be Resolved;
 - 3.18.2 the Supplier shall forthwith apply the agreed temporary solution; and
 - 3.18.3 the Supplier shall subsequently provide the permanent solution in accordance with the agreed plan.

If the Supplier fails subsequently to provide the permanent solution in accordance with the agreed plan (and in particular in accordance with the timescales set out in that plan), the Service Failure shall be deemed not to have been Resolved at the time the plan was approved by the End User and, where applicable, Service Points shall accrue to the Supplier as appropriate.

- 3.19 For Severity 3, 4 or 5 Service Failures, the Supplier may provide to the Authority or appointed representative a plan to Resolve the Service Failure in a future Supplier Release. If the Authority or appointed representative approves such a plan (such approval not to be withheld or delayed unreasonably), the Service Failure will be deemed to be Resolved. Notwithstanding the Authority's or appointed representative's approval of the plan, the Authority or appointed representative may, acting reasonably, require the Service Failure to be Resolved in an earlier Supplier Release.

If the Supplier fails subsequently to provide the permanent solution in accordance with the agreed plan (and in particular in accordance with the timescales set out in that plan), the Service Failure shall be deemed not to have been Resolved at the time the plan was approved by the End User and, where applicable, Service Points shall accrue to the Supplier as appropriate.

- 3.20 If, after the Supplier has provided the confirmation referred to in paragraph 3.16 the Service Failure recurs within 5 (five) hours of such confirmation being given, the Service Failure shall be deemed not to have been Resolved.
- 3.21 If a Service Failure remains Unresolved at the end of the calendar month in which it has occurred, it shall be treated as ongoing, in which case the Fix Time shall be calculated as set out in paragraph 3.15, and, where applicable, Service Points, where the relevant OSL is not achieved, shall accrue or begin to accrue (as the case may be) until the Service Failure is Resolved.
- 3.22 Any dispute as to whether a Service Failure has been Resolved and/or as to the timing of such Resolution shall be referred to the Dispute Resolution Procedure at clause 22 of the Framework Agreement.
- 3.23 Where access to the End User is required to Resolve the Incident and the End User or designated contact are not contactable on three separate occasions at intervals of not less than 15 minutes then provided that such failure to contact the End User shall have been reported to the relevant Practice or local help desk and that the Supplier has used

reasonable endeavors to contact the End User, then the period after the third attempt and until contact is made shall not contribute to the Fix Time calculation.

Escalation

- 3.24 In respect of any ongoing failure to Resolve a Severity Level 1, 2 or 3 Service Failure, the Authority or any relevant PCT shall be entitled to notify the Supplier's senior management if the Service Failure of a Component System is not Resolved within the Fix Time OSLs for the relevant Severity Level detailed in Appendix 1. The Authority or any relevant PCT may notify the Supplier's senior management following a failure to Resolve the Service Failure within the relevant Fix Time OSL time period.
- 3.25 In addition to notifying any of the persons referred to in paragraph 3.24 above, the Authority shall be entitled to require the attendance of any such person(s) at a meeting with the Authority or any relevant PCT and/or such third parties as the Authority or any relevant PCT may require to attend, to discuss the Service Failure and the steps that are being taken by the Supplier to resolve it. Any such meeting shall be at a time and location that the Authority or relevant PCT shall reasonably require and shall be at the Authority or any relevant PCT's cost for Severity 3 Failures only.

Supplier Senior Management

- 3.26 *[Supplier to insert contact details of Senior Management]*
- 3.27 Any escalation of the Severity Level allocated to a particular Service Failure that takes place in accordance with paragraph 3 is without prejudice to any other rights and remedies of the Authority under the Framework Agreement.

Problem Resolution

- 3.28 The Problem Resolution Service Level shall measure the Supplier's management of Problems raised resulting from Incidents, hence Service Points will apply to all such Problems.
- 3.29 The Problem Resolution Service Levels set out in Appendix 1 shall apply. A two stage approach will be introduced for Problem Resolution. Statistical information will be gathered by the Supplier and where the proposed targets prove to be unachievable due to reasons outside the Supplier's and/or sub-contractor's reasonable control the parties will agree such changes which are reasonable.
- 3.30 UNUSED
- 3.31 No Service Points are applicable to Problem Resolution OSL for Local Server Based GPSoC Services and Hosted GPSoC Services not hosted to NHS CFH Standards.

4. PERFORMANCE MONITORING

4.1 Principal points

- 4.1.1 The Performance Monitoring provisions in this paragraph 4 shall apply. This paragraph 4 provides the methodology for monitoring the GPSoC Services in order to ensure that the Supplier is complying with the Service Levels, to monitor the Supplier's performance and to identify any Service Failures or other defects in the Supplier's performance and/or delivery of the GPSoC Services (**Performance Monitoring System**).
- 4.1.2 The Performance Monitoring System shall be maintained and updated on a monthly basis by the Supplier as may be necessary to reflect the then current state of the monitoring for GPSoC Services. Any updated Performance Monitoring System shall be forwarded to the Authority for approval within 5 (five) days of the end of the relevant month. The Authority shall be entitled to require reasonable amendments (Routine Changes) to the updated Performance Monitoring System and the Supplier shall make such amendments and resubmit a further updated Performance Monitoring System to the Authority for approval within 5 (five) days of the date on which the Authority requested the amendments to be made. Until such time as the updated Performance Monitoring System is approved by the Authority the existing Performance Monitoring System shall continue to apply.
- 4.1.3 The Authority shall be entitled to require changes to be made by the Supplier to the Performance Monitoring System insofar as it considers such changes to be necessary in order to ensure compliance with or to give effect to the National Governance Procedures.
- 4.1.4 Without prejudice to the provisions of paragraphs 4.4 and 4.5 both the Authority and the Supplier shall have the right to propose changes other than Routine Changes to the Performance Monitoring System in accordance with the Change Control Procedure. Any Routine Changes to the Performance Monitoring System shall be dealt with in accordance with paragraph 4.1.2.

4.2 Performance Monitoring System Requirement

- 4.2.1 The Supplier shall provide the Authority with a Performance Monitoring System within 30 (thirty) days of the Commencement Date which shall comply with the provisions set out in this paragraph 4.2.4. The Authority shall notify the Supplier within 14 (fourteen) days of its receipt of the Performance Monitoring System and of its response (approval or rejection) to it. The Performance Monitoring System shall not be deemed to have been approved if no notice of approval is given during such period. If the Performance Monitoring System is approved by the Authority it shall be adopted immediately.
- 4.2.2 The proposed Performance Monitoring System must comply with the relevant provisions of the IT Infrastructure Library standards developed by the Office of Government Commerce.
- 4.2.3 The proposed Performance Monitoring System must, as a minimum, include details of the Supplier's proposals in respect of the following:

- 4.2.3.1 the processes and systems the Supplier will put in place to monitor effectively and report on its performance of the GPSoC Services as against the Service Levels set out in this document;
 - 4.2.3.2 the format and content of the Performance Monitoring Reports;
 - 4.2.3.3 the procedure to be followed in respect of notification to the Help Desk of Service Failures and other defects in the Supplier's performance and/or delivery of the GPSoC Service;
 - 4.2.3.4 Supplier self monitoring (in accordance with the Performance Monitoring System) using an industry recognised helpdesk tool or one in accordance with industry standards;
 - 4.2.3.5 Satisfaction Surveys - as defined in the Framework Agreement;
 - 4.2.3.6 Performance Review of the Supplier's performance under the Framework Agreement;
 - 4.2.3.7 Authority audit; and
 - 4.2.3.8 how the Supplier will comply with the obligations set out in this document.
- 4.2.4 The Supplier is required to clearly state its performance management methodology, and its intended implementation, including but not limited to:
- 4.2.4.1 sample methodology;
 - 4.2.4.2 the algorithm (formula) for calculating the Average;
 - 4.2.4.3 the degree to which the sample data is representative of live transactions;
 - 4.2.4.4 the ratio of the sample data to the total number of transactions, expressed as percentage;
 - 4.2.4.5 the type of transactions comprising the sample data must be specified (e.g. the total number of transactions type: simple query, complex query, simple update and complex update etc); and
- report template examples.

4.3 Performance reporting and performance review

- 4.3.1 The Supplier shall measure and monitor the GPSoC Services, including the live and any training environments, in order to collect data that will enable the Service Levels as set out in Appendix 1 to be accurately, efficiently and

effectively monitored. The Supplier shall report on all aspects of the GPSoC Services for which it has responsibility.

- 4.3.2 Within 5 (five) days of the end of each calendar month, the Supplier shall provide draft performance monitoring reports run from the Performance Monitoring System (the draft and final reports together being the **Performance Monitoring Reports**) to the Authority. As the Performance Monitoring Reports form part of the Performance Monitoring System, the frequency of the Supplier's performance reporting may be increased in accordance with the procedures set out in paragraphs 4.1.2 to 4.1.3.
- 4.3.3 The Authority may, at its sole discretion which shall be reasonably exercised, require more frequent or *ad hoc* reports on GPSoC Service performance in respect of the GPSoC Services and the Supplier shall ensure that such reports are provided promptly and in accordance with any requirements the Authority may have in this regard.
- 4.3.4 The Performance Monitoring Reports shall be in the format as agreed with the Authority and shall contain at least the following information in respect of the calendar month to which it relates:
 - 4.3.4.1 Service Level achievement for each Component System;
 - 4.3.4.2 the monitoring which has been performed by the Supplier in accordance with the Performance Monitoring System together with a summary of any issues identified by such monitoring;
 - 4.3.4.3 a summary of all Service Failures that occurred during the calendar month including the Fix Times for each Resolved Service Failure;
 - 4.3.4.4 a summary of all Repeat Failures that occurred during the calendar month;
 - 4.3.4.5 which Severity Levels occurred with specific details in relation to Severity Level 1 and Severity Level 2 Service Failures;
 - 4.3.4.6 which Service Failures remain outstanding;
 - 4.3.4.7 where applicable, the number of Service Points awarded to each Service Failure that has been Resolved in that calendar month;
 - 4.3.4.8 a rolling total of the number of Service Failures that have occurred and the value of Service Deductions that have been incurred by the Supplier over the past 6 (six) months;
 - 4.3.4.9 relevant particulars of any aspects of the Supplier's performance which fail to meet the requirements of the Framework Agreement; and
 - 4.3.4.10 such other details as the Authority may reasonably require to be included in the Performance Monitoring Reports from time to time.

- 4.3.5 The Supplier shall produce Performance Monitoring Reports which details information at a PCT level, showing the performance for each Component System for each Practice in a PCT and reflecting the Service Levels achieved in relation to each Component System or as otherwise agreed with the Authority. These Performance Monitoring Reports, which detail information at a PCT level, shall be made available to other PCTs, via an automated mechanism provided by the Supplier.
- 4.3.6 The draft Performance Monitoring Reports shall be reviewed by the Supplier and the Authority and agreed at the Performance Review Meeting which follows the issue of such report in accordance with paragraph 4.3.2. Should the parties fail to agree the content of the Performance Monitoring Reports the issue shall be referred to the Dispute Resolution Procedure in clause 22 of the Framework Agreement.
- 4.3.7 The Supplier shall provide the Authority and the relevant PCT with a quarterly written summary of the monthly Performance Monitoring Reports that have been prepared during that Quarter (**Quarterly Summary**). The Quarterly Summary shall be provided by the Supplier to the Authority within 5 (five) days of the end of each Quarter, and shall be reviewed at the Performance Review Meeting which follows its issue. The Quarterly Summary shall contain such details as the Authority shall advise the Supplier of from time to time.
- 4.3.8 The parties shall attend Performance Review Meetings on a monthly basis.
- 4.3.9 The Performance Review Meetings will be the forum for the review by the Supplier, the Authority and appointed representatives of the Performance Monitoring Reports and Quarterly Summaries. The Performance Review Meetings shall, unless otherwise agreed:
- 4.3.9.1 take place within 2 (two) weeks of the draft Performance Monitoring Reports being issued by the Supplier;
 - 4.3.9.2 take place at such location and time (within normal business hours) as the Authority shall reasonably require unless otherwise agreed in advance;
 - 4.3.9.3 be attended by such members of the Authority and appointed representatives and the Supplier as are necessary; and
 - 4.3.9.4 be fully minuted by the Authority. The Authority shall circulate the prepared minutes to all attendees of the Performance Review Meeting and also to such other members of the Authority and the Supplier as appropriate. The minutes of the preceding Performance Review Meeting will be agreed and signed by both the Supplier's Representative and the Authority's Representative at each Performance Review Meeting.
- 4.3.10 The Authority may, subject to the approval of the Supplier (such approval not to be unreasonably withheld or delayed) invite representatives of other ISPs to attend any Performance Review Meeting, provided that the Supplier shall be entitled to require the representatives of other ISPs:

- 4.3.10.1 not to attend any Performance Review Meeting dealing solely with any commercially sensitive matter as described in paragraph 4.3.11 below;
- 4.3.10.2 to leave any Performance Review Meeting for the period during which any commercially sensitive matter as described in paragraph 4.3.11 below is discussed.
- 4.3.11 The commercially sensitive matters that the Supplier would not be prepared to discuss in the presence of other vendors, be they service delivery partners, sub-contractors or third party agents, referred to in paragraph 4.3.10 above are (as extended and/or amended from time to time with both parties' consent) as listed below (this does not discount the listed topics being discussed directly with the Authority without a third party presence):
 - 4.3.11.1 the price of the GPSoC Services, or elements of the GPSoC Services. This includes amongst others, base prices, incremental or variable prices and overall profit margins;
 - 4.3.11.2 the costs to the Supplier associated with any partner organisation, sub-contractor, or third party service provider related to the delivery of the GPSoC Services or indeed any other account under the management of the Supplier, other than those involved in the specific discussion;
 - 4.3.11.3 the written details of any contractual relationship between the Supplier and any partner organisation, sub-contractor, or third party service provider related to the delivery of the GPSoC Services or indeed any other account under the management of Supplier, other than those involved in the specific discussion;
 - 4.3.11.4 any proprietary technologies utilised in delivering the GPSoC Services;
 - 4.3.11.5 the Supplier's staffing ratios utilised in delivering the GPSoC Services;
 - 4.3.11.6 the Supplier's salaries and overall staff costs in delivering the GPSoC Services;
 - 4.3.11.7 staffing levels and any planned changes to those levels,;
 - 4.3.11.8 the cost to the Supplier of specific technologies, e.g. Intel based PC equipment;
 - 4.3.11.9 Any business plans;
 - 4.3.11.10 any technology plans;
- 4.3.12 The Supplier shall provide the Authority with such supporting documentation as may reasonably be required and/or requested in order to verify the level of the Supplier's performance of the GPSoC Services under the terms of the Framework Agreement and the calculations of the Service Deductions for any specified period.

- 4.3.13 The Authority shall be entitled at its sole discretion to audit the suppliers mechanism used to calculate the Service Points, to verify that they are calculated in accordance with the provisions of this document.
- 4.3.14 The Supplier may, subject to the approval of the Authority (such approval not to be unreasonably withheld or delayed) invite representatives of other ISPs to attend any Performance Review Meeting.
- 4.4 The Supplier shall ensure that audit trails are available to the Authority no more than 24 hours after the auditable event has occurred. On occasions where data is required urgently, the Supplier shall make data available within 4 hours of the request.
- 4.5 **Action reporting**
- 4.5.1 The Authority and/or the relevant PCT shall, at its discretion, generate a report on issues which require the Supplier's immediate attention (**Action Report**).
- 4.5.2 The Action Report shall contain:
- 4.5.2.1 a unique reference number for each issue;
 - 4.5.2.2 a description of the issue; and
 - 4.5.2.3 the matters that the Supplier must as a minimum address in its response to the Action Report.
- 4.5.3 The Action Report shall be delivered to the Supplier.
- 4.5.4 The Supplier shall log the Action Report and its date of receipt. Within 2 (two) days of receipt of the Action Report, the Supplier shall provide a response to the Authority and/or the relevant PCT(s) in accordance with the requirements set out in the Action Report.
- 4.5.5 For the avoidance of doubt, Action Reports and the Supplier's responses to them shall not supersede or relieve the Supplier of any obligation contained in the Framework Agreement and shall not constitute a Change to the Framework Agreement unless agreed through the Change Control Procedure.
- 4.6 The Supplier shall provide reports and plans to the Authority in accordance with the Service Level Specifications and against all Component Systems. The Authority and Supplier shall agree on a consistent set of reports to be provided to the Authority under the terms of the Framework Agreement and will jointly endeavour to ensure that these reports provide PCTs and SHAs with the information that they require. Additional reports may be requested from time to time.

5. SERVICE POINTS REGIME PCT/GP LEVEL

5.1 Service Points

5.1.1 A Service Point regime will apply to the Service Levels detailed within Appendix 1 Part A for GPSoC Services Hosted to NHS CFH Standards only. Service Points will be used to calculate any Service Deductions.

5.1.2 The basic principles of the proposed Service Point regime are:

5.1.2.1 1 Service Point = 0.05% of the Notional Monthly Service Charge as defined in the Framework Agreement;

5.1.2.2 the regime will only operate within the limits of the Notional Monthly Service Charge ie a maximum of 2,000 Service Points can be accrued in a month; and

5.1.2.3 Service Points shall be allocated to each Service Level in accordance with the following weighting scheme:

Service Level		Maximum Service Points
Availability	Core	540
	Non-Core	125
Supplier Response Times	Transaction Type 1	50
	Transaction Type 2	50
	Transaction Type 3	50
	Transaction Type 4	50
	Transaction Type 5	50
	Transaction Type 6	50
	Transaction Type 7	50
	Transaction Type 8	50
	Transaction Type 9	0
	Transaction Type 10	20
	Transaction Type 11	20
	End to End Response Times	0
Message Accuracy and Transfer	150	
Help Desk	Call Answer Time	120
	Email Support – Logged Response Time	30
	Call Referral Times	20
	All Severities Fix Time	60
Service Failure Management	Severity 1 Fix Time	200
	Severity 2 Fix Time	100
	Severity 3 Fix Time	75

Service Level		Maximum Service Points
	Severity 4 Fix Time	20
	Severity 5 Fix Time	10
Problem Resolution OSL	Problem Resolution OSL	110
Total		2000

5.2 Repeat Failures

5.2.1 If the Supplier fails to achieve any Availability Service Level CSL (as defined in Appendix 1) or Supplier Response Time Service Level CSL (as defined in Appendix 1) for a Component System in two consecutive calendar months or in any two calendar months in any three month period, the second such failure by the Supplier shall be a Repeat Failure. Any subsequent failure by the Supplier to achieve that CSL shall also be a Repeat Failure, save that if the Supplier's performance of the relevant element of the applicable Service meets the OSL in two consecutive calendar months after a Repeat Failure, the next (if any) failure by the Supplier to achieve that CSL shall be treated as an initial failure and not a Repeat Failure.

5.2.2 With respect to Service Failures, the provisions of this paragraph 5 shall only apply in respect of Severity Level 1, 2 and 3 Service Failures

5.2.3 If any Repeat Failure occurs, the number of Service Points that shall accrue to the Supplier in respect of such Repeat Failure shall be the number of Service Points that would normally accrue in respect of an initial failure of that Service Level (as set out in Appendix 1) multiplied in accordance with the following table:

Number of Repeat Failures	Multiplier for Service Levels
0 (initial failure)	1
1	1
2	1.5
3	1.75
4	2
5 (and each subsequent Repeat Failure)	2.25

5.3 The parties acknowledge that the use of automated call answering technologies will be permitted on a case by case basis where in each instance it is proven by the Supplier to the satisfaction of the Authority and subsequently agreed by the Authority that the use of such technology will increase the levels of service capability as referred to in paragraph 5.2.1 above.

5.4 **Related Failures**

During any period of Service Downtime, the Supplier shall accrue Service Points for Non-Availability but shall not also be penalised for delays in Supplier Response Times during such period of Service Downtime.

5.5 **Calculating Service Deductions**

The Authority shall use the Performance Monitoring Reports and the Action Reports provided pursuant to paragraph 4 of this Schedule, *inter alia*, to verify the calculation and accuracy of Service Deductions, if any applicable to each calendar month.

5.6 **Excusing Causes**

5.6.1 If an Excusing Cause causes a deterioration in the performance of the GPSoC Services and provided that the Excusing Cause and the likely effects of it are notified to the Authority by the Supplier in writing within ten (10) days of the date on which the Supplier became aware (or ought reasonably to have become so aware) of the occurrence of the Excusing Cause, then (subject to subclause 5.6.2) to the extent such failure or interference arises as a result of such Excusing Cause such interference shall be taken account of in measuring the performance of any affected GPSoC Services in accordance with this document. Instead the Supplier shall be treated as though the relevant GPSoC Service had been performed free from such adverse interference, so that, provided that the Supplier can show to the reasonable satisfaction of the Authority that but for the occurrence of the Excusing Cause it would have provided the affected GPSoC Services in accordance with this document, the Authority shall not be entitled to make any Service Deductions in respect of the Supplier's poor performance of, or failure to perform, the GPSoC Services to the extent that the Excusing Cause is the direct cause of such failure or poor performance.

5.6.1.1 For these purposes **Excusing Cause** means:

- (a) any breach by the Authority of any of the Authority's express obligations under the Framework Agreement (unless, and to the extent, caused or contributed to by the Supplier);
- (b) any deliberate act or omission of the Authority, PCT and/or Practice or any failure by the Authority, to take reasonable steps to carry out its activities in a manner which minimises undue interference with the Supplier's performance of the GPSoC Services, save where:
 - (i) (and to the extent) caused or contributed to by the Supplier;
 - (ii) the Authority, PCT and/or Practice is acting in accordance with a recommendation or instruction of the Supplier;
 - (iii) any such act or omission giving rise to such failure was provided for in the Framework Agreement or was otherwise necessary to ensure

compliance by the Authority with its obligations under the Framework Agreement; or

(iv) (and to the extent that) the consequences of any such deliberate act or omission or other acts or omissions giving rise to such failure would have been prevented by the proper performance of the Supplier's obligations under the Framework Agreement.

(c) any act or omission of any Integrated Service Provider other than the Supplier or any Affiliate of the Supplier.

5.6.2 The Authority and the Supplier shall take all reasonable steps to mitigate the consequences of an Excusing Cause on the Supplier's ability to perform its obligations under the Framework Agreement. To the extent that the Supplier does not take such steps, the Supplier shall not be entitled to, and shall not receive, the relief specified in these subclauses.

6. SYSTEM MAINTENANCE

6.1 The Supplier shall create a rolling 52 week maintenance schedule (which it shall update each week or as otherwise agreed with the Authority) with regard to the GPSoC Compliant System (**Maintenance Schedule**). The Maintenance Schedule, applicable as at the Commencement Date, is set out in Appendix 2.

6.2 The updated Maintenance Schedule shall be provided by the Supplier to the Authority and the relevant PCT(s) and/or End User on a weekly basis.

6.3 Where the Maintenance Schedule is created in respect of:

6.3.1 Local Server Based GPSoC Services - a PCT shall be the **Relevant Party** for the purpose of paragraphs 6 and Appendix 2; or

6.3.2 Hosted GPSoC Services not Hosted to NHS CFH Standards and Hosted GPSoC Services Hosted to NHS CFH Standards – relevant PCT(s) and the Authority shall be the **Relevant Party** for the purpose of paragraphs 6 and Appendix 2.

6.4 The Supplier shall only carry out Maintenance during Non-Core Hours unless otherwise agreed with the Relevant Party (such approval not to be unreasonably withheld).

6.5 When the Supplier wishes to carry out any Maintenance to Local Server Based GPSoC Services (other than Emergency Maintenance) then it shall ensure that:

6.5.1 the timing of the Maintenance is entered onto the Maintenance Schedule and the Supplier notifies the Relevant Party in writing at least 28 (twenty eight) days in advance of the anticipated commencement date for the Maintenance;

6.5.2 the Maintenance is subsequently carried out in accordance with the Maintenance Schedule unless:

6.5.2.1 the Supplier has provided the Relevant Party with 7 (seven) days' notice of a cancellation; or

- 6.5.2.2 the Relevant Party requests an alternative date for the Maintenance. The Supplier and the Relevant party shall seek to agree alternative dates for the Maintenance no later than 10 calendar days after the Relevant Party receives notice of the Maintenance under clause 5.6; or
 - 6.5.2.3 the Practice and/or PCT opts out of the Maintenance.
- 6.6 When the Supplier wishes to carry out any Maintenance (other than Emergency Maintenance) to Hosted GPSoC Services not Hosted to NHS CFH Standards (other than Emergency Maintenance) then it shall ensure that:
 - 6.6.1 the timing of the Maintenance is entered onto the Maintenance Schedule and the Supplier notifies the Relevant Party in writing at least 28 (twenty eight) days in advance of the anticipated commencement date for the Maintenance;
 - 6.6.2 the Maintenance is subsequently carried out in accordance with the Maintenance Schedule unless :
 - 6.6.2.1 the Supplier has provided the Relevant Party with 7 (seven) days' notice of a cancellation; or
 - 6.6.2.2 the Relevant Party requests an alternative date for the Maintenance. The Supplier and the Relevant Party shall seek to agree alternative dates for the Maintenance no later than 10 calendar days after the Relevant Party receives notice of the Maintenance under this clause.
- 6.7 When the Supplier wishes to carry out any Maintenance (other than Emergency Maintenance) to Hosted GPSoC Services Hosted to NHS CFH Standards (other than Emergency Maintenance) then it shall ensure that:
 - 6.7.1 the timing of the Maintenance is entered onto the Maintenance Schedule and the Supplier notifies the Relevant Party in writing at least 42 (forty two) days in advance of the anticipated commencement date for the Maintenance;
 - 6.7.2 the timing of the Maintenance is agreed with the Authority or its appointed representatives in writing at least 28 (twenty eight) days in advance of the anticipated commencement date for the Maintenance. The Supplier is responsible for seeking the agreement.
 - 6.7.3 the Maintenance is subsequently carried out in accordance with the Maintenance Schedule unless:
 - 6.7.3.1 the Supplier has provided the Relevant Party with 7 (seven) days' notice of a cancellation; or
 - 6.7.3.2 the Relevant Party requests an alternative date for the Maintenance. The Supplier and the Relevant Party shall seek to agree alternative dates for the Maintenance no later than 10 calendar days after the Relevant Party receives notice of the Maintenance under this clause.
- 6.8 When the Supplier wishes to carry out any Emergency Maintenance to GPSoC Services then it shall ensure that:

- 6.8.1 the Supplier shall give as much notice as is reasonably practicable to the Relevant Party prior to carrying out the Emergency Maintenance;
- 6.8.2 the Supplier shall use reasonable endeavours to agree the timing of the Maintenance with the Relevant Party;
- 6.8.3 the Maintenance is subsequently carried out unless :
 - 6.8.3.1 the Supplier has provided the Relevant Party with 1 days' notice of a cancellation; or
 - 6.8.3.2 the Relevant Party requests an alternative date for the Maintenance. The parties shall seek to agree alternative dates for the Maintenance.
- 6.9 When the Supplier wishes to carry out any Maintenance to any GPSoC Services where the maintenance affects the interaction of the GPSoC Services with services provided by other ISPs, or affects Messages, then it shall ensure that:
 - 6.9.1 the timing of the Maintenance is agreed with the Authority in writing at least 28 (twenty eight) days in advance of the anticipated commencement date for the Maintenance;
 - 6.9.2 once agreed, the timing of the Maintenance is immediately entered onto the Maintenance Schedule;
 - 6.9.3 the Maintenance is subsequently carried out in accordance with the Maintenance Schedule unless:
 - 6.9.3.1 the Supplier has provided the Authority Relevant Party with 7 (seven) days' notice of a cancellation; or
 - 6.9.3.2 the Authority requests an alternative date for the Maintenance. The Supplier and the Authority shall seek to agree alternative dates for the Maintenance no later than 10 calendar days after the Authority Party receives notice of the Maintenance under this clause.
- 6.10 The Authority or its appointed party may, at its sole discretion (such discretion to be exercised reasonably), make a request of the Supplier which results in Service Downtime related to a Component Systems or any part of a Component System. In such circumstances, the Authority or its appointed party will notify the Supplier of any additional Permitted Downtime afforded to the Supplier to complete the request in addition to the fixed length of Permitted Downtime allowed for the Component Systems defined in Appendix 4, provided that the Authority or its appointed party shall, without limitation, be entitled to refuse any additional Permitted Downtime where it has made the request as a result of any act, error or omission of the Supplier.
- 6.11 Where a third party is not a Material Sub-contractor, and the Supplier can demonstrate to the satisfaction of the Authority or its appointed party that a change is required to maintain third party support contracts, the Supplier may seek consent from the Authority or its appointed party for additional Permitted Downtime (not to be unreasonably withheld) if the level of Planned Downtime required for the technical change will exceed the Permitted Downtime allocation for the affected Component System(s). Subject to the Supplier providing appropriate technical and planning

information and demonstrating in writing to the Authority or its appointed party that third party support would no longer be provided without a change requiring additional Planned Downtime and the Supplier demonstrating that the Planned Downtime was of a reasonable duration to affect that change, such additional Permitted Downtime shall be granted by the Authority and agreed prior to the start of the relevant Permitted Downtime. The agreed additional Permitted Downtime shall provide the Supplier with sufficient time to complete the change in order to maintain any third party support contract criteria. The Supplier shall use reasonable endeavours to keep the additional Permitted Downtime to a minimum.

- 6.12 Where the Supplier can demonstrate that a technical change will deliver business benefits to the Authority or its appointed party the Supplier may seek consent from the Authority for additional Permitted Downtime if the level of Planned Downtime required for the technical change will exceed the Permitted Downtime allocation for the affected Component System(s). The Authority or its appointed party may in its sole discretion authorise such a technical change and consent to such additional Permitted Downtime to allow the technical change to be completed. The Supplier shall use reasonable endeavours to keep the additional Permitted Downtime to a minimum.
- 6.13 When making a Maintenance request under paragraph 6.10, the Authority or its appointed party shall also specify:
 - 6.13.1 the details of the Maintenance which it requires to be completed by or on behalf of the Supplier; and
 - 6.13.2 the date and time when it requires such Maintenance to be carried out.
- 6.14 The Relevant Party or the Authority may, at its sole discretion, (such discretion to be exercised reasonably), require any Maintenance to be re-scheduled. In such case the Relevant Party or the Authority shall provide as much written notice to the Supplier as is reasonably practicable and shall specify the revised date and the time on which the Maintenance shall take place.
- 6.15 The Relevant Party or the Authority may, at its sole discretion (such discretion to be exercised reasonably), require that any Maintenance is cancelled. In such case the Authority or Relevant Party shall provide as much written notice to the Supplier as is reasonably practicable.
- 6.16 Notwithstanding any of the provisions of this document, all Maintenance (other than Emergency Maintenance or Maintenance undertaken in accordance with paragraph 6.8 above) shall be carried out in accordance with the Maintenance Schedule. All Maintenance shall be carried out in such a manner so as to avoid (or, where this is not possible, to minimise) disruption to the GPSoC Compliant System and the GPSoC Services.
- 6.17 Where applicable, Service Points shall accrue to the Supplier in accordance with Appendix 1 in the event that any Maintenance (including Emergency Maintenance) results in Service Downtime.
- 6.18 The Supplier shall be entitled to the following Permitted Downtime to be taken during Non Core Hours only:
 - 6.18.1 for the GPSoC Hosted Services to NHS CFH Standards, 60 minutes per calendar month for each Component System;

- 6.18.2 for the Local Server Based GPSoC Services and Hosted GPSoC Services not Hosted to NHS CFH Standards, 120 minutes per calendar month for each Component System;
 - 6.18.3 a further 12 (twelve) hours for each Component System per calendar year which can be used at any time during each calendar year provided that no single period exceeds 4 (four) hours; and
 - 6.18.4 if the Authority requires that the GPSoC Services be failed over as part of an agreed test of the Disaster Recovery and Business Continuity Plan, then an extension of Permitted Downtime (equivalent to the Severity Level 1 Service Failure Fix Time OSL) shall apply in respect of the Component System being tested.
- 6.19 No Service Points shall accrue to the Supplier in respect of Permitted Downtime.
- 6.20 Used Planned Downtime commences at the Non-Availability start time stated on the agreed Request for Change (RFC) and ends at the time the Supplier confirms that the System or Service is Available using the agreed communications mechanism.

APPENDIX 1:

Service Levels

Core Hours are the hours of 07:00 until 22:00 from Monday up to and including Friday and from 08:00 until 14:00 on Saturdays excluding Public Holidays.

Support Hours are the hours of 07.30 until 19.00 Monday to Friday excluding Public Holidays and 9:00 until 13:00 Saturday.

Part A

GPSoC Services Hosted to NHS CFH Standards

1. Availability Service Levels

1.1 Availability during Core Hours

Details of Service Level: The following levels of Availability of each Component System must be achieved across each calendar month		
	Standard Required	Associated Service Points
OSL	$\geq 99.4\%$ rising each Payment Month on a pro rata basis to a maximum of 99.9% 6 payment months after Compliance with GPSoC Services Hosted to NHS CFH Standards	0
FL1	$< \text{OSL}$ but $\geq 98.00\%$	Sliding Scale pro rata from 0 to FL2 level
FL2 (Critical Service Level)	$< 98.00\%$	540 (1)

(1) points apportioned in accordance with the formula as outlined in Appendix 5

1.2 Availability during Non-Core Hours

Details of Service Level: The following levels of Availability of each Component System must be achieved across each calendar month		
	Standard Required	Associated Service Points
OSL	$\geq 98.4\%$ rising each month on a pro rata basis to a maximum of 98.9% 6 months after Compliance with GPSoC Services Hosted to NHS CFH Standards	0
FL1	$< \text{OSL}$ but $\geq 97.00\%$	Sliding Scale pro rata from 0 to FL2 level
FL2 (Critical Service Level)	$< 97.00\%$	125 (1)

(1) points apportioned in accordance with the formula as outlined in Appendix 5

1.3 Permitted Downtime

Details of Service Level: Permitted Downtime capable of being exercised during Non-Core Hours	
Permitted Downtime	Associated Service Points
<i>See section 6.18 of this Service Level Specification</i>	
60 minutes per calendar month for each Component System	0
a further 12 (twelve) hours for each Component System per calendar year which can be used at any time during each calendar year provided that no single period exceeds 4 (four) hours	0
if the Authority requires that the GPSoC Services be failed over as part of an agreed test of the Disaster Recovery and Business Continuity Plan, then an extension of Permitted Downtime (equivalent to the Severity Level 1 Service Failure Fix Time OSL) shall apply in respect of the Component System being tested	0

2. Supplier Response Times Service Level

2.1 Supplier Response Times

The following table utilises the Transaction Types and descriptions detailed within Appendix 3.

Physical Transaction Types (PTT)

Physical Transaction Type	Description	Months 1-3		Months 4-6		Month 7 Onwards		Maximum Service Points AppORTioned in accordance with the formula as outlined in Appendix 5
		OSL	FL1 (Critical Service Level)	OSL	FL1 (Critical Service Level)	OSL	FL1 (Critical Service Level)	
1	A request which results in a blank form, or a switch between pre-existing user interface elements which does not require data to be refreshed.	90% <= 0.4 s 95% <= 0.7 s 99.8% <= 4.2 s	85% <= 0.4s 90% <= 0.7 s 94.8% <= 4.2 s	90% <= 0.3 s 95% <= 0.6 s 99.8% <= 3.6 s	85% <= 0.3s 90% <= 0.6s 94.8% <= 3.6s	90% <= 0.2s 95% <= 0.5s 99.8% <= 3.0s	85% <= 0.2s 90% <= 0.5s 94.8% <= 3.0s	50
2	Simple Query. Results in a single screen of information from a single entity	90% <= 2.1s 95% <= 2.8s 99.8% <=16.8s	85% <= 2.1s 90% <= 2.8s 94.8% <=16.8s	90% <= 1.8s 95% <= 2.4s 99.8% <=14.4s	85% <= 1.8s 90% <= 2.4s 94.8% <=14.4s	90% <= 1.5s 95% <= 2.0s 99.8% <=12.0s	85% <= 1.5s 90% <= 2.0s 94.8% <=12.0s	50
3	Business Critical Complex Query - Results in one or more linked screens of information from a set of business entities.	90% <= 2.6s 95% <= 4.2s 99.8% <=14.0s	85% <= 2.6s 90% <= 4.2s 94.8% <=14.0s	90% <= 2.2s 95% <= 3.6s 99.8% <=12.0s	85% <= 2.2s 90% <= 3.6s 94.8% <=12.0s	90% <= 1.8s 95% <= 3.0s 99.8% <=10.0s	85% <= 1.8s 90% <= 3.0s 94.8% <=10.0s	50
4	Complex Query – Results in one or more linked screens of information from a set of business entities.	90% <= 5.4s 95% <= 7.0s 99.8% <=28.0s	85% <= 5.4s 90% <= 7.0s 94.8% <=28.0s	90% <= 4.6s 95% <= 6.0s 99.8% <=24.0s	85% <= 4.6 s 90% <= 6.0s 94.8% <=24.0s	90% <= 3.8s 95% <= 5.0s 99.8% <=20.0s	85% <= 3.8s 90% <= 5.0s 94.8% <=20.0s	50
5	Simple Update. A transaction which updates a single entity from a single input screen	90% <= 3.5s 95% <= 6.3s	85% <= 3.5s 90% <= 6.3s	90% <= 3.0s 95% <= 5.4s	85% <= 3.0s 90% <= 5.4s	90% <= 2.5s 95% <= 4.5s	85% <= 2.5s 90% <= 4.5s	50

Physical Transaction Type	Description	Months 1-3		Months 4-6		Month 7 Onwards		Maximum Service Points Apportioned in accordance with the formula as outlined in Appendix 5
		OSL	FL1 (Critical Service Level)	OSL	FL1 (Critical Service Level)	OSL	FL1 (Critical Service Level)	
		99.8% <=21.0s	94.8% <=21.0s	99.8% <=18.0s	94.8% <=18.0s	99.8% <=15.0s	94.8% <=15.0s	
6	Business Critical Complex Update - A transaction that updates multiple entities from a set of related input screens. Or Multiple instances of the same entity from a list	90% <= 2.8s 95% <= 4.9s 99.8% <=23.8s	85% <= 2.8s 90% <= 4.9s 94.8% <=23.8s	90% <= 2.4s 95% <= 4.2s 99.8% <=20.4s	85% <= 2.4s 90% <= 4.2s 94.8% <=20.4s	90% <= 2.0s 95% <= 3.5s 99.8% <=17.0s	85% <= 2.0s 90% <= 3.5s 94.8% <=17.0s	50
7	Complex update. A transaction that updates multiple entities from a set of related input screens. Or Multiple instances of the same entity from a list	90% <= 5.6s 95% <= 9.8s 99.8% <=28.0s	85% <= 5.6s 90% <= 9.8s 94.8% <=28.0s	90% <= 4.8s 95% <= 8.4s 99.8% <=24.0s	85% <= 4.8s 90% <= 8.4s 94.8% <=24.0s	90% <= 4.0s 95% <= 7.0s 99.8% <=20.0s	85% <= 4.0s 90% <= 7.0s 94.8% <=20.0s	50
8	Query returning a list of entities, other than via a "search".	90% <= 3.5s 95% <= 5.6s 99.8% <=16.8s	85% <= 3.5s 90% <= 5.6s 94.8% <=16.8s	90% <= 3.0s 95% <= 4.8s 99.8% <=14.4s	85% <= 3.0s 90% <= 4.8s 94.8% <=14.4s	90% <= 2.5s 95% <= 4.0s 99.8% <=12.0s	85% <= 2.5s 90% <= 4.0s 94.8% <=12.0s	50
9	Highly complex transaction involving either algorithmic complexity or a large amount of data manipulation. End to end response time is not defined. Such transactions make take many seconds, or even minutes. Long running transactions such as type 10 must provide	Not defined. But progress indicators must be presented to the user.	Not defined. But progress indicators must be presented to the user.	Not defined. But progress indicators must be presented to the user.	Not defined. But progress indicators must be presented to the user.	Not defined. But progress indicators must be presented to the user.	Not defined. But progress indicators must be presented to the user.	0

Physical Transaction Type	Description	Months 1-3		Months 4-6		Month 7 Onwards		Maximum Service Points AppORTioned in accordance with the formula as outlined in Appendix 5
		OSL	FL1 (Critical Service Level)	OSL	FL1 (Critical Service Level)	OSL	FL1 (Critical Service Level)	
	the user with progress feedback.							
10	The transfer of Messages as a background activity.	90% > 50KB/s 95% > 38KB/s 99.8% > 25KB/s	85% > 50KB/s 90% > 38KB/s 94.8% > 25KB/s	90% > 75KB/s 95% > 50KB/s 99.8% > 38KB/s	85% > 75KB/s 90% > 50KB/s 94.8% > 38KB/s	90% > 100KB/s 95% > 75KB/s 99.8% > 50KB/s	85% > 100KB/s 90% > 75KB/s 94.8% > 50KB/s	20
11	LOGON – Time taken from the acceptance of the users PIN to the first screen of the selected application	7 seconds	41 seconds	6 seconds	38 seconds	5 seconds	35 seconds	20

Operation of Supplier Response Times Table above:

1. If the Response Times achieved by the Supplier are equal to or exceed the targets listed in the OSL column, no Service Points shall accrue.
2. If the Response Times achieved by the Supplier fall below the 90% and 95% targets listed in the OSL column but are equal to or above the targets listed in the FL1 column, the Supplier falls within Failure Level 1, but for the avoidance of doubt this does not constitute a Critical Service Failure.
3. If the Response Times achieved by the Supplier fall below the targets listed in the 85% and 90% FL1 (CSL) column, Service Points shall accrue as set out in note 2 above, and in addition the Supplier shall be in breach of a Critical Service Level.
4. The Service Points in the above tables are the maximum number of Service Points which can be assigned to each type when all types are monitored and reported. Where a Transaction Type mapping exercise is completed and the functionality of a Component System does not support a particular Transaction Type, the remaining Service Points will be apportioned to the remaining Transaction Types, to a maximum of 440 Service Points.
5. The performance of each PTT shall be calculated as an average across every continuous period of 5 (five) hours within the calendar month. Each 5 (five) hour measurement period shall commence on the hour. In the scenario where multiple 5 (five) hour periods fall below the OSL for any one category of PTT's then the period with the highest number of Service Points applicable shall singularly be applied.

The maximum Service Points are to be apportioned in accordance with the formula outlined in Appendix 5.

2.2 End to End Response Times

- (a) a mean average response time of 2.25 seconds*; and
- (b) a maximum response time of 10 seconds.

The End to End Response Time Service Level shall be confirmed as part of the Supplier Response Time physical Transaction Type review activity, to be completed within 6 months from the Commencement Date. This will include mapping End to End Response Time measurements to the physical Transaction Types detailed in Appendix 3.

Key

* Calculated as an average across every continuous period of 5 (five) hours within the calendar month. Each 5 (five) hour measurement period shall commence on the hour.

2.3 Message Accuracy and Transfer

Details of Service Level: Accuracy of Messages

	Standard Required	Associated Service Points
OSL	100%	0
FL1 (Critical Service Level)	< 100%	150

3. Help Desk Service Levels

The Help Desk Service Levels will not apply outside of the Support Hours.

3.1 Call Answer Times

Details of Service Level: % of calls answered within 'X' seconds as detailed below. The % of calls answered is required to be achieved every day.		
	Standard Required	Associated Service Points
OSL	90% <= 180 seconds, and 99.5% <= 270 seconds	0
FL1	90% > 180 seconds and <= 210 seconds 99.5% > 270 seconds and <= 300 seconds	Sliding Scale pro rata from 0 to FL2 level
FL2 (Critical Service Level)	90% > 210 seconds and 99.5% > 300 seconds	120

3.2 Email Support

Details of Service Level: % of emails Logged from time of Receipt. The % of emails Logged is required to be achieved every day.		
	Standard Required	Associated Service Points
OSL	90% <= 30 minutes	0
FL1	90 % > 30 minutes and <= 2 hours	Sliding Scale pro rata from 0 to FL2 level
FL2 (Critical Service Level)	90% > 2 hours	30

3.3 Call Referral Times

Details of Service Level: The % of calls requiring referral that are referred to other ISP helpdesks. The % of calls referred is required to be achieved every day.		
	Standard Required*	Associated Service Points
OSL	95% within 20 mins	0
	99.9% within 30 mins	
	100% within the standard fix time for the severity level	
FL1	95% > 20 mins	

(Critical Service Level)	99.9% > 30 mins	20
	100% > standard fix time for the severity level	

* the % of calls referred is required to be achieved every day.

3.4 All Severities Fix Time

Details of Service Level: % of all Service Failures of all severities resolved.		
	Standard Required	Associated Service Points
OSL	>= 80% within 1 hour	0
FL1	< 80 % but >= 70% within 1 hour	Sliding Scale pro rata from 0 to FL2 level
FL2 (Critical Service Level)	<70% within 1 hour	60

4. Service Failure Management Service Levels

4.1 Fix Times

Details of Service Level: Fix Times for Severity 1 Service Failures		
	Standard Required	Associated Service Points
OSL	< 2 hours	0
FL1	2 hours - 3 hours	Sliding Scale pro rata from 0 to FL2 level
FL2 (Critical Service Level)	> 3 hours	200
Details of Service Level: Fix Times for Severity 2 Service Failures		
	Standard Required	Associated Service Points
OSL	< 4 hours	0
FL1	4 hours – 6 hours	Sliding Scale pro rata from 0 to FL2 level
FL2 (Critical Service Level)	> 6 hours	100
Details of Service Level: Fix Times for Severity 3 Service Failures		
	Standard Required	Associated Service Points
OSL	< 16 hours	0
FL1	16 hours – 48 hours	Sliding Scale pro rata from 0 to FL2 level
FL2 (Critical Service Level)	> 48 hours	75
Details of Service Level: Fix Times for Severity 4 Service Failures		
	Standard Required	Associated Service Points
OSL	< 48 hours	0
FL1	48 hours - 72 hours	Sliding Scale pro rata from 0 to FL2 level
FL2 (Critical Service Level)	> 72 hours	20
Details of Service Level: Fix Times for Severity 5 Service Failures		
	Standard Required	Associated Service Points
OSL	< 144 hours	0
FL1	144 hours - 216 hours	Sliding Scale pro rata from 0 to FL2 level
FL2 (Critical Service Level)	> 216 hours	10

5. Problem Resolution Service Level

This Problem Resolution Service Level regime will be implemented in two stages:

- the first stage starting from the date of Compliance with the GPSoC Services Hosted to NHS CFH Standards.

- the second stage will commence 4 months after achieving Compliance with GPSoC Services Hosted to NHS CFH Standards.

Stage 1: Problem Resolution Service Level

Details of Service Level: Stage 1: Problem Resolution Service Level		
	Standard Required	Associated Service Points
Band 1	25% of problems to be resolved in 30 or less days	50 points
Band 2	40% of problems to be resolved in 60 or less days	35 points
Band 3	45% of problems to be resolved in 90 or less days	25 points

Stage 2: Problem Resolution Service Level

Details of Service Level: Stage 2: Problem Resolution Service Level		
Band 1	50% of problems to be resolved in 30 or less days	50 points
Band 2	80% of problems to be resolved in 60 or less days	35 points
Band 3	90% of problems to be resolved in 90 or less days	25 points

The maximum number of Service Points that can be applied to Problem Resolution in any given month is 110.

PART B

Local Server Based GPSoC Services

and

Hosted GPSoC Services not Hosted to NHS CFH Standards

The table below should be populated by Suppliers to indicate their proposed Operating Service Levels (OSL) which shall apply to the Hosted GPSoC Services not Hosted to NHS CFH Standards and Local Server Based GPSoC Services as relevant.

1. AVAILABILITY

1.1 Availability Service Levels

This Service Level does not apply to Hardware for Local Server Based GPSoC Services.

Item	Supplier Service Levels (OSL)		CSL*
	Local Server Based GPSoC Services*	Hosted GPSoC Services which are not Hosted to NHS CFH Standards*	
Core Hours % Availability	<i>Supplier to populate</i>	<i>Supplier to populate</i>	<98%
Non-Core Hours % Availability	<i>Supplier to populate</i>	<i>Supplier to populate</i>	<97%

* The following levels of Availability of each Component System must be achieved across each calendar month.

1.2 Permitted Downtime

This Service Level does not apply to Hardware for Local Server Based GPSoC Services.

Details of Service Level: Permitted Downtime capable of being exercised during Non-Core Hours	
<i>See section 6.18 of this Service Level Specification</i>	
Local Server Based GPSoC Services and Hosted GPSoC Services not Hosted to NHS CFH Standards	Associated Service Points
<=120 minutes per calendar month per Component System	0

<p>a further 12 (twelve) hours for each Component System per calendar year which can be used at any time during each calendar year provided that no single period exceeds 4 (four) hours</p>	<p>0</p>
<p>if the Authority requires that the GPSoC Services be failed over as part of an agreed test of the Disaster Recovery and Business Continuity Plan, then an extension of Permitted Downtime (equivalent to the Severity Level 1 Service Failure Fix Time OSL) shall apply in respect of the Component System being tested</p>	<p>0</p>

2. SUPPLIER RESPONSE TIMES

The Authority is in the process of establishing a baseline of service levels for Supplier Reponse Times, using the Authority's performance monitoring tools and those of GPSoC Framework Suppliers, which will be used as the basis for the Supplier Reponse Times OSLs for Hosted GPSoC Services not Hosted to NHS CFH Standards only and for End to End Response Times. If it transpires from measurement that these Service Levels are not being met, the Authority will review with the Supplier the technical reasons for failures and if these are agreed to be outside the control of the Supplier, the Authority will agree a modified Service Level with the Supplier.

2.1 Supplier Response Times Service Level

This Service Level does not apply to Hardware for Local Server Based GPSoC Services. The following table utilises the Transaction Types and descriptions detailed within Appendix 3.

Physical Transaction Types (PTT)

Transaction Type	Description	OSL*	FL1 (Critical Service Level)*	Maximum Service Points Apportioned in accordance with the formula as outlined in Appendix 5
1	A request which results in a blank form, or a switch between pre-existing user interface elements which does not require data to be refreshed.	<i>Supplier to poulate</i>	85% <= 0.4s 90% <= 0.7 s 94.8% <= 4.2 s	N/A
2	Simple Query. Results in a single screen of information from a single entity	<i>Supplier to poulate</i>	85% <= 2.1s 90% <= 2.8s 94.8% <=16.8s	N/A
3	Business Critical Complex Query - Results in one or more linked screens of information from a set of business entities.	<i>Supplier to poulate</i>	85% <= 2.6s 90% <= 4.2s 94.8% <=14.0s	N/A
4	Complex Query – Results in one or more linked screens of information from a set of business entities.	<i>Supplier to poulate</i>	85% <= 5.4s 90% <= 7.0s 94.8% <=28.0s	N/A
5	Simple Update. A transaction which updates a single entity from a single input screen	<i>Supplier to poulate</i>	85% <= 3.5s 90% <= 6.3s 94.8% <=21.0s	N/A
6	Business Critical Complex Update - A transaction that updates multiple entities from a set of related input screens. Or Multiple instances of the same entity from a list	<i>Supplier to poulate</i>	85% <= 2.8s 90% <= 4.9s 94.8% <=23.8s	N/A

Transaction Type	Description	OSL*	FL1 (Critical Service Level) *	Maximum Service Points Apportioned in accordance with the formula as outlined in Appendix 5
7	Complex update. A transaction that updates multiple entities from a set of related input screens. Or Multiple instances of the same entity from a list	<i>Supplier to poulate</i>	85% <= 5.6s 90% <= 9.8s 94.8% <=28.0s	N/A
8	Query returning a list of entities, other than via a "search".	<i>Supplier to poulate</i>	85% <= 3.5s 90% <= 5.6s 94.8% <=16.8s	N/A
9	Highly complex transaction involving either algorithmic complexity or a large amount of data manipulation	<i>Supplier to poulate</i>	Not defined. But progress indicators must be presented to the user.	N/A
10	The transfer of Messages as a background activity.	<i>Supplier to poulate</i>	85% > 50KB/s 90% > 38KB/s 94.8% > 25KB/s	N/A
11	LOGON – Time taken from the acceptance of the users pin to the first screen of the selected application	<i>Supplier to poulate</i>	41 seconds	N/A

Clarification Note: Operation of Supplier Response Times Table above:

1. If the Response Times achieved by the Supplier fall below the targets listed in the OSL column but are equal to or above the targets listed in the FL1 column, the Supplier falls within Failure Level 1, but for the avoidance of doubt this does not constitute a Critical Service Failure.
2. If the Response Times achieved by the Supplier fall below the targets listed in the 85% and 90% FL1 (CSL) column, the Supplier shall be in breach of a Critical Service Level.
3. Calculated as an average across every continuous period of 5 (five) hours within the calendar month. Each 5 (five) hour measurement period shall commence on the hour.

2.2 End to End Response Times

This Service Level applies to all GPSoC Services.

- (a) a mean average response time of 2.25 seconds*; and
- (b) a maximum response time of 10 seconds.

The End to End Response Time Service Level shall be confirmed as part of the Supplier Response Time physical Transaction Type review activity, to be completed within 6 months from the Commencement Date. This will include mapping End to End Response Time measurements to the physical Transaction Types detailed in Appendix 3.

Key

Calculated as an average across every continuous period of 5 (five) hours within the calendar month. Each 5 (five) hour measurement period shall commence on the hour.

2.2 Message Accuracy

This Service Level applies to all GPSoC Services.

Item	Supplier Service Levels (OSL)		CSL
	Local Server Based GPSoC Services	Hosted GPSoC Services which are not Hosted to NHS CFH Standards	
Message Accuracy	100%	100%	<100%

3. HELP DESK

3.1 Call Answer Times

This Service Level applies to all GPSoC Services.

Item	Supplier Service Levels (OSL)		CSL
	Local Server Based GPSoC Services	Hosted GPSoC Services which are not Hosted to NHS CFH Standards	
Call Answer Times (seconds)*	Supplier to populate	Supplier to populate	90% > 210 and 99.5% > 300

* % of calls answered within 'X' seconds as detailed above. The % of calls answered is required to be achieved every day.

3.2 Email Support

This Service Level applies to all GPSoC Services.

Details of Service Level: % of emails Logged from time of Receipt. The % of emails Logged is required to be achieved every day.			
	Local Server Based GPSoC Services*	Hosted GPSoC Services which are not Hosted to NHS CFH Standards*	
	Standard Required	Standard Required	CSL
OSL	Supplier to populate	Supplier to populate	N/A
FL1	Supplier to populate	Supplier to populate	N/A
FL2 (Critical Service Level)	90% > 2 hours	90% > 2 hours	N/A

* % of emails Logged from time of Receipt. The % of emails Logged is required to be achieved every day.

3.3 Call Referral

This Service Level applies to all GPSoC Services.

Item	Supplier Service Levels (OSL)		CSL
	Local Server Based GPSoC Services	Hosted GPSoC Services which are not Hosted to NHS CFH Standards	
Percentage of calls that are	Supplier to populate	Supplier to populate	95% >= 20 minutes

referred within the specified limits <u>All Severities</u>	<i>Supplier to populate</i>	<i>Supplier to populate</i>	99.9% \geq 30 minutes
	<i>Supplier to populate</i>	<i>Supplier to populate</i>	< 100% OSL Fix Time for the relevant Severity Level

* The % of calls referred is required to be achieved every day.

3.4 All Severities Fix Time

This Service Level does not apply to Hardware for Local Server Based GPSoC Services.

Details of Service Level: % of all Service Failures of all severities Resolved.			
	Local Server Based GPSoC Services	Hosted GPSoC Services which are not Hosted to NHS CFH Standards	
	Standard Required	Standard Required	Associated Service Points
OSL	<i>Supplier to populate</i>	<i>Supplier to populate</i>	N/A
FL1	<i>Supplier to populate</i>	<i>Supplier to populate</i>	N/A
FL2 (Critical Service Level)	<65% within 1 hour	< 70% within 1 hour	N/A

4. SERVICE FAILURE MANAGEMENT

4.1 Fix Times

Fix Times	Supplier Service Levels (OSL)		CSL
	Local Server Based GPSoC Services	Hosted GPSoC Services which are not Hosted to NHS CFH Standards	
Severity 1	<i>Supplier to populate</i>	<i>Supplier to populate</i>	> 3hrs
Severity 2	<i>Supplier to populate</i>	<i>Supplier to populate</i>	> 6 hrs
Severity 3	<i>Supplier to populate</i>	<i>Supplier to populate</i>	> 48 hrs
Severity 4	<i>Supplier to populate</i>	<i>Supplier to populate</i>	> 72 hrs
Severity 5	<i>Supplier to populate</i>	<i>Supplier to populate</i>	> 216 hrs

4.2 Hardware Fix Times

Where Hardware Additional Services are offered the following Hardware Fix Times shall apply for Local Server Based GPSoC Services only:

Fix Times	Supplier Service Levels (OSL)		CSL	
	Incident logged before 10am on day1**	Incident logged after 10am on day1**	Incident logged before 10am on day1**	Incident logged after 10am on day1**
Severity 1	Before 5pm day2**	Before 1pm day3**	Before 1pm day3**	Before 5pm day3**
Severity 2	Before 1pm day3**	Before 5pm day3**	Before 5pm day3**	Before 1pm day4**
Severity 3	Before 5pm day3**	Before 1pm day4**	Before 1pm day4**	Before 5pm day4**
Severity 4				
Severity 5				

** day1 is the day the incident is raised and logged;

day2 is the day after the incident is logged;

day3 is 2 days after the incident is logged;

day4 is 3 days after the incident is logged.

Days which do not include any Core Hours shall not be counted for these purposes.

5. Problem Resolution Service Level

This Problem Resolution Service Level regime will be implemented in two stages.

- the first stage starting from Commencement Date;
- the second stage will commence 4 months after Commencement Date;

Stage 1

Problem Resolution Service Level	
Band 1	[]% of problems to be resolved in 30 or less days <i>Supplier to populate</i>
Band 2	[]% of problems to be resolved in 60 or less days <i>Supplier to populate</i>
Band 3	45% of problems to be resolved in 90 or less days

Stage 2

Problem Resolution Service Level	
Band 1	[]% of problems to be resolved in 30 or less days <i>Supplier to populate</i>
Band 2	[]% of problems to be resolved in 60 or less days <i>Supplier to populate</i>
Band 3	90% of problems to be resolved in 90 or less days

APPENDIX 2: MAINTENANCE SCHEDULE

[DN: Supplier to populate]

APPENDIX 3: TRANSACTION TYPE DEFINITIONS

Supplier Response Measurement

Supplier Response Times shall be calculated as an average across any continuous period of 5 (five) hours within each calendar month. Each 5 hour measurement period shall commence on the hour. The Supplier Response Times calculations will be reviewed at each Supplier response time review.

Transactions mappings to transaction types

Transactions will be defined for all Component Systems and mapped against each transaction type.

Physical Transaction Types (PTT)

Physical Transaction Type	Description	Technical transactions falling within the Transaction Type
1	A request which results in a blank form, or a switch between pre-existing user interface elements which does not require data to be refreshed.	<i>Supplier to populate</i>
2	Simple Query. Results in a single screen of information from a single entity	<i>Supplier to populate</i>
3	Business Critical Complex Query - Results in one or more linked screens of information from a set of business entities.	<i>Supplier to populate</i>
4	Complex Query – Results in one or more linked screens of information from a set of business entities.	<i>Supplier to populate</i>
5	Simple Update. A transaction which updates a single entity from a single input screen	<i>Supplier to populate</i>
6	Business Critical Complex Update - A transaction that updates multiple entities from a set of related input screens. Or Multiple instances of the same entity from a list	<i>Supplier to populate</i>
7	Complex update. A transaction that updates multiple entities from a set of related input screens. Or Multiple instances of the same entity from a list	<i>Supplier to populate</i>
8	Query returning a list of entities, other than via a “search”.	<i>Supplier to populate</i>
9	Highly complex transaction involving either algorithmic complexity or a large amount of data manipulation	<i>Supplier to populate</i>
10	The transfer of Messages as a background activity.	<i>Supplier to populate</i>
11	LOGON – Time taken from the acceptance of the users pin to the first screen of the selected application	<i>Supplier to populate</i>

Notes

1. The entries in the second column of the table displayed above are application functions which belong in business processes and will be identifiable by the performance monitoring system which will be used for verification of compliance with the SLA. The lists displayed above are neither exhaustive nor constant because they will change from one Release to another. Such changes will be reflected in The Volumetric manual which is a controlled document.
2. Although the primary purpose of Category 1-3 transactions is to read data, small amounts of data for audit or other ancillary purposes may also be written

Where specified in the individual specifications in schedule 2 of the Framework Agreement, transactions include the generation of an outbound message to the spine via the transaction messaging system. For such transactions, the Supplier Response Time will include the generation (but not the transmission of the message outside of the Supplier's boundary of responsibility) of any messages that are required to be sent.

APPENDIX 4: COMPONENT SYSTEMS

The following table describes the types of Component Systems:

Table 1 Component System Types

[Suppliers to populate Table 1]

Component System Reference	GPSoC Compliant System (including versions)	Instance reference	User Base (Practice name/number)	PCT Name	SHA Name	Business Functions	Service Type (Hosted / Local)
						e.g. all or Ref to table below	

Against each Component System the following details are required:

- a) Technical Solution / System Name details: This should detail the solution system name, version number, high level architectural, infrastructure and hosting design
- b) Instance Reference: A unique reference to identify each instance of the technical solution / system.
- c) User Base: The users receiving service from the Component System and or instances of each component system (e.g. Practice Name and Number for Local server based GPSoC Services and PCT names / Practice Names for GPSoC Hosted Services).

Note:

- d) For Local Server Based GPSoC Services the Component System is usually the Supplier Software used in a Practice; therefore Table 1 should detail a separate Component System for each Practice.
- e) For GPSoC Hosted Services a Component System may deliver to a number of Practices therefore Table 1 should detail all the Practices or PCTs using or expected to use each Component System.
- f) Business Functions:
- g) The Business Functions delivered by the Component System – from Table 2.
- h) PCT Name: The name of the PCT
- i) Strategic Health Authority (SHA) name : The name of the SHA

The Component System information will be maintained within a separate Component Systems document, separate to this schedule. Within this Component Systems document, the supplier will detail how their Component Systems meet the above requirements.

The Supplier shall provide the Authority with a draft Component System document which shall comply with the provisions set out in appendix 5 of this Schedule 1.2. The Authority shall notify the Supplier within 14 (fourteen) days of its receipt of the draft Component System document and of its response (approval or rejection) to it. The draft Component System document shall not be deemed to have been approved if no notice of approval is given during such period. If the draft Component System is approved by the Authority it shall be adopted immediately.

The Performance Monitoring System shall be maintained and updated on a regular basis by the Supplier as may be necessary to reflect the then current state of the Component Systems they are utilising to provide GPSoC services.

EXAMPLE TABLES:

For this example we are supplier GP4U.

We deliver services to 2 PCTs.

PCT1 (ONS001) contains GP Smith (GMC001) and GP Jones (GMC002)

PCT2 (ONS002) contains GP Watson (GMC003) and GP McCoy (GMC004)

GP4U has a GP service comprising 2 separate systems:

- GPSYS v.3
- GPDRUG v.4

Example of Table 1 for Local Server based GPSoC services:

Component System Reference	GPSoC Compliant System (including versions)	Instance reference	User Base (Practice name/number or PCT name/number)	PCT Name	SHA Name	Business Functions	Service Type (Hosted / Local)
						e.g. all or Ref to table below	
CS1	GPSYS v.3	GI1	Smith (GMC001)	PCT 1	SHA A	All except 4.8.2	Local
CS2	GPDRUG v.4	GDI1	Smith (GMC001)	PCT 1	SHA A	4.8.2 Drug Database	Local
CS3	GPSYS v.3	GI2	Jones (GMC002)	PCT 1	SHA A	All except 4.8.2	Local
CS4	GPDRUG v.4	GDI2	Jones (GMC002)	PCT 1	SHA A	4.8.2 Drug Database	Local
CS5	GPSYS v.3	GI3	Watson (GMC003)	PCT 1	SHA A	All except 4.8.2	Local
CS6	GPDRUG v.4	GDI3	Watson (GMC003)	PCT 1	SHA A	4.8.2 Drug Database	Local
CS7	GPSYS v.3	GI4	McCoy (GMC004)	PCT 2	SHA A	All except 4.8.2	Local

Example of Table 1 for GPSoC Hosted Services, where all practices are receiving services from one instance:

Component System Reference	GPSoC Compliant System (including versions)	Instance reference	User Base (Practice name/number)	PCT Name	SHA Name	Business Functions	Service Type (Hosted / Local)
						e.g. all or Ref to table below	
CS1	GPSYS v.3	G1	Smith (GMC001)	PCT A	SHA 1	All except 4.8.2	Hosted
CS2	GPDRUG v.4	G1	Smith (GMC001)	PCT A	SHA 1	4.8.2 Drug Database	Hosted
CS3	GPSYS v.3	G1	Jones (GMC002)	PCT A	SHA 1	All except 4.8.2	Hosted
CS4	GPDRUG v.4	G1	Jones (GMC002)	PCT A	SHA 1	4.8.2 Drug Database	Hosted
CS5	GPSYS v.3	G1	Watson (GMC003)	PCT A	SHA 1	All except 4.8.2	Hosted
CS6	GPDRUG v.4	G1	Watson (GMC003)	PCT A	SHA 1	4.8.2 Drug Database	Hosted
CS7	GPSYS v.3	G2	McCoy (GMC004)	PCT B	SHA 1	All except 4.8.2	Hosted

Example of Table 1 for Hosted Server GPSoC services, where each instance delivers to a separate PCT:

Component System Reference	GPSoC Compliant System (including versions)	Instance reference	User Base (Practice name/number or PCT name/number)	Business Functions	Service Type (Hosted / Local)	PCT	SHA
				e.g. all or Ref to table below			
CS1	GPSYS v.3	GI1	PCT1 (ONS001)	All except 4.8.2	Hosted	PCT 1	SHA A
CS2	GPDRUG v.4	GDI1	PCT1 (ONS001)	4.8.2 Drug Database	Hosted	PCT 1	SHA A
CS3	GPSYS v.3	GI2	PCT2 (ONS002)	All except 4.8.2	Hosted	PCT 1	SHA A
CS4	GPDRUG v.4	GDI2	PCT2 (ONS002)	4.8.2 Drug Database	Hosted	PCT 1	SHA A

Table 2

[Suppliers to populate Table 2]

The References in Table 2 are from the CAP-GP Core GP Functionality Module Requirements document, Chapter 4, Core Functionality Requirements where applicable.

Reference	Functions	Criticality	Relevant Component System(s)
4.2	Information Governance	Critical	Supplier to Populate
4.3	System Configuration		
4.3.1	Test/Training System	High	
4.3.2	System Users	Critical	
4.4	Information about the Practice and Related Organisations	Critical	
4.4.1	The Practice	Critical	
4.4.2	Partners and Staff	Critical	
4.4.3	Related Organisations	Critical	
4.4.4	Related Person	Critical	
4.5	Patient Demographics and Registration	Critical	
4.5.1	PDS	Critical	

4.5.2	Patient Registration	Critical
4.5.3	Locally stored demographic data	Critical
4.5.4	Carers	Critical
4.5.5	Patient Record Retrieval	Critical
4.5.6	Archiving	High
4.6	Patient Scheduling	Critical
4.6.1	Session Templates	Critical
4.6.2	Session Publication	Critical
4.6.3	Appointment Booking and Maintenance	Critical
4.6.4	Appointment List Views	Critical
4.6.5	Waiting Room Views	Critical
4.6.6	'Consultation' Functions	Critical
4.6.7	DNAs	Medium
4.6.8	Reporting	High
4.7	Patient Record Management	Critical
4.7.1	Basic Data Recording Requirements	Critical
4.7.2	Record Attachments	Critical
4.7.3	Record Constructs	Critical
4.7.4	Record Views	Critical
4.7.5	Data Entry Forms	Critical
4.7.6	Coding Schemes	Critical
4.8	Prescribing and Dispensing	Critical
4.8.1	Terminology	Critical
4.8.2	Drug Database	Critical

4.8.3	General prescribing requirements	Critical
4.8.4	Point of Prescribing	Critical
4.8.	Generic Prescribing	Critical
4.8.6	Nurse Prescribing	High
4.8.7	Pharmacist Independent Prescribing	High
4.8.8	Supplementary Prescribing	High
4.8.9	Practice Formularies	High
4.8.10	Repeat Prescribing	Critical
4.8.11	Repeatable Prescribing	Critical
4.8.12	Printing and Recording	Critical
4.9	Analysis and Reporting Facilities	Critical
4.9.1	Standard Reports	Critical
4.9.2	Ad-Hoc Reports	Critical
4.9.3	MIQUEST	Critical
4.10	National Library for Health	Critical
	Connecting for Health Programmes	
PDS	Patient Demographics (PDS)	Critical
CAB	Choose and Book	Critical
EPS	Electronic Prescription Service (formally ETP)	Critical
GP2GP	GP2GP	Critical
SSR	Patient Spine Information Service (PSIS)	Critical

APPENDIX 5: SERVICE POINTS CALCULATION

1. Introduction

For Availability and Response Times, the maximum Service Points shall be calculated on the basis the number of Component Systems as set out in Appendix 4. For other Service Levels, Service Points are calculated across all Component Systems in their totality. The Service Points in this example are for illustration purposes only.

2. Formula to calculate the maximum available Service Points for each Component Systems

The maximum available Service Points for each classification of Component Systems is calculated on the basis of the following **formula**:

(the maximum number of Service Points available for apportionment as outlined against the appropriate GPSoC Service level in Appendix 1 (e.g. 640 for Availability for Core) {w} / Total Number of Component Systems {y}) = **Maximum available Service Points for this Component Systems {z}**

$$w / y = z$$

3. Formula to calculate the actual Service Points that will be accrued

The maximum Service Points {z} shall be multiplied by the percentage value of the shortfall {h} in the GPSoC Service. If we look at Availability of Component Systems during core hours (Appendix 1 ref: 1.1.1):

The range is calculated based on the following formula:

the upper target to attain {m} – the lower target to attain {n} = **the range {p}**

$$m - n = p$$

Taking the Availability during core hours for a single Component System {t} the shortfall is calculated based on the following formula:

upper target to attain {m} – Availability for a single High Impact Component System {t} = **shortfall {v}**

$$m - t = v$$

- Maximum SPs {z}
- shortfall in the GPSoC Service {v} / the range {p} = percentage value of the shortfall {h}%

$$v / p = h \%$$

- maximum GPSoC Service points {z} * percentage value of the shortfall {h} = actual Service Points that will be accrued to a Service Failure {j}

$$z * h = j$$

4. Worked Examples

For the purposes of the following clarification examples, the figure of 32 Component Systems has been assumed.

Example A

The example calculation below refers to the Availability during Core hours (Appendix 1 ref: 1.1.1) for a single Component Systems:

For Availability, $w = 640$

Using the formula $(w / y) = z$ to determine the maximum available Service Points for this Component Systems, generates the following calculation:

$$640 / 32 = 20.00 \text{ (to 2 decimal places)}$$

- To calculate the actual Service Points that will be accrued to this Service Failure, the maximum Service Points {z} shall be multiplied by the percentage value of the shortfall {h} in the GPSoC Service. If we look at Availability of Component Systems (Appendix 1 ref: 1.1.1):
 - The range {p} is 99.90 – 98.00 i.e. 1.90
 - If the Availability for a single High Impact Component System {t} was 99.50 i.e. a shortfall of 0.40
 - Maximum SPs = 20.00
 - shortfall in the GPSoC Service {v} / the range {p} = percentage value of the shortfall {h}%
 $0.40 / 1.90 = 21.05\%$
 - maximum Service Points {z} * percentage value of the shortfall {h} = actual Service Points that will be accrued to a Service Failure {j}
 $20 * 21.05\% = 4.21$
 - Service Points the Supplier has accrued for the period in question are 4.21

Example B

The example calculation below refers to Transaction Type 1, Supplier Response Time (Appendix 1 ref: 2.1.1):

For Transaction Type 1, $w = 110$

Using the formula $(w / y) = z$ to determine the maximum available Service Points for this classification of Component Systems, generates the following calculation:

$$110 / 32 = 3.44 \text{ (to 2 decimal places)}$$

- To calculate the actual Service Points that will be accrued to this Service Failure, the maximum Service Points {z} shall be multiplied by the percentage value of the shortfall {h} in the GPSoC Service. If we look at Transaction Type 1, Supplier Response Time of Component Systems for the period July 2006 onwards (Appendix 1 ref: 2.1.1):

- There are 3 (three) ranges $\{p^1, p^2, p^3\}$:
 1. within 1.0 seconds: 90 – 85 i.e. 5 $\{p^1\}$
 2. within 1.4 seconds: 95 – 90 i.e. 5 $\{p^2\}$
 3. within 1.9 seconds: 99.8 – 94.8 i.e. 5 $\{p^3\}$

- If
 - 87% $\{t^1\}$ Business Transactions have a response within 1.0 seconds (i.e. range 1 has a shortfall $\{v^1\}$ of 3) and;
 - 96% $\{t^2\}$ Business Transactions have a response within 1.4 seconds (i.e. range 2 within OSL – shortfall $\{v^2\}$ of 0) and;
 - 99% $\{t^3\}$ Business Transactions have a response within 1.9 second (i.e. range 3 has a shortfall $\{v^3\}$ of 0.8)

- Maximum Service Points = 3.44
- shortfall in the GPSoC Service $\{v\}$ / the range $\{p\}$ = percentage value of the shortfall $\{h\}$ %
 - range 1: $3 / 5 = 60\%$
 - range 2: $0 / 5 = 0\%$ (attained OSL)
 - range 3: $0.8 / 5 = 16\%$
- maximum Service Points $\{z\}$ * percentage value of the shortfall $\{h\}$ = actual Service Points that will be accrued to a Service Failure $\{j\}$
 - range 1: $3.44 * 60\% = 2.06$
 - range 2: $3.44 * 0\% = 0$ (attained OSL)
 - range 3: $3.44 * 16\% = 0.55$
- Service Points the Supplier has accrued for the period in question is the greater of the above

Therefore for a Transaction Type 1 (shown in this example) the Service Points accrued are – 2.06 (range 1)