DFOCVC - CATALOGUE SOLUTION SERVICE LEVELS

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# OVERVIEW

## Introduction

* 1. This document is an appendix to the DFOCVC Framework component of the Service Management Standard and sets out the minimum Service Levels applicable to the Catalogue Solutions supplied via that framework and the Service Points applicable to the Service Failures defined for each Service Level (see Annex 1 to this document). The commercial implications applicable to Service Failures are set out in the DFOCVC Call Off Agreement.
	2. For the avoidance of doubt, all references to a Catalogue Solution in this document shall include any Additional Services associated with that Catalogue Solution, subject to paragraph 1.3 below.
	3. Should a Supplier consider that the Service Levels set out in this document are not appropriate to one or more Additional Services, they may raise the matter with the Catalogue Authority and the Catalogue Authority shall (acting reasonably) determine whether any variation to the Service Levels will apply to such Additional Service(s).
	4. Where it is agreed that a variation to the Service Levels will apply in accordance with paragraph 1.3, the specifics will be agreed between the parties in writing and the varied Service Levels will apply to the Additional Service(s) in question, including appropriate advertisement of the agreed variations within the Catalogue Solution Listing.
	5. The Service Levels, including their associated Service Failure definitions and the commercial implications applicable to the Service Failures are intended to help drive desirable supplier behaviours and to help ensure that the Catalogue Solutions are of a consistently high quality and meet the Catalogue Authority's (and Service Recipient’s) requirements as to performance and reliability.
	6. The Supplier is responsible for the performance of their Catalogue Solutions within the boundary of those solutions and not for the end to end performance experienced by Service Recipient End Users which will encompass services outside of the Supplier’s responsibility (e.g. networks, other systems to which the Catalogue Solutions interface such as National Services).
	7. The Supplier shall monitor the performance of their Catalogue Solutions against the Service Levels set out in this document and shall measure each using the methods agreed with the Catalogue Authority (or its representative) as part of the Catalogue On-Boarding Process and on-going Catalogue compliance regime.
	8. The performance against each Service Level for each Catalogue Solution shall be assessed for each Service Period. Where a Call Off Agreement includes a mechanism for invoicing reconciliation then the Service Credits resulting from any Service Failures shall also be subject to reconciliation as part that activity.
	9. Each Catalogue Solution must meet the Target Performance Level applicable to each relevant Service Level defined within this document as a minimum. However, the Supplier may choose to offer enhanced Target Performance Levels in respect of one or more Service Levels if they choose to as part of the Catalogue Onboarding Process and those enhanced Target Performance Levels and the associated changes to the Service Failure definitions for the relevant Service Level(s) shall be advertised on the relevant Catalogue Solution Listing and such information may be used by buyers as a purchasing differentiator.
	10. Where Service Points apply in respect of a Catalogue Solution in accordance with this document, Service Points shall only accrue in respect of Service Instances which are in live operation and that include the relevant Catalogue Solution and to which the relevant Service Failure applies under the terms of the relevant Call Off Agreement.
	11. Each Service Level is described in Annex 1 to this document. Each Service Level has a Target Performance Level (where, if achieved for a Service Period, the Supplier shall accrue no Service Points in respect of that Service Level in that Service Period) and one or more of the Service Failure categorisations. The Service Points accrued for each occurrence of a Service Failure for each Service Failure categorisation are set out in the table below.

|  |  |
| --- | --- |
| **Service Failure categorisation** | **Service Points per Service Failure per Service Period** |
| Minor Service Failure | 2 |
| Moderate Service Failure | 10 |
| Serious Service Failure | 20 |
| Severe Service Failure  | 50 |
| Unacceptable Service Failure | 200 |

* 1. With the exception of Service Level F01, in the event that there is a Service Failure during Non-Core Hours then the Service Points accrued in accordance with this document shall be reduced by 50% to reflect the reduced impact on the relevant Service Recipients (or other users) (and to the extent that the period of Service Failure covers both Core Hours and Non-Core Hours the reduction referred to above shall be applied on a pro-rata basis).

**Recalculation of Service Points**

* 1. In the event that, for any reason, the calculation of Service Points for any Service Period in the previous 2 years was calculated incorrectly then, as soon as reasonably practicable following identification of the error:
		1. the Service Points will be recalculated for the relevant Service Period(s); and
		2. any Service Credits resulting from the Service Points will be recalculated for the relevant Service Period(s) in accordance with the provisions of the relevant Call Off Agreements.

**Relief Event Parameters and other relief requests**

* 1. The Supplier shall notify the Catalogue Authority in writing of the existence of a Relief Event (and the likely effects of it), without undue delay and in any event within 20 Working Days of the date on which the Supplier became aware of the occurrence of the relevant Relief Event and such Relief Events will be handled in the manner set out in the relevant Framework Agreement.

**Core Hours parameters**

* 1. The Supplier shall provide each Catalogue Solution on a ‘24x7’ basis.
	2. The table below sets out the Core and Non-Core Hours applicable to Catalogue Solutions. The Supplier shall manage the Catalogue Solutions in a manner that meets the demands of Service Recipients during both Core Hours and Non-Core Hours and in accordance with the specific requirements of the Service Management Standard.

| **Category**  | **Time Period**  | **Applicable Days** |
| --- | --- | --- |
| Core Hours | 06:30 ‑ 20:30 | Monday – Sunday inclusive and including Bank Holidays. |
| Non- Core Hours | 20:30 ‑ 06:30 | Monday – Sunday inclusive and including Bank Holidays. |

**Planned Downtime**

* 1. The Supplier will agree the planned downtime approach (“**Planned Downtime Approach**”) with the Catalogue Authority and shall operate within such agreed approach (as updated or revised from time to time in agreement with the Catalogue Authority).
	2. Downtime conducted in accordance with the Planned Downtime Approach or the circumstances set out in paragraph 1.19 shall be deemed planned downtime (“**Planned Downtime**”) and all other downtime shall be deemed unplanned downtime (“**Unplanned Downtime**”).
	3. Where the Supplier requires that a Catalogue Solution is to be made Unavailable in order to implement changes to the Catalogue Solution other than in accordance with the Planned Downtime Approach it shall attain approval from the Call Off Ordering Parties whose Call Off Agreements include impacted Service Recipients and, where approved, such downtime shall be deemed to be Planned Downtime.
	4. The Catalogue Authority may, at its discretion, provide such detail as it feels reasonably appropriate regarding the Planned Downtime Approach on the Catalogue Solution Listing so that such information may be used by buyers as a purchasing differentiator.
	5. The Supplier must track all Planned Downtime and Unplanned Downtime for each Catalogue Solution for each Service Recipient (or grouping of Service Recipients where the downtime is the same for each Service Recipient in the group) for each Service Period on its Service Management Toolset.
	6. Periods of Planned Downtime shall be excluded from the measurement of relevant Service Levels.

# ANNEX 1 – SERVICE LEVELS

*[The Supplier will propose their measurement method(s) for each Service Level as part of compliance testing against requirement SM006 (see the onboarding service management standard traceability matrix for detail).]*

## INTRODUCTION

* 1. This annex sets out the Service Levels applicable to Catalogue Solutions supplied via the DFOCVC Framework.
	2. The Service Management Agent shall be the Call Off Ordering Party unless the Call Off Ordering Party nominates another party to fulfil that function on its behalf.
	3. Where the Supplier is entitled to propose elements of the Service Level / Service Failure definitions in accordance with this Annex, the Supplier may propose future changes to the same under clause 22 of the Catalogue Agreement.
	4. The identifiers for the Service Levels below (e.g. A01) are intentionally not sequential in order to retain some consistency with the service levels document for other frameworks.

## AVAILABILITY

* 1. This section sets out the Service Levels applicable to availability.
	2. Where the same instance of a service failure results in multiple Service Failures under this section 2 and the Supplier demonstrates to the Service Management Agent’s satisfaction that this is the case, only the Service Failure accruing the highest number of Service Points shall apply.
	3. Where availability definitions include measurements over a week, the week shall be Monday to Sunday inclusive and measurements over partial weeks shall be on a pro-rata basis (for example, if a measurement is 10 minutes over a week, a partial week of 2 days would have a measurement of 2.857 minutes (i.e. 10 minutes \* 2 / 7)).

#### A01: Availability of the Catalogue Solution, excluding Interfaces to National Services and GP Connect Interfaces

*Definitions for this Service Level:*

***Availability / Available:*** *means, in the context of a Catalogue Solution provided to a Service Recipient, that all of the relevant Service Recipient’s users are able to access the Catalogue Solution.*

***Unavailability / Unavailable:*** *means, in the context of a Catalogue Solution provided to a Service Recipient, it is not Available.*

*For the avoidance of doubt, as detailed in paragraph 1.6, a Catalogue Solution will not be held to be Unavailable in circumstances where Service Recipient users are not able to access the relevant solution (or part thereof) as a result of performance issues which are outside of the boundary of the relevant solution and/or which relate to services which are outside of the Supplier’s responsibility (e.g. networks, other systems to which the Catalogue Solutions interface such as National Services).*

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| A01-01 | Target Performance Level | Total loss of Catalogue Solution:<= 10 mins in a week of loss of Availability for a Service Recipient over the Service Period AND <= 10 mins in one contiguous period of loss of Availability for a Service Recipient over the Service Period AND>=99.9% Availability for a Service Recipient over the Service Period  | None |
| A01-02 | Unacceptable Service Failure | Total loss of Catalogue Solution:> 8 hours in a week of loss of Availability for a Service Recipient over the Service Period OR> 4 hours in one contiguous period of loss of Availability for a Service Recipient over a Service Period OR< 97% Availability for a Service Recipient over the Service Period. | Service Credits |
| A01-03 | Severe Service Failure | Total loss of Catalogue Solution:> 2 and <= 8 hours in a week of loss of Availability for a Service Recipient over the Service Period OR> 2 and <= 4 hours in one contiguous period of loss of Availability for a Service Recipient over the Service Period OR>=97% and < 98.7% Availability for a Service Recipient over the Service Period  | Service Credits |
| A01-04 | Serious Service Failure*(Moderate and Minor are not applicable to this Service Level)* | Total loss of Catalogue Solution:> 10 mins and <=2 hours in a week of loss of Availability for a Service Recipient over the Service Period OR> 10 mins and <=2 hours in one contiguous period of loss of Availability for a Service Recipient over the Service Period OR>=98.7% and < 99.9% Availability for a Service Recipient over the Service Period   | Service Credits |

## CLINICAL SAFETY

* 1. This section sets out the Service Levels applicable to clinical safety.

#### D01: Clinical Safety

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| D01-01 | Target Performance Level | None of the criteria for the Unacceptable, Severe or Serious Service Failures are met. | None |
| D01-02 | Unacceptable Service Failure | A clinical risk with a severity level of 5 (determined in accordance with DCB0129) occurs and the relevant Incident which resulted in the clinical risk occurring is not Resolved (or mitigated) with 2 hours. | Service Credits |
| D01-03 | Severe Service Failure | A clinical risk with a severity level of 4 (determined in accordance with DCB0129) occurs and the relevant Incident which resulted in the clinical risk occurring is not Resolved (or mitigated) with 4 hours. | Service Credits |
| D01-04 | Serious Service Failure *(Moderate and Minor are not applicable to this Service Level)* | A clinical risk with a severity level of 3 (determined in accordance with DCB0129) occurs and the relevant Incident which resulted in the clinical risk occurring is not Resolved (or mitigated) with 16 hours. | Service Credits |

## OTHER FAILURES

* 1. This section sets out the Service Level applicable service disruptions that may not be captured by the Service Levels set out in sections 2 to 4 of this Annex. Where the same root cause results in a Service Failure under this category and one of the categories set out in sections 2 to 4, the Service Failure in this category shall not apply.

#### F01: HSSI Failures

This Service Level shall apply to all Service Recipients by default. However, if the Supplier can demonstrate to the Service Management Agent’s reasonable satisfaction that only a subset of Service Recipients were impacted by the relevant Incident then the applicable Service Points will only apply to such Service Recipients.

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| F01-01  | Target Performance Level | None of the criteria for the Unacceptable, Severe, Serious, Moderate or Minor Service Failures are met. | None |
| F01-02  | Unacceptable Service Failure | >5 HSSIs (excluding any related to the other Service Levels) have been raised over the Service Period and not Resolved within 2 hours for a Severity Level 1 Incident and within 4 hours for a Severity Level 2 Incident. | Service Credits |
| F01-03  | Severe Service Failure | <=5 and >3 HSSIs (excluding any related to the other Service Levels) have been raised over the Service Period and not Resolved within 2 hours for a Severity Level 1 Incident and within 4 hours for a Severity Level 2 Incident. | Service Credits |
| F01-04  | Serious Service Failure | <=3 and >2 HSSIs (excluding any related to the other Service Levels) have been raised over the Service Period and not Resolved within 2 hours for a Severity Level 1 Incident and within 4 hours for a Severity Level 2 Incident. | Service Credits |
| F01-05  | Moderate Service Failure | <=2 and >1 HSSIs (excluding any related to the other Service Levels) have been raised over the Service Period and not Resolved within 2 hours for a Severity Level 1 Incident and within 4 hours for a Severity Level 2 Incident. | Service Credits |
| F01-06  | Minor Service Failure | <=1 and >0 HSSIs (excluding any related to the other Service Levels) have been raised over the Service Period and not Resolved within 2 hours for a Severity Level 1 Incident and within 4 hours for a Severity Level 2 Incident. | Service Credits |

## SERVICE DESK PERFORMANCE

* 1. This section sets out the Service Levels applicable to the performance of the Supplier’s Service Desk.
	2. As part of the compliance response the Supplier shall propose the Target Performance Level and Service Failures for the service desk performance across both Core Hours and Non-Core Hours. The proposal must:
		1. cover all types of ticket (incidents and service requests), how each type is determined and any variation applicable to the channels available to users (e.g. email, telephone, chat interface, chatbot etc); and
		2. include, as a minimum, telephone and portal access to the Service Desk (for use by both Service Recipient users and the Service Management Agent). The web portal shall as a minimum provide a mechanism to log Incidents and Service Requests and to view progress on Incident Resolutions and Service Request fulfilments.
	3. The accepted position will form this Service Level.
	4. The Catalogue Authority may publish details of the agreed definition on the Catalogue Solution Listing as information that may act as a purchasing differentiator by buyers.

#### G01: Service Desk Performance

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| G01-01 | Target Performance Level | To be taken from the approved proposal from the Supplier. | None |
| G01-02 | Applicable Service Failures and their definitions to be agreed with each supplier | To be taken from the approved proposal from the Supplier. | Service Credits |