CATALOGUE SOLUTION SERVICE LEVELS

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# OVERVIEW

## Introduction

* 1. This document is an appendix to the GPITF Service Management Standard and sets out the Service Levels applicable to Type 1 Catalogue Solutions 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 relevant Framework Agreements and/or Call Off Agreements (for Type 1 Catalogue Solution under the GPITF Framework 1 Lot 1 they are set out in Framework Schedule 4.1 (Charges and Invoicing)).
  2. For the avoidance of doubt, all references to a Catalogue Solution in this appendix are to Type 1 Catalogue Solutions and shall include:
     1. any Additional Services associated with that Catalogue Solution, subject to paragraph 1.3 below; and
     2. all Interfaces within the scope of that Catalogue Solution (which are as set out in the Interoperability Standard and/or Commercial Standard) to the extent that the Interface has been activated by any given Consumer Supplier and/or other consumer.
  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 Service Management Agent and the Service Management Agent 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 Type 1 Catalogue Solutions within the boundary of those solutions and not for the end to end performance experienced by Service Recipient End Users and/or Consumer Suppliers which will encompass services outside of the Supplier’s responsibility (e.g. networks, other systems to which the Type 1 Catalogue Solutions interface such as National Services).
  7. The Supplier shall monitor the performance of their Type 1 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 Type 1 Catalogue Solution shall be assessed for each Service Period. Where a Framework 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 Type 1 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 Type 1 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 H01, 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).
  2. Where a Supplier has a Service Failure that results in a HSSI which would accrue Service Points under both the HSSI and other Service Level/s then the Service Level that accrues the most Service Points shall be used for the purpose of calculating Service Credits.

**Example**: A non-core Service Failure is a HSSI that occurs during non-core hours. Whilst the incident clock is 24x7 for resolving HSSI’s, if for example the HSSI occurs between 1am and 5am and the SLA is breached, the service points accrued would be halved.

**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 Service Management Agent in writing within the Performance Monitoring Report (PMR) of the existence of a Relief Event (and the likely effects of it), without undue delay and in any event on the next PMR following 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 Type 1 Catalogue Solution on a ‘24x7’ basis.
  2. The table below sets out the Core and Non-Core Hours applicable to Type 1 Catalogue Solutions. The Supplier shall manage the Type 1 Catalogue Solutions in a manner that meets the demands of Service Recipients and Consumer Suppliers 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 Service Management Agent and shall operate within such agreed approach (as updated or revised from time to time in agreement with the Service Management Agent).
  2. Downtime conducted in accordance with the Planned Downtime Approach, or the circumstances set out in paragraph 1.18 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 either: (i) the impacted Service Recipients and/or Consumer Suppliers (as appropriate); or (ii) the Service Management Agent, 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 Type 1 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

PART A – GPITF FRAMEWORK 1 LOT 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 Traceability Matrix for detail).]

## INTRODUCTION

## This annex sets out the Service Levels applicable to Type 1 Catalogue Solutions supplied via Lot 1 of the GPIT Futures Framework 1.

## The Service Management Agent for Lot 1 of the GPIT Futures Framework 1 is NHS England for Type 1 Catalogue Solutions and the Call Off Ordering Party (or their representative) for Type 2 Catalogue Solutions.

## Where the Supplier is entitled to propose elements of the Service Level / Service Failure definitions in accordance with this Part A, the Supplier may propose future changes to the same under clause 22 of the Catalogue Agreement.

## AVAILABILITY

## This section sets out the Service Levels applicable to availability.

## 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.

## 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 (or, where relevant, a Foundation Capability) provided to a Service Recipient, that all the relevant Service Recipient’s users can access the Catalogue Solution (or the relevant Foundation Capability).*

***Unavailability / Unavailable:*** *means, in the context of a Catalogue Solution (or, where relevant, a Foundation Capability) provided to a Service Recipient, it is not Available.*

*For the avoidance of doubt, as detailed in paragraph 1.6, a Catalogue Solution (or, where relevant, a Foundation Capability) 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 Type 1 Catalogue Solutions interface such as National Services).*

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| A01-01 | Target Performance Level | Total loss of Catalogue Solution (excluding the Interfaces to National Services and GP Connect Interfaces):  <= 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 AND  Loss of availability of one or more Foundation Capabilities  <= 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 | None |
| A01-02 | Serious Service Failure  (Minor and Moderate are not applicable to this Service Level) | Total loss of Catalogue Solution (excluding the Interfaces to National Services and GP Connect Interfaces):  > 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 OR  Loss of availability of one or more Foundation Capabilities  > 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 | Service Credits |
| A01-03 | Severe Service Failure | Total loss of Catalogue Solution (excluding the Interfaces to National Services and GP Connect Interfaces):  > 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  Loss of availability of one or more Foundation Capabilities  > 2 hours in a week of loss of Availability for a Service Recipient over the Service Period OR  > 2 hours in one contiguous period of loss of Availability for a Service Recipient over the Service Period | Service Credits |
| A01-04 | Unacceptable Service Failure | Total loss of Catalogue Solution (excluding the Interfaces to National Services and GP Connect Interfaces):  > 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 |

#### *A02: Availability of the Interfaces to National Services, excluding GP2GP and GPES-I*

*Definitions for this Service Level:*

***Availability / Available:*** *means, in the context of a Catalogue Solution provided to a Service Recipient, that all Interfaces to the National Services are fully operational (excluding GP2GP and GPES-I).*

***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 Interfaces to National Services (excluding GP2GP and GPES-I) are not functioning correctly 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, issues with the relevant National Services).*

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| A02-01 | Target Performance Level | <= 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 |
| A02-02 | Serious Service Failure  *(Minor and Moderate are not applicable to this Service Level)* | > 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 |
| A02-03 | Severe Service Failure | > 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 |
| A02-04 | Unacceptable Service Failure | > 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 |

#### A03: Availability of GP Connect Interfaces (including Access Record HTML, Access Record Structured, Access Record Documents, Appointment Management, Send Document, and Update Record)

*For the Avoidance of doubt, the Availability of the Interfaces contained in this A03 shall be measured independently of and separately to each other.* *For the purposes of this document, “GP Connect Interfaces” shall mean those interfaces listed above (as uplifted from time to time and notified to the Supplier by the Authority*

*Definitions for this Service Level:*

***Availability / Available:*** *means, in the context of a Catalogue Solution provided to a Service Recipient, that all GP Connect Interfaces are fully operational.*

***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 GP Connect Interfaces are not functioning correctly 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).*

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| A03-01 | Target Performance Level | <= 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 |
| A03-02 | Serious Service Failure  *(Minor and Moderate are not applicable to this Service Level)* | > 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 |
| A03-03 | Severe Service Failure | > 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 |
| A03-04 | Unacceptable Service Failure | > 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 |

**A04: Availability of Qualifying Connections** **(including the IM1 Desktop Interface, Partner API Interface and IM1 PFS API Interface, but excluding the IM1 Bulk Interface)** *For the Avoidance of doubt, the Availability of the Interfaces contained in this A04 shall be measured independently of and separately to each other.*

*Definitions for this Service Level:*

***Availability / Available:*** *means, in the context of a Service Instance, a Qualifying Connection provided to a Consumer Supplier, that the Qualifying Connection is fully operational.*

***Unavailability / Unavailable:*** *means, in the context of a Qualifying Connection provided to a Consumer Supplier, it is not Available.*

*For the avoidance of doubt, as detailed in paragraph 1.6, a Qualifying Connection will not be held to be Unavailable in circumstances where (a) the relevant interface is not functioning correctly 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. issues with the relevant third party interface and/or solution (as appropriate)) and (b) the Interface has been suspended or throttled in accordance with the provisions of the Model Interface Licence.*

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| A04-01 | Target Performance Level | For each Qualifying Connection:  <= 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 |
| A04-02 | Unacceptable Service Failure  *(Not handled via the Service Failure mechanism – see commercial remedy column.)* | For each Qualifying Connection, the Target Performance Level is not achieved. | In a Service Period, for each Qualifying Connection that fails the Service Level then an amount equal to the per Connection benchmark (Commercial Standard, Annex 3, Clause 5) will be applied as a Service Credit. \* |

#### A05: Availability of Qualifying Connections in relation to the IM1 Bulk Interface

*Definitions for this Service Level:*

***Availability / Available:*** *means, in the context of the IM1 Bulk Interface, that the relevant bulk data extracts are: (i) made available to the Consumer Supplier in accordance with the agreed frequency/schedule and (ii) that they are complete in all material respects.*

***Unavailability / Unavailable:*** *means, in the context of the IM1 Bulk Interface, it is not Available to a Consumer Supplier.*

*For the avoidance of doubt, as detailed in paragraph 1.6, the IM1 Bulk Interface will not be held to be Unavailable in circumstances where the relevant interface is not functioning correctly 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. issues with the relevant third party interface and/or solution (as appropriate)).*

| Ref | Service Level element | Definition | Commercial remedy |
| --- | --- | --- | --- |
| A05-01 | Target Performance Level | In respect of each Qualifying Connection and in respect of the IM1 Bulk Interface at least one extract is to be provided for each Qualifying Connection in each 24-hour period commencing at 00:00 and ending at 23:59 on each calendar day of the Service Period (a Bulk Extract Day) as set out in the Interoperability Standard (im1\_bulk\_002) | None |
| A05-02 | Unacceptable Service Failure  *(Not handled via the Service Failure mechanism – see commercial remedy column.)* | For each Qualifying Connection the Target Performance Level is not achieved. | In a Service Period, for each Qualifying Connection that fails the Service Level then an amount equal to the per Connection benchmark (Commercial Standard, Annex 1, Clause 5) will be applied as a Service Credit. \* |
| *\*Service Credits can be reduced if the number of Unacceptable Services Failures during this Service Period are minimised as follows:* | | No further Unacceptable Service Failures occur during the same Service Period | Service Credit is reduced by 75% |
| One further Unacceptable Service Failure occurs during the same Service Period | Service Credit is reduced by 50% |
| Two further Unacceptable Service Failures occur during the same Service Period | Service Credit is reduced by 25% |
| Three or more further Unacceptable Service Failures occur during the same Service Period | Full-Service Credit applies. |

## SYSTEM RESPONSIVENESS

* 1. This section sets out the Service Levels applicable to the responsiveness of Type 1 Catalogue Solutions. These Service Levels measure the round-trip transaction response time within the boundary of the Type 1 Catalogue Solution (i.e. they exclude time for the Transaction to traverse technology out of the direct contractual responsibility of the Supplier (e.g. the network)).
  2. The scope of transactions to be measured (and methodology for performing the relevant measurements) will be proposed by the Supplier, must be representative of the overall performance across all classifications of Transaction for the solution components being measured and shall be agreed with the Service Management Agent (acting reasonably) under the GPITF compliance regime.
  3. The Supplier shall propose the values in square brackets for each Catalogue Solution which shall represent a level of performance acceptable to the Service Recipients and the Catalogue Authority will publish details of the agreed definition on the Catalogue Solution Listing as information that may act as a purchasing differentiator by buyers.

#### B01: Responsiveness of the Catalogue Solution, excluding GP Connect Interfaces and IM1 Interfaces

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| B01-01 | Target Performance Level | The Supplier will propose an appropriate Target Performance Level in respect of their architecture which must meet the following minimum standards:  >= 95% of these Transactions take <=[ ] second AND >=99.9% take <=[ ] seconds to process. | None |
| B01-02 | Moderate Service Failure  *(Minor Service Failures are not applicable to this Service Level)* | The Supplier will propose an appropriate Moderate Service Failure in respect of their architecture which must meet the following minimum standards:  >=90% and < 95% of these Transactions take <=[ ] second OR >=95% and < 99.9% take <= [ ] seconds to process | Service Credits |
| B01-03 | Serious Service Failure | The Supplier will propose an appropriate Serious Service Failure in respect of their architecture which must meet the following minimum standards:  >=80% and < 90% of these Transactions take <=[ ] second OR >=90% and < 95% take <= [ ] seconds to process | Service Credits |
| B01-04 | Severe Service Failure | The Supplier will propose an appropriate Severe Service Failure in respect of their architecture which must meet the following minimum standards:  >=60% and < 80% of these Transactions take <=[ ] second OR >=80% and < 90% take <= [ ] seconds to process | Service Credits |
| B01-05 | Unacceptable Service Failure | The Supplier will propose an appropriate Unacceptable Service Failure in respect of their architecture which must meet the following minimum standards:  < 60% of these Transactions take <=[ ] second OR < 80% take <=[ ] seconds to process. | Service Credits |

#### B02: Responsiveness of the GP Connect Interfaces (including Access Record HTML, Access Record Structured, Access Record Documents, Appointment Management, Send Document, and Update Record)

For the Avoidance of doubt, the Responsiveness of the Interfaces contained in this B02 shall be measured independently of and separately to each other. *For the purposes of this document, “GP Connect Interfaces” shall mean those interfaces listed above (as uplifted from time to time and notified to the Supplier by the Authority*

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| B02-01 | Target Performance Level | The Supplier will propose an appropriate Target Performance Level in respect of their architecture in the following format replacing the values for A to F in square brackets with those applicable to their Catalogue Solution. The values of A to F in B02-01 to B02-05 will be the same.:  Command Transaction  A command transaction performs a user-initiated operation (for example, booking an appointment, registering a patient).  >= 50% of these Transactions take <[A]ms AND >=70% take <[B]ms AND >=99.9% take <[C] second to process.  Query Transactions  A query Transaction performs a user-initiated retrieval of data without any side-effects (for example, searching for a patient’s medication history).  >= 50% of these Transactions take <[D] second AND >=70% take <[E] seconds AND >=99.9% take <[F] seconds to process. | None |
| B02-02 | Moderate Service Failure  *(Minor Service Failures are not applicable to this Service Level)* | The Supplier will propose an appropriate Moderate Service Failure in respect of their architecture in the following format replacing the values for A to F in square brackets with those applicable to their Catalogue Solution:  Command Transaction  >=40% and < 50% of these Transactions take <[A]ms OR >=60% and <70% take <[B]ms OR >=98.5% and <99.9% take <[C] second to process  Query Transactions  >= 40% and <50% of these Transactions take <[D] second OR >=60% and <70% take <[E] seconds OR >=98.5% and <99.9% take <[F] seconds to process. | Service Credits |
| B02-03 | Serious Service Failure | The Supplier will propose an appropriate Serious Service Failure in respect of their architecture in the following format replacing the values for A to F in square brackets with those applicable to their Catalogue Solution:  Command Transaction  >=30% and < 40% of these Transactions take <[A]ms OR >=50% and <60% take <[B]ms OR >=97% and <98.5% take <[C] second to process  Query Transactions  >=30% and <40% of these Transactions take <[D] second OR >=50% and <60% take <[E] seconds OR >=97% and <98.5% take <[F] seconds to process. | Service Credits |
| B02-04 | Severe Service Failure | The Supplier will propose an appropriate Severe Service Failure in respect of their architecture in the following format replacing the values for A to F in square brackets with those applicable to their Catalogue Solution:  Command Transaction  >=20% and < 30% of these Transactions take <[A]ms OR >=30% and <50% take <[B]ms OR >=95% and <97% take <[C] second to process  Query Transactions  >=20% and <30% of these Transactions take <[D] second OR >=30% and <50% take <[E] seconds OR >=95% and <97% take <[F] seconds to process. | Service Credits |
| B02-05 | Unacceptable Service Failure | The Supplier will propose an appropriate Unacceptable Service Failure in respect of their architecture in the following format replacing the values for A to F in square brackets with those applicable to their Catalogue Solution:  Command Transaction  < 20% of these Transactions take <[A]ms OR <30% take <[B]ms OR <95% take <[C] second to process.  Query Transactions  <20% of these Transactions take <[D] second OR <30% take <[E] seconds OR <95% take <[F] seconds to process. | Service Credits |

**B03: Responsiveness of Qualifying Connections (including the IM1 Desktop Interface, Partner API Interface and IM1 PFS API Interface, but excluding the IM1 Bulk Interface)** For the Avoidance of doubt, the Responsiveness of the Interfaces contained in this B03 shall be measured independently of and separately to each other.

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| B03-01 | Target Performance Level | For each Qualifying Connection:  The Supplier will propose an appropriate Target Performance Level in respect of their architecture in the following format replacing the values in square brackets with those applicable to their Catalogue Solution:  Command Transaction  A command transaction performs a user-initiated operation (for example, booking an appointment, registering a patient).  >= 50% of these Transactions take <[250]ms AND >=70% take <[500]ms AND >=99.9% take <[1] second to process.  Query Transactions  A query Transaction performs a user-initiated retrieval of data without any side-effects (for example, searching for a patient’s medication history).  >= 50% of these Transactions take <[1] second AND >=70% take <[2] seconds AND >=99.9% take <[3] seconds to process. | None |
| B03-02 | Serious Service Failure  *(Not handled via the Service Failure mechanism – see commercial remedy column.)* | For each Qualifying Connection where the Target Performance Level is not achieved. | In a Service Period, for each Qualifying Connection that fails the Service Level then an amount equal to the per Connection benchmark (Commercial Standard, Annex 1, Clause 5) will be applied as a Service Credit. |

## CLINICAL SAFETY

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

#### C01: Clinical Safety

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| C01-01 | Target Performance Level | None of the criteria for the Unacceptable, Severe or Serious Service Failures are met. | None |
| C01-02 | Serious Service Failure *(Minor and Moderate 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 |
| C01-03 | 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 |
| C01-04 | 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 |

## GPES

#### A06: Availability of GPES Data Delivery

The GPES Data Delivery service level measures the Supplier’s ability to successfully deliver accurate data to the Authority within the agreed timeframe or Data Delivery Window.

Where the Supplier does not achieve a data return rate of 100% in the Data Delivery Window an additional window referred to as the Resolution Period may be used. Data returned during the Resolution Period will attract a reduced number of Service Credits in line with the table below.

*Definitions for this Service Level:*

***Availability / Available:*** *means, in the context of the General Practice Extraction System, that the relevant data extracts are: (i) made available to the Authority in accordance with the agreed frequency/schedule and (ii) that they are complete in all material respects.*

***Unavailability / Unavailable:*** *means, in the context of the General Practice Extraction System, the relevant data extracts are not Available to the Authority.*

*For the avoidance of doubt, Suppliers will not be held to be Unavailable in circumstances where any performance issues identified and documented are outside the responsibilities of the Supplier.*

| Ref | Service Level element | Definition | Commercial remedy |
| --- | --- | --- | --- |
| A06-01 | Target Performance Level | 100% of requested data for each Extraction Service scheduled within the Service Period, in accordance with the schedule specified within the associated Extract Plan, is completed within the Data Delivery Window and is available to the Authority and the content of each Extraction Service is complete and accurate. | None |
| A06-02 | Minor Service Failure | In respect of each Extraction Service where the Target Performance Level is not achieved, for each Service Recipient where requested data is subsequently delivered during the Resolution Period and is accessible to the Authority and the content of the Extraction Service is complete and accurate. | Service Credits  *(2 service points per Service Recipient per Extraction Service that isn’t made available in time)* |
| A06-03 | Moderate Service Failure | For each Extraction Service the Target Performance Level is not achieved. | Service Credits  *(10 service points per Service Recipient per Extraction Service that isn’t made available in time)* |

#### A07: GPES Data Viewer

The GPES Data Viewer service level measures the Supplier’s ability to make extracted data available for viewing by the Service Recipient in the Supplier’s GPES Data Viewer tool prior to the extracted data being delivered to the Authority.

*Definitions for this Service Level:*

***Availability / Available:*** *means, in the context of the General Practice Extraction System, that the relevant data extracts are: (i) made available to the Service Recipient in accordance with the agreed frequency/schedule and (ii) that they are complete in all material respects.*

***Unavailability / Unavailable****: means, in the context of the General Practice Extraction System, it is not Available to a Service Recipient.*

*For the avoidance of doubt, Suppliers will not be held to be Unavailable in circumstances where any performance issues identified and documented are outside the responsibilities of the Supplier.*

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| A07-01 | Target Performance Level | Data extracted for each Extraction Service is made available to view by each Service Recipient before being submitted to the Authority. | None |
| A07-02 | Minor Service Failure | For each Extraction Service the Target Performance Level is not achieved. | Service Credits  *(2 service points per Service Recipient per Extraction Service that isn’t made available in time)* |

#### D01: GPES Extraction Service Development

The GPES Extraction Service Development service level measures the Supplier’s ability to develop, test and deploy Service Extracts in line with the timescales contractually agreed in the associated Extract Request.

The service level shall be measured against the Contractual Readiness Date stated in Part C of the Extract Request and the date the Authority to Deploy is awarded to the Supplier by the Authority.

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| D01-01 | Target Performance Level | Each Extraction Service is developed, tested and deployed to the Supplier’s estate in line with the timescale agreed in the corresponding Extract Request. | None |
| D01-02 | Serious Service Failure | For each Extraction Service the Target Performance Level is not achieved. | Service Credits  *(20 service points per Service Recipient per Extraction Service that isn’t made available in time)* |

## ESCALATIONS

* 1. This section sets out the Service Levels applicable to Escalation management.

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| E01-01 | Target Performance Level | Acknowledge or respond to an Escalation within 2 Support Hours\*. | None |
| E01-02 | Minor Service Failure | Failure to acknowledge or respond to an Escalation within 2 Support Hours\*. | Service Credits |
| E02-01 | Target Performance Level | Provide a response to the Escalation setting out explanation, remedy plan and work required within 5 Working Days. | None |
| E02-02 | Moderate Service Failure | Failure to provide a response to the Escalation setting out explanation, remedy plan and work required within 5 Working Days. | Service Credits |
| E03-01 | Target Performance Level | Provide an update every 5 Working Days | None |
| E03-02 | Moderate Service Failure | Failure to provide an update every 5 Working Days | Service Credits |

*\* For the purpose of Service Levels E01-01 and E01-02, Support Hours shall mean between the hours of 06:30-20:30 on each Working Day.*

## HSSI 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 and S03 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.

#### H01: 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** |
| --- | --- | --- | --- |
| H01-01 | Target Performance Level | None of the criteria for the Unacceptable, Severe, Serious, Moderate or Minor Service Failures are met. | None |
| H01-02 | 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 |
| H01-03 | 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 |
| H01-04 | 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 |
| H01-05 | 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 |
| H01-06 | 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 |

## PROBLEM MANAGEMENT

This section sets out the Service Levels applicable to Problem Management.

It is assumed that any failure of the Service Levels P01-02 to P01-04 inclusive impacts all Service Recipients unless the Supplier can provide written evidence that Service Recipients were not impacted. Such evidence must be included in the next scheduled PMR and list all Service Recipients that the Supplier claims are not impacted (the Excluded Service Recipients) and a full explanation as why the Excluded Service Recipients are not impacted. It will be at the Authority’s discretion (acting reasonably) as to whether it accepts the Supplier’s assertion that the Excluded Service Recipients were impacted or not.

For the avoidance of doubt, the Catalogue Authority shall periodically and independently validate the extent of any impact of a failure of the above Service Levels via the Suppliers toolkit.

|  |  |  |
| --- | --- | --- |
| **Problem Service Failure categorisation** | **Service Points per Service Failure** | **Service Points for each subsequent Service Period that the problem remains open in** |
| Minor Service Failure | 2 | 1 |
| Moderate Service Failure | 10 | 2 |
| Serious Service Failure | 20 | 4 |
| Severe Service Failure | 50 | 10 |
| Unacceptable Service Failure | 200 | 40 |

|  |  |  |  |
| --- | --- | --- | --- |
| **REF** | **Service Level element** | **Definition** | **Commercial Remedy** |
| P01-01 | Target Performance Level | Problem Severity 1 - Fixed within 60 working days  Problem Severity 2 - Fixed within 60 working days  Problem Severity 3 - Fixed within 90 working days  Problem Severity 4 - Fixed within 150 working days  Problem Severity 5 - Fixed within 240 working days | None |
| P01-02 | Minor Service Failure | Problem Severity 5 not fixed within 240 working days | Service Credits |
| P01-03 | Moderate Service failure | Problem Severity 4 not fixed within 150 working days | Service Credits |
| P01-04 | Serious Service Failure | Problem Severity 3 not fixed within 90 working days | Service Credits |
| P01-05 | Severe service failure | Problem Severity 2 not fixed within 60 working days | Service Credits |
| P01-06 | Unacceptable Service Failure | Problem Severity 1 not fixed within 60 working days | 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.

#### S01: Supplier Defined Incident SLA

Service Levels S01-02 to S01-04 will be calculated separately to each other and on the default basis that any failure impacts single Service Recipient.

However, if the failure of the above Service Levels impacts more than one Service Recipient, then the Supplier shall include details of all Service Recipients impacted by the failure on the next scheduled PMR report.

For the avoidance of doubt, the Catalogue Authority shall periodically and independently validate the extent of any impact of a failure of the above Service Levels via the Suppliers toolkit.

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| S01-01 | Target Performance Level | Service level achieved for severity 3, 4, 5 Incidents and Service Requests | None |
| S01-02 | Serious Service Failure | Service level failed for severity 5 Incidents | Service Credits |
| S01-03 | Severe Service Failure | Service level failed for severity 4 Incidents | Service Credits |
| S01-04 | Unacceptable Service Failure | Service level failed for severity 3 Incidents | Service Credits |

#### S02: Supplier Defined Service Request SLA

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| S02-01 | Target Performance Level | Service level achieved for Service Requests | None |
| S02-02 | Minor Service Failure | Service level failed for Service Requests | Service Credits |

#### S03: ITSM Toolset, email and phone availability

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| S03-01 | Target Performance Level | >=99.9% availability | None |
| S03-02 | Minor Service Failure | <99.9% availability | Service Credits |

#### S04: Transactional CSAT Rate

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| S04-01 | Target Performance Level | 4 and 5 CSAT score >=65% CSAT for reporting period | None |
| S04-02 | Minor Service Failure | 4 and 5 CSAT score <65% CSAT for reporting period | Service Credits |

## GP2GP TRANSFERS

Definitions for this Service Level:

***Successful transfer:*** *Successfully transmit the whole EHR electronically or receive the EHR electronically.*

***Failure:*** *Failure to transmit the whole EHR electronically or receive the EHR electronically. This does not apply in the instance where a practice has not accepted the transfer.*

***Note:*** *These Service Levels will be reviewed every 12mths and will be improved to align with the previous years performance to drive continued reduction in GP2GP failure rates.*

***For Info:*** *All GP2GP Problem Records will always be managed as a severity 3.*

| **Ref** | **Service Level element** | **Definition** | **Commercial remedy** |
| --- | --- | --- | --- |
| T01-01 | Target Performance Level | <=1.5% failure rate per Service Failure. | None |
| T01-02 | Moderate Service Failure | Between 1.6% - 4.9% of failures per Service Failure. | Service Credits\* |
| T01-03 | Serious Service Failure | Between 5% - 9.9% of failures per Service Failure. | Service Credits\*\* |
| T01-04 | Severe Service Failure | =>10% failures per Service Failure. | Service Credits\*\*\* |
| *\*Service Credits can be reduced if the Moderate Service Failure has been resolved as follows:* | | Fix executed within 48hrs\*\*\*\* and failed records to be replayed within 72hrs\*\*\*\* | Service Credit is reduced by 50% |
| *\*\*Service Credits can be reduced if the Serious Service Failure has been resolved as follows:* | | Fix executed within 24hrs\*\*\*\* and failed records to be replayed within 72hrs\*\*\*\* | Service Credit is reduced by 50% |
| *\*\*\*Service Credits can be reduced if the Severe Service Failure has been resolved as follows:* | | Fix executed within 12hrs\*\*\*\* and failed records to be replayed within 72hrs\*\*\*\* | Service Credit is reduced by 50% |

*\*\*\*\* hrs (hours) in these instances means all hours of days which are Working Days, for example if Moderate Service Failure occurs at 17:00 on a Friday (that is not a bank holiday) Fix must be executed by 17:00 on the following Tuesday and failed records replayed by 17:00 on the Wednesday immediately after to qualify for a 50% reduction in Service Credits.*

## BALANCED SCORECARD

* 1. This section sets out the Service Level applicable to the balanced scorecard. The table set out in Attachment 1 will include the details set out below and when completed will be used to determine if the Target Performance Level is achieved or whether a Service Failure has occurred by reference to:
     1. the performance criteria applicable to the scorecard and the relative weighting of each;
     2. the scoring guidance for each criterion;
     3. the score allocated; and
     4. the total score and an indication of the Target Performance Level to be achieved or which category of Service Failure has occurred.
  2. The production of the balanced scorecard will operate as follows:
     1. the Supplier shall complete the balanced scorecard template and issue the same to the Service Management Agent (scores and supporting rationale to be included) as a component of the Performance Monitoring Report required under Framework Agreement Schedule 2.5 (Performance Levels); and
     2. the parties shall discuss the content for the balanced scorecard component of the Performance Monitoring Report as part of the Performance Review Meetings and the Supplier shall propose the final scores and agree them with the Service Management Agent (acting reasonably).

#### T01: Balanced scorecard

See the file named “Balanced Scorecard” provided separately.