HealthRoster Optima

Service Definition – Allocate Software

G-Cloud 13

1. Why choose Allocate Software?

Allocate Software, being part of RLDatix, is a global provider of governance, compliance, contract management, risk, workforce planning and optimisation solutions focusing on providing solutions for organisations navigating complex, and sometimes dangerous, environments. With four decades of experience, Allocate applies this wealth of knowledge to delight our customer base in healthcare, defence, maritime and other high-risk industries with a truly unique solution, **HealthRoster Optima**.

Supported by subject experts and a highly responsive support team, the package is delivered through a combination of onsite and remote support, intuitive technology, and dedicated account management that will continue throughout the duration of the contract, ensuring that organisations achieve the best possible results from the solution.

2. What is HealthRoster Optima?

HealthRoster Optima is a Cloud-hosted software package that combines Allocate's flagship rostering and bank solutions to create a single holistic system for healthcare organisations. The package is made up of several key solutions (HealthRoster11, BankStaff, SafeCare, Roster Perform11, and the Loop app), employee access systems, and multiple customer support services, including the Allocate Academy and a Customer Success Analyst.

2.1 HealthRoster11 (HealthRoster)

HealthRoster is the most commonly used e-rostering system in the UK and is designed not only to automate the rostering process, but to make rosters safer for both patients and staff alike. Through a variety of features such as roster analysers, demand template functionality, integration with ESR and more, **HealthRoster** provides organisations and their staff with unparalleled visibility and control of the rostering process. The application is designed to ensure that the full benefits of e-rostering are realised, and that follow-on processes - including bank and payroll processing - are also significantly improved.

HealthRoster's exceptionally powerful tools are delivered via a deceptively simple 'one-screen, one-click' user interface that allows Users to interact easily and then move on to other tasks in rapid succession. **HealthRoster** is also supported by a companion app, Loop, which provides staff with a quick and simple portal with which to manage their working lives, enabling them to view rosters, make duty, leave and study requests, view and manage bank bookings, and check their timesheets. In addition to this, the Loop app also allows staff to view their rosters anytime and anywhere, therefore providing staff with clear visibility at all times.

2.1.1 Key Features

Connected Rostering for Multi-Disciplinary Teams

Unique to **HealthRoster**, the system integrates with all other staff group rosters and provides a consolidated view that helps multi-disciplinary teams work together and more efficiently. For instance, when a Consultant cancels a clinic, **HealthRoster** ensures that the impact on Nurses is managed effectively.

Fully Integrated with NHSP and BankStaff

Rostering does not stop with substantive staff, and neither does **HealthRoster**. The system helps to ensure that shifts are filled by appropriately skilled staff at all times - whether substantive, bank or agency - by linking fully and directly with NHSP and Allocate's BankStaff. Managers benefit from making bank requests directly from the roster, and from seeing bank and agency assignments as part of the roster, while bank office staff receive requests that are timelier and can easily check against substantive duties for WTD compliance.

Support for Flexible Working

Flexibility is a key component of staff retention and is aided by **HealthRoster's** robust functionality that supports staff flexibility in terms of working hours, patterns, and more.

Multi-Location Rostering

In addition to managing when clinical staff members are working, **HealthRoster** takes this a step further and manages where staff are working too. This functionality is key for complex rostering areas such as theatres, clinics, and midwifery and community staff, where visibility of locations and unfilled duties is crucial to delivering care.

Two-Way Integration with ESR

HealthRoster is equipped with bi-directional integration with ESR and streamlines burdensome administrative processes and improves the accuracy of pay and HR data. Allocate first delivered a live ESR interface in April 2007 and, since then, have been constantly improving these interfaces ever since. **HealthRoster's** ESR integration is comprised of three key components:

- ESR Data to HealthRoster – Staff and assignment data will be automatically loaded into **HealthRoster** from ESR using the latest ESRGO2 Interface.

- HealthRoster Time and Attendance (Pay) data to ESR – Pay data for substantive and bank staff can be sent to ESR as appropriate. HealthRoster will automatically calculate the earned pay hours from rosters using Agenda for Change and other rules, therefore ensuring correct pay.

- HealthRoster Absence Data to ESR – Sickness, leave, and other absence data can be sent to ESR, including primary and secondary sickness reasons, 'return to work' information, and more.

2.1.2 Key Benefits

- Simple Roster Creation and Maintenance – Both in regular wards and highly complex areas such as theatres, A&E and Maternity

- Real-Time Rules Engine – Highlights unsafe or unfair working as soon as a duty is assigned, even highlighting rules around absence such as limiting workers from working bank shifts if they have recently been off sick

- Bank and Agency Integration – Integrates with BankStaff or NHSP to ensure that all vacant duties are filled in the most efficient and safest way

- Automated Timesheets – Auto-generation of enhanced hour payments using Agenda for Change, replacing a day-long manual process with the click of a button

- Payroll Integration – Sends pay and absence data using well established ESR interfaces, reducing the administration burden, and increasing accuracy

- Roster Analysis – Objectively shows if the roster is 'good'- i.e., safe, fair and efficient - via Key Performance Indicators (KPIs)

- RosterPerform – An integrated web-based management dashboard that highlights rostering issues across the whole organisation

- Meeting Patient Needs – Shows if you have the right staff to meet patient needs, based on Care Hours Per Patient Day (CHPPD)

- Improved Patient Care – By ensuring that correctly skilled staff are on duty and increasing time to care

- Increased Time to Care – Releases more time for frontline care by automating administrative tasks

- Reduced Costs – Highlights and reduces avoidable costs by better utilisation of the workforce

- Increased Operational Intelligence – An unrivalled transparency of staffing issues helps to fix problems before they impact services

- Reduced Back Office Costs – Streamline operations by automating payroll and absence processes

- Reduced Dependency on Bank and Agency Staff – Delivering cost savings and improved continuity of care.

- Increased Staff Satisfaction – Involve staff more in the rostering process with the Loop app and manage contentious working issues fairly through the use of Staff Leagues and encouraging staff to be more involved in the rostering process through the Loop app

- Reduction in Absenteeism and Lateness – Increase roster satisfaction with a fair and transparent process and reduce fatigue due to poor rostering

- Improved Payroll Accuracy – By automating enhanced pay and directly interfacing to ESR

2.2 BankStaff

BankStaff helps to optimise and efficiently manage the temporary workforce, ensuring compliant and safe staffing, reducing the reliance on expensive external agencies, and enables flexible bank working with improved engagement for the bank workers. **BankStaff** is uniquely and closely integrated into HealthRoster but can operate standalone. **BankStaff** has a suite of reports for analytics.

Built on a proven and established platform, **BankStaff** has been designed to improve and streamline the process of identifying and deploying staff to fill available bank shifts.

By seamlessly and closely integrating with the roster through an evolved and proven technology, the application not only significantly simplifies a complex process, but also ensures that rules breakages do not occur, enabling the bank office to concentrate on filling the harder-to-fill/more expensive shifts.

At the same time, workers feel empowered and in control of their flexible work-life through their individual worker app which enables them view bank shifts suitable for them, add availability, book and manage their bank duties, view schedules and add timesheets any time anywhere.

Guided by the principle of using agency staff only as a last resort, **BankStaff** also manages the agency relationship and ensures that the best value for money is secured. Consistent with the 'self-service' principle of **BankStaff** for all stakeholders, agencies have access to an agency portal to further reduce administration and to streamline processes, whilst ensuring compliance with the Trust's process.

Staff data can be uploaded and maintained from HR systems and pay files are generated that can automatically be loaded into payroll systems (e.g., ESR).

BankStaff can easily be extended for customers who are looking to add additional value with BankStaff+ features and save on agency spend through integration into 247Time for Direct Engagement and by forming collaborative bank using CloudStaff.

2.2.1 Key Features

- Request duties, and view booked bank/agency workers directly from the roster. Information flows two ways, so updates from the Bank automatically update the rosters.

- Manage Bank workers, including professional registration, training/certification, work preferences, annual leave, and upload from ESR

- Workers can enter their bank availability, book shifts, view schedules, cancel bookings and enter timesheets via an app or web portal

- Sends alerts via SMS and Email to broadcast available duties, confirm bookings & cancellations, remind of duties, and send ad-hoc communications

- Timesheet, approval, and payment processes with pay extract to ESR

- Provides comprehensive audit trails of bank and agency usage

- Financial modelling gives managers estimated costs for all duties and costs for agencies before transferring requests

- Manages and improves control of agencies, including onboarding, charge rates, duty cascade (including auto cascade) bookings, and invoice reconciliation. Includes an agency portal.

- Configure system roles and access, to tailor access to organisational needs

- Reports and data extracts for management information and analytics, including mandated NHSI bank and agency reporting

- Provided as SaaS, with remote 24-hour access and compliant with latest security and GDPR standards

- Can easily be extended with BankStaff+ features, integration into 247Time for Direct Engagement, and to form collaborative bank using CloudStaff

2.2.2 Key Benefits

BankStaff delivers a wide range of customer benefits, including:

- Reduced clinical risk – provides the right staff with the right skills

- Self-Serve and automation enable streamlining of the bank booking process, empowers and devolves responsibility, and saves time

- Enhance your organisation-wide staffing visibility for all staff groups, with one accurate view for complete clinical governance

- Integration into rosters ensures only genuine, budgeted and authorised demand is requested to bank; makes it easy for requesters to create bank duties, resulting in staff resource savings and fewer clerical errors; provides visibility of staffing across an organisation

- Improve worker engagement with a dedicate app for managing bookings

- Faster worker communication through targeted SMS & email notifications

- Cost savings through improved bank fill and reduced agency use.

- Improve control and compliance through booking rule configuration, including compliance with EWTD requirements

- Control agency spend through Direct Engagement Integration, negotiated rates and invoicing

- Delivers real-time operational data for informed decisions and reviews

2.3 SafeCare

SafeCare allows organisations to compare current staffing levels and skill mix to real-time patient demand. It provides visibility across wards and areas transforming rostering into an acuity-based daily staffing process that unlocks productivity and safeguards patient safety. **SafeCare** provides an instant view of whether staffing levels are safe enough for clinical demand applying the appropriate calculations for a unit and decision support for redeployment. SafeCare also allows nurse directors, matrons, and site managers to see a site-wide view of staffing levels, as well as unit-specific views. Fully informed, this information then allows Managers to make changes in real-time, redeploying staff where appropriate, and updating the staffing and staffing level information right at that moment.

Utilised by over 200 NHS and Independent health and care organisations, **SafeCare** empowers site managers, matrons, ward managers and nurses. It is accessible on desktop computers and tablets, allowing clinical and operational teams to quickly:

- Record a census of patient numbers, acuity, and dependency – typically two or three times a day

- See the staffing status of all wards, services, and locations in a single view

- View staffing status across many dimensions including hours short/excess, missing skills, missing charge cover, and skill mix

- See all staff rostered on a shift, including their skills

- Track attendance and sickness of those staff

- Redeploy staff safely, therefore helping to avoid unnecessary agency use

- Request bank or agency cover if needed

- Quickly track 'Red Flags' as they occur as required by the first safe staffing NICE guideline

- Record professional judgements

SafeCare also allows organisations to define a unit's acuity model which can be set to meet local requirements.

2.4 RosterPerform11 (RosterPerform)

E-rostering makes enormous amounts of data available that was previously unobtainable. The challenge, however, is in how this data can be digested and presented in a way that delivers real operational improvement. RosterPerform is the tool designed to give managers the ability to use this data to measure and benchmark how well staff are functioning across the organisation, in real-time. As a web-based management dashboard, **RosterPerform** clearly highlights staffing issues both now and into the future.

2.4.1 RosterPerform Capabilities

RosterPerform monitors Key Performance Indicators (KPIs) in five crucial areas, displaying previously unobtainable date to Managers:

- **Safety:** Shows if the actual staffing level is aligned with clinical demand, including unfilled shifts that should be covered, skills gaps, and instances in which there is a lack of senior staff in charge
- **Unavailability:** Monitors sickness, annual leave, study, and other absences so that the peaks and troughs of unavailability can be avoided, and dependence on temporary staff reduced
- **Effectiveness:** Shows where staff are not being utilised effectively which, when resolved, reduces costs and improves cover
- **Fairness:** Requests and broken award rules are analysed on an objective basis, ensuring that staff are treated fairly
- **Establishment:** Highlights establishment issues, including misalignment of budgets with demand, staff vacancies and staff inflexibility

RosterPerform unlocks all this information, enabling managers to identify any issues and respond accordingly. The information provided by Optima becomes integral to the operational running of healthcare organisations.

2.4.2 Key Benefits

- Provides Managers with a view of the whole workforce across an entire organisation
- Provide data in a ready to use format anytime, anywhere
- Enables Managers to use substantive staff more efficiently and reduce temporary staff usage
- Minimises operational risk by ensuring services are safely staffed
- Provides Managers with evidence that services are being run as effectively as possible
- Provides all data in one secure source

2.5 The Allocate Loop app

Allocate Loop (Loop) is a next generation app that is replacing previous employee portals, EmployeeOnline and MedicOnline. Loop is the bridge between staff and all Allocate solutions and is available free of charge to all Customers, therefore providing users with greater control over their hours, absences, and staff record.

Loop has been designed exclusively for frontline staff, to make any work-life task quick and simple to do. From checking their shifts and requesting annual leave, to booking the shifts they want to work, it takes just a few clicks in the app. Whether your people are tech experts or tech novices, any member of the team will be able to take control of their work life balance.

Loop's two-way communication features makes engaging people across your organisation simple and safe, enabling colleagues and teammates to connect with each other, stay up to date on the latest news and feel part of the community.

Benefits of using Loop for you, your people and your customers

The table below show the key benefits of using our solution and how our solution will deliver these benefits.

Benefits of our solution	How we will deliver them (Features of our solution)
• Less administrative work for the workforce management team Empower your employees, by letting them take control of work life admin	**View and manage personal roster in calendar format** See other staff who are working with you. Check available vacant shifts and book. Log Call Outs on the go. Adjust and submit timesheets instantly. Request Duties for future rosters. **Book annual and study leave** Review current entitlements and submit requested leave
• Full admin control to remove and add staff, manage access and manage content via keywords You will be able to manage content throughout the communications module of the app and keep control over the overall behaviour of your employees	**Moderator Access to remove content** Ability to remove any necessary posts or comments **Block/Unblock People** Block users from the app if required **Fully auditable and secure platform to share feedback and discuss issues without fear of data leaks** Direct reporting to moderators of the app about any content shared
• Encourage better intra-organisation communications between teams and staff, creating a sense of community and belonging Multiple avenues available in which to converse with colleagues without having to	**Direct Messaging** You can direct message any colleague you have a connection with. **Newsfeed, Groups and Pages** Personalised Newsfeed with content from people and pages the user follows. Create pages and groups. Creation of Staff

Benefits of our solution	How we will deliver them (Features of our solution)
share personal contact information	Groups: automatically generated and managed with Optima 11 integration
• Improve retention and create a more open culture; helping you to become an employer of choice and future workforce You can send information and messages on behalf of your Organisation	**Targeted Messaging** Send messages based on Unit, Grade Type, Team and more **Surveys and Polls** Send surveys and polls to Loop users, based on Optima 11 filters **Auto-follow of organisational page for latest news and updates** All employees will belong to the organisational page and will be able to receive messages from the Organisation at once.
• Easy way to manage Temporary duty bookings Easily accessible way to be able to manage all your temporary staffing bookings from marking availability to adding your timesheet after the duty has been worked.	**Record Availability** Inform your booking department and managers of your availability for a duty. **Book temporary duties** View available vacant duties and book directly. **Cancel Temporary Duties** Cancel Temporary duties before working them **Add/Modify Timesheets** Add or modify your timesheet for the duty you have just worked
• Compatible with CloudStaff and Timeclocks You can also use Loop to book CloudStaff duties and Clock in/Out of Timeclock enabled Units	**CloudStaff** Opt in/out of CloudStaff. Choose the Organisations to book under CloudStaff Cluster. Book your duties. **Timeclocks** Use the app to clock in and out of duties.

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3.   Implementing our product

Customer satisfaction is of the upmost importance to Allocate and we recognise that the start of a relationship can affect rapport for years to come. As such, a positive implementation stage is paramount, and it is essential to Allocate that the implementation of our product goes well for all parties involved. To begin implementation, a project plan must first be agreed between the customer and Allocate, after which the initial build and configuration may begin.

All projects delivered by Allocate are carried out using the Allocate Project Methodology which is comprised of four high-level milestones as part of the project; these include:

Readiness
Working with the customer to ensure that they are in the best position to maximise the impact of the Allocate solution

Deployment
Technical configuration, operational workshops, the transfer of knowledge and skills to enable the customer to establish a solid foundation for their continued implementation

Adoption
Supporting the customer to continue their implementation and to help their active units achieve best practice

Realisation
Using system information to embed best practice across all units to deliver continuous improvement for their organisation

During the Readiness phase, Allocate will orientate the project around specific deliverables and requirements of the customer. These include:

- Creating a bespoke project initiation document, project plan and other project governance documentation that enables good project practices

- Pre-building an environment and configuration setup based on customer specific deliverables

- Outlining a critical path for the project including identifying project gateways and additional milestones

- Identifying a process for the identification and management of risk and issues that could occur during the project, along with the identification of an escalation pathway should the need arise

- Establishing a project steering group and communication channels to support a partnership approach to delivery

During the Deployment phase, this will be led by the Allocate project team and will typically involve live system configuration and training. In addition to this, Allocate will also ensure knowledge and skills enablement to support the customer with any further roll-out, as well as the Realisation of any benefits identified during the Readiness phase.

4. Training the Customer

Allocate adopts and delivers many forms of training regimes based on the requirement of a project. Following implementation, Allocate will deliver a comprehensive training plan that will ensure the customer is fully trained in the use of our product and able to achieve the full benefits of the solution.

- During implementation, training will be delivered by the Implementation Consultant

- Training will be delivered to the project management team to ensure ongoing centrally managed delivery

- Expert knowledge will be provided in each functional area

For many of our products, following implementation, Allocate will provide ongoing training via the Academy Online, which is designed to provide organisations with the formal training and accreditation needed to ensure that they have the confidence and skills to fully utilise them. Moreover, our training and accreditation programmes are focused on job roles and career progression within the customer's teams, guaranteeing that members of the team are trained to the highest standards, are empowered with knowledge, and achieve an in-depth understanding and confidence of the solution.

4.1 The Allocate Academy

4.1.1 Training

Training and accreditations are provided via the Allocate Academy, an organisation built from the ground up to improve customer education. The Academy has currently trained more than 2,500 people and offers:

- 17 Virtual Classroom training courses

- 14 eLearning modules

- Access to all online training documentation as both Feature Guides of which there are over 800 and Quick Reference Guides of which there are over 400. These can all be accessed and downloaded via the Customer Portal

- Over 400 "How-To" videos available online (Audio and Captions) also accessed and downloadable via the Customer Portal

The Academy Online provides access to book instructor led Virtual Classroom courses that are delivered via MS Teams. We schedule new course dates every month for 2 months in advance and scheduling is based on demand via our waiting lists. The eLearning courses can also be accessed via the Academy Online and we publish new feature announcements, FAQs as well as some downloadable Quick Reference Guides and How to Videos.

4.1.2 Our People

The Academy has a team of full-time experienced trainers who are champions in all Allocate products and deliver Instructor led Virtual Classrooms to the customer's team. The Academy Educators are also responsible for new functionality and upgrade training which is similarly supported by digital content and documentation.

4.1.3 New Functionality

New functionality and upgrade training are provided through various methods of delivery to encompass different learning styles and requirements. These methods include online videos, webinars, eLearning and Virtual Classroom training.

4.2 e-Learning

Following implementation, Allocate will provide the Customer with access to the Customer Portal with URLs linking to User Guides, Quick Reference Guides and "How To" Videos. Through the Academy Online, individuals have the ability to learn at their own pace, in their own surroundings, and at a time that suits them. Modules will test the learner's knowledge with short quizzes during and at the point of completion, and there is also a short exam to further test the individual's knowledge and understanding of the subject. We recommend that these modules be run alongside the software to further enhance the training experience and retention of knowledge.

We have more than 400 "How-To" videos available online, containing both audio and captions, which can be downloaded and shared internally with staff via intranet sites.

4.2.1 Systems and Documentation

Allocate Software provides comprehensive solution documentation, including full-supporting technical documentation for the system and its components. This includes:

- Conceptual, physical, and logic diagrams of the design
- Application dataflows
- Interactions with currents systems

End-user guides and product documentation is updated relative to version changes and product development cycles. Our documentation suite covers all aspects of the solution including:

- User Manuals
- Architecture
- Dataflows
- Programme management
- End-user guides and functional documentation

5. Supporting the Customer

This section explains how we typically support you for any of our products (services) in G-Cloud 13. For detail on specific products, please refer to our G-Cloud 13 Terms and Conditions document.

Allocate prides itself on its customer support service and we consider communication with you one of our top priorities. In addition to monthly and quarterly Customer Success reviews, ongoing training via the Allocate Academy, and meetings with Account Managers, Allocate also offers customers a dedicated Customer Support team and service desk facility.

5.1 Account Management & Customer Success

Upon signing up, Allocate will provide the Customer with a dedicated Account Manager, responsible for all commercial relationships. The Account Manager will meet with the Customer regularly (monthly/quarterly) to report on the agreed KPIs and SLAs and to discuss contract and service performance. Utilising these reports, the Account Manager will make recommendations that will lead to solution improvements and/or cost saving opportunities. Allocate also has a dedicated Customer Success team; their responsibility is to ensure that Customers gain maximum value and benefit from the implemented solutions and that Customers are achieving their desired outcomes. When assigned a dedicated Customer Success Manager, they will be responsible for:

- Evaluating the customer's use of the system and providing recommendations for delivering best practice

- Making recommendations for the next steps to achieve successful workforce management

- Proactively drawing the Customer's attention to webinars, improvement programmes, training and new features

5.2 Operational Support & Planned Changes

Allocate operates its Support and Services functions against an iTIL-compliant backdrop, utilising Incident, Service Request and Problem Management processes to provide a cohesive framework for all inbound requests. Issues can be raised via telephone or via Allocates Customer Support Portal. All issue updates are accessible via the Customer Portal, alongside notifications via email. Allocate utilises a standard operating model with regards to a 2-tier Support Team, with additional Resolver Groups of Subject Matter experts for escalations requiring additional expertise.

Allocate's Operational Support Services are typically staffed during the following hours:

Hours	Description of services provided
08:30 – 05:30 Monday-Friday excluding public holidays as observed by Allocate (Support Service Hours)	- SaaS Services support (all severities) - Emergency Maintenance if necessary - Software upgrades

5.2.1   Response and Workaround Target Service Levels

If one of our products is not available or a fault arises, Allocate shall use reasonable endeavours to meet the target response and workaround service levels, typically as set out in the following table:

Priority	Operational Support Services Response Target Service Level*
Priority 1	Within one (6) hours
Priority 2	Within one (6) hours
Priority 3	Within one (1) Business Day
Priority 4	Within one (1) Business Day

* For detail on specific products, please refer to our G-Cloud 13 Terms and Conditions document.

5.2.2   Definitions of Severity

Impact	Name	Description	Examples
Priority (1)	SaaS Infrastructure or all of the Software which is the subject of the SaaS Service is wholly unavailable to all Users	High business impact and high urgency	• SaaS Infrastructure service is down • All functionality of the Software which is the subject of the SaaS Service is not available • Major security breach • High priority alerts from the intrusion detection system • Denial of Service attack (i.e. illegal attempt to put Allocate's systems out of action by overloading it with data from many sources simultaneously) • Data Centre failure
Priority (2)	SaaS Infrastructure service or functionality and/or performance of the Software which is the subject of the SaaS Service seriously degraded	Medium business impact and High urgency	• Degraded performance • High business impact (such as corrupted web page layout or inaccurate roster information due to Software or SaaS Infrastructure issues) • Attempted non-major security breach • Medium priority alerts triggered by the intrusion detection system

Priority (3)	SaaS Infrastructure service or functionality and/or performance of the Software which is the subject of the SaaS Service moderately impaired	Medium business impact and medium urgency	• Website available although some low impact functionality may be unavailable • Low priority alerts triggered by the intrusion detection system or automated alerting
Priority (4)	SaaS Infrastructure service or functionality and/or performance impaired but only to minor extent or cosmetic issues	Medium business impact and low urgency; Low business impact and medium or low urgency	• Request for change to SaaS Infrastructure • Request for SaaS Services information • Low business impact • Non-urgent new content or functionality addition request

5.3 Planned Changes to the Service

Allocate will use reasonable endeavours to ensure that planned changes are implemented during the Scheduled Maintenance periods. Where the change has the potential to affect the SaaS Services, Allocate will notify the Customer of the nature of the change, potential services affected and the potential impact.

5.3.1 Scheduled Maintenance Periods

Allocate will usually perform Scheduled Maintenance activities during the following periods:

- Every day (Monday to Sunday) 00:00 (Midnight) – 06:00

5.3.2 Upgrades

Upgrades outside of normal business hours are only provided for LIVE systems. Preprod, Training, Managed Acceptance Testing and other environments will be upgraded during normal business hours.

Available time periods:

- Available timeslots: Mondays-Thursdays 18:00 – 00:00 (Specific dates and times will be published in advance for each release).

Allocate will normally perform upgrades as part of its scheduled maintenance activities during the following periods:

- Mondays 4AM to 6AM (0400-0600)
- Thursdays 4AM to 6AM (0400-0600)

All Software which is provided as a SaaS Service is included in the scope of the upgrade service outside of normal business hours.

5.3.3 Major, Minor and Maintenance Releases

For most products, Allocate has three types of releases: Major, Minor, and Maintenance.

Major and Minor releases deliver new functionality and are released, on average, three times a year. These releases receive a full programme of testing from requirements analysis and feature testing through to integration, regression, and release testing (including functional and non-functional elements) to provide assurance prior to 'Controlled Release'. 'General Availability' occurs following a successful period of 'Controlled Release' where customers are involved in User Acceptance Testing in pre-production environments before migration to production environments.

Maintenance releases providing bug fixes are typically released every month on whichever is the current version at that time.

6. Certifications, Standards and Accreditations

ISO 27001: is a specification for an Information Security Management System (ISMS). An ISMS is a framework of policies and procedures that includes all legal, physical, and technical controls involved in managing sensitive and secure information through risk management-based policies and processes.

The specification includes details for documentation, management responsibility, internal audits, continual improvement, and corrective and preventive action. The standard requires cooperation among all sections of an organization. Allocate operate clear governance practices. Our governance framework is ISO27001 certified and independently validated: Certificate No. **143704-2013-AIS-GBR-UKAS**

Allocate Software is third party, independently audited and certified by BSI (British Standards Institution). BSI is one of the most trusted and recognized organizations in audit and certification in the world.

Cyber Essentials & Cyber Essential Plus (Level 1): Created in 2014 as a primary objective of the UK Government's National Cyber Security Strategy, Cyber Essentials Plus is a third party independently audited annual certification completed by accredited organizations managed by CREST1. The audit focuses on five main control areas: secure configuration, boundary firewalls and internet gateways, access controls and administrative privilege management, patch management, and malware protection. Our SelenityExpenses and ER Tracker products are Cyber Essentials Plus certified, our other products are Cyber Essentials certified.

Allocate Software hosting provider accreditations: Allocate Software has chosen its hosting providers with security in mind and all providers adhere to unique certifications specific to data centres.

Their certifications are a combination of the following, depending on the hosting provider:

- PCI DSS Level 1
- SOC 1/ISAE 3402
- SOC 2
- SOC 3
- ISO 27001
- Compliant with Information Technology Infrastructure Library (ITIL) IT Service Management standards.

Privacy: Allocate Software is a UK company and is legally required to be compliant with the UK Data Protection Act 1998 (DPA). The objective of the Act was to adopt the principles of the European Union Data Protection Directive, which was created to ensure every European citizen's right to privacy. Allocate Software ensures that EU citizens' personal information (PII) is never shared with other entities or companies without the prior permission of the individual. Allocate Software's usage is outlined in its Privacy Policy at www.Allocate Software.com/privacy. Allocate Software has been registered as a Data Controller with the Information Commissioners Office since 2002 (Data Protection Register Number: Z7285503)

In October 2015, the European Court of Justice (ECJ) ruled that the Safe Harbor agreement was invalid. Allocate Software has always gone beyond the original framework agreement and implemented controls to ensure the privacy of customer's content and data regardless of the geographic location or service. Allocate Software has included EU Model Clauses within data service providers' contracts. The EU and

U.S. governments are working towards an agreement on Safe Harbor 2. Allocate Software will remain close to announcements to ensure we meet new legislative or directives regarding the management of Personally Identifiable Information.

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7. Your Personal Information

Typically, depending on the product, Allocate may collect the following information:

- Name, title, job title

- Contact information including email address and postal address

- Other information relevant to HR processes such as rota planning, job planning, rostering, etc.

- Anonymous usage and system information

Allocate will only use your personal information for a purpose which is authorised and/or instructed by your employing organisation, which includes the provisions of the services set out in the agreement between Allocate and your employer. Your personal information may be viewed by authorised representatives in your employing organisation. Your personal information is not accessed or modified by Allocate without clear instructions from you as a licensed user, or from the project manager nominated to manage the system in your employing organisation. Any non-personal information saved to the software may be used by Allocate in an anonymous form, subject to it first obtaining the approval of your employing organisation, for the following purposes: data analysis, linking with current and future modules of the software, onward sale or disclosure to the NHS or affiliated bodies, or other body agreed by your employing organisation.

Allocate will not share any personal or non-personal information with any marketers or electronic commerce providers without your express consent.

Anonymous usage and system information are used to help provide a better quality of software. This information allows us to optimise the software for the usage and computer systems that most frequent the sites.

8. Backup and Disaster Recovery

In the event of a disaster, Allocate Software has in place robust processes and procedures designed to limit damage and ensure continued service to the Customer.

8.1 Backup Services

Backup services provide managed backups of data and server images and consist of the following fixed elements:

- Full back-up of identified SQL Server databases

Backups are electronically shipped and stored in a secondary Data Centre; all backups are encrypted using 256-bit AES encryption algorithms.

8.1.1 Backup Schedules

Full Backup of Identified SQL Server Databases	Performed Daily
Full Server Snapshots	Performed Daily

8.1.2 Backup Retention Periods *

Daily Backup	Retained for Six (6) Days
Weekly Backup	Retained for Three (3) Weeks
Monthly Backup	Retained for Eleven (11) Months
Annual Backup	Retained for Seven (7) Years

* These are typical for most Allocate products. For Allocate Selenity Expenses and ER Tracker, the Daily Backup retention period is 30 days.

8.2 Disaster Recovery

In the event of a major disaster requiring invocation of the SaaS Services disaster recovery plan, Allocate shall use reasonable endeavours to restore the SaaS Services within Eight (8) Hours from invocation to a point of recovery no more than Twenty-Four (24) Hours before the commencement of the disaster.

Recovery Time Objective	Eight (8) Hours
Recovery Point Objective	Twenty-Four (24) Hours

9. Technical Requirements

Our product is a web browser-based solution, and as such, there are no hosting hardware requirements. Clients do not maintain the solution or provide network administration and there are no requirements for server-side resources. The minimum requirements are for the end Users' systems and are as follows, however please refer to the latest release notes for more details:

9.1 Supported Browsers

The system can be used on both desktop and mobile devices and is supported on the following browsers:

- Microsoft Edge
- Chrome
- Firefox
- Safari
- Android 12

9.2 Additional Software Considerations

Documents generated by the system (e.g., reports and certificates) may require a PDF reader (such as Adobe Acrobat Reader), Microsoft Excel or Word 97 or higher, or equivalent software capable of reading XLS and DOC files.

10. Acceptable Use of the Allocate Service

The service(s) means the services as defined and purchased by each Customer in its applicable agreement with Allocate. When Customers use and/or access data and content and or perform activities within their service environment, the Customers are responsible for ensuring that these activities do not pose any risk to, or negatively impact Allocate, other Customers and or third-party sites or systems associated with or supported by Allocate.

10.1 Prohibited Activities

A Customer may not use or access or allow or cause any third-party to use or access the network or services to engage in, foster or promote illegal, abusive, or irresponsible behaviour, including but not limited to:

- Gaining, or attempting to gain, unauthorized access to any system or network, including any attempt to probe, scan, or test the vulnerability of a system or network or to breach security or authentication measures without the express authorization and consent of the owner of the system or network;

- Sending unsolicited mass e-mail, SMS or other messages or communication in any form, commonly referred to as spam;

- Altering, defacing, or otherwise causing any unauthorized or unapproved modification of any system belonging to Allocate;

- Storing, transmitting, or processing material in a manner that violates intellectual property rights or laws or regulations, including, without limitation, those associated with trade secrets, copyrights, patents, and trademarks;

- Violating the privacy rights of others, including, without limitation, the collection of information about individuals, including e-mail addresses, screen names or other identifiers without their knowledge and consent (e.g., phishing, internet scamming, password robbery, spidering and harvesting), except as allowed by applicable laws and regulations;

- Transmitting or storing any material that is unlawful, obscene, harassing, libellous, abusive, or hateful; that encourages unlawful acts; or that may be interpreted as violating the civil rights of others;

- Engaging in, or permitting, any activity that leads to a degradation or denial of service for the supplier, its Customer or any other system or site on the internet;

- Intentionally, recklessly or negligently omitting, forging, deleting or misrepresenting transmission information— including, without limitation, headers, return-address information and IP addresses— that is intended to cloak or hide the identity or source of information transmitted by a Customer's system, Customers or end users;

- Engaging in, or permitting, any activity that results in the overutilization of power circuits;

- Copying, modifying, reverse engineering, translating, or creating derivative works based on Allocate's network, services, or platform; or

- Demonstrating, discussing, or specifying details of the service, network, or platform to or with any competitor or potential competitor of Allocate, and/or its affiliates.

If a Customer becomes aware of any such prohibited activity, then Customer agrees to immediately (i) notify Allocate, and (ii) use its best endeavours to remediate the prohibited activity.

Customers are responsible for ensuring that Allocate security controls are not circumvented by its acts or omissions. In addition, Customers shall not:

- Configure their systems to bypass security controls, including, without limitation, the installation of programs or services that allow the systems to be managed or accessed insecurely or through unauthorized means;

- Conduct online security audits or tests against or through Allocate and/or its affiliates systems or networks, regarding security or authentication measures, whether by passive or intrusive techniques, without prior notification to Allocate;

- Install programs or configure systems to allow the monitoring, or "sniffing," of data traveling over a shared network;

- Access, or attempt to access, security-relevant information, such as password files that may, among other things, be used to gain unauthorized access to system accounts;

- Install or use software for the purpose of cracking encrypted data, including, without limitation, stored passwords;

- Remove or disable security software or services, including, without limitation anti-virus software, logging utilities or authentication services without prior notification to Allocate;

- Misuse any accounts on their systems located at or monitored by Allocate and/or its affiliates;

- Fail to implement measures and procedures to ensure that its systems are not accessed or used in an unauthorized manner;

- Transfer remote-access accounts from one individual to another, nor shall they be shared between individuals without prior notification to Allocate. Each user shall have an individual remote-access account that uniquely and accurately identifies the owner of the account; and

- Engage in, allow, facilitate, or direct robotic automation, screen scraping or other tools to access systems located at or monitored by Allocate and/or its affiliates, or to extract data from systems or when data is in transit.

Customers assume all responsibility for any adverse consequences that result from the use of their accounts by an individual that was granted access by Customer.

10.2 Violations and Remedies

Allocate reserves the right to audit, test, and investigate the security of Customers' sites in an effort to ensure that security protections are maintained, and that Customers' sites and systems do not bypass, or allow others to bypass, Allocate and/or its affiliates security controls. If Allocate believes that systems located within the Allocate and/or its affiliates facilities and/or the Allocate and/or its affiliates environment are being used in an unlawful or improper manner or for unlawful or improper activities, Allocate will fully cooperate with civil and criminal enforcement authorities conducting investigations of such use or activities and affected Customers expressly consent to such co-operation. Allocate supports the investigation of prohibited activities as listed above and/or any other activities that may impact the operation or security of Allocate and/or its affiliates, Customers or other systems accessible by Customers.

Allocate may suspend any services without notice to or approval of a Customer if Allocate, in its sole discretion, deems such suspension is necessary to protect its systems, facilities or interests or those of

Customers, including, without limitation, in response to any perceived threat of a computer virus, exploit scripts or other malicious software or denial-of service attack (in each case, from any source). Allocate will use its commercially reasonable efforts to notify Customers prior to such suspension.

11. Service Migration

In the event that a Customer transitions to an alternative supplier, Allocate will work with the Customer and Third Party to ensure an efficient and seamless transition. Similar to our implementation process, our exit process will ensure that all stakeholders are engaged, risks are identified and mitigated, and that a clear programme of works is documented and communicated.

Upon confirmation of transition, Allocate will engage the Customer to create a scope of works and present a Services package that will ensure a successful move.

The topics to be discussed include:

- Data migration

- Simultaneous use (if needed)

- Handover of projects in progress (if applicable)

- Final period report(s)

- Final period invoice(s)

The offboarding plan for this Call-Off Contract is The Supplier will work with the Buyer to ensure a planned withdrawal of the Service in the event of termination (except for Material Breach by the Buyer). This exit plan may include a minimum level of support package to cover a handover period. Such a package would offer assistance for P1 Critical or P2 High support tickets, as defined in the Supplier's standard Service Level Agreement. This would be supplied at a reduced rate, but on the assumption that the Buyer remains on the version deployed at the time of exit.

The Supplier understands that continued access to historical data is important to its customers. The supplier can provide the following assistance as part of the Buyer's exit plan:

- A copy of the database and all associated data provided (this would be raw data as it does not include Software Licence). A basic data dictionary can be provided on receipt of a Non-Disclosure Agreement. The Supplier does not warrant the data dictionary to be fully comprehensive.

- Buyer extracts all data in to a readable format using the existing reporting functions in the Supplier software.

- Legacy licence provided with access to the database and all associated data provided including a Datix Software Licence.

The Customer can be assured of minimal disruption during the transition, therefore allowing them to focus on business-as-usual activities.

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