Hosting

Schedule 6.1:Project Management

Table of Contents

This schedule 6.1 (Project Management) sets out the parties' obligations and responsibilities during projects relating to the delivery of Future Services.This schedule 6.1 (Project Management) sets out the Documentary Deliverables and associated Product Descriptions that should be delivered as standard, but the parties may agree to vary this for individual projects at project definition through the Proposal Document or PID, as well as through the Change Control Procedure. The Authority governance that applies during those periods is the CTS Project Delivery Process Governance (PDPG). Suppliers must be cognisant of the Authority's governance process and take into account the timescales and requirements of that process in making proposals or submissions.

Part 1

Project Processes

1.1. This Part 1 of this schedule 6.1 (Project Management) describes the processes and procedures to be followed by the Hosting Supplier, the Other FITS Suppliers, other Technology Suppliers and the Authority during project delivery.

    1.1.1. There are seven stages to the delivery of future projects, each controlled by an end of stage Gate:

        1.1.1.1. identification and scope;

        1.1.1.2. delivery strategy agreed;

        1.1.1.3. digital and technology triage;

        1.1.1.4. solution development;

        1.1.1.5. deployment and delivery;

        1.1.1.6. acceptance into service;

        1.1.1.7. closure.

    1.1.2. Any projects for Future Services shall commence at the 'identification' stage, unless otherwise agreed by the Authority.

1.2. The implementation of Projects shall be delivered following the PRINCE 2 (Projects in a Controlled Environment, Managing Successful Projects using PRINCE 2) methodology. The Authority shall produce and issue a template Project specific Document Deliverables Matrix (a "DDM") tailored to each Project with each Project Notification pursuant to paragraph 1.9 of this Part 1 of this schedule 6.1 (Project Management). Save as set out in paragraph 1.3 and subject to each Project specific Document Deliverables Matrix, the Hosting Supplier shall produce the following Documentary Deliverables, a template for each being set out at Appendix B of this schedule 6.1 (Project Management) and always in accordance with PRINCE 2 and the PDPG. The Documentary Deliverables required to initiate a Project shall proceed through the Gate 3 Review process as referred to in the PDPG and be Approved by the Authority as described on paragraph 1.10 below.

	Purpose and key features	**Produced by whom and when**
Documentary Deliverables required to initiate a Hosting Supplier Project		
A Project Initiation Document (PID)	The Project Initiation Document (PID) defines all major aspects of the project and forms the basis for its management and the assessment of overall success. It forms the 'contract' between the Project Team	Hosting Supplier. Within 20 Working Days of Project Notification unless a longer period is agreed with the Authority.

	and corporate or programme management. The PID is produced during the initiation stage of a project and shall be read in conjunction with the Solution Overview, produced at the same time, which describes the overall solution to be delivered.	
Solution Overview	The purpose of the Solution Overview is to present a common understanding of the solution to be delivered by the project. It shall be read in conjunction with the PID, produced at the same time. The Solution Overview will describe the solution at a conceptual and logical level, addressing service design, architecture and information assurance dimensions. The scope will be constrained to provide an overview of the services explicitly delivered by the delivery project.	Hosting Supplier. Within 20 Working Days of Project Notification unless a longer period is agreed with the Authority.
Level 3 Plan	The Hosting Supplier shall develop a complete set of Level 3 Plans for a specific Project. Each Level 3 Plan will contain the full set of activities required by a function within the project team structure i.e. architecture. Level 3 Plans are produced during the initiation phase of the project and shall, collectively, form the end to end timeframe and activities required to deliver the project as defined in the PID.	Hosting Supplier and all relevant Technology Suppliers to the Hosting Supplier Project. Within 20 Working Days of Project Notification unless a longer period is agreed with the Authority.
Documentary Deliverables Matrix	The Hosting Supplier shall develop a complete list of document deliverables for a specific project mapped onto the project lifecycle as described in the PDPG and as required to support project delivery.	Hosting Supplier. Within 20 Working Days of Project Notification unless a longer period is agreed with the Authority.
Project Requirements Specification	The purpose of the Project Requirements Specification is to ensure that the requirements specific to a project are formally captured. In	Hosting Supplier. Within 20 Working Days of Project Notification unless a longer period is agreed with the

	particular the document shall: (a) State the schedule 2.1 Service Requirements that will be met by the Project; (b) Capture any constraints to the scope of applicability of the 2.1 Requirements (e.g. if the Project is a particular iteration aimed at only one business area); (c) Reference any Policies, Processes Procedures; architecture principles and known issues that the Project is intended to satisfy / remediate; (d) Capture any detailed business and service requirements that are needed to supplement the schedule 2.1 Service Requirements; (e) Capture any derived service requirements (e.g. non functional requirements, security requirements	Authority.
Project Test Strategy	The purpose of the Project Test Strategy is to: Describe the practice of testing within the Project consistent with the Authority Test Strategy and the relevant Supplier Test Policy. Set out the testing responsibilities of the Hosting Supplier, and Other Technology Suppliers engaged in the Project. Describe the standards and approach to Testing to be used by each party engaged in the specific project. A Project Test Strategy is required in order to agree an approach to testing in advance of creating any specific Project Test Plans relevant to each supplier's delivery scope.	Hosting Supplier. Within 20 Working Days of Project Notification unless a longer period is agreed with the Authority.
Documentary Deliverables to be provided during a Project		
Systems Measurement Reference Document (SMRD)		The SMRD is created and owned by SIAM. The SMRD is updated by SIAM during the currency of each Hosting Supplier Project such that it is agreed by the Hosting Supplier and other

		relevant Technology Suppliers to the Hosting Supplier Project and Approved by the Authority prior to SCD. The Acceptance Criteria for SCD shall be updated to include and reflect the agreed and Approved SMRD.
Volume Baseline	Factual baseline for capacity planning	Volume baselines for each service to be produced by each Supplier to SIAM within 60 Working Days of the Service Commencement Date. The SIAM Supplier shall present to the Authority for Approval, actual volumetric data to form the volume baselines as relevant to each Technology Supplier in accordance with the Volume Baselines Product Description, in accordance with part 1 and Appendix B of this schedule 6.1 (Project Management).

Table 1: Documentary Deliverables

1.3. The Hosting Supplier shall produce the Documentary Deliverables for each of its Hosting Supplier Projects and shall produce Level 3 Plans for each Project.

1.4. If project work involves any dependencies on other technology suppliers such dependencies should be identified in the proposal so that they can be managed accordingly. The Hosting Supplier shall provide input and collaborate in good faith with other Technology Suppliers, Other Authority Providers and the Authority to agree the Documentary Deliverables for each Project (including those Projects that are not Hosting Supplier Projects). The Documentary Deliverables shall reflect Table 2 and the Hosting Supplier Solution, except as agreed in collaboration with the Other Technology Suppliers and subject to the Approval of the Authority.

1.5. Any impact (whether practical, service, cost or savings) identified as a result of Approving the Documentary Deliverables, shall be proposed, discussed and agreed through the Change Control Procedure in schedule 8.2.

1.6. Any Disputes relating to the agreement of a Documentary Deliverable or the Authority's Approval, failure to or delay in Approving shall be resolved or determined through the

Dispute Resolution Procedure and any party (including the Authority) may escalate accordingly.

1.7.   On Approval and agreement (or otherwise as determined through the Dispute Resolution Procedure) the Documentary Deliverables together with the initiation documents described in paragraph 1.9 of this schedule 6.1 (Project Management) shall be the Project Suite and the Project Authority to Proceed (ATP) shall be issued.

1.8.   **Not Used**

1.9.   **Project Initiation**

    1.9.1.   This process describes how each Project is initiated.

    1.9.2.   Once the Authority has identified that it wishes to initiate a Hosting SupplierProject, the Authority shall issue to the Hosting Supplier a notice in writing to initiate the Hosting Supplier Project (the "**Project Notification**"). The Authority's Project Notification (at the Authority's discretion but acting reasonably) shall:

        1.9.2.1.   nominate an Authority Project Manager who will be an Authority Representative;

        1.9.2.2.   identify any other relevant Technology Suppliers and any relevant Exiting Suppliers;

        1.9.2.3.   identify Sub-Programme Board membership (to be chaired by the Authority Project Manager);

        1.9.2.4.   provide the Sub-Programme Board Terms of Reference (TOR);

        1.9.2.5.   provide a template Project Requirements Specification for the Hosting Supplier to complete;

        1.9.2.6.   where relevant, provide the Service Level applicable under schedule 2.2 (Service Performance Management); and

        1.9.2.7.   provide the Acceptance Criteria for that Hosting Supplier Project (based on Part 3 of this schedule 6.1 (Project Management)) and within it any Test Success Criteria in outline; and

        1.9.2.8.   provide a template specific Document Deliverables Matrix for that Hosting Supplier Project.

    1.9.3   Where relevant to that Hosting Supplier Project, the Authority shall notify any relevant FITS Suppliers and Exiting Suppliers of the Project initiation by issuing the Project Notification to those Suppliers at the same time the Authority issues the Project Notification to the Hosting Supplier.

1.10.   **Documentary Deliverables**

1.10.1.   Within 20 Working Days of the date of the Project Notification for each Hosting Supplier Project (or such longer period as may be agreed by the Authority, acting reasonably), the Hosting Supplier shall submit to the Authority the Documentary Deliverables, the product descriptions for which are attached at Appendix B to this schedule 6.1 (Project Management). The Technology Suppliers nominated and notified by the Authority as being relevant to the Project shall assist and provide any required input into the Documentary Deliverables as may be reasonably required by the Authority.

1.10.2.   The Documentary Deliverables shall meet the Quality Criteria.

1.10.3.   Where the Hosting Supplier is nominated by the Authority to assist with a Project, and is issued with a copy of the Project Notification pursuant to paragraph 1.9.3 accordingly, it shall provide such assistance and input as is reasonably required by the Authority and shall do so promptly. For each Hosting Supplier Project, the Hosting Supplier shall prepare a Project Initiation Document (a PID), with the support and input of the other relevant FITS Suppliers and with input from the Authority (which it shall provide on a timely basis). The Hosting Supplier acknowledges that the Project Initiation Document is a joint document and shall ensure that the Project Initiation Document identifies all relevant stakeholders and sets out how the Hosting Supplier intends to work with all of the relevant stakeholders involved in the Hosting Supplier Project, in accordance with the Project Initiation Document Product Description attached at Appendix B.

1.10.4.   For each Hosting Supplier Project, the Hosting Supplier shall also prepare the Documentary Deliverables Matrix, Project Test Strategy, Project Requirements Specification and a Solution Overview. The other relevant FITS Suppliers nominated by the Authority to assist with the Hosting Supplier Projects shall support the Hosting Supplier and provide the required input into these Documentary Deliverables in accordance with and with reference to the Project Plan Plan and Delivery Dependencies Log.

1.10.5.   The Hosting Supplier shall produce a Level 3 Plan for each Hosting Supplier Project and for any Project where it is nominated by the Authority as a relevant other FITS Supplier required to assist with another FITS Supplier's Project. The Hosting Supplier shall ensure that the Level 3 Plan conforms to the Authority Planning Standards as referenced in the PDPG.

1.10.6.   The Milestone Dates in the Level 3 Plan shall not be later than the later of:

1.10.6.1.   the Milestone Dates in the Hosting Supplier Solution; unless later dates are:

1.10.6.2.   the unavoidable consequence of the timing of the Authority's Project Notification; or

1.10.6.3.   agreed by the Authority; or

1.10.6.4.   determined through Dispute Resolution Procedure.

1.10.7.   If at any time the Hosting Supplier requires a Delivery Dependency that is beyond those described in (or reasonably implied by) the extant Delivery Dependencies Log, it shall propose the same through the Change Control Procedure. It is acknowledged by the parties that the same may increase the Charges of the FITS Suppliers and/or the costs of the Authority. Where the new Delivery Dependency required by the Hosting Supplier is:

1.10.7.1.   reasonably implied by extant Delivery Dependencies;

1.10.7.2.   a subset of an extant Delivery Dependency;

1.10.7.3.   a Delivery Dependency that was not reasonably foreseeable by the Hosting Supplier at the Effective Date;

1.10.7.4.   the result of a new Delivery Dependency arising from another FITS Supplier; or

1.10.7.5.   the result of a change in the Authority's requirements,

then the costs, charges or expenses that the Authority incurs in relation to the Change in the additional Delivery Dependencies shall be borne by the Authority. Save for the circumstances set out in paragraphs 1.10.7.1 to 1.10.7.5, the Hosting Supplier shall return the Authority to a no better or worse scenario by adjustments to the Charges to reflect the impact of the additional Delivery Dependency.

1.10.8.   If as part of the approval by the Authority of the Hosting Supplier's high level designs the Authority requires changes to a high level design that it can demonstrate are reasonably required to ensure that the high level design complies with the requirements of this Agreement, (the Project), the Hosting Supplier shall implement such changes and shall not be entitled to any variation to Charges in its Cost Model any reduction in Delay Payments nor any increase in the Charges. In respect of any other changes required by the Authority to a high level design that impact on a Project and/or require additional resources which would not otherwise be borne by the Hosting Supplier under this Agreement or the MSA then such changes to the high level design shall be implemented in accordance with the Change Control Procedure.

1.11.   **Authority Approval of Documentary Deliverables**

1.11.1.   Once the Documentary Deliverables have been prepared the Hosting Supplier shall supply them to CTS Project Delivery to conduct a pre-gate health check, within ten (10) Working Days of submission, to ensure that the Documentary Deliverables meet the agreed Quality Criteria. Following the pre-gate health

check, the Documentary Deliverables shall be submitted to the Sub-Programme Board and Gate 3 Review, which shall convene to discuss them within 10 Working Days of their submission.

1.11.2.   The Gate 3 Review shall be conducted by the Authority. The Hosting Supplier shall identify in the PID those stakeholders to be involved in the Gate 3 Review for the relevant Hosting Supplier Project. The Authority shall, acting reasonably, agree those stakeholders to take part in the Gate 3 Review and for the avoidance of doubt the Authority may elect to involve stakeholders not identified in the PID. The Gate 3 Review shall determine whether the Project may proceed to the design stage, up to Gate 4. The Authority shall carry out the Gate 3 Review and shall notify the Hosting Supplier of the outcome within 10 Working Days of submission of the Documentary Deliverables to the Gate 3 Review pursuant to paragraph 1.11.1 above (provided that the relevant Documentary Deliverables have been submitted on time and met the Quality Criteria, as agreed by the pre-gate health check or through the Dispute Resolution Procedure and otherwise within 10 (ten) Working Days of the Documentary Deliverables being determined or agreed as meeting the Quality Criteria). At the Authority's discretion (by reference to the requirements of this Agreement) the outcome of Gate 3 shall be:

1.11.2.1.   a Project Authority to Proceed, in which case:

1.11.2.1.1.   paragraph 1.12 shall apply; and

1.11.2.1.2.   the Document Approval Procedure shall be recorded as successful as described in schedule 8.7 (Document Approval Procedure) and clause 5.11;

1.11.2.2.   a Project Authority to Proceed, conditional on remediation of certain non-material non-conformance if the Project, its Milestones, Dependencies and impact has sufficient clarity and certainty to proceed notwithstanding that certain details are to be referred for resubmission. The Authority shall confirm with the conditional Project Authority to Proceed such non-conformance and shall identify a fair and reasonable timeline for such non-conformance to be resolved by the Hosting Supplier;

1.11.2.3.   a notice to the Hosting Supplier and other relevant Technology Suppliers requiring them to revisit or amend the Documentary Deliverables where material non-conformance have been identified. Such notice shall be supported by reasons and a (fair and reasonable) timescale for the Hosting Supplier to resubmit the Documentary Deliverables to the Sub-Programme Board and upon such resubmission the provisions of 1.11.1 and 1.11.2 shall apply; or

1.11.2.4.   a referral by the Authority to the Dispute Resolution Procedure.

1.11.3.   Not used.

1.11.4.   If the Authority fails to determine an outcome in accordance with 1.11.2 in the time period set out or at all, the matter may be referred by the Hosting Supplier or any other relevant Supplier to the Dispute Resolution Procedure.

1.12.   **Authority to Proceed**

1.12.1.   Upon issue of the Project Authority to Proceed (or upon the Dispute Resolution Procedure leading to the same):

1.12.1.1.   the parties shall commence the design stage of the Project up to Gate 4 from the Project Authority to Proceed Date and carry out their respective obligations in accordance with this Agreement and the Documentary Deliverables Approved by Gate 3; and

1.12.1.2.   any Change that is required to this Agreement as a result of the Documentary Deliverables Approved by Gate 3 (e.g. additional Delivery Dependencies to be added to the Delivery Dependencies Log) shall be incorporated into this Agreement under the Change Control Procedure.

1.13.   **Gate Process and Impacts**

1.13.1.   Each Project shall progress through the delivery lifecycle as set out in the PDPG, and each stage is controlled by an end of stage Gate.

1.13.2.   Authority to proceed issued by the Authority at a Gate gives the Hosting Supplier and any relevant FITS Suppliers for the relevant Hosting Supplier Project authority to proceed to the next stage and Gate only e.g. approval at Gate 3 gives approval to proceed to the design stage up to Gate 4 only.

1.14.   As the end of Term approaches the parties shall ensure that they do not commit to project work that will continue beyond the Term.

2.   Part 2 (not used)

Part 3

Acceptance and Testing

3.   Introduction to Acceptance

3.1.   This Part 3 sets out the Authority's approach to Acceptance and the different activities to be undertaken for Acceptance to occur.

3.2.   The specific requirements in scope for each Project shall be captured in the Project Requirements Specification.

3.3.   Acceptance shall be managed on a Project by Project basis; and Acceptance Criteria may differ from Project to Project.

4.   Acceptance Criteria

4.1.   Each Project will have Acceptance Criteria which shall be based on the Documentary Deliverables produced prior to Project Authority to Proceed and further developed as part of the Documentary Deliverables produced throughout the Project lifecycle.

4.2.   The PDPG sets out the gates and checkpoints within the Project lifecycle which will enable the Authority to control and monitor progress.

4.3.   The Acceptance Criteria shall document the method by which each criterion shall be evidenced. Acceptance Criteria may include, but not be limited to:

   4.3.1.   Relevant Documentary Deliverables have met their Acceptance Criteria and have been Approved;

   4.3.2.   Demonstration of compliance of the delivered FITS Services with the Project Requirements Specification (for example through testing and other activities).

   4.3.3.   Testing executed in accordance with the Project Test Strategy, Authority Test Strategy, and the Service Validation and Testing Policies and Procedures specified in schedule 2.1 (Service Requirements), as applicable. This may include User Acceptance Testing (UAT). The agreed test criteria have been met;

   4.3.4.   Appropriate operational processes, procedures, and work instructions are in place in accordance with schedule 2.1 (Service Requirements) supported by the appropriate tools needed to ensure that the service can be supported and managed effectively.

   4.3.5.   The required security and information assurance accreditation activities have been completed in accordance with schedule 2.5 (Security Management Plan) and with the applicable policies processes and procedures.

   4.3.6.   Early Life Support arrangements are agreed and in place, as appropriate.

   4.3.7.   Operational support processes are in place as per the current Hosting Services being delivered at the Effective Date.

   4.3.8.   The relevant system and service measurement systems have been agreed and are documented in the Systems of Measurement Referenced Document, and will be operating by the relevant Service Commencement Date in accordance with mechanisms specified in the Systems of Measurement Referenced Document.

   4.3.9.   Evidence that any user facing trials set out in the Project Test Strategy have been completed and met their agreed criteria.

4.3.10.   Premises, equipment and assets necessary for the provision of the FITS Services are in place and fully operational, and have been recorded in the relevant (agreed) databases.

4.3.11.   FITS Supplier staff necessary for the provision of the FITS Services have been appointed and have the requisite skills, knowledge and training.

4.3.12.   Contracts, licences and agreements with Sub contractors, of the FITS Supplier and third parties necessary for the provision of the FITS Services are in place and have terms that are consistent with the Agreement.

4.3.13.   Work In Progress has been assessed and the plans for completing the work agreed.

4.3.14.   Any other deliverables/services required to deliver service have been successfully completed.

4.3.15.   Evidence that the Hosting Supplier has demonstrated that the relevant technology services implemented by the Project have been implemented and are operating in accordance with the requirements set out in schedule 2.1 (Service Requirements), and the Project Requirements Specification, in the appropriate ICT Environments.

4.3.16.   Evidence that the relevant Service Level Targets, Service Level Thresholds and KPIs are being monitored, reported on and thresholds are agreed in accordance with the requirements defined in schedule 2.2 (Service Performance Management) and the systems of measurement specified in the Systems of Measurement Referenced Document.

5.   Testing

5.1.   Where Testing is to be executed as part of a Hosting Supplier Project, the Hosting Supplier shall develop a Project Test Strategy suitable for the Hosting Supplier Project being undertaken as part of the Documentary Deliverables provided within 20 Working Days of Project Notification, and as agreed with the Authority and becomes the Approved Project Test Strategy.

5.2.   The Project Test Strategy shall comply with the Product Description included at Appendix B to this schedule 6.1 (Project Management) and without prejudice to the Product Description, shall include:

5.2.1.   details of test activities and test responsibilities of each of the FITS Suppliers involved in the relevant Project;

5.2.2.   the standards and approach to testing to be used by each party engaged in the Project;

5.2.3.   the testing process and associated controls to be adopted;

5.2.4.   the Test Phases and Test Types to be executed;

5.2.5.   definition of the Test Phase / Cycle Entry and exit criteria;

   5.2.6. details of the test deliverables (including but not limited to Test Plans, Test Scripts and Test Reports) to be produced as part of the Project.

5.3. All Tests conducted by the Hosting Supplier for each Project shall be conducted in accordance with the Hosting Supplier's internal Project Test Strategy.

5.4. Before submitting any Deliverables for Testing the Hosting Supplier shall subject the relevant Deliverables to its own internal quality control measures.

5.5. On completion of the Testing the Hosting Supplier will provide the Authority with the final Test Report, unless otherwise agreed in the Project Test Strategy. Each Test Report shall provide a report on the Testing conducted in respect of the relevant Deliverables, including:

   5.5.1. an overview of the Testing conducted;

   5.5.2. identification of the relevant Test Success Criteria that have been satisfied;

   5.5.3. identification of the relevant Test Success Criteria that have not been satisfied together with the Hosting Supplier's explanation of why those criteria have not been met;

   5.5.4. the Tests that were not completed together with the Hosting Supplier's explanation of why those Tests were not completed;

   5.5.5. the Test Success Criteria that passed, failed or which were not tested.

5.6. In the event that a Deliverable does not meet the relevant Test Success Criteria the Test Report shall constitute a Non-conformance Report for the purposes of clause 7.1 (Delays Due to Hosting Supplier Default).

5.7. If the Deliverables (or any relevant part) do not satisfy the Test Success Criteria then:

   5.7.1. the Hosting Supplier shall rectify the cause of the failure and re-submit the Deliverables, (or the relevant part) to Testing, provided that the parties agree that there is sufficient time for that action prior to the relevant Milestone Date; or

   5.7.2. the parties shall treat the failure as a Hosting Supplier Default.

5.8. The Authority will issue a Test Certificate when a Deliverable satisfies the Test Success Criteria for the Tests related to that Deliverable.

6. Risk

6.1. Subject to paragraph 5.3 and the impacting of additional testing required, the Hosting Supplier shall comply with Hosting Supplier's internal Project Test Strategy, and the Service Validation and Testing Policies and Procedures specified in schedule 2.1 (Service Requirements). This shall include Authority Test Assurance activities, where required.

7.   **Milestones**

7.1.   The PDPG sets out the gates and checkpoints within the Project lifecycle which will enable the Authority to control and monitor progress.

7.2.   For each Project, certain project gates or checkpoints will be identified as Milestones. There may be a number of Milestone types for a Project:

7.2.1.   Authority to Proceed Milestone – Milestones that require a Milestone Achievement Certificate to be issued before progress to the next stage can commence; and

7.2.2.   Service Commencement Date Milestone – Milestones that require a Milestone Achievement Certificate to be issued before a FITS Service can commence.

7.3.   Acceptance of a Milestone shall occur when the Authority has issued the Milestone Achievement Certificate for that Milestone.

7.4.   The Authority will grant a Milestone Achievement Certificate when all Acceptance Criteria relating to a Milestone have been Achieved and, subject to clause 7 (Delays Due to Hosting Supplier Default), the Authority has issued Test Certificates in respect of all of the Tests for Deliverables relating to that Milestone and all Documentary Deliverables associated with the completion of the Milestone have been Approved.

7.5.   The grant of a Milestone Achievement Certificate will entitle the Hosting Supplier to the receipt of a payment in respect of that Milestone in accordance with the provisions of schedule 7.1 (Charges and Invoicing).

7.6.   The Acceptance Criteria for each ATP or SCD Milestone may include, but not be limited to any of the criterion listed in paragraph 4.3.

Part 4

Tripartite Governance Principles and Escalation Process for the Project Work to Shore Up the Hosting Service

8.   **Governance Principles**

8.1.   The Authority, the Hosting Supplier and the Hosting Supplier's Key Subcontractor REDACTED have agreed an initial set of high-level guiding principles setting out how the three parties intend to work together to agree and deliver project work to shore up the Hosting Service. The three parties acknowledge that 'shore up' no longer exists as a discrete workstream but that the principles shall be used as guidance in the specification and production of Proposal Documents for the tactical mitigation of risks to the Hosting Service and delivery of such tactical risk mitigation project work. The three parties shall refer to the document set out in Appendix F of this schedule 6.1 (Project Management). The document set out in Appendix F of this schedule 6.1 (Project Management) shall continue to be reviewed on an on-going basis via the Exit Plan forum and applicable

Operational Management Boards as detailed in Schedule 8.1 (Governance). The parties acknowledge and agree that these principles are guiding principles and may need to be developed and adjusted over the Term, both to reflect any changing circumstances and lessons learned.

9. Escalation Process

9.1.   This process is not intended to replace or alter schedule 8.3 (Dispute Resolution Procedure) but to set out additional arrangements intended to help the Authority, the Hosting Supplier and the Hosting Supplier's Key Subcontractor REDACTED communicate and resolve any issues on a tripartite basis and in a timely and collaborative manner.

9.2.   In the event that any issues arise that potentially jeopardise the shoring up of the Hosting Service, and provided that reasonable endeavours have been made to resolve the issues between the respective project teams of the parties, any party may escalate the issue to the Executive Steering Board described below. Such escalation shall be subject to providing five (5) Working Days' written notice to the project team of the other parties, setting out the issue that is to be escalated, any proposals for resolution, and the potential impact if not resolved.   If the issue is still not resolved by the project teams of the parties at the end of the five (5) Working Days' notice period it shall formally be referred by forwarding it to the Executive Steering Board for resolution. The membership of the Executive Steering Board shall be as follows:

REDACTED

9.3.   REDACTED are represented on the Executive Steering Board, reflecting the role they play as a Key Sub-contractor in delivery of the Hosting Services and to expedite resolution. However, and for the avoidance of doubt, the Hosting Supplier shall remain responsible for all acts and omissions of REDACTED as if they were its own and in accordance with Clause 25.16.

9.4.   The members of the Executive Steering Board shall be entitled to delegate their responsibilities e.g. if they are unavailable and may invite other stakeholders to participate in the Executive Steering Board where appropriate and on a case by case basis.

9.5.   The Executive Steering Board shall enter into good faith discussions with a view to reaching a decision on the way forward within five (5) Working Days of the issue being escalated to them. Such discussion may take place by face to face meeting, conference or video call or email exchanges and the final decision shall be agreed in writing by the members of the Executive Steering Board and communicated to the respective project teams.   In the event that the decision of the Executive Steering Board would require a Change to the Agreement, the decision shall be subject to the Change Control Procedure.

APPENDIX A

Not used

APPENDIX B

Product Descriptions (PD)

Index

Doc Ref. No.	Title	6.1 Para. Ref.
Annex (i)	Project Initiation Document (PID)	Table at paragraph 1.2
Annex (ii)	Documentary Deliverables Matrix	Table at paragraph 1.2
Annex (iii)	Solution Overview	Table at paragraph 1.2
Annex (iv)	Level 3 Plans	Table at paragraph 1.2
Annex (v)	Not used	
Annex (vi)	Systems of Measurement Reference Document	Paragraph 5.7
Annex (vii)	Volume Baselines	Paragraph 5.10
Annex (viii)	Project Requirements Specification	Table at paragraph 1.2
Annex (ix)	Project Test Strategy	Table at paragraph 1.2

Schedule 6.1 (Project Management) – Appendix B Annex (i) – Hosting

Project Initiation Document (PID)

Product Description

Product Description
Title of Deliverable	Project Initiation Document

Purpose of Deliverable	The Project Initiation Document (PID) defines all major aspects of the Project and forms the basis for its management and the assessment of overall success. It forms the 'contract' between the Project Team and corporate or programme management. The PID is produced during the initiation stage of a Project and should be read in conjunction with the Solution Overview, produced at the same time, which describes the overall solution to be delivered. There are three primary uses of the document: - To ensure that the Project has a complete and sound basis for proceeding before there is any major resource commitment to the Project. - To act as a base document against which the Project can assess progress, change management issues, and ongoing viability questions. - Provide a single source of reference about the project so that people joining the 'temporary organisation' can quickly and easily find out what the Project is about, and how it is being managed.
Scope of Deliverable	The identified delivery Project
Format & Presentation of Deliverable	It is expected that all PIDs will be produced in OpenDocument format, PDF, or, as an exception, DOCX where particular features are unsupported
Composition of Deliverable	The Hosting Supplier shall provide a PID that defines a specific Project The PID includes all of the planning components that address scope, budget, schedule, quality, configuration management, risks, issues and performance monitoring. The PID shall include the following Sections <u>DOCUMENTATION CONTROL</u> <u>Version Control</u> <u>Reviewers</u> <u>Approvals</u> <u>Referenced Documents</u> <u>INTRODUCTION</u> <u>Purpose of This Document</u> <u>Background</u> <u>PROJECT DEFINITION</u> <u>Project Overview</u> <u>Project Objectives</u> <u>Project Scope</u> <u>Project Deliverables / Outcomes</u>

	<u>Project Exclusions/Constraints/Interfaces</u> <u>PROJECT APPROACH</u> <u>Delivery Overview</u> <u>Solution Overview</u> <u>Critical Success Factors</u> <u>PROJECT RISKS</u> <u>PROJECT TIMEFRAMES</u> <u>PROJECT ORGANISATION</u> <u>Overview</u> <u>Project Organisation Structure</u> <u>Project Roles and Responsibilities</u> <u>PROJECT COMMUNICATIONS PLAN</u> <u>Overview</u> <u>Project Stakeholder Contact List</u> <u>Project Communication Matrix</u> <u>PROJECT QUALITY PLAN</u> <u>Overview</u> <u>Purpose</u> <u>Acceptance Criteria</u> <u>PROJECT PLAN</u> <u>Overview</u> <u>Plan Prerequisites</u> <u>Project Dependencies</u> <u>Planning Assumptions</u> <u>PROJECT MANAGEMENT PROCEDURES</u> <u>Governance</u> <u>Project Controls</u> <u>Project Reporting</u> <u>Project Assurance</u> <u>Project Tolerances</u> <u>ANNEXES</u> <u>Glossary</u>
Derivation of Deliverable	The PID will be derived from: • Authority – Contract for the Provision of Tower Services • CTS Project Delivery specified control requirements • Additional information gathered during Project Initiation Stage • Project management standards • Customers specified control requirements • Solution Overview
Allocated to	Owned by the Hosting Supplier and Authority Project Manager Created by the Hosting Supplier
Quality Criteria for Deliverable	The PID must ensure that it: • Supports (as a minimum) Industry standard methodology; i.e., Prince 2, MSP • Supports the methodology and governance set out in the PDPG

	• Reflects the proposed approach described in the Solution Overview and is in accordance with the MoJ requirements for the Project • Complies with the Product Description. • Represents an accurate and complete record of the Project baseline
Quality Method	• Quality checked by the CTS Project Delievery as appropriate • Approved by the relevant project board identified in the Governance structure prior to submission to the Gate 3 review • Approved by the PDPG as part of the pre Gate 3 health check review
People or skills required	**Reviewers** • Authority Project Manager • CTS Service Transition • CTS Capacity Management • CTS Architecture Lead • Digitial and Technology Triage • Digital and Technology Information Assurance Lead • Technology Suppliers (as required) • Exiting Suppliers (as required) **Approval** • CTS Project Delivery Programme representatives, dependent on the stakeholders identified in the PID, at the project Gate 3. **For info to:** • Stakeholders • Team Members • Other FITS Suppliers
First Draft Delivery Date for Deliverable	Pre Gate 3 – This product must be available within the Project Initiation stage
Planned Successful Approval Date for Deliverable	Per Project

Schedule 6.1 (Project Management) – Appendix B Annex (ii) – Hosting

Documentary Deliverables Matrix

Product Description

Product Description	
Title of Deliverable	Documentary Deliverable Matrix (DDM)
Purpose of Deliverable	The Hosting Supplier shall develop a complete list of documentary deliverables for a specific project mapped onto the project lifecycle as described in the PDPG and as required to support project delivery. There are four primary uses of the document: • To ensure that all deliverables required to support the delivery of the project, as defined in the PID, are identified and agreed with all stakeholders • To act as a base document against which the project can assess progress of agreed deliverables as they are mapped to the delivery lifecycle • To determine the ownership of and level of assurance required to each product identified in the DDM • To validate at project closure that deliverables have been delivered
Scope of Deliverable	The identified delivery Project
Format & Presentation of Deliverable	MS Excel 2016 or agreed equivalent
Derivation of Deliverable	The project specific DDM will be derived from: • Authority – template Project specific DDM
Allocated to	Owned by the Hosting Supplier and Authority Project Manager • Created by the Hosting Supplier
Quality Criteria for Deliverable	The DDM must ensure that it: • Identifies all document deliverables required throughout the lifecycle of the Project • Captures all specialist products identified to complete the Project • Includes anagement products • Reflects the deliverables identified in the schedules • Complies with the Product Description • Represents an accurate and complete record of the project baseline

Quality Method	• Quality checked by the Hosting Supplier in accordance with the industry best practice and as appropriate • Approved by the relevant project board identified in the Governance structure prior to submission to the Gate 3 review • Approved by CTS Project Delivery as part of the pre Gate 3 health check review
People or skills required	**Reviewers** • Authority Project Manager • CTS Service Transition • CTS Capacity Management • CTS Architecture Lead • Digitial and Technology Triage • Digital and Technology Information Assurance Lead • Technology Suppliers (as required) • Exiting Suppliers (as required) **Approval** • CTS Project Manager, dependent on the stakeholders identified in the PID, at the project Gate 3. **For info to:** • Stakeholders • Team Members • Other Technology Suppliers
First Draft Delivery Date for Deliverable	Pre Gate 3 – This product must be available within the Project Initiation stage
Planned Successful Approval Date for Deliverable	Per Project

Schedule 6.1 (Project Management) – Appendix B Annex (iii) – Hosting

Solution Overview

Product Description

Product Description	
Title of Deliverable	Solution Overview (SO)
Purpose of Deliverable	The Solution Overview is produced during Feasibility or Initiation stages of the CTS Project Delivery lifecycle and is baselined within the Initiation stage. Its purpose is to present a common understanding of the solution to be delivered prior to entering the Design phase of the Project. It should be read in conjunction with the PID, produced at the same time, which describes the approach that will be taken to deliver the solution.
Scope of Deliverable	The Solution Overview will describe the solution at a conceptual and logical level, addressing service design, architecture and information assurance dimensions. The scope will be constrained to provide an overview of the services explicitly delivered by the delivery Project. **NOTE:** The information security features of the solution may be recorded within this document or captured separately in the Information Security Overview (ISO) document.
Format & Presentation of Deliverable	It is expected that all Solution Overviews will be produced in OpenDocument format, PDF, or, as an exception, DOCX where particular features are unsupported. All solution documentation should be properly titled and version controlled.
Composition of Deliverable	It is recommended that the Solution Overview includes the following Sections which can be modified by agreement between the Authority and the Hosting Supplier: - Introduction - Purpose - Scope - Specific Inclusions - Specific Exclusions - Background - Summary - Requirements - Business Requirements - Service Functional Requirements - Service Level Requirements - Service Operational and Management Requirements - Service Applicability - Service Contacts - Assumptions, Risks, Dependencies and Constraints - Assumptions - Risks - Dependencies - Constraints - Service Design and Topology

	o Service or Application Architecture
	      o Technology Architecture
	      o Security Architecture
	      o Tower specific Architecture(s)
	• Service Provider Solution Breakdown
	      o Service Provider Matrix
	      o Other FITS Supplier solution components
	      o Other FITS Supplier service requirements & dependencies
	      o Other Authority Provider solution components
	      o Other Authority Provider service requirements & dependencies
	• Organisational Readiness
	• Service Lifecycle Plan
	      o Planning Requirements
	      o Transitional Considerations
	      o Refresh Requirements
	      o Service Decommissioning Requirements
	• Summary of Impact

Derivation of Deliverable	The Solution Overview is derived from the following: • Hosting Suppliers' Response documents • Schedule 2.1 (Service Requirements) • Schedule 2.2 (Service Performance Management) • Schedule 6.1 (Project Management Requirements)
Allocated to	Hosting Supplier
Quality Criteria for Deliverable	• Delivered to the format specified • Alignment to the PID • Traceability to high level solution requirements
Quality Method	Design Function Working Groups (Management Approval)
People or skills required	• Requirements/Business Analyst • Architecture • Service Design • Information Assurance
First Draft Delivery Date for Deliverable	Pre Gate 3
Internal Impact Assessment / Peer Review Sign-off	Design Function Working Groups
Approval & Sign-off	<This section is concerned with who will be responsible for quality checking and providing formal approval of the product. Following formal approval the product will be base lined and will be subject to a change control process thereafter>> **Reviewers**

	- Authority Project Manager - CTS Service Transition - CTS Capacity Management - CTS Architecture Lead - SACM & Software Licence Management - Digitial and Technology Triage - Digital and Technology Information Assurance Lead - Technology Suppliers (as required) - Exiting Suppliers (as required) **Approval** - CTS Project Delivery Programme representatives, dependent on the stakeholders identified in the PID, at the project Gate 3. **For info to:** - Stakeholders - Team Members Other Technology Suppliers **<u>Date signed off</u>** **<u>Evidence of sign off</u>**
Planned Successful Approval Date for Deliverable	Per Project

Schedule 6.1 (Project Management) – Appendix B Annex (iv) – Hosting

Level 3 Plans

Product Description

Product Description	
Title of Deliverable	Level 3 Plan
Purpose of Deliverable	The Hosting Supplier shall develop a complete set of Level 3 Plans for each Hosting Supplier Project and any other Project where it is identified as a relevant other Technology Supplier. Each Level 3 Plan will contain the full set of activities required by a function within the project team structure i.e. architecture. Level 3 Plans are produced during the initiation phase of the project and should, collectively, form the end to end timeframe and activities required to deliver the project as defined in the PID. There are three main objectives of the Level 3 Plans: - To ensure that all elements of the project as defined in the PID and associated deliverables as agreed in the DDM have been planned, resourced and can be delivered within the agreed project timeframes - To act as a baseline document against which the project team can assess progress of the Project - To ensure that any dependencies, whether they are external to the Project or internal between function groups, have been captured in the baseline plans agreed at project Gate 3
Scope of Deliverable	The identified delivery Project
Format & Presentation of Deliverable	MS Project 2016
Composition of Deliverable	The Hosting Supplier shall develop a Level 3 Plan for each Hosting Supplier Project and any other Project where it is identified as a relevant other Technology Supplier. Timeframes, activities, , and dependencies identified in the Level 3 Plans will be baselined at the Gate 3 review. Once the Project is in the execution phase, the baseline will be retained and Level 3 Plans should show the forecast dates at all times.

Derivation of Deliverable	The project specific Level 3 Plans will be derived from: • Technology FITS specified control requirements • Additional information gathered during Project Initiation Stage • Project management standards • Customers specified control requirements
Allocated to	Owned by the Hosting Supplier and reviewed by Authority Project Manager Created by the Hosting Supplier
Quality Criteria for Deliverable	The Level 3 Plans must ensure that they: • Identify all document deliverables required throughout the Lifecycle of the project, including those deliverables identified in the DDM • Identify all resource effort and estimates, effort, duration required throughout the lifecycle of the project • Capture all project specific products as agreed in the project DDM • Include all delivery dependencies as agreed between stakeholders • Reflects the deliverables identified in the schedules • Complies with the Product Description • Represents an accurate and complete record of the project baseline
Quality Method	• Quality checked by the FITS Programme as appropriate • Approved by the relevant project board identified in the Governance structure prior to submission to the Gate 3 review • Approved by the PDPG as part of the pre Gate 3 health check review
People or skills required	**Reviewers** • Authority Project Manager • CTS Service Transition • CTS Capacity Management • CTS Architecture Lead • Digitial and Technology Triage • Digital and Technology Information Assurance Lead • Technology Suppliers (as required) • Exiting Suppliers (as required) **Approval** • CTS Project Delivery Programme representatives, dependent on the stakeholders identified in the PID, at the project Gate 3.

	For info to: • Stakeholders • Team Members • Other Technology Suppliers
First Draft Delivery Date for Deliverable	Pre Gate 3 – This product must be available within the Project Initiation stage
Planned Successful Approval Date for Deliverable	Per Project

Schedule 6.1 (Project Management) – Appendix B Annex (vi) – SIAM 165

Systems of Measurement Reference Document

Product Description

Title:	Systems of Measurement Reference Document (SMRD)
Target Date:	As detailed within the body of this schedule 6.1 (Project Management). The documented Systems of Measurement shall be reviewed, updated and agreed with the Authority to reflect the delivery of technology services. The documented Systems of Measurement shall be updated in conjunction with changes to services and associated supporting service elements. Minimally the SMRD should be released quarterly or as otherwise agreed with the Authority to reflect changes to services.
Purpose:	The Systems of Measurement Referenced Document will provide a detailed description of the measurement of services delivered to the Authority against the Service Performance Management requirements and the performance characteristics of all services detailed in schedule 2.2 (Service Performance Management). This document will persist throughout the Agreement. As projects progress and Technology Services develop and any dependencies are mitigated to enable the full terms of schedule 2.2 (Service Performance Management) to apply the SMRD will be revised on an ongoing basis to reflect fully systems of measurement and achievement of the obligations within schedule 2.2 (Service Performance Management).
Composition (Table of Contents):	The Systems of Measurement Referenced Document should include but not be limited to detailed descriptions of: - All Service Levels to be measured; - All application performance characteristics for supported applications; - All infrastructure performance characteristics for supported infrastructure; - All tools utilised in the measurement process; - Method of collection of measurement data; - The source(s) of data for measurement; - The calculations and definitions utilised; - The reporting processes utilised. Including any daily, monthly or quarterly service failure accumulation statistics metric to be utilised; - Responsibilities of the Technology Supplier, the Other Suppliers and the Exiting Suppliers for collection of measurement data; - Responsibilities of the Technology Supplier, the Other Suppliers and the Exiting Suppliers for reporting measurement information; - Any proposed changes to systems of measurement including when the changes will occur. - The tooling alerting boundaries related to the automatic generation of service desk alert tickets, by contracted service priorities; and - The methods to be utilised to report continued service issues across different service periods (i.e. Trending), which may contain forecasts of future high severity failures.

Derivation:	The Systems of Measurement Referenced Document will be derived from: • The Service Requirements • The Service Performance Management requirements • The performance characteristics of supported applications • The performance characteristics of supported infrastructure • Technology Suppliers' solutions • Exiting Suppliers' current solutions • The Project Suite
Format & Presentation:	The Systems of Measurement Referenced Document is to be: • Delivered in a standard Office Automation (OA) product and is in a version of the software which is capable of being viewed and amended on the Authority's current Dom1/TTP OA build; and • Version controlled.
Allocated to:	CTS Capacity, Demand, Availability and SACM

Quality Criteria:	The Systems of Measurement Referenced Document:
	
	• Must conform, but not be limited, to the following:
	    o CTS PD Programme Quality Standards;
	    o ISO 9001 Quality Management Standards;
	    o ISO 100007 Quality Management Systems; and
	    o ISO 20000:2011 - Service Delivery.
	
	• Must support (as a minimum) Industry standard methodology; i.e.:
	    o ITIL.
	
	• Must be capable of interfacing with, and taking feeds from, Other FITS Suppliers.

Quality Method:	The Systems of Measurement Referenced Document is: • Delivered to the format specified; • Complies with the Product Description; • Content reflects the proposed approach described in the Technology Suppliers' Documentary Deliverables and is in accordance with the Project Management Requirements, the Service Requirements and the Service Performance Management requirements.
Mandatory?	Yes

Schedule 6.1 (Project Management) – Annex B Annex (vii) – SIAM 169

Volume Baselines

Product Description

Title:	Volume Baselines
Target Date:	As detailed within the body of this schedule 6.1 (Project Management)
Purpose:	The purpose of the Volume Baselines shall be to present to the Authority for Approval, actual, historical and or assumed volumetric data to form the volume baselines as relevant to each tower. These volumetric data shall form the volume baselines as relevant to each Service assumed at the Service Commencement Date. The volume baseline data shall be provided in accordance with the Technology Supplier's obligations within schedule 7.1 (Charging and Invoicing), schedule 7.5 (Financial Model) and in accordance with its obligations under schedule 2.1 (Service Requirements) and schedule 2.2 (Service Performance Management). The volume baseline data shall be used to update the base data for the Capacity Plan as set out in schedule 2.1 (Service Requirements) and schedule 2.2 (Service Performance Management) and as a basis for analysing and forecasting patterns of service performance.
Composition (Table of Contents):	The baseline data shall be in accordance with schedule 7.1 (Charging & Invoicing) and schedule 7.5 (Financial Model) and the CMDB and include, but not be limited to: a) numbers of users; b) types of users; c) number of devices, including, but not limited to, PCs, laptops, thin client devices, printers, monitors and other peripherals; d) instances of software installed; e) number of software licences; f) infrastructure components, including servers, storage, tower devices, network appliances; g) application components, including servers, storage; and h) any quantities of a material nature and of relevance to the documents purpose.
Derivation:	The Volume Baselines shall be derived from; • Exiting Supplier Asset Inventories; • Site Audits; • Investigative Tools; • Technology Supplier Asset Registers; and • Exiting Suppliers Asset Registers.
Format & Presentation:	The Volume Baselines are to be: • Presented in an electronic format to be agreed with the Authority and is in a version of the software which is capable of being viewed and amended on the Authority's current Dom1/TTP OA build; and • Version controlled.
Allocated to:	• CTS Capacity, Demand, Availability and SACM

Quality Criteria:	• Must conform, but not be limited, to the following:
	   o CTS Project Delivery Quality Standards
	   o ISO 9001 Quality Management Standards
	   o ISO 100007 Quality Management Systems; and
	   o ISO 20000:2011 - Service Delivery.
	
	• Must support (as a minimum) Industry standard methodology; i.e:
	   o ITIL; and
	   o PRINCE2 Project Management Methodology.
	
	• Must be capable of interfacing with, and taking feeds from, Technology Suppliers.

Quality Method:	The Volume Baselines are: • Delivered to the format specified; • Complies with the Product Description; • Content reflects the proposed approach described in the Technology Suppliers' Project Solution Descriptions and is in accordance with the Project Requirements; • The Project Reporting accurately reflects the Project approach proposed by the Other Technology Suppliers; and • Quality checked by Service Design Workstream Lead as appropriate.
Approval & Signoff:	**Reviewers** • Authority Project Manager • CTS Service Transition • CTS Capacity Management • CTS Architecture Lead • Digitial and Technology Triage • Digital and Technology Information Assurance Lead • SACM & Software Licence Management • Technology Suppliers (as required) • Exiting Suppliers (as required) **Approval** • CTS Project Delivery Programme representatives, dependent on the stakeholders identified in the PID, at the project Gate 3. **For info to:** • Stakeholders • Team Members • Technology Suppliers

Mandatory?	Yes

Schedule 6.1 (Project Management) – Appendix B Annex (viii) – Hosting

Project Requirements Specification

Product Description

Product Description	
Title of Deliverable	Project Requirements Specification (PRS)
Purpose of Deliverable	The Project Requirements Specification is produced during Feasibility or Initiation stages of the MOJ CTS Project Delivery lifecycle and is baselined within the Initiation stage. Its purpose is to ensure that the requirements specific to a project are formally captured; and are in a fit state to take forward a business change initiative, a process re-engineering activity or develop the technical design specification for an IT solution. The Project Requirements Specification should be read in conjunction with the Solution Overview.
Scope of Deliverable	This document should: • State (via reference not repetition) the schedule 2.1 Service Requirements that will be met by the Project • Capture any constraints to the scope of applicability of the 2.1 Requirements (e.g. if the Project is a particular iteration aimed at only one business area). • Reference any Policies, Processes Procedures; architecture principles and known issues that the Project is intended to satisfy / remediate. • Capture any detailed business and service requirements that are needed to supplement the schedule 2.1 Service Requirements. • Capture any derived service requirements (e.g. non functional requirements, security requirements). The Project Requirements Specification will be a key artefact in evidencing acceptance into service. **NOTE:** Information Assurance requirements may be recorded within this document or captured separately in the Security Requirements Specification (SRS) document.
Format & Presentation of Deliverable	It is expected that all Project Requirements Specifications will be produced in OpenDocument format, PDF, or, as an exception, DOCX where particular features are unsupported. It is expected that all documents received will be accessible from Authority's current Dom1/TTP OA build All solution documentation should be properly titled and version controlled.
Composition of Deliverable	• Introduction • Background • Objective • Scope • Approach • Constraints

	- Business Process
	- Functional requirements – grouped by type/category as appropriate
	- Non-functional requirements – containing, as a minimum, the following categories. Further categories will be dependent on the type of solution being designed:
	    o Performance
	    o Accessibility
	    o Availability
	    o Back up
	    o Interoperability
	    o Scalability
	    o Capacity
	    o Security
	- Appendices (if applicable)
	    o Requirements Traceability Matrix

Derivation of Deliverable	- Hosting Suppliers' Response documents - Schedule 2.1 (Service Requirements) - Schedule 2.2 (Service Performance Management) - Schedule 6.1 (Project Management Requirements)
Allocated to	CTS Project Delivery
Quality Criteria for Deliverable	- Delivered to the format specified - Alignment to the PID and Solution Overview - Traceability to contracted (Schedule) requirements
Quality Method	Design Function Working Groups (Operational Approval)
People or skills required	- Architecture - Service Design - Information Assurance
First Draft Delivery Date for Deliverable	Pre Gate 3
Internal Impact Assessment / Peer Review Sign-off	Design Function Working Groups
Approval & Sign-off	<This section is concerned with who will be responsible for quality checking and providing formal approval of the product. Following formal approval the product will be base lined and will be subject to a change control process thereafter>> **Reviewers** - Authority Project Manager - CTS Service Transition

	- CTS Capacity Management - CTS Architecture Lead - Digitial and Technology Triage - Digital and Technology Information Assurance Lead - Technology Suppliers (as required) - Exiting Suppliers (as required) **Approval** - CTS Project Delivery Programme representatives, dependent on the stakeholders identified in the PID, at the project Gate 3. **For info to:** - Stakeholders - Team Members - Technology Suppliers
Planned Successful Approval Date for Deliverable	Per Project

Schedule 6.1 (Project Management) – Appendix B Annex (ix) – Hosting

Project Test Strategy

Product Description

Product Description	
Title of Deliverable	Project Test Strategy
Purpose of Deliverable	The purpose of the Project Test Strategy is to: (a) Describe the practice of testing within the Project consistent with the Supplier Test Policy. (b) Set out the testing responsibilities of the Hosting Supplier, and Other FITS Suppliers engaged in the Project. (c) Describe the standards and approach to Testing to be used by each party engaged in the specific Project. A Project Test Strategy is required in order to agree an approach to testing in advance of creating any specific Project Test Plans relevant to each supplier's delivery scope.
Scope of Deliverable	The Project Test Strategy will describe the practices, standards and approach to Testing to be adopted by projects within scope of the CTS Project Delivery and the Technology Suppliers.
Format & Presentation of Deliverable	Any Test Strategy would normally be presented as a document comprising the details described under "Composition". However, by agreement with the CTS Project Manager , alternative formats may be acceptable if appropriate for the nature of the product and the types of testing to be undertaken as part of the Strategy. It is expected that all documents will be produced in OpenDocument format, PDF, or, as an exception, DOCX where particular features are unsupported.and must be accessible from the Authority's Dom1/TTP OA platform All test documentation should be properly titled and version controlled.
Composition of Deliverable	It is recommended that the Project Test Strategy includes sections that reflect industry good practice and the requirements of the programme
Derivation of Deliverable	The Project Test Strategy will be derived from: • Authority – Contract for the Provision of Technology services • Supplier BAFO response • Exiting Suppliers exit plans • Supplier Test Policy • Project Initiation Documents • Project Requirement Specifications • Project Solution Overview • National and International Standards for Testing and Quality Assurance

	• ITIL Service Validation and Testing Best Practices/KPI's • Technology SIAM Service Validation and Testing Policies/Processes/Procedures. • Best Practice & Business objectives
Allocated to	Hosting Supplier
Quality Criteria for Deliverable	The Project Test Strategy should satisfy the following quality criteria: • Does the Project Test Strategy conform to the Product Description (with any exceptions justified)? • Is the Project Test Strategy consistent with the FITS/Technology contracts, the Supplier Test Policy and Industry standards/best practice (with any exceptions justified)? • Is the overall scope and approach for testing within the project clearly defined? • Are the testing scope and responsibilities of each Technology Supplier engaged in the project clearly defined? • Are the responsibilities of the MoJ clearly set out? • Does the Project Test Strategy adequately set out the testing process and associated controls? • Does the Project Test Strategy set out the Test Phases and Test Types to be executed? Are Test Phase/Cycle Entry and Exit criteria clearly defined? • Does the Project Test Strategy set out the Test Deliverables to be produced? • Does Project Test Strategy adequately balance key risks to the business with an approach that is value for money?
Quality Method	• Review by peers. • Review by project stakeholders • Review by project requirements lead • Assurance by CTS Project Manager) • Approval by programme/project sponsor
People or skills required	• Test Managers / Senior Test Analyst(s) • Programme/Project Test Manager • Project requirements lead • Architecture, Service Design & Information Assurance SMEs. • Business representatives, as appropriate.
First Draft Delivery Date for Deliverable	The Project Test Strategy must be produced during the initiation stage in order that the testing responsibilities of each supplier can be identified and agreed prior to baseline of the PID and related project plans.
Internal Impact Assessment / Peer Review Sign-off	Test deliverable sign off process.

| Approval & Sign-off | **Reviewers**

• Hosting Supplier
• FITS Test Function
• FITS Design Function
• FITS Delivery Function

Approval

• FITS Head of Test (or delegate)
• FITS Programme representatives, dependent on the stakeholders identified in the PID, at the project Gate 3.

For info to

• FITS Programme
• Other FITS Suppliers |
| **Planned Successful Approval Date for Deliverable** | Per Project |

APPENDIX C

Test Certificate

To: [HOSTING SUPPLIER]

FROM: [AUTHORITY]

[Date]

Dear Sirs,

TEST CERTIFICATE

Deliverables: [*insert description of Deliverables*]

We refer to the agreement ("**Agreement**") relating to the provision of the Hosting Services between the [Authority] ("**Authority**") and   ("**Hosting Supplier**") dated [   ].

The definitions for terms capitalised in this certificate are set out in schedule 1 (Definitions) to the Agreement.

[We confirm that the Deliverables listed above have been tested successfully in accordance with the Test Plan relevant to those Deliverables.]

OR

[This Test Certificate is issued pursuant to clause 7.2.1 of the Agreement (Delays Due to Hosting Supplier Default) on the condition that any Test Issues are remedied in accordance with the Correction Plan attached to this certificate.]*

delete as appropriate

Yours faithfully

[Name]

[Position]

acting on behalf of [Authority]

APPENDIX D

Milestone Achievement Certificate

To: [HOSTING SUPPLIER]

FROM: [AUTHORITY]

[Date]

Dear Sirs,

MILESTONE ACHIEVEMENT CERTIFICATE

Milestone: [*insert description of Milestone*]

We refer to the agreement ("**Agreement**") relating to the provision of the Hosting Services between the [Authority] ("**Authority**") and   ("**Hosting Supplier**") dated [   ].

The definitions for terms capitalised in this certificate are set out in schedule 1 (Definitions) to the Agreement.

[We confirm that all the Deliverables relating to Milestone Number [ ] have been tested successfully in accordance with the Test Plan relevant to this Milestone [or that a conditional Test Certificate has been issued in respect of those Deliverables that have not satisfied the relevant Test Success Criteria.]]*

OR

[This Milestone Achievement Certificate is granted pursuant to clause 7.2.1 of the Agreement (Delays Due to Hosting Supplier Default) on the condition that any Test Issues are remedied in accordance with the Correction Plan attached to this certificate.]*[You may now issue an invoice in respect of the sums due are payable in accordance with schedule 7.1 (Charges and Invoicing)]*

delete as appropriate

[*The table set out below sets out the Deliverables which have been Achieved, by when, and any corresponding payment, in relation to this Milestone:]

Deliverable	Date of Approval	Payment
[insert]	[insert]	[insert]

*Not Mandatory. Include and complete as appropriate.

Yours faithfully

[Name]

[Position]
acting on behalf of [Authority]

APPENDIX E

Test Success Criteria

Service Element	Pre-conditions	Test Success Criteria

APPENDIX F

REDACTED

End of schedule