CALL OFF SCHEDULE 2: SERVICES

1. **INTRODUCTION**

1.1. The Goods and/or Services will be within scope of the Lots described within Schedule 2 (Services) of the Framework Agreement.

1.2. This Call Off Schedule specifies the Services to be provided under this Call Off Contract, in Annex 1.

1.3. This Call Off Schedule specifies the Supplier Solution for the Services to be provided under this Call Off Contract, in Annex 2.

ANNEX 1: THE AUTHORITY REQUIREMENT

SECTION 1.1: STATEMENT OF REQUIREMENTS

1.1. This Section 1.1 sets out the Statement of Requirements (Appendix B Version 0.36 – Final – 2 March 2018)

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1. PURPOSE

1.1 The purpose of this procurement is to appoint a supplier ("Potential Provider") via the Finance IT Software Solutions (RM1042) Framework (Lot 2). The Potential Provider will lead on the Technical Delivery of a new and ambitious Online System for Central Accounting and Reporting (OSCAR) which will be called OSCAR II.

2. BACKGROUND TO THE CONTRACTING AUTHORITY

2.1 HM Treasury (the "Authority") is the Government's economic and finance ministry, maintaining control over public spending, setting the direction of the UK's economic policy and working to achieve strong and sustainable economic growth.

3. BACKGROUND TO REQUIREMENT/OVERVIEW OF REQUIREMENT

3.1 OSCAR is the Enterprise Performance Management ("EPM") system that runs the cross-Government processes for recording public sector spending including data collection, consolidation, analysis, reporting and publications.

3.2 It is owned by the Authority and used by other Government departments, devolved administrations and other public bodies.

3.3 Without it, the Government finance function cannot meet its obligations – the production of critical and statutory publications such as the Whole of Government Accounts ("WGA") and Supply Estimates – to UK Parliament, Cabinet Office and External Bodies.

3.4 Project OSCAR II was set up to consider how to release capacity, improve efficiency and embed evidence-driven decision making across Government. A vision for the project has been captured and is highlighted below:

> "*Putting finance analytics at the heart of decisions across Government. With more accurate data, and to spend more time on insight and analysis and less on manual quality checks and collection.*"

3.5 Many of the existing system components and associated processes are no longer fit for purpose and incapable of supporting future requirements; Project OSCAR II has a central mission of delivering a high quality, data-centric, decision support system that will enable timely and decisive policy interventions across Whitehall and the wider public sector.

3.6 It is recognised that the vision would need to be delivered in stages to ensure that there is a regular release of benefit and the project can respond to changes in the external and internal environment. With this in mind the ambition level for Project OSCAR II was set at level 4 but with the proviso that any system delivered would underpin the reaching of level 5 and beyond in the future. The maturity curve is shown below:
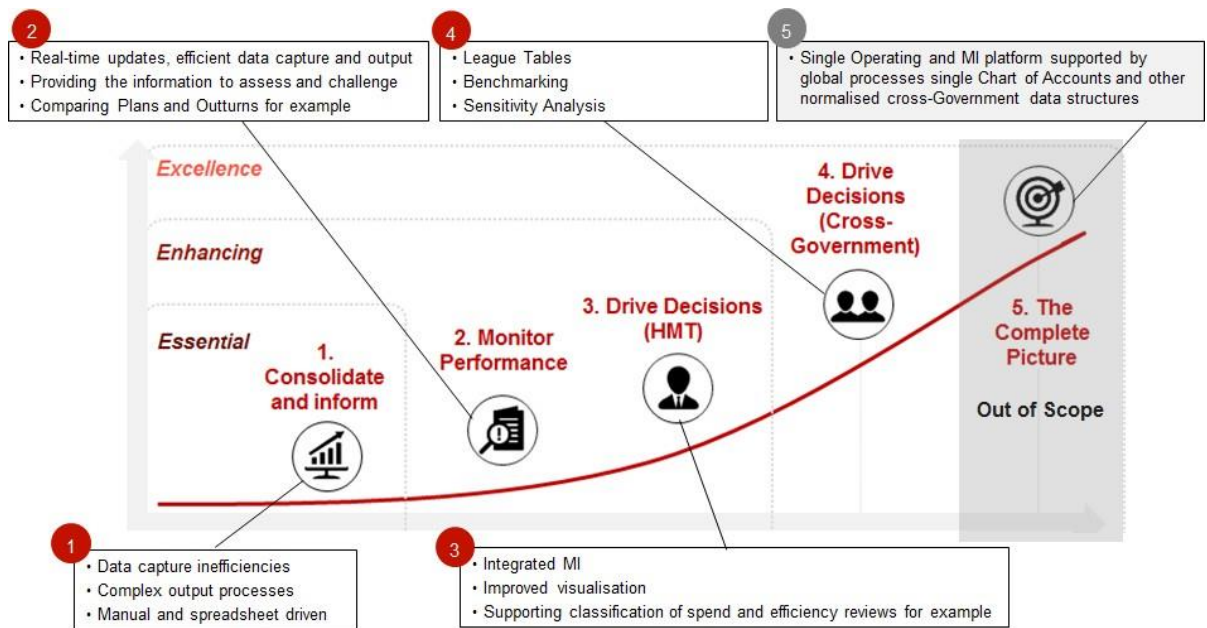
3.7 The capabilities of the new OSCAR II solution will need to facilitate new common data models and standards being developed outside of Project OSCAR II and thus help to improve the maturity and quality of financial management information in UK Government.

3.8 The new service will also need to maximise the impact of high quality data and information, translating this into better outcomes at lower cost and risk to UK Government.

3.9   The aim of the overall project is to transform existing processes, tools and ways of working, ensuring that maximum value is derived, thereby strengthening financial capability across Government in line with Government finance strategy. A Solution Map diagram was developed to help explain the scope to senior Government stakeholders as shown below:
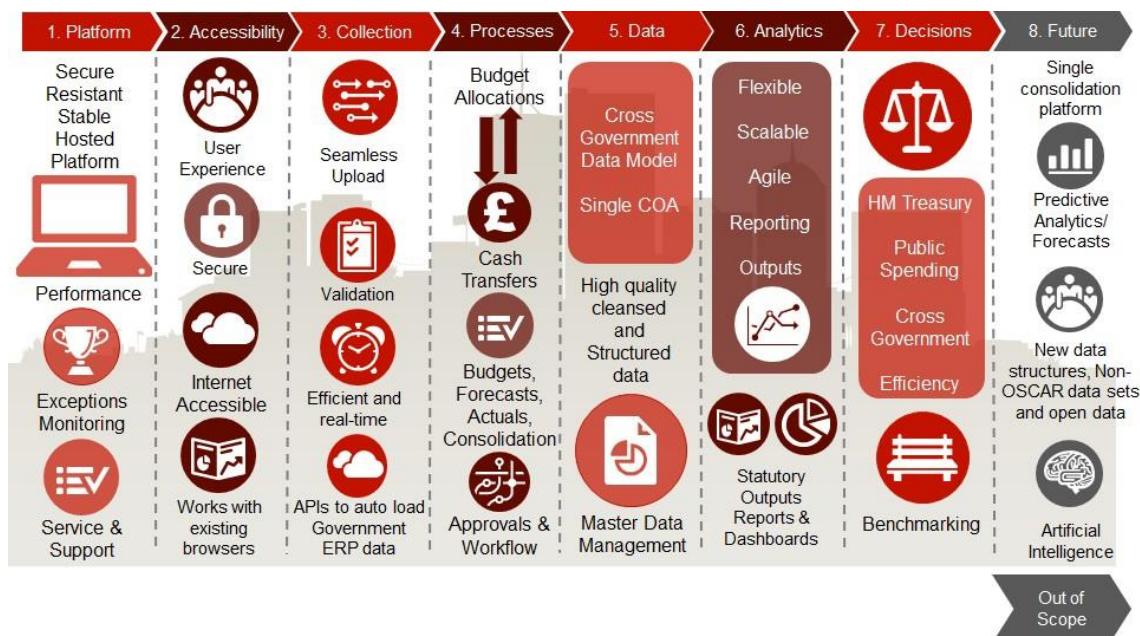
3.10   Key objectives of Project OSCAR II are as follows:

- To reduce the average length of time to produce statutory publications such as from 13 to 9 months for WGA.

- To support the FMR objective of providing officials with a single source for reliable, real-time information that can be compared across Government.

- To strengthen finance capability within the Treasury by embedding analysis and insight into core business.

- To ensure OSCAR II is capable of future exploitation beyond driving decisions across Government (maturity level 4).

- To modernise and transform the delivery of financial accounting and reporting, through updated processes, data and operating model.

- To ensure the project is affordable to the Authority and represents value for money.

- To reduce operational risks to critical outputs and machinery of Government.

3.11   An ambitious and flexible OSCAR II solution is therefore a pre-requisite if these challenging objectives are to be achieved.

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4. DEFINITIONS

Expression or Acronym	Definition
ADFS	Active Directory Federation Services
ALB	Arm's Length Bodies
AME	Annually Managed Expenditure
API	Application Programming Interface
Authority	Her Majesty's Treasury
BCT	Budget Cover Transfers – the movement of funds (monetary values) between departments - where the activity of one Department requires expenditure by another to be covered by the first
BDA	Business Design Authority
BNC / BNT / BNE	Budget Neutral Changes / Transfers / Exchanges – movement of funds (monetary values) within a Department with no overall budget impact
CAB	Change Advisory Board
CCS	Crown Commercial Service
Chart of Accounts initiative	Led by representatives in the Authority along with other Government departments this initiative is working to refresh the existing Government Chart of Accounts / Finance data model structure and associated data standards
Cloud Based	A data centre location that is not owned and/or managed by the Authority
Cloud Security Principles	A set of Government principles that represent a fundamental cloud security aspect (See Annex 17)
COFOG	Classification of Functions of Government
Contract	The call off terms and conditions (contract) to be entered between the Potential Provider and the Authority in accordance with the Corporate Software Solution (RM1042), Finance IT Application Software Solutions (Lot 2)
CRA	Country and Regional Analysis – a breakdown by region of previous years' outturn data
DA	Devolved Administration (note that in most cases when departments are discussed in this document the scope would also include Devolved Administrations)

Appendix B – Statement of Requirements
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DAR	Data Analysis Report – a standard report which feeds entry level data into an Excel pivot table
DAS	Data Analysis and Strategy – the subsection of the FACT team within HM Treasury that support end users with information reporting requests and ad hoc analysis
Data Controller	The Data Controller is a person who (either alone or jointly or in common with other persons) determines the purposes for which and the manner in which any personal data are, or are to be, processed
Data Processor	The Data Processor in relation to personal data, means any person (other than an employee of the data controller) who processes the data on behalf of the data controller
Data Standards Initiative	Led through the FIC this initiative is exploring how to standardise data across Finance across Government
DCT	Data Collection Tool – a Microsoft Excel workbook, containing various macros, that is used by local authorities and other public bodies to provide the information required for the whole of Government accounts (WGA) in a structured format. The DCT provides a mechanism to upload a trial balance in a structured format (around 750 different bodies use it and there are around 80-100 validations) https://www.gov.uk/Government/publications/whole-of-Government-accounts-2016-to-2017-guidance-for-preparers
DDI	Defence, Diplomacy and Intelligence – one of the Authority's Spending Teams who monitor budgets and expenditure of the Ministry of Defence, Foreign and Commonwealth Office and the Security and Intelligence Agencies
DEL	Departmental Expenditure Limits
Department	Government Department including their ALBs. Note that the definition of Department (in this document only and for brevity only) could also encompass Devolved Administrations, local authorities and other public bodies
DR	Disaster Recovery
EDP	Excessive Deficit Procedure – a type of reporting required by Eurostat
FAB	Finance Analytics Board – the oversight board for Project OSCAR II chaired by the SRO and containing senior representatives from HM Treasury and other Government departments
FACT	Finance Analytics Control and Technology – the team responsible for the OSCAR system. The Programme Director for Project OSCAR II is the Deputy Director of this team

FIC	Finance Insight Committee - the oversight board for Government Financial Information and Analysis
FLG	Finance Leadership Group - the oversight board for Government Finance and containing senior Finance representatives from HM Treasury and other Government departments
FMR	Financial Management Review
FSP	Fiscal Statistics and Policy – a team in the Authority who have overall lead on UK fiscal policy issues
FTE	Full Time Equivalent – a metric related to staff numbers – one of a set of non-financial metrics within the OSCAR system
GDPR	General Data Protection Regulations
GDS	Government Digital Services
GEP	General Expenditure Policy. HM Treasury team who lead on setting the Government's spending plans
GIAA	Government Internal Audit Agency
HMT	Her Majesty's Treasury
IPA	Infrastructure Projects Authority
ISO27001	ISO 27001 (formally known as ISO/IEC 27001:2005) 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 a Potential Provider's information risk management processes
KPI	Key Performance Indicator
LA / LG	Local Authorities / Local Government (note that in most cases, particularly with regards to WGA, when departments are discussed in this document the scope would also include Local Authorities)
MOG	Machinery of Government – a change that affects the structure of Government
MVP	Minimum Viable Product
NAO	National Audit Office
NCSC	National Cyber Security Centre
OBR	Office for Budget Responsibility
OMB	OSCAR Management Board – this board consists of senior users of the OSCAR system and provides recommendations into FAB
ONS	Office for National Statistics

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OOC	Optimum Operating Capability
OSCAR	Online System for Central Accounting and Reporting
OSM	OSCAR Service Management – a subsection of the FACT team that manage the OSCAR solution from a technical perspective
PaaS	Platform as a Service
PDB	Project Delivery Board
PESA	Public Expenditure Statistical Analyses
PFI	Private Finance Initiative
Potential Provider	Suppliers on the Framework wishing to tender for this opportunity. This includes any potential sub-contractors within a Potential Providers consortium
Procurement Pack	Information about the procurement process
PSFR	Public Sector Finance Release
PSN	Public Services Network
SaaS	Software as a Service
SAML	Security Assertion Markup Language
SC	Security Check clearance level
SLA	Service Level Agreement
SOC	Security Operations Centre
Solution Map	A solution map has been put together to help explain the scope of the project to senior Government stakeholders
SOP	Single Operating Platform – ERP based finance/ HR platform used by a number of Government departments. This initiative also has a process role and is aiming to standardise finance processes across Government as part of the Shared Services Strategy
SR	Spending Review
Potential Provider	The successful Potential Provider in the tender process
SWG	Security Working Group
TDA	Technical Design Authority
WGA	Whole of Government Accounts – the Government's consolidated annual financial accounts in IFRS format
WPR	Workforce Pay Remit

5. SCOPE OF REQUIREMENT

5.1 The scope of the requirement for this procurement is set out below (5.1.1 – 5.1.9). Further information on requirement specifics can be found in section 7 with supporting information in the Annexes in Appendix F – Supplementary Material.

    5.1.1 The provision of the infrastructure platform and associated software with which to deliver the OSCAR II system.

    5.1.2 The project management of the Technical Delivery workstream and the end to end delivery of the OSCAR II solution, within a two year window, using a phased approach, with all components live and available within two years of Contract signature and not later than the end of 2020.

    5.1.3 The OSCAR II solution will be based on customised off the shelf technology with the platform and software configured to deliver the solution itself. The solution will comprise of the following components:

Functional Component	Descriptions
Reporting & Analytics	• Components to allow **what-if and sensitivity analysis** (including the ability for OSCAR II to perform advanced types of analysis and to provide the foundation to upgrade the solution in the future) • Components to allow the development of **dynamic reporting such as dashboards,** and allow **flexible presentation of data** (for example on mobile devices such as tablets) that promote decision making and benchmarking • Components to provide **formal reporting** in a structured format to allow production of an entire statutory document (including table of contents, commentary, notes etc.) • The ability to **extract information into spreadsheet and other machine readable formats** • The ability to **provide audit, administration, monitoring and exception reporting**
Planning and Forecasting	• The ability to **manage the plans and forecasts** including the ability to set control totals and allow movement of monetary totals between entities
Financial Consolidation	• The ability to **perform financial consolidation**, capture and add eliminations, add adjustments/journals
Data Management	• Components to **store and manage information effectively** • The ability to **support all changes in Government structure** (for example new Departments or parts of Departments switching to other Departments) • A **suitable data model** to act as the foundation for the requirements
Workflow, Configuration & Validation	• Provision of a **configuration layer to maintain the new OSCAR II solution** • **Provision of workflow management components** for approvals • The need for the OSCAR II solution and the **data within it to be auditable / audit compliant**
Master Data Management	• Components to **manage and maintain key data structures** such as the departmental segments and charts of accounts

Data Quality	• The provision of mechanisms to **check and flag data quality** • **The ability to support major changes in business rules and the mechanisms that check data entries for compliance**
Data Integration	• The ability for the OSCAR II solution to **receive data from external systems via APIs**. For this project the scope is to build an API for In Year Forecasts / Monthly Forecast Outturn data and then for two pilot Government departments to be able to send data automatically to OSCAR II through it. • The ability for OSCAR II to **update immediately based on collected data.**
Data Collection	• Components that allow flexible collection of data (including numeric and narrative information) such that the **data uploaded has an immediate effect on the resulting financial plans, consolidations, output reports and analytics** • **Removal of macro based data collection templates (DCTs) from the WGA process** (replaced with vastly improved data collection functionality)
Security	• The ability to **maintain security** such that only authorised users have access to data and components at appropriate times
Hosting / Infrastructure	• A **supported platform** that is fit for purpose, efficient, secure, stable and resilient • A **helpdesk capability** so that end users can access help when they need it

5.1.4   The collaboration and alignment with the wider OSCAR II project team to deliver the Key Objectives. The Technical Delivery workstream will report into the overall Project Manager and Project Director. (See Annex 1 for Diagram). The Technical Delivery workstream will provide inputs into the Business Change workstream (such as technical process guidance, training material and inputs into project engagement and communications) but the Business Change workstream will be led by the Authority. The Technical Delivery workstream lead is expected to attend the PDB and, by invitation, the FAB and other project related meetings as requested by the Authority.

5.1.5   The ongoing service and support for the OSCAR II hosting platform and software once it has gone live until the end of the Contract (maximum five years from date of Contract signature).

5.1.6   A solution that is fit for purpose, supports the operating model defined by the Authority and provides the support required by the Authority's technical team to manage and improve the OSCAR II solution itself.

5.1.7   The implementation of a new Government wide Chart of Accounts into the OSCAR II solution if it becomes available from the Chart of Accounts initiative within the life of the Contract. If not then the solution must be set up to allow the new structure to be added easily in the future.

5.1.8 The solution will need to meet Government-wide guidelines on security, delivery methodology and solution architecture. Potential Providers must comply with relevant guidelines including but not limited to the [Technology Code of Practice](https://www.gov.uk/Government/publications/technology-code-of-practice).

https://www.gov.uk/Government/publications/technology-code-of-practice.

5.1.9 The solution will need to provide a flexible, scalable and future-proofed foundation such that, OSCAR II could eventually become the single cross-Government planning, budgeting and financial consolidation solution for all Government departments in the long run.

6. OUT OF SCOPE

6.1 The design of a new Government-wide Chart of Accounts and the alteration of any Government accounting standard will not be undertaken by the OSCAR II project.

6.2 It is not intended that the OSCAR II solution would replace every Government finance system (for example Enterprise Resource Planning ERP systems).

6.3 Additional non-financial data sets (such as property, personnel and risk information among others) will not be added unless they are needed for required reports.

6.4 Change of data collection / financial consolidation processes outside of the Authority other than to reinforce or amend the data collection timetables, data upload templates, formats and guidance needed for end-users to populate OSCAR II.

7. THE REQUIREMENT

7.1 The following section describes the individual criteria sought through this procurement.

7.2 The information within this section will help to answer Questionnaires 4-13 in Appendix D – Evaluation Criteria.

7.3 It should be noted that the requirements in this document, the requirements and supplementary material in Appendix F plus the information presented in the Potential Providers response will form part of the Contract should the Potential Provider be selected for award.

7.4 Potential Providers must also comply with the additional information and requirements in sections 8 onwards.

7.5 Information on the format and length of Potential Provider responses can be found in Appendix D – Evaluation Criteria.

7.6 Definitions for various terminology used can be found in Section 4 – Definitions.

7.7 The structure of the requirements sections below is:

7.8 Project Delivery Requirements	7.9 Business Change Requirements	7.10 Technology Delivery Requirements	7.11 OSCAR II System Requirements

8 – 18 Other Information and Supplementary Requirements

7.8 Project Delivery

The Authority will provide the Project Director, Project Manager and lead the Project Management Office (PMO) (and some of these roles may be filled by contractors, secondees from other Government Departments or third party suppliers) however the Potential Provider will be expected to support as follows:

7.8.1 Integration into the overall project

Supporting Material	Section
Project Structure Diagram	Annex 1
Governance Board Structures	Annex 5

7.8.1.1 Potential Providers are required to integrate into the overall project (and align with Annex 1 and Annex 5).

7.8.1.2 Potential Providers are required to work with and take direction from the client side Project Director and Project Manager.

7.8.1.3 Potential Providers are required to work with the project office (PMO) and provide the necessary information to the PMO for the PMO to maintain effective control.

7.8.1.4 Potential Providers are required to work alongside the business change workstream supporting them where required. This could involve working collaboratively with third party resources such as contractors, other Government departments or other suppliers chosen by the Authority to work on the project.

7.8.1.5 Potential Providers are required to develop a workstream initiation document in line with the overall project plan that will be drafted (noting that the overall project plan will be drafted based on the Potential Providers workstream Implementation Plan).

7.8.1.6 Potential Providers will be required to use Project Management, collaboration, document management and task management tools as specified by the Authority.

7.8.1.7 Potential Providers are required to support the project to align with other initiatives such as Chart of Accounts / Data Standards / Single Operating Platform as requested by the Authority.

7.8.2 Team and Resources

Supporting Material	Section
Existing team structure	Annex 2

7.8.2.1 Potential Providers are required to deploy and maintain a high calibre team with the capacity and capability to deliver the project.

7.8.2.2 Potential Providers will be required to train (through hands on training and on the job training) and then utilise FACT team members in the technical delivery of the project (for example as developers). Information on the existing team structure can be found in Annex 2.

7.8.2.3 Potential Providers are required to appropriately performance manage their staff. (Authority staff will continue to be performance managed by the Authority).

7.8.2.4 Potential Providers will be required to obtain permission from the Authority before adding new resources to the project or moving existing resources off the project.

7.8.2.5 Potential Providers are required to meet Security Vetting levels for their staff involved in the delivery phase (all staff working on the project must be Baseline Personnel Security Standard (BPSS) compliant and, in addition, those staff working with solution data need to be Security Check (SC) cleared and only those staff who are Counter Terrorist Check (CTC) clearance will be eligible for a building ID pass).

7.8.2.6 Potential Providers are required to meet Security Clearance levels for their staff involved in the hosting / operational phase and working on any helpdesk (all staff must be Baseline Personnel Security Standard (BPSS) compliant and, where they need access to the system data, all staff working with data need to be Security Check (SC) cleared).

Regarding points 7.8.2.5 and 7.8.2.6 - For the avoidance of doubt, Potential Providers do not need all staff listed in the response to already hold the relevant clearance level. However they will be expected to undergo the relevant clearance processes should the Potential Provider be selected for award.

7.8.2.7 During the project delivery phase Potential Providers are required to maintain an onsite capability near to the project team (notwithstanding

that some work may be performed off site at the agreement of the Authority).

7.8.2.8 Potential Providers will be required to develop and maintain a resource plan highlighting which resources will be used on the project in each month of the project.

7.8.2.9 Potential Providers will be required to be efficient in the use of resources only starting them when required and rolling them off the project when their role is no longer required (notwithstanding point 7.8.2.4).

7.8.3 Prior Experience

7.8.3.1 Potential Providers (including key team members) are required to have appropriate experience of delivering major financial planning, reporting and consolidation projects.

7.8.4 Project Methodology

7.8.4.1 Potential Providers will be required to comply with Government Digital Service (GDS) guidelines (including the Technology Code of Practice) and use agile principles appropriately.

7.8.4.2 Potential Providers will be required to deliver the solution and associated benefits using a modular, phased approach (avoiding a big bang implementation of all functionality) to fit in with the needs of the Authority; whilst maintaining business continuity.

7.8.5 Project Plan and Key Milestones

Supporting Material	Section
Example Project Plan	Annex 3
Reporting Calendar	Annex 4
Milestones	Section 8

7.8.5.1 Potential Providers are required to align with the overall project plan (that will be drafted – example in Annex 3 and key milestones (including providing inputs into it). Note that the initial overall project plan will be based on the Technical Delivery workstream Implementation Plan provided by the Potential Provider.

7.8.5.2 Potential Providers are required to develop, maintain and manage their own workstream Implementation P to meet their own and the overall project Milestones in Section 8 (including adjusting it in line with the overall project plan (that will be drafted) and emerging changes as required).

7.8.5.3 Potential Providers are required to align with the Reporting Calendar (in Annex 4) and recognise that business-as-usual events will mean that access to end users, OSM staff and the ability to transition to OSCAR II solution components will be restricted at points during the year.

7.8.6 Management of change / Agility in changing environment

7.8.6.1 Potential Providers are required to be agile, flexible and manage budget within the expected change that occurs within the life cycle of the Contract including: Machinery of Government (MOG), Changes to OSCAR related data structures such as the Chart of Accounts, personnel attrition within the Authority, a Spending Review and EU Exit.

7.8.7 Governance

Supporting Material	Section
Project Governance Structure	Annex 5

7.8.7.1 Potential Providers will be required to work within the different levels of governance of the project in line with Annex 5 (or variations to that structure as the project progresses).

7.8.7.2 Potential Providers will be required to maintain an appropriate level of governance within the Technical Delivery workstream and maintain documentation they have prepared, for use by governance and assurance bodies.

7.8.8 Deliverables and Documentation

Supporting Material	Section
Deliverables	Annex 6

7.8.8.1 Potential Providers will be required to deliver the Deliverables in line with the specifications and acceptance criteria in Annex 6.

7.8.8.2 Potential Providers will be required to include sufficient time in their workstream Implementation Plan for the review of Deliverables such that each stage of the acceptance criteria (for each Deliverable) has sufficient time. Potential Providers should not expect to deliver multiple Deliverables at the same time but should stagger their publication to help the review and acceptance process. Potential Providers (with the agreement of the Authority) may request that certain Documentation Deliverables are combined to help expedite the acceptance process.

7.8.8.3 For each complex Deliverable and in addition to the Acceptance Criteria, the Potential Provider will arrange a workshop to walk the Authority's nominated representatives through it if requested by the Authority.

7.8.9 Management of Risk

7.8.9.1 Potential Providers will be required to manage risk within their own work stream.

7.8.9.2 Potential Providers will be required to feed into the project risk register and escalate risks to the Project Manager if required.

7.8.10 Test and Transition (Project)

Supporting Material	Section
Reporting Calendar	Annex 4

7.8.10.1 Potential Providers will be required to align testing to the overall project plan that will be drafted as well as lead all testing including User Acceptance Testing (noting that all User Acceptance Tests will be carried out by end users themselves) (Potential Providers test leads will be required to report into the Authority's testing representative, should one be appointed).

7.8.10.2 Potential Providers will be required to align transition ("go live") activities with the overall project plan and Reporting Calendar (in Annex 4) and manage the transition and data migration processes after gaining the appropriate approvals (for example but not limited to TDA and BDA processes).

7.8.11 Working with third party assurance providers (IPA / GIAA / NAO / GDS / external)

7.8.11.1 Potential Providers will be required to work with third party assurance providers as required (including but not limited to IPA / GIAA / NAO / GDS and any third party suppliers selected), providing input into assurance processes while delivering requested material and responses to a high quality and in a timely manner.

7.8.12 Account and Commercial Management

Supporting Material	Section
Service Level Agreements	Annex 14
Service Credits	Annex 19

7.8.12.1 Potential Providers will be required to provide access to an account manager who can manage the relationship aspects of the Potential Providers commercial engagement with the Authority and other related parties. This role could be held by a senior member of the project team or a separate individual. Account management should be available both during the project and ongoing operations / hosting thereafter for the life of the Contract.

7.8.12.2 Potential Providers will be required to provide access to a senior executive within their organisation and a senior executive within each sub contracted organisation with appropriate authority over the project teams who can be contacted as an escalation route and who will actively work to remediate any issues.

7.8.12.3 Potential Providers will be required to provide regular financial information into the overall project budget including actual spend and estimated spend against previous and upcoming milestones (and throughout the period of operations / hosting).

7.8.12.4 The Authority will only contract with the lead Potential Provider (and that Potential Provider must be on the framework.) Potential Providers will be required to contract with, pay and manage any subcontractors they wish to use (gaining approval in advance for any sub-contractors not listed in the response).

7.8.12.5 The Authority may choose to contract with software vendors separately to Potential Providers specifically for software licences. Potential Providers will be required to produce a list of required software licences, a price at which those licences could be purchased for through the Potential Provider plus contact details for the software vendor. The Authority reserves the right to purchase the licences themselves outside of the Contract with the Potential Provider. The price for software licences when purchased through the Potential Provider should be recorded in Appendix E.

7.8.12.6 For any software licences purchased through the Potential Provider for the benefit of the Authority, the proprietary holder and main licensee for the software licences is required to be the Authority (subject to any other arrangement with the Potential Provider, this will be the default position).

7.8.12.7 The Potential Provider will be required to secure the Authority's continued legal right to use all solutions and licences in the event that the provider effectively or actually ceases to be operational, is unable to meet its contractual obligations and/or in the event of early termination of the Contract.

7.8.12.8 Potential Providers will be required to provide service credits (that are discounted from charges) should the platform not achieve the Service Level Agreements (Annex 14).

7.8.12.9 Potential Providers will be required to grant the appropriate intellectual property rights ("IPR") through licensing or other methods of transfer to the Authority, such that the Authority shall retain all rights to the configuration of the OSCAR II solution from the point of configuration (to include but not limited to: specifically written software, data within the solution, source code and project specific IPR). This will not include Potential Provider processes or methodology.

7.8.12.10   Potential Providers will be required to attend Contract / service review meetings throughout the duration of the Contract (in live with Service Level Agreements) including providing a regular service report.

7.8.12.11   If the software for the solution is purchased through the Potential Provider then the Potential Provider will arrange service review meetings between the Potential Provider, the Authority and each software vendor to understand the product roadmap and new features.

7.8.12.12   Potential Providers will be required to support the Authority by putting forward requests to be considered for inclusion in each software vendor's roadmap.

7.9   **Business Change**

The Authority will lead the Business Change workstream but will require support from the Technical Delivery workstream owned by the Potential Provider.

7.9.1   **Communications and Engagement**

7.9.1.1   The Authority will lead on distributing communications but Potential Providers will be required to provide appropriate input into communications material for example status updates, solution diagrams, solution screenshots, timelines or other relevant information.

7.9.1.2   The Authority will set up a series of taster sessions for the Authority and other selected Government department staff to see a demo of the chosen software using representative data. Potential Providers will be required to lead these demos and produce short accompanying slide packs.

7.9.2   **Process Change**

Supporting Material	Section
Processes	Annex 9

7.9.2.1   The Authority will lead on facilitating process change inside the Authority and with other Government department staff (which are anticipated to either be those shown in Annex 9 or, where not shown, the existing process with the addition of workflow managed by the solution).

7.9.2.2   Potential Providers will be required to document the processes to a sufficient level of detail, from a technical perspective, for the solution.

7.9.2.3   Potential Providers will be required to work with process change resources to ensure that the agreed processes are built into the solution.

7.9.3   **Organisational Change**

7.9.3.1 It is not expected that organisational change is in scope for Project OSCAR II. The Authority will lead on facilitating it should it be required. Potential Providers will be required to work with organisational change resources to ensure that changes agreed are reflected in the configuration of the solution. (If change were to occur Potential Providers should assume that agreed change will be agreed within six months and in place within one year of the start of the project).

7.9.4 **Training**

7.9.4.1 The Authority will lead on facilitating training for end users but Potential Providers will be required to create training material for the solution and then train the Authorities trainers in how to deliver the training.

7.9.4.2 Potential Providers will be required to set up and maintain a training version (training environment) of the solution during the training phase of the project, with appropriate representative data and security access.

7.9.4.3 Outside of the training phase(s), Potential Providers will be required to ensure one of the other environments can be used effectively for training purposes when required.

7.9.4.4 Potential Providers will be required to create training material and then train the Authority support team (OSM team) to enable them to manage and update the solution in line with the criteria set out in 7.10.7.

7.9.4.5 Potential Providers will be required to align their workstream Implementation Plan to available training slots and user availability.

7.10 **Technology Delivery**

The Potential Provider will lead this workstream within the overall project.

7.10.1 **Business Analysis**

Supporting Material	Section
Deliverables	Annex 6
Solution Requirements	Annex 10
Optional Requirements	Annex 10.B

7.10.1.1 Potential Providers will be required to perform a short discovery phase including re-validating the existing Solution Requirements (in Annex 10) with the Authority and end users. The Acceptance Criteria (in Annex 6) will be used for sign-off. Note that all requirements in this document (Appendix B – Statement of Requirements) will continue to apply.

7.10.1.2 After the discovery phase and requirement re-validation, Potential Providers will be required to agree with the Authority the minimum viable product (MVP) that will be delivered as an initial release, confirm how requirements not within the MVP will be scheduled into future releases and how this will be reflected in their delivery plan to eventually arrive at Optimum Operating Capability.

7.10.1.3 Potential Providers will be required to agree to proportionate fee reductions for the overall project (as agreed between the Authority and the Potential Provider) in the event that any Solution Requirement cannot be delivered or is no longer required for the Authority.

7.10.1.4 Potential Providers will be required to deliver any of the Optional Requirements chosen by the Authority at the cost provided by the Potential Provider in their response (in Appendix E).

7.10.1.5 Potential Providers will be required to capture, quantify the effort to deliver and track emerging user requirements not in the original list of requirements.

7.10.1.6 Potential Providers will be required to work collaboratively and sensitively with end users.

7.10.1.7 Potential Providers will be required to deliver the Project Requirements as agreed after the steps outlined above.

7.10.2   **Architecture (Overall)**

Supporting Material	Section
Additional Security Requirements	Annex 16
Cloud Security Principles	Annex 17
High Level Design Principles	Annex 21
Authority Security Policy	Annex 22
Security Management Plan	Annex 23

7.10.2.1 Potential Providers will be required to use an Architectural methodology that is aligned with an industry recognised Enterprise Architecture methodology and encompasses an iterative delivery approach.

7.10.2.2 Potential Providers will be required to comply with the following

- Technology Code of Practice
- Additional Security Requirements (Annex 16)
- Cloud Security Principles (Annex 17)
- Authority Security Policy (Annex 22)
- Security Management Plan (Annex 23)

7.10.2.3 Potential Providers will be required to define a secure solution that is interoperable between components (for example they are able to seamlessly connect and communicate with each other) and aligns with the High Level Design Principles (in Annex 21).

Infrastructure / Technical Architecture

Supporting Material	Section
Service Level Agreements	Annex 14

7.10.2.4 Potential Providers will be required to design a secure and fit for purpose internet accessible / cloud based solution in line with the Service Level Agreements.

7.10.2.5 Potential Providers will be required to design a platform that is flexible and has longevity for the duration of the Contract and that can be the foundation of a platform for the foreseeable future after the end of the Contract.

7.10.2.6 Potential Providers will be required to provide a suitable range of environments to enable development, test, pre-production checks, UAT and live production service (and training when required – see Training section). Potential Providers should propose the most suitable, efficient and economically advantageous method of achieving this.

7.10.2.7 Potential Providers will be required to provide suitable Disaster Recovery (DR).

Solution Architecture

Supporting Material	Section
Information on End Users	Annex 12
Existing Data Collections	Annex 20

7.10.2.8 Potential Providers will be required to design a solution that can be accessed by Government departments and other public bodies' web browsers (in line with the Service Manual guidelines below) with no opportunity to update these browsers or any other provider side installation for this project.

https://www.gov.uk/service-manual/technology/designing-for-different-browsers-and-devices

7.10.2.9 Potential Providers will be required to design a solution that is accessible, efficient and functional for all end users (noting the current end user totals in Annex 12 but that these may increase for OSCAR II).

7.10.2.10 Potential Providers will be required to replace the Data Collection Tool (DCT) (used for the Whole of Government accounts / Financial Consolidation) with an improved data collection mechanism that includes validation and workflow.

7.10.2.11 Potential Providers will be required to design an API for In Year Forecasts / Monthly Forecast Outturn data (see Annex 20) such that Government departments and other public bodies can automatically and directly send data to the solution. (for example from their own ERP systems) (with appropriate responses sent back highlighting status).

Data Architecture

Supporting Material	Section
Data Volumes	Annex 11
Existing Data Model	Annex 13

FOR INFORMATION - The existing data model for OSCAR does not support the solution effectively – this is due to:

1. *Different outputs using different versions of key dimensions such as the financial account code structure or organisational structure.*
2. *Dimensions that are useful for reporting are not all available in the data model.*
3. *Dimensions that are useful for reporting are performing multiple roles that make the solution inefficient and challenging to maintain (for example the segment structure).*

4. *Even where dimensions are consistent across outputs there are multiple copies of the same information for different outputs (for example the organisational structure).*

7.10.2.12   Potential Providers will be required to redesign and gain agreement for a new OSCAR data model for the solution as follows *(that conceptually and physically)*:

- Uses a single set of master data
- Includes the additional dimensions required for the outputs (for example Project information) (note that additional dimensions might include splitting out key information from existing dimensions such as Segment into an appropriate set of new dimensions)

7.10.2.13   Updates to the chart of accounts (also sometimes referred to as the Government Finance Data Model) (starting with the financial account code structure but also encompassing other dimensions) are being undertaken in another project. Potential Providers will be required to design the data model to enable this new structure to be added to the solution when it is available.

7.10.2.14   Potential Providers will be required to redesign and support the Authority in gaining agreement for the updated data collection input specifications required to be used by Government departments and other public bodies so that they can provide the data in a structured format to populate the new data model and, in turn, the output reports.

7.10.2.15   Potential Providers will be required to produce material that clearly explains the changes made to the old data model, the mapping to the new model (if applicable) and explains the new data model.

7.10.2.16   Potential Providers will be required to design the data model to take account of changes over time such that data in reports is viewable against the current dimensional structure as well as being viewable against historical structures that were in place at user defined points in the past. So that historical reports can be recreated with exactly the same data and structure as they were at the time.

7.10.2.17   Potential Providers will be required to design the data model such that sensitive information can be marked as such and that these items would be redacted from output and transparency reports.

7.10.2.18   Potential Providers will be required to design the data model such that it can support what-if and sensitivity analysis (for example but not limited to the ability to add temporary metrics or dimensions plus the ability to hold date ranges into the future).

7.10.3   **Design**

Supporting Material	Section
High Level Design Principles	Annex 21

7.10.3.1 Potential Providers will be required to design a solution that meets brand guidelines (Government Finance and / or the Authority's). This brand will remain the intellectual property of the Authority.

7.10.3.2 Potential Providers will be required to design a solution that is accessible in line with the GDS Service Manual.

https://www.gov.uk/service-manual/helping-people-to-use-your-service/making-your-service-accessible-an-introduction

7.10.3.3 Potential Providers will be required to design a solution that meets the GDS Technology Code of Practice.

7.10.3.4 Potential Providers will be required to design a solution that aligns with the High Level Design Principles (in Annex 21).

7.10.3.5 Potential Providers will be required to work with the Technical Design Authority (TDA) and other project stakeholders to ensure that designs are of a high quality and approved.

7.10.4 **Development**

7.10.4.1 Potential Providers will be required to utilise a source code repository, accessible at all times to the Authority (members of the FACT team), to maintain version control, back-up the source code (including compiled versions is applicable), merge and branch source code and help to produce deployment packages / scripts (the Authority does not have a source code repository and so the Potential Provider will need to set up and manage one) (the repository will need to remain available for the duration of the Contract to be used in continuous improvement).

7.10.4.2 Potential Providers will be required to use web or desktop based development tools (the Authority does not have development tools and so the Potential Provider will need to set up and manage them) (the development tools will need to remain available to the FACT team for the duration of the Contract).

7.10.4.3 Potential Providers will be required to use a simple development tracking tool to ensure that tasks can be assigned and tracked (the Authority does not have development tracking tools and so the Potential Provider will need to set up and manage them) (the tracking tool will need to remain available to the FACT team for the duration of the Contract).

7.10.4.4 Potential Providers will be required to produce management information including statistics on the number of items in development and at which stage they are in and report them within their weekly status updates.

7.10.5 Test (Technical)

7.10.5.1 Potential Providers will be required to manage, perform and document the following types of testing in line with the agreed test strategy:

- Unit Test
- System Test (to include data testing / reconciliation of source to report)
- Stress Test / Volume Test
- Regression Test
- Integration Test
- Post Deployment Test
- Penetration Test (initial and then annually throughout Contract)
- Disaster Recovery Test (annually throughout Contract)

7.10.5.2 Potential Providers will be required to manage and document (but not carry out the tests which will be carried out by end users) the following types of testing:

- User Acceptance Test (to include members of the FACT / OSM team, a set of end users from other teams in the Authority that will use the functionality, a representative set of end users from other Government departments, devolved administrations, public bodies and local authorities who will use the functionality).

7.10.5.3 Potential Providers will be required to ensure that testing is efficient (for example through the use of automated test tools.) Note that the Authority does not have automated test tools and so the Potential Provider will need to set up and manage them) (the tool will need to remain available for the duration of the Contract).

7.10.5.4 Potential Providers will be required to use a simple test tracking tool to ensure that tasks can be assigned and tracked (the Authority does not have a specific test tracking tool and so the Potential Provider will need to set up and manage them) (the tracking tool will need to remain available to the FACT team for the duration of the contract.) It is not expected that end users engaging in UAT would use the test tracking tool.

7.10.5.5 During the project, Potential Providers will be required to produce statistics on the number of items in testing including at which stage they are in and report them within their weekly status updates (reporting daily within the test phases of the project).

7.10.5.6 During the project, Potential Providers will be required to produce statistics on the number of "bugs" found including at which stage they are in and report them within their weekly status updates (reporting daily within the test phases of the project).

7.10.6 **Transition (Technical)**

Supporting Material	Section
Reporting Calendar	Annex 4

7.10.6.1 Potential Providers will be required to migrate production data (and relevant metadata / configuration data) from the existing OSCAR system to the new OSCAR II solution at each release.

7.10.6.2 Potential Providers will be required to undertake practice runs on non-production environments prior to each production data migration.

7.10.6.3 Potential Providers will also be required to migrate legacy data from backups of the pre-cursor to the OSCAR system (named COINS) to an area of the new OSCAR II solution (as a minimum it must be available to extract from the OSCAR II solution but could be excluded from the new data model and excluded from reporting outputs).

7.10.6.4 Potential Providers will be required to perform an initial data quality assessment (for example highlighting missing data fields or where master data is duplicated or spelling variations exist) then make the updates requested and approved by TDA that are reasonable to be made.

7.10.6.5 Potential Providers will be required to complete testing then work with the project management team to ensure the change has been communicated and gain approval (for example from the Technical Design Authority or a Change Advisory Board) before transitioning any "release" into the production environment.

7.10.6.6 Potential Providers will be required to respect change freezes (in line with the Reporting Calendar) and no changes will be made to any part of the live solution including the underlying hosting platform.

7.10.6.7 Potential Providers will be required to monitor all "releases" and roll-back to the previous state should any issue occur.

7.10.6.8 Potential Providers will be required to provide status updates before and after on the progress of the release.

7.10.6.9 Potential Providers will be required to provide a seamless and documented mechanism to backwards migrate data (and relevant metadata / configuration data) across environments (for example to copy back production data into pre-production or development environments).

7.10.7 **Operational Running**

Supporting Material	Section
Service Level Agreements	Annex 14

7.10.7.1 Potential Providers will be required to meet the Service Level Agreements in Annex 14.

7.10.7.2 Potential Providers will be required to manage the infrastructure to an operating system, software and database level for the duration of the Contract (including backups and patches). The Authority will manage the data within databases (excluding backups), the data integration jobs and the information within the reports.

7.10.7.3 Potential Providers will be required to provide access to the OSM team to perform reboots of the platform (or individual sections of it) should it be required.

7.10.7.4 Potential Providers will be required to provide a technical helpdesk facility during business hours (for the duration of the Contract) such that the OSM team can call or email issues or queries and get a response / resolution within Service Level Agreements (in Annex 14).

7.10.7.5 Potential Providers will be required to provide a user helpdesk facility during business hours (for the duration of the Contract) such that end users (Government departments and other public bodies) can call or email issues or queries and get a response / resolution within Service Level Agreements (in Annex 14). These interactions will be logged in a helpdesk ticketing system.

7.10.7.6 The Potential Provider will be required to provide the helpdesk ticketing system, for the duration of the Contract, providing access to authorised users from the Authority and other approved users in Government Departments. Where the support of the Authority or other Government Departments is required to resolve an issue or query the Potential Provider will be required to assign the ticket to that party.

7.10.7.7 Potential Providers will be required to manage daily backups (and restores of a requested backup within Service Level Agreements (in Annex 14)).

7.10.7.8 Potential Providers will be required to recover the solution (infrastructure, operating system, software and database level) in the event of a disaster including recovering data (in line with Service Level Agreements (in Annex 14)).

7.10.7.9 Potential Providers will be required to archive data (annually during the delivery phase) and provide a seamless and documented mechanism for

the OSM team to be able to annually archive data after the delivery phase has completed.

7.10.7.10   It is planned that members of the FACT team will continuously improve the solution through a structured lifecycle after the delivery phase has completed but still during the remaining life of the Contract. Potential Providers will be required to set up the solution and provide the necessary access, documentation and training for the team to do this making all reasonable endeavours to allow this initiative to be a success.

7.10.7.11   The Potential Provider will be required to define (and agree with the Authority) the planned schedule of service downtime for the maintenance, patching, upgrade, fix and/or backup of all services at least two weeks before the go live of the platform and then before the beginning of each new financial year. This must include a grading notation which describes the size of the change and risk associated with each implementation.

7.10.7.12   The Potential Provider must strictly manage and control changes to production services in order to minimise the risk of service disruption. Having completed the project but within the life of the Contract the Potential Provider will be expected to provide a suitably qualified resource to the body responsible for approving that changes can go live into production such that the Potential Provider is aware of and can provide input into the go live process.

7.10.8   **Exiting the Contract**

7.10.8.1 Potential Providers will be required to provide all the necessary support, resources, written information, data and technical configuration scripts for the solution to be transferred to another supplier through a period of transition prior to termination of the Contract in line with Service Level Agreements such that the service can be maintained (with no break in service). No costs will be charged by the Potential Provider for this outside of those agreed during the initial tender process.

7.10.8.2 Potential Providers must ensure the necessary resources are available to complete a transition. Additionally, any transition should be capable of completion in line with Service Level Agreements.

7.10.8.3 Prior to exit of the Contract, for any software licences purchased on behalf of the Authority, by the Potential Provider, the Potential Provider will be required to manage the transfer of the software licences to the Authority (or any new Supplier as indicated by the Authority) including covering all transfer management costs.

7.10.8.4 Prior to exit of the Contract, Potential Providers will be required to securely erase all data in their possession related to the solution (and demonstrate and evidence that this has been completed) and return any material or media storage owned by the Authority.

7.10.8.5 Potential Providers will be required to obtain sign off from the Authority that the Contract has been exited to a satisfactory standard and that the Potential Provider is not required to undertake any further activity.

7.10.8.6 Potential Providers will be required to grant intellectual property to the Authority such that the Authority retains all the necessary rights to the solution such that the solution can continue as-is, in situ, with no alteration with a new supplier managing and supporting it.

7.11 **The OSCAR II System Itself**

7.11.1 **Reporting & Analytics**

Supporting Material	Section
Solution Requirements	Annex 10
Service Level Agreements	Annex 14
Required Reports	Annex 15

7.11.1.1 Potential Providers will be required to deliver the Solution Requirements in Annex 10 (having validated them during the initial discovery phase).

7.11.1.2 Potential Providers will be required to implement the reports listed in Annex 15 (having validated them during the initial discovery phase).

7.11.1.3 Potential Providers will be required to implement components that allow approved end users the ability to self-create online data grids in a spreadsheet (rows and columns) or pivot table style format with drag and drop features.

7.11.1.4 Potential Providers will be required to implement components that allow approved end users the ability to self-create dynamic reporting such as dashboards that promote decision making and benchmarking.

7.11.1.5 Potential Providers will be required to implement components that provide outputs which can efficiently be incorporated into the Authority's publication process in order to allow production and publication of an entire report document. The published document to contain (but not limited to) text, tables, graphs, charts, graphics, table of contents, chapters, paragraph numbering, justification, header, footer, pagination, footnotes and endnotes. Currently Adobe InDesign is used by the Authority to create PDFs for both print and web publication and so outputs will need to be in a file format(s) suitable for efficient import into InDesign. InDesign will continue to be used to ensure that fonts and custom templates, which meet the strict guidelines of the Authority and National Archives, are employed to prepare the final publications. This type of report is additionally required to be available in an editable word processor type format which may not replicate exactly the layout of the eventual publication in every respect.

7.11.1.6 Potential Providers will be required to provide the above components online and securely accessible through web browsers on Personal Computer (PC), laptop and mobile devices rendered in a format suitable for those devices.

7.11.1.7 Potential Providers will be required to provide the above components such that the speed of refresh is suitable for end user needs (and in line with Service Level Agreements).

7.11.1.8 Potential Providers will be required to provide a report management area such that end users can build, manage and view their own reports as well as view shared reports that are available to them (with different levels of access (for example to one or more departments etc.) dependent on their user access level). A mechanism is required such that preselected administrators can see all reports. Reports are required to be able to be scheduled to run at times selected by the end user and emailed to them securely (for example using Transport Layer Security (TLS)).

7.11.1.9 Potential Providers will be required to implement components to allow extraction of all reports into spreadsheet and PDF formats.

7.11.1.10 Potential Providers will be required to implement components to allow extraction of the WGA report in XBRL format.

7.11.1.11 Potential Providers will be required to implement components to allow extraction of data (by authorised users) in machine readable format.

7.11.1.12 Potential Providers will be required to implement administration, monitoring and exception reporting reports that can be used by both the support team and end users to clearly see the status of the hosting platform, the solution (by component), the progress of data flows through the solution and pinpoint where issues (by user if applicable) have occurred. These reports are required to be automated such that they send alert emails to preselected email accounts on every system load or whenever an issue is encountered (with configurability for users to select which alerts they would like to receive).

7.11.1.13 Potential Providers will be required to implement components that allow what-if and sensitivity analysis to be performed quickly in the reporting layer and results visually presented. The solution should allow the resulting scenario to be saved by the user.

7.11.1.14 While Potential Providers do not need to include additional features outside those requested, Potential Providers will be required to future proof the solution such that additional features can be added in the future.

7.11.2 **Planning and Forecasting**

Supporting Material	Section
Solution Requirements	Annex 10

7.11.2.1 Potential Providers will be required to deliver the Solution Requirements in Annex 10 (having validated them during the initial discovery phase).

7.11.2.2 Potential Providers will be required to implement components such that approved end users are able to build, manage and view the budgets, plans and forecasts required for the Estimates and other planning and budgeting needs (with different levels of access (for example to one or more departments, versions or one or more groups of account codes) dependent on their user access level).

7.11.2.3 Potential Providers will be required to implement components that allow monetary values in the solution to be moved between entities by authorised users (for example due to a MOG, BCT or BNE).

7.11.2.4 Potential Providers will be required to implement components that allow authorised users to set control totals (for example at a department or account code level) that can be split out to a lower level of granularity by other authorised users.

7.11.2.5 Potential Providers will be required to implement components to manage and track adjustments by authorised users.

7.11.2.6 Potential Providers will be required to provide the above components online and securely accessible through web browsers on Personal Computer (PC), laptop and mobile devices rendered in a format suitable for those devices.

7.11.2.7 Potential Providers will be required to provide the above components such that the speed of refresh is suitable for end user needs.

7.11.2.8 Potential Providers will be required to provide a management area such that end users can build, manage and view their own plans, budgets and forecasts as well as view shared items that are available to them. A mechanism such that preselected administrators can see all items is required.

7.11.3 **Financial Consolidation**

Supporting Material	Section
Solution Requirements	Annex 10

7.11.3.1 Potential Providers will be required to deliver the Solution Requirements in Annex 10 (having validated them during the initial discovery phase).

7.11.3.2 Potential Providers will be required to implement components such that approved end users can perform twice annual full financial consolidations (pre audited and post audited, plus eliminations) for the Whole of Government Accounts and other consolidation needs (NB. (i) The outputs are currently prepared in an International Financial Reporting Standard IFRS format; (ii) Users should have different levels of access (for example to one or more departments, versions or one or more groups of account codes dependent on their user access level)).

7.11.3.3 Potential Providers will be required to implement components to collect, manage and track eliminations by authorised users.

7.11.3.4 Potential Providers will be required to implement components to collect, manage and track adjustments to the above by authorised users.

7.11.3.5 Potential Providers will be required to provide the above components online and securely accessible through web browsers on Personal Computer (PC), laptop and mobile devices rendered in a format suitable for those devices.

7.11.3.6 Potential Providers will be required to provide the above components such that the speed of refresh is suitable for end user needs.

7.11.3.7 Potential Providers will be required to provide a management area such that end users can build, manage and view their own versions of financial consolidations as well as view shared versions that are available to them. A mechanism such that preselected administrators can see all versions is required.

7.11.4 **Data Management**

Supporting Material	Section
Solution Requirements	Annex 10

7.11.4.1 Potential Providers will be required to deliver the Solution Requirements in Annex 10 (having validated them during the initial discovery phase).

7.11.4.2 Potential Providers will be required to implement components (with configurable access levels) that store and manage data and information

effectively. This will include recording an audit trail of information entered into the system, by whom and with a time stamp.

7.11.4.3 While Potential Providers do not need to include the following features, Potential Providers will be required to future proof the solution such that upstream management information or business intelligence systems could connect and extract information in the future.

7.11.4.4 Potential Providers will be required to implement components that mark data deleted rather than removing it completely from the system should an end user choose to delete it.

7.11.5 Workflow & Configuration

Supporting Material	Section
Solution Requirements	Annex 10

7.11.5.1 Potential Providers will be required to deliver the Solution Requirements in Annex 10 (having validated them during the initial discovery phase).

7.11.5.2 Potential Providers will be required to implement components (with configurable access levels) that provide a configuration layer to maintain the solution.

7.11.5.3 Potential Providers will be required to implement components that provide a workflow management solution such that data (collections, adjustments, eliminations, structural changes, budget related transfers or changes and master data changes), narrative text to be included in report outputs (excluding redacted information) and the reports themselves can move through a series of statuses and that end users and administrators can sign off or send back for rework. Alerts are required to be sent securely by email such that users in the chain are told they have an action to perform and the deadline for performing it. A mechanism is required to delegate authority for tasks to other users (for example in case of scheduled absence).

7.11.5.4 Potential Providers will be required to implement all components within the solution such that they are auditable (for example but not limited to; the solution will need to be able to be relied upon by statutory auditors such as the NAO).

7.11.5.5 Potential Providers will be required to provide the above components online and securely accessible through web browsers on Personal Computer (PC) and laptop.

7.11.5.6 Potential Providers will be required to provide the above components such that the speed of refresh is suitable for end user needs.

7.11.5.7 Potential Providers will be required to provide a management area such that end users can manage and view their workflow items as well as view shared workflow that are available to them. A mechanism such that preselected administrators can see all workflow items is required.

7.11.6 Master Data Management

Supporting Material	Section
Solution Requirements	Annex 10

7.11.6.1 Potential Providers will be required to deliver the Solution Requirements in Annex 10 (having validated them during the initial discovery phase).

7.11.6.2 Potential Providers will be required to implement components (with configurable access levels) that manage and maintain all data structures within the solution.

7.11.6.3 Potential Providers will be required to implement the above to include workflow and data collection mechanisms for master data such that authorised end users can upload or request changes to master data and authorised administrators can sign off. Changes to master data are required to be immediately available in the solution and only affect the date range chosen by the user (date range may be in the past or in the future).

7.11.6.4 Potential Providers will be required to provide the above components online and securely accessible through web browsers on Personal Computer (PC) and laptop.

7.11.6.5 Potential Providers will be required to provide the above components such that the speed of refresh is suitable for end user needs.

7.11.6.6 Potential Providers will be required to provide a management area such that end users can manage and view their workflow items as well as view shared workflow that are available to them. A mechanism such that preselected administrators can see all workflow items is required.

7.11.7 Data Quality

Supporting Material	Section
Solution Requirements	Annex 10

7.11.7.1 Potential Providers will be required to deliver the Solution Requirements in Annex 10 (having validated them during the initial discovery phase).

7.11.7.2 Potential Providers will be required to implement components (with configurable access levels) that check and flag data quality.

7.11.8 Data Integration

Supporting Material	Section
Solution Requirements	Annex 10

7.11.8.1 Potential Providers will be required to deliver the Solution Requirements in Annex 10 (having validated them during the initial discovery phase).

7.11.8.2 Potential Providers will be required to implement components that manage the flow of data between components (or flow of data across the solution if the solution performs all requirements in one component).

7.11.8.3 Potential Providers will be required to provide the above components online and securely accessible through web browsers on Personal Computer (PC) and laptop.

7.11.8.4 Potential Providers will be required to provide the above components such that the speed of refresh is suitable for end user needs (also see Data Collection section below).

7.11.8.5 Potential Providers will be required to provide a management area such that approved administrators can design, build, manage and view (in a tabular and graphical format) data integration jobs. This will include stopping, starting and scheduling jobs to run at specified times.

7.11.8.6 Potential Providers will be required to provide configurable alerts by email as to the status of data integration jobs.

7.11.9 Data Collection

Supporting Material	Section
Solution Requirements	Annex 10
Existing Data Collections	Annex 20

7.11.9.1 Potential Providers will be required to deliver the Solution Requirements in Annex 10 (having validated them during the initial discovery phase).

7.11.9.2 Potential Providers will be required to implement an API that can securely receive data (including numeric and narrative information) from authorised external systems and automatically update the solution. Two pilot Departments will be required to be set up on the solution by the Potential Provider during the project to collect In Year Forecast / Monthly Forecast Outturn data. Any development or configuration work required

on the departments systems or networks will be undertaken by the Department themselves.

7.11.9.3 Potential Providers will be required to implement components that allow flexible collection of data (including numeric and narrative information) (for example by uploading a file, using an API or typing (or copying and pasting) data into the solution itself).

7.11.9.4 Potential Providers will be required to implement components that, upon successful collection of data (including numeric and narrative information), immediately notify authorised end users that a workflow action needs to be performed. If no further workflow is required for that dataset, then data should have an immediate effect on the resulting financial plans, consolidations, output reports and analytics (based on the effective dates of data collected).

7.11.9.5 Potential Providers will be required to implement components that replace all macro based Data Collection Tool (DCT) workbooks from the data collection process.

7.11.9.6 Potential Providers will be required to provide a management area such that approved administrators and end users can manage (for example delete or cancel) or view the status of collections.

7.11.9.7 Potential Providers will be required to provide configurable alerts by email as to the status of data collection uploads.

7.11.10 **Security**

Supporting Material	Section
Additional Security Requirements	Annex 16
Cloud Security Principles	Annex 17
Authority Security Policy	Annex 22
Security Management Plan	Annex 23

7.11.10.1 Potential Providers will be required to meet the additional security requirements (in Annex 16) and comply with the Cloud Security Principles (in Annex 17).

7.11.10.2 Potential Providers will be required to comply with the Authority Security Policy (in Annex 22) and Security Management Plan (in Annex 23).

7.11.10.3 Potential Providers will be required to provide components to maintain security such that only the right users have access to the right components and data at the right times. These components should be compatible with SAML and ADFS single sign on.

7.11.10.4   Potential Providers will be required to maintain physical security of the solution but allow members of the Authority, Government Security Personnel or GDS access to view the physical servers (but not make changes to them, without permission from the Potential Provider).

7.11.10.5   Potential Providers will be required to provide components that securely support administrators to maintain solution security (such as, but not limited to, supporting efficient password resets or adding users to groups or roles within elements of the solution).

7.11.11   Infrastructure / Hosting

Supporting Material	Section
Reporting Calendar	Annex 4
Solution Requirements	Annex 10
Service Level Agreements	Annex 14
Cloud Security Principles	Annex 17

7.11.11.1   Potential Providers will be required to meet the Service Level Agreements as defined (in Annex 14).

7.11.11.2   Potential Providers will be required to deliver and manage a secure internet accessible cloud platform that complies with industry standards (for example but not limited to the Uptime Institute Tier IV).

7.11.11.3   Potential Providers will be required to implement secure and sufficient access controls that meet industry standards.

7.11.11.4   Potential Providers will be required to implement the solution with fast and efficient interconnectivity and with sufficient bandwidth to meet user needs throughout the lifetime of the Contract.

7.11.11.5   Potential Providers will be required to manage backups of the solution and the data within it for the life of the Contract.

7.11.11.6   Potential Providers will be required to update any software that will fall outside of the software vendors support window.

7.11.11.7   Potential Providers will be required to gain approval in advance for making any software or hardware updates, agree a plan with the Authority for the changes to be made, and recognise that the Authority has change freezes and other periods where changes cannot be made for operational reasons (for example but not limited to the information presented in the Reporting Calendar (in Annex 4)).

7.11.11.8   Potential Providers will be required to provide components that provide monitoring, intrusion detection and vulnerability scanning and that

those components actively support the management of security of the solution throughout the Contract.

7.11.11.9 Potential Providers will be required to setup and manage annual penetration testing by NCSC CHECK certified penetration testers (after agreeing the scope of the testing with the Authority) and remediate vulnerabilities/faults found to timescales agreed with the Authority, dependent on the risk rating of each individual vulnerability/fault, as part of an remediation plan agreed with the Authority.

7.11.11.10 Potential Providers will be required to work with the Authority's Security Management Team to support them (and provide inputs towards) the completion of all necessary compliance material.

7.11.11.11 Potential Providers will be required to attend the Security Working Group (SWG) when requested to do so and provide the SWG with regular security updates.

7.11.11.12 Potential Providers will be required to ensure that emails generated by the Oscar II system will comply with GDS guidance on securing Government email services (see links below):

- *https://www.gov.uk/guidance/securing-Government-email*

- *https://www.gov.uk/guidance/set-up-Government-email-services-securely*

7.11.11.13 Potential Providers will be required to proactively engage with the Authority and any other Government or authorised third parties in relation to security incidents related to Authority data.

7.11.11.14 Potential Providers will be required to provide solution access to auditors to access and interrogate the solution. They are also required to provide a point of contact to support auditors with queries and provide written responses, agreed with the Authority in advance, in a timely manner.

8. KEY MILESTONES

8.1 The Potential Provider should note the following project milestones / functionality drops that the Authority will measure the quality of delivery against. These map to the Deliverables and Payment Milestones (in Annexes 6 and 7 respectively):

Milestone	Description	Timeframe
1	**Discovery & Strategy Complete**	Within three months of project start
2	**Platform & Hosting Available**	Potential Provider to define within their proposed project plan
3	**Core Solution Available**	Potential Provider to define within their proposed project plan
4	**Financial Consolidation Available**	Potential Provider to define within their proposed project plan
5	**Core Reporting Available**	Potential Provider to define within their proposed project plan
6	**Analytical Reporting Available**	Potential Provider to define within their proposed project plan
7	**Additional Reporting Available**	Potential Provider to define within their proposed project plan
8	**API Based Data Collection Available**	Potential Provider to define within their proposed project plan
9	**Project Completion**	Within two years of project start
10	**Operational Running (including helpdesk) meeting downtime and other SLAs**	Ongoing with quarterly checkpoints from project completion until end of five year Contract
11	**Exiting the Contract**	Before the end of the Contract

9. AUTHORITY'S RESPONSIBILITIES

9.1 Please see the information provided in Annex 8.

10. VOLUMES

10.1 Please see the information provided in Annex 11. Note that the information provided relates to the current OSCAR solution and so Potential Providers will need to consider the appropriate capacity for the requirements of this tender process.

11. CONTINUOUS IMPROVEMENT

11.1 The Potential Provider shall be expected to continually improve the way in which the services within the life of the Contract are delivered.

11.2 The Potential Provider should present options for new ways of working to the Authority during monthly Contract review meetings.

11.3 Changes to the way in which the services are to be delivered must be brought to the Authority's attention and agreed prior to any changes being implemented.

12. QUALITY

12.1 ISO 9001 accreditation is considered advantageous for this procurement.

12.2 Potential Providers should state whether they hold any relevant independent security related certification or accreditation (i.e. such as ISO27001) and, where they have, provide documentary evidence of that certification or accreditation, setting out very clearly why it is relevant to this requirement.

13. PRICE

13.1 Prices are to be submitted via the Price Schedule template provided in Appendix E, excluding VAT. Please quote a fixed price, to be paid based on the Payment Milestones (in Annex 7).

13.2 Potential Providers are also required to provide a Blended Day Rate to be used should additional work be required from the Potential Provider (and agreed in advance with the Authority) that is outside scope (and outside the expected change).

14. STAFF AND CUSTOMER SERVICE

14.1 The Authority requires the Potential Provider to provide a sufficient level of resource throughout the duration of the Contract in order to consistently deliver a quality service to all parties.

14.2 The Potential Provider staff assigned to the Contract shall have the relevant qualifications, clearance levels and experience to deliver the Contract. Staff changes shall be agreed in advance.

14.3 The Potential Provider shall ensure that staff understand the Authority's vision and objectives and will provide excellent customer service to the Authority throughout the duration of the Contract.

15. SERVICE LEVELS AND PERFORMANCE

15.1 The Authority will measure the quality of the Potential Provider's delivery based on the information within Appendix B, Appendix F, the Potential Providers Response, the Contract and the Service Level Agreements as defined (in Annex 14).

16. SECURITY REQUIREMENTS

16.1 The Potential Provider must comply with the Additional Security Requirements (defined in Annex 16), the Cloud Security Principles (in Annex 17), and comply with the Authority Security Policy (in Annex 22) and Security Management Plan (in Annex 23).

17. PAYMENT

17.1 Payment Milestones are highlighted (in Annex 7).

17.2 Payment shall be made (within 30 days) on receipt of a valid invoice based on the fixed price quoted.

17.3 Payment can only be made following satisfactory delivery of pre-agreed services, documentation and project deliverables.

17.4 Before payment can be considered, each invoice must include a detailed elemental breakdown of work complete.

17.5 Payments shall also be withheld in accordance with Service Credits (in Annex 19).

18. CONFIDENTIALITY

18.1 The Potential Provider must comply with the confidentiality requirements (defined in Annex 18).

19. ANNEXES

19.1 Annexes can be found in Appendix F – Supplementary Material.

SECTION 1.2: SUPPLEMENTARY MATERIALS DOCUMENT

1.2.   This Section 1.2 sets out the Supplementary Materials (Appendix F Version 0.36 – Final – 2 March 2018)

CONTENTS

Crown Commercial Service

ANNEX 1 - Project Structure

The Potential Provider would lead the Technical Delivery workstream, integrate into the wider project and provide a level of service and support (including hosting) post project.
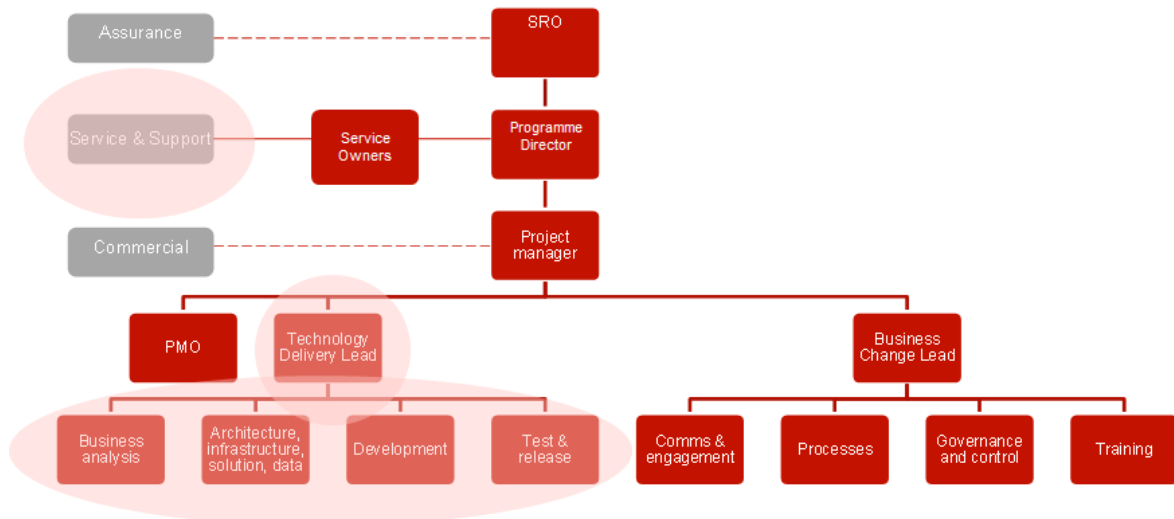
ANNEX 2 - FACT Team Structure

The Financial Analytics Control and Technology (FACT) team manage the existing system and provide end user support (including supporting end users with reporting and analysis needs)

Crown
Commercial
Service

ANNEX 3 - Example Plan

Stream		2018				2019				2020		Future
		Jan - Mar	Apr - Jun	Jul - Sep	Oct – Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct – Dec	Jan - Mar	Apr - Jun	

Alignment to other initiatives — ◆ ◆ ◆ ◆ ◆ ◆ ◆ ◆

Project Management
- *Project Management* — Ongoing project management
- *Business Cases* — Market Assessment Complete ◇ ◇ Vendor Contracts in Place

Business Change
- *Governance and Control* — Ongoing governance alignment ◇ ◇ ◇ ◇ ◇ / Alignment to delivered functionality
- *Comms and Engagement* — Ongoing comms/ engagement ◇ ◇ ◇ ◇ ◇
- *Process* — Ongoing process alignment ◇ ◇ ◇ ◇ ◇
- *Training* — Develop training and train ◇ ◇ ◇

Technology Delivery
- *Business Analysis* — Initial Discovery ◇ ◇ ◇ ◇ Confirm reqs for next release
- *Architecture* — Technical / Infrastructure, Solution and Data Architecture
- *Development* — Development ◇ ◇ ◇ ◇
- *Test and Release* — Continuous Testing, automation ◇ ◇ ◇

Contract management, service and Support — Ongoing service and support — Continuous Improvement in Operation

Assurance — ◆ ◆ ◆ ◆ ◆ ◆ ◆ ◆

ANNEX 4 - Reporting Calendar

Note that the following can also be used to help Potential Providers define a project plan that does not attempt to test or make components live that are actively being used at that time of year.

It is highly desirable for WGA processes including the removal of the DCT to be completed prior to the annual collection of this dataset in April 2019.

Category	Process	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
WGA	Whole of Government Accounts (WGA) - Year 1												
	Whole of Government Accounts (WGA) - Year 2												
	Envisaged new data collection process in OSCAR II (replacing DCT)												
Estimates/PESA	Vote on Account												
	Supply Estimates (Main)												
	Supply Estimates (Supplementary)												
	Country and Regional Analysis (CRA)												
	Public Expenditure Statistical Analyses (PESA)												
	Updating previous year outturn to reflect audited accounts												
PSF	Public Sector Finance Release (FSP / PSFR) with ONS - Year 1	new year from April >											
	Public Sector Finance Release (FSP / PSFR) with ONS - Year 2	still reporting on previous FY											
Other	Modification of master data in OSCAR												
	Workforce Pay Remit (WPR)												
	Public Finance Initiative Information (PFI and PF2)												
	Cash Management (Daily)												

	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
System annual rollover - budgeting												
Annual transparency release												
Quarterly transparency releases												

KEY

Commission of dataset collection	
System in use for that dataset	
Publication of that dataset	
Publication of OSCAR data with no directly related data collection	

Notes

Above usage patterns can change in a year when there is a Spending Review (SR) or if there are Machinery of Government (MoG) changes

Within "Public Sector Finance Release (FSP / PSFR) with ONS " teams are busy from 6th to 10th working day of each month

In theory departments should update Plans data regularly but in practice do so in the run up to a publication

Note that WGA and PSFR "years" currently overlap

Publication dates are not set in stone and can vary by a month or two

Cash Management is a daily collection (business days) of a small set of financial totals from each Department

A *potential* timeline for WGA is provided "Envisaged new data collection process" to highlight the impact replacing DCT could have in OSCAR II

OFFICIAL

ANNEX 5 - Project Governance Structure

Note that the Technical Design Authority (TDA) may also play the role of Security Working Group (SWG) or that a separate Security Working Group will form part of the governance of the project.

A Technical Board may also be set up. The Technical Board would report into the Technical Design Authority.
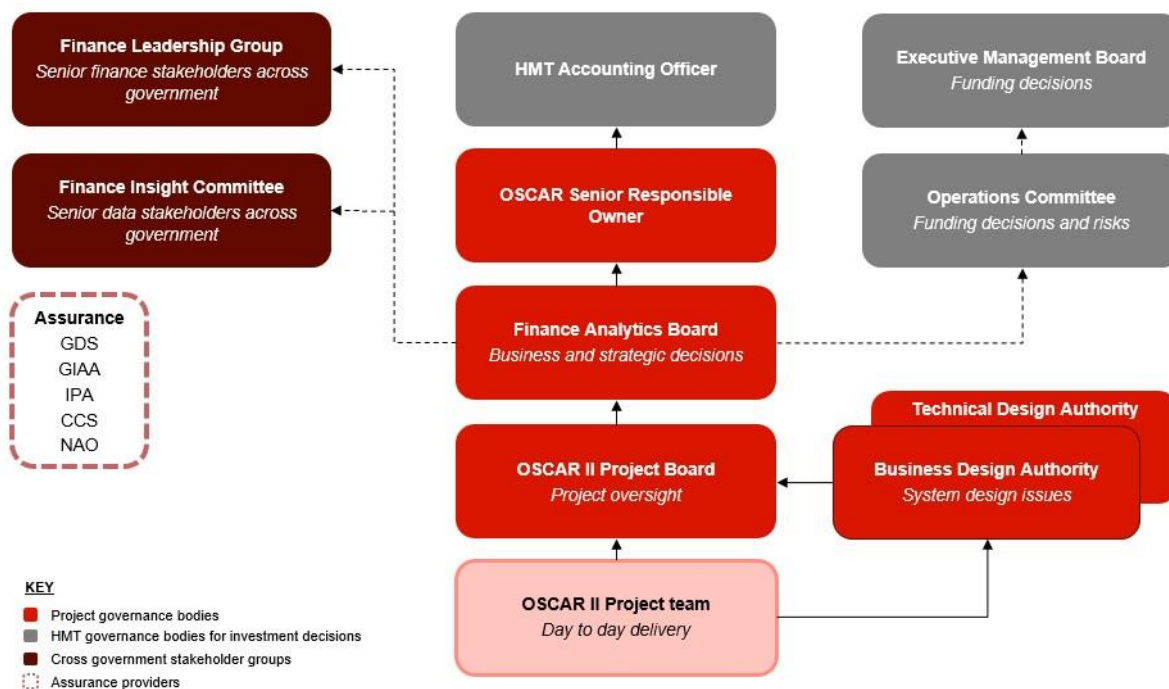
ANNEX 6 - Deliverables

Note the following *Acceptance Criteria:*

A component is deemed to be "Live" and "Available" when:

1. Formal test stages have been signed off by the Test Lead (and Authority Test Lead if required)
2. The component, test results and associated documentation is signed off by the Technical Design Authority (TDA)
3. The component is signed off by the Authority Security Manager (if required)
4. The component is signed off by end users through formal UAT
5. Post-deployment tests are signed off by the OSM team leads
6. The Project Board and FAB ratify the sign offs listed above

As a minimum, all "Document" deliverables (including reports) and activity deliverables will be required to be signed off by:

1. A representative within the FACT team nominated by the Project Director
2. The TDA or BDA depending whether a technical or business-related item
3. The OSM team leads
4. The Project Director
5. The Project Board and FAB ratify the sign offs listed above

Where sign off is not forthcoming the Potential Provider will be required to update the Deliverable to take account of the comments and feedback received.

If pre-agreed with the Authority or requested by the Authority, some Document deliverables shall be combined together to expedite the above acceptance criteria.

Deliverables

Document Deliverables to be in the brand of Government Finance or the Authority as agreed with the Authority.

Milestone	Description	Document / Activity / System Component
Discovery & Strategy	Complete mobilisation	Activity
	Workstream initiation document signed off (approach / workstream Implementation Plan / milestones / ways of working / risks etc)	Document
	Resource Plan (initial and then updated at least monthly throughout project)	Document
	Workstream status updates (Update, Risks (and any mitigating actions), Issues, Dependencies, Decisions, Actions, Milestones (progress towards, estimate for completion and any failures)) (An initial version and then maintained at least weekly throughout	Document

project) (monthly during operational / hosting phase).	
Financial position (initial and then maintained at least monthly throughout contract)	Document
Business Requirements document validated and signed off	Activity / Document
Minimum viable product and additional phases defined and signed off (may need to be revisited as the project progresses)	Document
RICEFW signed off (Reports, Interfaces, Conversions, Enhancements, Forms and Workflow) document highlighting implementation activities and scope, level of effort (simple, medium, complex) in person days by level, location and cost. This should map to the requirements, activities in the workstream Implementation Plan and Deliverables. It should be updated at least monthly throughout the contract.	Document
Signed off technical (infrastructure / hosting) architecture (including security compliance)	Document
Data approach signed off (information security / master data management / data governance / approach to data quality / data migration approach / data archiving approach / data integration approach)	Document
Data model design and data mapping document signed off	Document
Data Collection Input Specifications (then revisited as the project progresses for each new area of functionality)	Document
Signed off solution architecture for the core platform (including data integration / data mapping / security / workflow)	Document
Test and Release Strategy signed off (including use of test automation tools / approach to UAT / acceptance criteria for go live / roll back provisions / Defect impact levels, defect management processes and reporting / Gate criteria for entry to and exit of testing and how these will be signed off and approved / Any basis for taking defects into Production on an exceptional basis and any other required information as defined in the call-off contract for Test Strategy)	Document
Data migration strategy signed off (what and how)	Document
User security approach and listings signed off (groups, roles and which users are in each)	Document
Input into communications material signed off (initial and then as required throughout contract)	Document
Quality Plan signed off	Document
Required software licences defined in detail including prices and contact details. This should include the technology required by the Authority to support the management, development and	Document

	implementation of the solution, including development, testing, pre-production, production, failover and disaster recovery systems	
	Exit Management Strategy and Plan - defining in detail how the Potential Provider will manage the transition at the end of the contract. This should be kept up to date so that the strategy and plan can be called upon at whatever point the contract is exited.	Document
Platform & Hosting Available	Updated architecture and design document signed off	Document
	Update Test Strategy, Test Strategy Plan and associated test documents including scripts signed off	Document
	Business Continuity / Disaster Recovery Strategy and Plan signed off	Document
	Hosting / technical platform (dev and test environments live)	System Component
	Hosting / technical platform live (including penetration, disaster recovery and other security testing)	System Component
	Network connectivity testing signed off	Activity
	Data archiving, backups etc live	System Component
	Development Management tools live (including source code repository and development tracking)	System Component
	Test Management tools live (including test automation, bug tracking, test tracking)	System Component
	Administration guide signed off (platform / hosting)	Document
	FACT / OSM team trained for this component	Activity
	Service report detailing updates, issues, risks, upcoming milestones and calculation of service credits due (initial and then maintained at least monthly throughout contract). The report should also include: - Service Availability; - IT System Responsiveness - Number of minor and major degradations of service; - Service Recovery times; - Recovery times; - Diagnostics and Lessons Learned; - Failures in Regulatory and/or Security compliance; - Data integrity analysis - Helpdesk statistics including response and resolution timescales (by department / public body)	Document
	Software Licences in place (for those purchased through the Potential Provider)	System Component
	Updated architecture and design document signed off	Document
	Update Test Strategy, Test Strategy Plan and associated test documents including scripts signed off	Document
Core Solution Available	Data collection stage 1 - mechanism for seamless upload of flat file based and typed in data	System Component

	Data management modules live (MDM, Data Quality, Monitoring, Exception Reports, Slowly Changing Dimension management, adjustments)	System Component
	Machinery of Government, Budget Cover Transfer and other internal budget allocation processes live	System Component
	Workflow and Approvals live	System Component
	User security model live	System Component
	Data migrated into solution	System Component
	Administration guide signed off (core solution)	Document
	FACT / OSM team trained for this component	Activity
	User guide signed off (core solution)	Document
	Quick reference / training slides signed off	Document
Financial Consolidation Available	Updated architecture and design document signed off	Document
	Update Test Strategy, Test Strategy Plan and associated test documents including scripts signed off	Document
	WGA – adjustments data collection module live	System Component
	WGA – DCT replacement data collection module live	System Component
	WGA - eliminations module live	System Component
	WGA - reporting specification signed off	Document
	WGA - reporting production module live	System Component
	Administration guide signed off (financial consolidation)	Document
	FACT / OSM team trained for this component	Activity
	User guide signed off (financial consolidation)	Document
	Quick reference / training slides signed off (financial consolidation)	Document
Core Reporting Available	Updated architecture and design document signed off	Document
	Update Test Strategy, Test Strategy Plan and associated test documents including scripts signed off	Document
	Budgeting Data Set - data collection module live	System Component
	Budgeting Data Set - fund transfer module live (MOG, BCT etc)	System Component
	Budgeting Data Set - Estimates (main) reporting spec signed off	Document
	Budgeting Data Set - Estimates (main) reporting live	System Component
	Budgeting Data Set - Estimates (supp) reporting spec signed off	Document
	Budgeting Data Set - Estimates (supp) reporting live	System Component
	Budgeting Data Set - vote on account reporting spec signed off	Document
	Budgeting Data Set - vote on account reporting live	System Component
	WPR reporting spec signed off	Document

	WPR reporting live	System Component
	PFI reporting spec signed off	Document
	PFI reporting live	System Component
	CRA reporting spec signed off	Document
	CRA reporting live	System Component
	PSF reporting (including ONS extracts) spec signed off	Document
	PSF reporting (including ONS extracts) live	System Component
	PESA reporting spec signed off	Document
	PESA reporting live	System Component
	Cash Management / EFA Reporting Spec signed off	Document
	Cash Management / EFA Reports live	System Component
	Administration guide signed off (core reporting)	Document
	FACT / OSM team trained for this component	Activity
	User guide signed off (core reporting)	Document
	Quick reference / Training slides signed off (core reporting)	Document
Analytical Reporting Available	Updated architecture and design document signed off	Document
	Update Test Strategy, Test Strategy Plan and associated test documents including scripts signed off	Document
	Self Service / Reporting / Dashboard component design signed off	Document
	Self Service / Reporting / Dashboard component live	System Component
	What if / sensitivity analysis component live	System Component
	Administration guide signed off (analytical reporting)	Document
	FACT / OSM team trained for this component	Activity
	User guide signed off (analytical reporting)	Document
	Quick reference / training slides signed off (analytical reporting)	Document
Additional Reporting Available	Updated architecture and design document signed off	Document
	Update Test Strategy, Test Strategy Plan and associated test documents including scripts signed off	Document
	Reports stage 2 - completion of report specs for other required reports	Document
	Reports stage 2 - completion of other required reports	System Component
	Administration guide updated and signed off (reporting)	Document
	FACT / OSM team trained for this component	Activity
	User guide signed off (additional reporting)	Document
	Quick reference / training slides signed off (additional reporting)	Document

API Based Data Collection Available	Data Collection stage 2 - design signed off	Document
	Data Collection stage 2 - data specifications for using departments signed off	Document
	Update Test Strategy, Test Strategy Plan and associated test documents including scripts	Document
	Data Collection stage 2 - API in place for connection to other government ERP systems live	System Component
	Administration guide signed off (API based data collection)	Document
	FACT / OSM team trained for this component	Activity
	User guide signed off (API data collection)	Document
	Quick reference / training slides signed off (API data collection)	Document
Project Completion	Updated architecture and design document signed off	Document
	Update Test Strategy, Test Strategy Plan and associated test documents including scripts signed off	Document
	Additional data migrations as required complete	Activity
	Users cut over and signed off the solution	Activity
	Disaster Recovery Document Signed off	Document
	Disaster Recovery Test Successfully completed	Activity
	Period End and Annual Rollover process Document Signed off	Document
	Period End and Annual Rollover Test Successfully completed	Activity
	Support Documentation signed off	Document
	Provider helpdesk and other provider support in place	Activity
	FACT / OSM Team trained and hand over to support complete	Activity
	Warranty period complete	Activity
Exiting the Contract	Exit plan signed off	Document
	Update Test Strategy, Test Strategy Plan and associated test documents including scripts	Document
	Supporting the transition of the solution to another provider	Activity

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ANNEX 7 - Payment Milestones

If the Potential Provider provides software licences then the "Project Fee" is the "Price excluding running" listed in Appendix E – Pricing Schedule – Price Schedule by Category.

If the Authority purchases software licences then the "Project Fee" is the "Price excluding licencing and running" listed in Appendix E – Pricing Schedule – Price Schedule by Category.

The Project Fee will be split based on the following percentages (and not based on the Potential Providers breakdown of cost per Activity) and only paid subject to meeting the acceptance criteria highlighted at the top of Annex 6 (and the other requirements for payments / invoicing).

Operational Running fees will not be payable until the Platform & Hosting Available milestone has been completed.

Platform & Hosting, Core Solution, Financial Consolidation, Core Reporting, Analytical Reporting, Additional Reporting and API Based Data Collection can be completed in the most appropriate order in line with the Reporting Calendar, as agreed with the Authority and detailed in the workstream Implementation Plan.

Payment Milestone	Percentage Split
Discovery & Strategy Complete	10% of project fees
Platform & Hosting Available	10% of project fees
Core Solution Available	10% of project fees
Financial Consolidation Available	10% of project fees
Core Reporting Available	15% of project fees
Analytical Reporting Available	10% of project fees
Additional Reporting Available	5% of project fees
API Based Data Collection Available	5% of project fees
Project Completion	20% of project fees
Operational Running (including Hosting and Helpdesk) complete per quarter meeting downtime and other SLAs	25% of annual Running fees for each quarter completed
Exiting the Contract	5% of project fees

ANNEX 8 - Authority Responsibilities

The Authority will endeavour to provide - Desk space in the Treasury building (1 Horse Guards Road) close to the project team - ID cards for security vetted personnel - HM Treasury laptops with connectivity to email, infostore and access to the room booking system - Locker for Potential Provider staff to leave laptops
The Authority will set up for the Potential Provider - Introduction to the project Senior Responsible Officer (SRO) - Introductory presentation slot at FAB - Weekly service review meetings between the project director and the technical delivery lead
The Authority will run frequent (typically weekly) project meetings for the Potential Provider to provide a status update and highlight key risks, issues and blockers
For each Payment Milestone the Potential Provider completes, the Authority will pay the Potential Provider within 30 days on receipt of a suitably completed invoice showing clearly the purchase order number and what has been delivered, together with evidence of what has been delivered (for example, test completion certificates.
The Authority will provide a Project Director, Project Manager and Project Management Officer (PMO)
The Authority will lead on distributing communications
The Authority will help Potential Providers to arrange a series of taster sessions (no more than five) for the Authority and other selected government department staff to see a demo of the chosen software using representative data. At least two of these taster sessions should be via WebEx (Potential Provider to provide WebEx facility). At least one of these taster sessions should be outside London (but within the UK) at the most appropriate location for attendees.
The Authority will lead on facilitating process change with Authority and other government department staff.
The Authority will lead on facilitating organisational change should it be required
The Authority (or nominated representatives) will sign off Deliverables of the sufficient quality that meet the specifications within reasonable timeframes subject to the Acceptance Criteria in Annex 8, this timeframe will vary depending on the length and complexity of each Deliverable.
Where the Authority (or nominated representatives) do not feel that a Deliverable has met the sufficient quality threshold or does not meet the specification they will provide written comments.
The Authority will confirm those Departments that will be included in the API Pilot to the Potential Provider within four months of contract signature date.

ANNEX 9 - Processes

The table below describes the core processes of the solution. Following the table are various process maps for a **subset** of these processes.

	Process	Descriptions	Related Process Diagrams
Collection	**Data collection**	• Uploads of information to the solution typically by way of a spreadsheet with or without macros. Audit trails and workflow. • Typing in data manually to the solution (or copying and pasting into the solution) • Management of control totals in the solution including Budget Cover Transfers (BCT), Budget Neutral Changes (BNC)	• System data structure and data collection maintenance • Control Totals • Adjustments
Analysis	**Use of OSCAR for ad-hoc financial analysis**	• Extracting information from the new OSCAR II System to analyse in a spreadsheet or using built in / self-serve reporting functionality	
Reporting	**Production of standard report packs for use by spending teams**	• Creating reports that can be used in conversations related to the control of departmental spending	
Reporting	**Production of the Whole of Government Accounts (WGA)**	• The consolidated financial statements for Government taking account of eliminations and adjustments (IFRS format) o https://www.gov.uk/government/collections/whole-of-government-accounts	• WGA
Reporting	**Production of Workforce Pay Remit (WPR)**	• Information used in decision making on Government pay policy	
Reporting	**Production of Public Finance Initiative Information (PFI and PF2)**	• Information relating to public private partnerships for transparency and analysis purposes o https://www.gov.uk/government/publications/private-finance-initiative-and-private-finance-2-projects-2016-summary-data	
Reporting	**Management of the Vote on Account**	• Information to support granting of HM Treasury for Government to spend on existing services prior to formal sign off of estimates o https://www.gov.uk/government/collections/hmt-vote-on-account	• Vote on Account – Future Process
Reporting	**Production of the Country and Regional Analysis (CRA)**	• Information on the allocation of Government spend across the UK by country, English region, and function, for National Statistics purposes o https://www.gov.uk/government/collections/country-and-regional-analysis	• CRA
Reporting	**Production of the Public Expenditure Statistical Analyses (PESA)**	• Information on Government spend in terms of budgeting and expenditure on services o https://www.gov.uk/government/collections/public-expenditure-statistical-analyses-pesa	• PESA and Public Spending Statistics
Reporting	**Production of the Supply Estimates (Main and Supplementary) (including**	• Information used by Parliament to approve Government budgets and provide HM Treasury to spend	• Estimates • Control Totals

	management of control totals)	o https://www.gov.uk/government/collections/hmt-main-estimates o https://www.gov.uk/government/collections/hmt-supplementary-estimates	
	Production of the Public Sector Finance Release (FSP / PSFR) with ONS (Quarterly and Monthly)	• Spend (outturn) information used by ONS in their calculations of national borrowing, debt and deficit o http://www.ons.gov.uk/ons/rel/psa/public-sector-finances/index.html	• Public Sector Finance
	Cash Management - Exchequer Funds and Accounts (EFA)	• Information related to daily cash management of HM Treasury funds	• EFA
Maintenance	**Modification of master data in OSCAR**	• Management of key standing data such as the Chart of Accounts (CoA) and departmental structures such as segments (including Machinery of Government (MoG) change)	• System data structure and data collection maintenance
	Maintenance of the OSCAR solution	• Service intervals and downtime • Updates to user security • Bug fixes • Year and month end rollovers • Transparency Releases o https://www.gov.uk/government/collections/hmt-oscar-publishing-from-the-database	

System data structure and data collection maintenance

Key:

| Team involved in progress | Team not involved in progress | | Process step | Future process step | Process change requirements | Control or validation | Removed in future process | Risk or issue |

Control totals

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WGA

Key:

| Team involved in progress | Team not involved in progress | | Process step | Future process step | Process change requirements | Control or validation | Removed in future process | Risk or issue |

	April	May / ~~June~~	June / ~~September~~	July / ~~November~~

GEP

Departments

- V2. Validation rules
- REQ03.008GN Configure validation rules
- V3. Validation rules
- REQ01.008GN Variance reporting / REQ03.005GN Variance validations

- 2. Submit counter party transactions
- 3. Submit audited accounts
- REQ02.017W Data collection cycles / REQ03.016E Lock / unlock submissions / parts of submissions / REQ05.005W WGA submissions - Online application / system access / REQ07.004GN System access / REQ01.022GN Submissions status monitoring dashboard
- REQ01.022GN Submissions status monitoring dashboard / REQ05.005W WGA submissions - Online application / system access / REQ07.004GN System access

- 2. Submit unaudited accounts and counter party transactions

Spending Teams

CST

Estimates

PESA

CRA

PSF

ONS

EFA

OSM

- 1b. Update structure WGA bodies
- REQ03.004GN Change request workflows / REQ04.018GN Mapping between datasets

DAS

WGA

- Issue: Manual process
- 1a. Confirm list WGA bodies
- 4. Eliminations and journals
- REQ02.012W Consolidation / REQ01.023GN Standard reports / REQ02.013W WGA Journal / REQ03.001GN Audit trail
- 5. Analytical review
- REQ02.015W WGA analytical review workflow
- 4. WGA publication
- REQ01.034W WGA publication / REQ02.011GN Reports archiving

Efficiency Review

Estimates

Key:

Team involved in progress	Team not involved in progress		Process step	Future process step	Process change requirements		Control or validation	Removed in future process		Risk or issue

February – Main / October – Supplementary .... **April – Main / February - Supplementary**

GEP

Departments

REQ02.004GN: Review transaction impact
REQ01.022GN Submissions status monitoring dashboard
REQ07.003GN Real time system

REQ03.008GN Configure validation rules
REQ03.009WP Levels of validations
REQ03.001GN Audit trail

V2. System validations

REQ02.035GN Circulate reports
REQ02.006GN Approvals workflow
REQ02.008GN Link to Infostore approvals

2a. Departments make adjustments / disaggregate

Issue: Cannot see impact

FTL

4. Departments provide Estimates narrative

REQ02.020GN Direct data upload
REQ02.006GN Approvals workflow

C8. Review and sign-off Estimate

Spending teams

C8. Review and sign-off Estimate

CST

Estimates

REQ03.016E Lock / unlock submissions
REQ01.030GN Snapshot datasets
REQ01.032E Supply Estimates publication
REQ03.024GN Roles based access
REQ02.008GN Link to Infostore approvals

REQ02.011GN Reports archiving
REQ02.027E Submit Ambit
REQ01.025GN Pivot table style reporting

C7. Review of Estimates reports

C9. Review summary tables

REQ01.025GN Pivot table style reporting

REQ01.032E Supply Estimates Publication

1. PES paper to commission supply Estimates

3. Download each Estimate as an Excel report

5. Macro imports text template into Excel workbook

6. Ambit from prior year copied into Estimate

7. Format Excel template report

8. Estimates reports circulated for review

9. Summary tables produced and sent to internal comms team

10. Estimates published and sent to parliament

PESA
CRA
PSF
ONS
EFA

OSM

2b. OSM load disaggregation

REQ07.004GN System access

DAS
WGA
Efficiency Review

Vote on Account – future process

Key:

| Team involved in progress | Team not involved in progress | Process step | Future process step | Process change requirements | Control or validation | Removed in future process | Risk or issue |

| | Sept | Oct | Nov | Dec | Jan | Feb |

GEP

Departments

2. Departments approve or adjust figures via workflow

REQ02.006GN Approvals workflow
REQ02.003GN Make adjustments
REQ02.029V Vote on Account data load
REQ03.001GN Audit trail
see REQ02.024GN Comments for uploads and adjustments

Spending teams

C2. Approve or adjust via workflow

REQ02.006GN Approvals workflow
REQ03.001GN Audit trail

CST

Estimates

1. Vote on Account calculated on system

REQ01.033V Vote on Account publication

REQ01.020S Adjustments dashboard
REQ03.001GN Audit trail

C3. Review list of adjustments

4. Publication produced on system

REQ01.033V Vote on Account publication

PESA

CRA

PSF

ONS

EFA

OSM

DAS

WGA

Efficiency Review

Public Sector Finance

Key:

Team involved in progress	Team not involved in progress		Process step	Future process step	Process change requirements	Control or validation	Removed in future process	Risk or issue

	3rd working day	8th working day	10th working day	20-30th working day	June / July (annually)

GEP

Departments

- REQ02.018GN Direct data entry
- REQ02.020GN Direct data load
- V2. System validations
- REQ03.008GN Configure validation rules / REQ03.009WP Levels of validations / REQ03.005GN Variance validations
- 2. Submit monthly forecast outturn
- 5b. Respond to queries on differences
- 9. Submit adjustments

Spending teams

CST

Estimates

PESA

CRA

PSF

- REQ01.022GN Submissions status monitoring dashboard
- Risk Manual errors
- REQ02.001PS Adjustments overlay / REQ02.003GN Make adjustments / REQ02.004GN Review transaction impact.
- 7b. Maintain Excel back-up off-system
- Risk System reliability
- C7. Check final reports against Excel adjustments document
- REQ02.003GN Make adjustments and REQ02.001PS Adjustments overlay
- 1. Monitor submissions
- 3. Import data into TM1 and export report
- 4. Refresh off-system Excel data model
- 5a. Quality assure the data
- 6c. Load forecast adjustments
- 7a. Expenditure reports sent to ONS
- 8. Quarterly extracts are sent to the ONS
- 10. Allocation adjustments across year
- C10. Check adjustments against PESA adjustments
- REQ01.008GN Variance reporting and REQ01.025GN Pivot table style reporting
- C6. Check totals to check data upload
- REQ05.002GN Direct data feed with ONS
- REQ04.018GN Mappings between datasets / REQ04.021PF Reconciliations

ONS

- REQ02.019PS ONS load data / REQ04.002GN Incorporate additional datasets
- 6b. Provide additional data
- Process the data for the PSF release
- Process data for National Accounts
- Annual adjustments

EFA

- 6a. Provide cash data
- REQ01.031PS PSF publication / REQ03.001GN Audit trail / REQ02.019PS ONS load data / REQ04.002GN Incorporate additional datasets

OSM

- 7c. OSM on standby

DAS

WGA

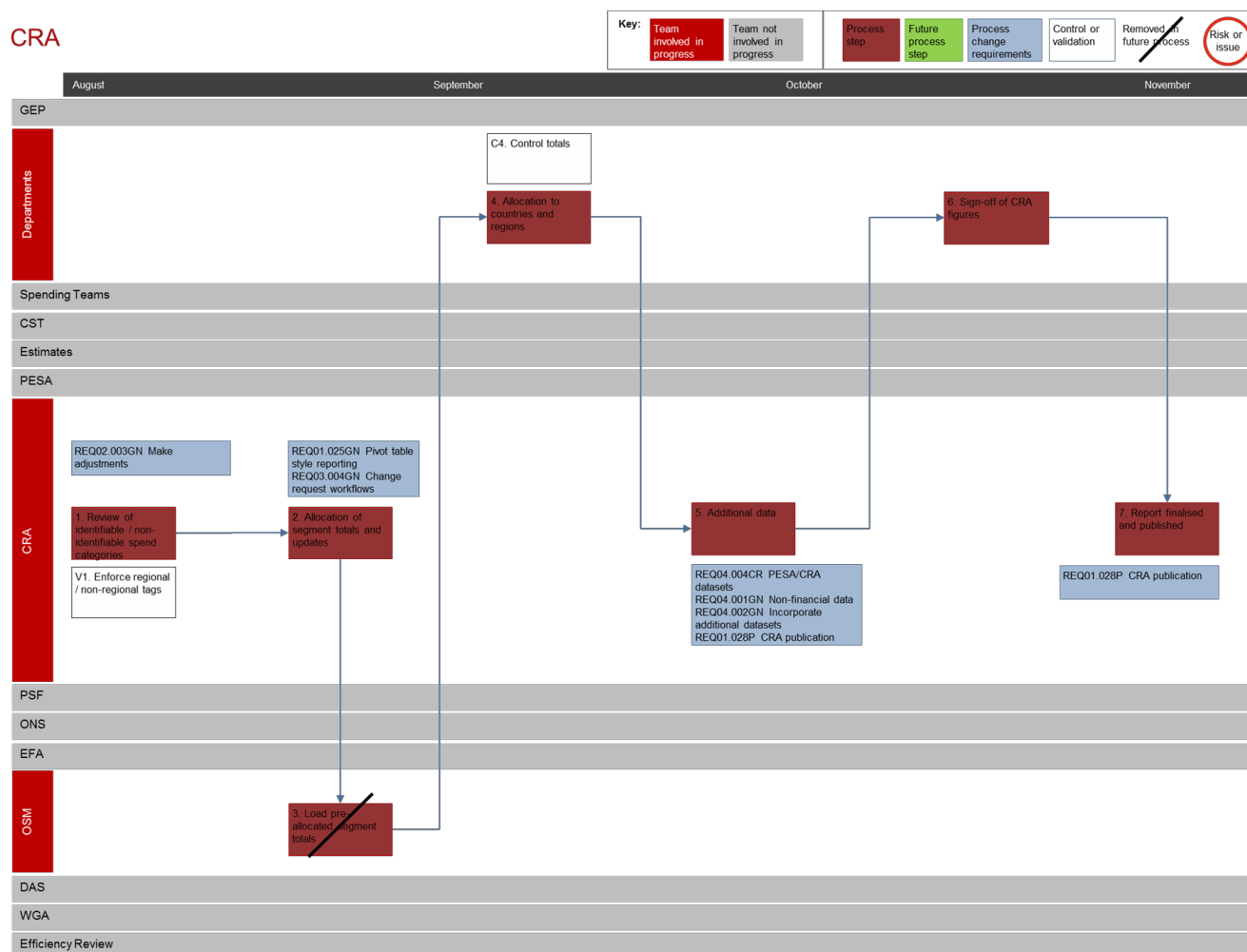**Efficiency Review**

PESA and Public Spending Statistics

Key:

| Team involved in progress | Team not involved in progress | | Process step | Future process step | Process change requirements | Control or validation | Removed in future process | Risk or issue |

May / June ... **July**

GEP

Departments

1a. Departments submit final period outturn and adjustments

Spending teams

C1. Sign-off figures

CST

Estimates

PESA

REQ01.025GN Pivot table style reporting
REQ01.008GN Variance reporting
REQ01.027P PESA publication
REQ02.003GN Make adjustments

REQ04.004CR PESA/CRA datasets and
REQ04.001GN Non-financial data
REQ04.002GN Incorporate additional datasets
REQ01.027P PESA publication

2. Extract outturn and plans data

3. Combine data extracts and reformatting

4. Data quality checks and creation tables

5. Additional data

6. Reports finalised and published

REQ01.027P PESA publication
REQ01.024C System outputs

CRA

PSF

ONS

EFA

OSM

1b. Annual rollover

DAS

WGA

Efficiency Review

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CRA

Key:

Team involved in progress	Team not involved in progress	Process step	Future process step	Process change requirements	Control or validation	Removed in future process	Risk or issue

	August	September	October	November

GEP

Departments

C4. Control totals

4. Allocation to countries and regions

6. Sign-off of CRA figures

Spending Teams

CST

Estimates

PESA

CRA

REQ02.003GN Make adjustments

REQ01.025GN Pivot table style reporting
REQ03.004GN Change request workflows

1. Review of identifiable / non-identifiable spend categories

2. Allocation of segment totals and updates

V1. Enforce regional / non-regional tags

5. Additional data

7. Report finalised and published

REQ04.004CR PESA/CRA datasets
REQ04.001GN Non-financial data
REQ04.002GN Incorporate additional datasets
REQ01.028P CRA publication

REQ01.028P CRA publication

PSF

ONS

EFA

OSM

3. Load pre-allocated segment totals

DAS

WGA

Efficiency Review

EFA

Key:

Team involved in progress	Team not involved in progress		Process step	Future process step	Process change requirements	Control or validation	Removed in future process	Risk or issue

	April / May (annually)	Monthly

GEP

Departments

REQ02.026E Enforce and display deadlines for data submissions
REQ02.005C Self-service adjustments workflow
REQ04.008C Cash forecasts from departments
REQ07.003GN Real time system

V3. Validation rules

REQ03.008GN Configure validation rules

Issue: Transfer by email

3. Submit cash forecasts

Spending Teams

CST

Estimates

PESA

CRA

PSF

ONS

EFA

REQ01.023GN Standard reports
REQ01.021C Cash management performance monitoring report

1. Request cash flow analysis report

2b. Cash flow management scheme

REQ02.005C Self-service adjustments workflow
REQ02.003GN Make adjustments

4. Prepare forecast

REQ01.024C System outputs

5. Forecast sent to DMO

OSM

2a. Download the cash flow analysis Excel report

DAS

WGA

Efficiency Review

Adjustments

Adjustment required	Type of adjustment	Adjustment approvals process			System validation				
		Department / GEP	Spending team	CST	Consistent capture	Net to 0	Control threshold	Impact	Audit log
A	Budget neutral changes (between RDEL programmes)	1*			✓	✓	✓	✓	✓
B	Budget exchange	2*	3*	1*	✓	✓		✓	✓
C	Reserve claims loaded into OSCAR by GEP	2*	3*	1*	✓	✓		✓	✓
D	DEL budget switches: Resource to Capital, Admin to Programme and Resource to Admin	1*	2*		✓	✓	✓	✓	✓
E	DEL budget switches: Capital to Resource and Programme to Admin	2*	3*	1*	✓	✓	✓	✓	✓
F	Budget cover transfer between departments required (BCT)	1* 2*			✓	✓		✓	✓
G	Machinery of Government change required (MOG)	1* 2*	3*		✓	✓		✓	✓
H	AME to DEL / DEL to AME/ Change to AME	1* 2*	2*		✓	✓	✓	✓	✓

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The requirements below are in addition to the requirements in Appendix B – Statement of Requirements.

Some requirements (typically reporting requirements) listed below are also present in Annex 15. Annex 15 provides estimates of complexity and expected output formats for specific reports)

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ01.001 W.GN	Reporting & Analytics	**Data visualisation capability**	The system shall provide data visualisation capability (i.e, interactive charts) as individual charts and in the form of dashboards, for system data.	To enable more interactive reporting. This should include system data for statutory reporting publications, dependent on their production on system, including: WGA; PFI.
REQ01.002 GN	Reporting & Analytics	**Bespoke reporting**	The system shall provide reporting functionality to create bespoke reports, with charts / graphs, such as: • Comparing two or more variables • Filters (i.e, workforces, ALBs) • Reporting on aggregates • Reporting on growth rates • Reporting on growth rates as a proportion of spend • Charts / graphs to display key trends • Regression analysis • Reporting on specific categories: DEL, AME, Resource, Capital, fund, non-fund, admin, non-admin, finance, grants, spend, income, programme • Reporting on data by allocated tags • Reporting at department / DA level • Disaggregate and drill down on data (at its lowest, most detailed level) • Create data queries (i.e, specific type of spend, for a specific time period, for a department) which can be saved for re-use and offer flexibility to amend query parameters (i.e, update date range; change department;) The system shall have flexibility for users to create and amend reports.	To enable increased insight and analytics to support business processes and stakeholder objectives. To enable assessment and challenge of information and drive decisions. To enable monitoring of department growth rates and drive decision making. To enable users to manage budgets and to drilldown on data. The reporting functionality should include value map style charts.

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			Reports shall be viewable as dashboards / reports on system and allow users to export.	
REQ01.003 GN	Reporting & Analytics	**Existing reports – OSCAR data**	See section 9 Existing Reports - OSCAR Data for further information on the below: 1) Spending control / plans / returns - To obtain numbers for RDEL, CDEL, RAME &CAME 2) DAR excel file - Analysis relating to Main and Supplementary Estimates and statistical work for expenditure publications 3) MOGs and BCTs excel file - Details MoG and BC transfers 4) Transparency Data - Publish a quarterly report of monthly data scored by departments 5) EDP reporting to Eurostat (ONS) - Reporting to EU on UK's debt and deficits / / PPP liabilities 6) Fiscal Sustainability Report (OBR) - Independent Reviewer of HMT announcements and forecasts / PPP liabilities 7) HMT Budget PFI control totals - Transparency commitment / PPP liabilities 8) Private Finance Initiative and Private Finance 2 projects - Transparency commitment to Parliament / Shows future liabilities of PFI/PF2 projects 9) WPR Key Trends and Analysis - WPR analysis	To provide key reporting from the system.
REQ01.004 GN	Reporting & Analytics	**Report from multiple sources**	The system shall offer functionality to enable analysis and reporting using data extracts uploaded from other systems / sources alongside system data (i.e, WPR datasets)	To enable all analysis on system and reduce manual intervention. See REQ04.002GN for examples.
REQ01.005 WP	Reporting & Analytics	**WPR analysis**	The system shall enable WPR to perform calculations and create graphs / charts to produce reports / dashboards from WPR data collected through the system, including: 1) Pay bill split by workforces/civil servants (%) 2) Total pay bill against previous years 3) Change in total pay bill and RDEL - current vs prior years (%) 4) Pay bill split by workforces / civil servants and by component (%) 5) Av earnings – workforces / civil servants (direct wages / salaries	To enable the WPP team to perform analysis on system and produce reports / dashboards on the data via the system. To enable the team to look at available data, before all submissions are received to increase efficiencies and to identify emerging trends more quickly. Civil servants figures and 11)

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			divided by workforce size - headcount or FTE) 6) FTE staff numbers (% by workforces and civil servants) 7) Changes in FTE over time (% by workforces and civil servants) 8) Changes in headcount and FTE over time (% by workforces and civil servants) 9) Headcount against average earnings and total pay bill 10) Recruitment/retention - vacancy rates and staff wastage comparison years and sectors 11) Total pay bill over time and % changes over time – comparison WPR collected figures and pay data collected on OSCAR.	comparison with pay data collected on OSCAR dependent on REQ01.026P. The WPP team include the ONS total pay bill figures in their reporting. Including this data on the system is dependent on REQ04.005WP
REQ01.006 C	Planning and Forecasting	**Predict future cash requirements**	The system shall enable the annual and monthly production of reports on monthly forecast outturn data.	To help predict future cash requirements for cheaper borrowing. There are other requirements for reporting on monthly forecast outturn but this has been documented separately to emphasise the requirements for this team.
REQ01.007 E	Reporting & Analytics	**Effective date reporting**	The system shall enable users to run Estimates reports for both the current year and any previous year for which data is available in the system (such as 16/17 and 18/19) by selecting the relevant effective dates.	To enable users to better query the data.
REQ01.008 GN	Reporting & Analytics	**Variance reporting**	The system shall produce variance figures between current data and prior submitted data (on a month and year basis) on the system, including for: • Monthly forecast outturn • CRA • PESA • PFI capital costs • WGA At both control total and individual line levels	To allow users to view variances and pre-empt queries, to streamline query resolution. To enable teams to monitor and analyse variances and flag up potential risks or drive error resolution.
REQ01.009 PF	Reporting & Analytics	**PFI analytics**	The system shall enable users to analyse and report on existing PFI data, through functionality to: a) Produce charts on data characteristics (i.e, project status: cancelled / expired; Equity holdings;). b) Calculations on time periods using date fields (i.e, Length of time from construction for group projects) c) Produce charts to show changes in projects / data over time (i.e, changes	To derive more insight from PFI data and be able to query and challenge information and use insight to identify trends. To enable identification of balance sheet treatment changes. See REQ02.017GN for flexibility to accommodate additional fields.

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			in ownership)	
REQ01.010 GN	Reporting & Analytics	**Intuitive reporting capability**	The system shall offer intuitive reporting capability to users via drop down menus (i.e a user selects the category DEL, then the category resource and then the time period) and defined naming conventions for variables	To enable spending teams to query and report on data more easily and to offer more readily understandable and less technical variable names
REQ01.011 GN	Reporting & Analytics	**What if and sensitivity analysis**	The system shall enable users to undertake what if and sensitivity analysis (i.e, to manipulate data structures and see impacts without storing the analysis as a final copy)	To support analysis of the impact of current trends (i.e, spending) and changes on future outcomes and to help drive decision making
REQ01.013 GN	Reporting & Analytics	**Benchmarking dashboard**	The system shall enable the production of a benchmarking dashboard, tailored to roles, functions, and outputs, such as: 1) Performance dashboards (i.e, actual spend against forecasts) 2) KPI (Key Performance Indicator) dashboards (i.e, the number of adjustments made following data collection) 3) Timeliness league tables (rankings based on date data received and deadline date) 4) Data Quality scorecards 5) Spend tracking (i.e, Forecast / outturn vs control totals;) a) Display the dates figures relate to b) End users (HMT/ departments / DAs) shall be able to download reports c) End users (HMT/ departments / DAs) shall be able to view reports on system Flexibility to add and update. d) Maintain directory MI Dashboards	To enable assessment of forecasts and outturn against plans and to help identify data quality issues. To track and maintain data quality. To enable cross-government benchmarking. This should include OBR AME forecast vs actual spend, dependent on REQ04.009G.
REQ01.014 S	Reporting & Analytics	**Spending Control Report**	The system shall enable the production of a Spending Control Report – display a high level view of control totals	To provide a high level snapshot of control totals (i.e, used when meet Ministers)
REQ01.016 S	Reporting & Analytics	**Spending Control dashboard**	The system shall enable the production of the improved Spending Control League tables: a) Metrics shall be at department / DA level b) Metrics shall be by month / annually Metrics: 1) Forecast vs outturn for RDEL, CDEL and AME - option to show / hide ranking, quartile and improvement (based on % variance) 2) Usability (points system) 3) Timeliness (points system)	To enable production of the Spending Control dashboard on system To enable benchmarking, assessment and challenge of information and drive decision making. To provide an overview of spending across DEL & AME covering Plans, Forecast and run rate projections. To identify the largest areas of

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			4) Arrears reporting (points system) 5) Major variances (underspends /overspends) by spending category 6) Major variances (underspends /overspends) by Department/DA 7) Comparison forecasts and plans 8) Calculation of run rate trajectory 9) Spending comparisons by body split by DEL Resource, DEL Capital and AME.	overspend/underspend across DEL & AME.
REQ01.017 S	Reporting & Analytics	**OPEX dashboard**	The system shall enable the production of the OPEX dashboards, including key metrics: - Forecast - Plans - Spend by functional area government - Comparison end year forecast against plan - Growth in end year forecast compared to outturn in previous year - Categories of spend by functional area KPIs For spend at the most granular level i.e L5 in the Chart of Accounts	To provide a view of spend across functional areas of government and monitor and benchmark spend against KPI's related to each function. To enable assessment and challenge of information and drive decision making.
REQ01.018 SWP	Reporting & Analytics	**Risk analysis dashboard**	The system shall enable the production of a Risk analysis Dashboard with functionality to: 1) Enable authorised users to create a trajectory of spend for a project / WPR forecast. Calculate difference between trajectory and actual spend figures collected via the system to identify under or overspend (% variance) 2) Enable authorised users to create a trajectory of spend for a project / WPR forecast from prior years actual spend. Calculate difference between trajectory and actual spend figures collected via the system to identify under or overspend (% variance)	To enable spending teams to compare actual spend with expected or historic trajectories. To enable identification of risk and drive decision making.
REQ01.019 S	Reporting & Analytics	**Budget tracker dashboard**	The system shall enable the production of a budget tracker to track and compare changes in baselines, from the control total level to segment level, over a multi-year period. To include: a) Control Budget summary by Spending Review year b) Detail of adjustments and adjustments status by category (RDEL ring-fenced, RDEL non ring fenced, RDEL Admin, RDEL Programme, AME Resource, AME Capital, CDEL	To provide the DAS branch with more time to focus on specialist reporting and analysis queries from spending teams, rather than on routine tasks. To provide spending teams with updated information, reduce manual processing and maintain data integrity. To provide insight into changes to baselines – multi

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			General, CDEL Financial transactions) c) Underlying data set by Department/ Departmental Group The report shall be automated and shall refresh following fiscal events / as required.	year periods
REQ01.020 S	Reporting & Analytics	**Adjustments dashboard**	The system shall track adjustments, including BCTs and MoG transfers and enable users to extract a summary report on adjustments for a body / bodies, including: a) Bodies involved b) Type of transfer/adjustment c) Impact of adjustment / transfer d) Date e) User	To enable spending teams to have oversight of adjustments and to make information available to investigate adjustments further if required
REQ01.021 C	Reporting & Analytics	**Cash management performance monitoring report**	The system shall enable analysis of data and calculations on system and the production of a report, including: - Determine charges and rebates - Performance monitoring on forecasting KPIs	To enable the cash management process on system and remove off-system working. Dependent on REQ04.008C.
REQ01.022 GN	Reporting & Analytics	**Submissions status monitoring dashboard**	The system shall monitor data submissions and provide: a) Overview of submissions by status b) Status for each body (outstanding / in progress / completed) c) Filters (i.e, WPR – civil service and workforce views; WGA – data cycles; Estimates – draft, proposed, confirmed;) The dashboard shall be able to refresh to show the current status as files are submitted,	To enable the team to monitor submissions and identify where teams need to chase in order to meet deadlines.
REQ01.023 GN	Reporting & Analytics	**Standard reports**	The system shall enable the production of individual standard reports, tailored to roles, functions, and outputs: 1) WGA cash flow (indirect method) 2) Estimates figures 3) CPID/Counter Party List 4) WGA journals 5) CoA, segment and sub-segment level reports 6) Differences between Main and Supplementary Estimates 7) Monthly forecast outturn 8) General expenditure reports 9) Cash flow analysis report 10) PFI spending control total performance report 11) OBR Financial Stability Report 12) Annual ALB report for bodies spending above £1m+	To provide the data for the Public Bodies Reform Team (Cabinet Office) report published on gov.uk To provide standard reports based on roles.

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			13) WGA mapping spreadsheet 14) WGA elimination errors 15) Standard CoA - transactional data and Notes to the Primary Financial Statements - Flexibility to create and amend reports. - Ability to share reports on system - Maintain directory of reports	
REQ01.024C	Reporting & Analytics	**System outputs**	The system shall enable the extraction and circulation of reports and source data as PDF, Microsoft Word, .csv, .txt and Excel and XBRL (for WGA), as individual files and bulk outputs.	To support different file types as required and ability to import outputs into other systems
REQ01.025GN	Reporting & Analytics	**Pivot table style reporting**	The system shall offer pivot table style reporting, in a row and column grid format, such that key data points and filters can be used to analyse and report on data	To provide users with a simple way to analyse data
REQ01.026GN	Data Management	**Database queries**	The system shall enable users to query the database securely using a query tool. Users with this capability will be agreed with the OSM team in advance and given additional access.	To enable querying of the database as required
REQ01.027P	Reporting & Analytics	**PESA publication**	The system shall enable the production of sections of the PESA publication, and full document assembly, including: - Introduction - Statistics - PESA tables 1.1 – 10.10 - Narrative text - Annex - Ability to suppress 000s Flexibility to accommodate format changes (i.e, addition or removal of lines in the tables).	To save a significant amount of time and reduce the risk of errors due to manual processing. See output 5.1 in section 6.
REQ01.028P	Reporting & Analytics	**CRA publication**	The system shall enable the production of sections of the CRA publication, and full document assembly, including: - Introduction - Statistics - CRA tables A.1 – B.10 - Narrative text - Annex - Ability to suppress 000s Flexibility to accommodate format changes	To reduce the manual processing required to produce CRA and enable data corrections and missing meta data to be added to the system to improve quality. See output 5.2 in section 6.
REQ01.029PF	Reporting & Analytics	**PFI publication**	The system shall enable the production of sections of the PFI publication, and full document assembly, including: 1) Analysis 2) Production of charts and graphs 3) Descriptive narrative	To remove the need for manual processing and to enable PFI to start analysing the data on system earlier. See output 7 in section 6.

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			4) Tables 5) Transparency releases raw data (current projects and projects in procurement) 6) Consolidated dataset Flexibility to accommodate format changes	
REQ01.030 GN	Data Management	**Snapshot datasets and changes**	The system shall enable users to take a snapshot of data on the system at a specific point in time (i.e, a fiscal event; submission deadline), on which to report and be able to compare this with a snapshot of data taken later in order to identify changes.	PFI: To enable departments to submit data after the May deadline, if required, and the team can decide whether changes should be included to improve data quality. To ensure access to data as it was at a set point in time.
REQ01.031 PS	Reporting & Analytics	**PSF publication**	The system shall enable the production of sections of the PSFR publication, and full document assembly, including: a) Statistics b) Narrative Flexibility to accommodate format changes	To reduce the manual processing required to produce the PSF release and enable data corrections and missing meta data to be added to improve data quality. See output 1 in section 6.
REQ01.032 E	Planning and Forecasting	**Supply Estimates publication**	The system shall enable the production of individual Main and Supplementary Estimates - both production of only specific sections of these reports, and full document assembly, including: a) Tables b) Text c) Auto-label Estimates lines (subhead detail table and income note) d) Vote on Account data Flexibility to accommodate format changes (i.e, order of columns; edits to tables; order of publication)	To remove manual processing required to produce the publication, provide flexibility for future changes in requirements and assist with accommodating last minute update requests. To deliver more efficient and targeted views of the Estimates reports to the user. See output 3 in section 6.
REQ01.033 V	Reporting & Analytics	**Vote on Account Publication**	The system shall enable the production of the Vote on Account Publication – both production of only specific sections (i.e, tables) and full document assembly, including: - Vote on Account figures - Summary tables - Narrative text - Perform any necessary calculations, such as % calculations and adjustments Flexibility to accommodate format changes	To remove the need for manual, off-system, creation of the Vote on Account. See output 4 in section 6.
REQ01.034 W	Financial Consolidation	**WGA publication**	The system shall enable the production of the Whole Government Accounts publication, including:	To reduce manual processing To create a permanent record of notes

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			1) Consolidated WGA accounts financial data 2) Main financial statements 2) Narrative notes to the accounts 3) Summary tables 4) Narrative analysis 5) Footnotes 6) Storing templates 7) Report of entities for the Designation Order The system shall enable users to produce P&L, balance sheet, cash flow and TB reports for an entity / entity group. Flexibility to accommodate format changes and edit lists (i.e, entity lists). Hierarchical entity structure including consolidation entities at multiple consolidation levels.	To accommodate changes. such as for notes to accounts and financial instruments which are affected by disclosure changes To extract supporting evidence. To include cost object analysis and modular structure for consolidation purposes. See output 9 in section 6.
REQ01.036 GN	Reporting & Analytics	**Management Account Pack**	The system shall enable the production of a management account pack	To provide senior management with a monthly view of performance

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ02.001 PS	Workflow, Configuration & Validation	**Adjustments overlay**	The system shall enable authorised users to load adjustments overlays as a separate dataset, without affecting source data.	To include external dataset for reporting without affecting system data
REQ02.002 G	Workflow, Configuration & Validation	**Budget Transfers**	The system shall enable bodies to transfer budgets (i.e, BCTs; MoGTs) to another body. The receiving department shall receive a workflow alert and be able to view the transfer type, amount and sending body. When the receiving department accepts the budget transfer, the change, as actioned by the sending department, shall be implemented. The receiving body shall be able to accept or reject the transfer, with a reason. If the transfer is rejected it shall revert to draft status. Note that where budget has left one department before being accepted into another department that the totals are held in such a way that control totals (i.e. the total across all bodies –	To ensure the transfer is correct. To avoid adjustments being lost if only corrections are required. To avoid duplication of efforts: one department actions the change and the other accepts.

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			e.g. total DEL) do not drop by the amount in transit.	
REQ02.003 GN	Workflow, Configuration & Validation	**Make adjustments**	The system shall enable authorised users to make adjustments to source data (both draft and submitted), as individual or bulk adjustments, in line with defined business rules (i.e, GEP team amend allocations) It shall be possible to: - Allocate adjustments across the financial year (i.e, PSF allocation year end adjustments) - Make adjustments between financial years (i.e, DEL budget exchanges) - Make multiple adjustments which can be saved as draft and submitted when required - Identify the adjustment type (i.e, SR settlements, reserve claims, budget measures) Some types of adjustments shall require an approvals workflow (i.e, WGA cycle changes)	To enable changes to be reflected on the system and to improve data quality To enable users to enter multiple adjustments and save adjustments in draft form to be submitted when additional data required becomes available.
REQ02.004 GN	Workflow, Configuration & Validation	**Review transaction impact**	The system shall enable users and approvers to see the impact of a transaction before it is moved to submitted status (i.e. the impact on control totals/AME; where spending teams approve budget switches)	To view the impact and make necessary changes before submission. To avoid approvers giving approval before seeing the impacts
REQ02.005 C	Workflow, Configuration & Validation	**Self-service adjustments workflow**	The system shall enable users to make updates to cash forecast data via a workflow process and shall track updates via an activity log, accessible to authorised users	To enable the cash management process on system and remove off-system working
REQ02.006 GN	Workflow, Configuration & Validation	**Approvals workflow**	The system shall implement an approvals workflow for processes, adjustments, and reports to include: - Spending teams to approve budget changes where required - Approvals of final Estimate - Creation of standard reports The system shall enable multiple approvers and delegation of approvers as required. The system shall notify relevant users of approvals / rejections / outstanding approvals and adjustments shall be returned to draft status if rejected. The system shall enable users to view / run a report on outstanding approvals.	To formalise and streamline the approvals process to increase efficiency and to retain an audit trail. To improve the timeliness of approvals within the system and enable more effective monitoring.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			The system shall log a timestamp and approver ID.	
REQ02.009 GN	Data Management	**Data migration - legacy data**	Legacy data from OSCAR and COINS SQL Server Archive database shall be migrated into the system.	To enable users to report on data from the previous years and enable analysis over time
REQ02.010 GN	Data Management	**Hold historic / future data**	The system shall store data for the current year, at least 5 previous years, and at least 5 future years. Historic data may be read only / archived as required.	To ensure historic data remains accessible
REQ02.011 GN	Data Management	**Reports archiving**	The system shall enable authorised users to import sections of reports from prior years, to update for current reporting (i.e, reproduce a previous Ambit; reproduce Analytical Review notes)	To use and update previous sections and make the process more efficient
REQ02.012 W	Financial Consolidation	**Consolidation**	The system shall include consolidation / elimination capabilities for intercompany eliminations, to enable: - Automatic elimination of matched transactions between WGA counter parties - Automatic identification Counter Party elimination errors - Visual representation of un-eliminated transactions against set thresholds - Automatic calculation of the financial value of any residual Counter Party eliminations errors - Consolidation all data submissions into a single dataset. - Analysis of inter-company imbalances It shall be possible to define elimination thresholds for individual transactions and at group levels. The consolidations and eliminations should be auditable.	To enable the required consolidation and eliminations on system to produce the WGA. To monitor the value of un-eliminated transactions and can work to reduce this to below the NAO threshold.
REQ02.013 W	Financial Consolidation	**WGA Journals**	The system shall enable authorised users to make financial transaction journals between counter parties and shall auto generate a sequential reference number for each new journal created. The system shall notify users of any errors in uploading journals via an error notification.	In order that WGA Team can resolve elimination errors.
REQ02.014 W	Financial Consolidation	**Sub-consolidate data**	The system shall enable WGA data for sub-consolidating departments to	To enable sub-departments to be consolidated.

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			be consolidated and should enable navigation between parent and child levels.	
REQ02.015 W	Financial Consolidation	**WGA analytical review workflow**	System to enable WGA analytical review process, through: a) Functionality to refresh reports when new data received b) Variance analysis between this year and prior year c) Generate Analytical Review notes and tables from the system d) Edit AR notes and tables on system e) Line-by-line and entity-by-entity inter-company eliminations	To reduce manual intervention and the time taken to produce WGA (currently 12 months +)
REQ02.016 GN	Data Collection	**Data capture - changes**	The system shall enable changes to data capture / data collection templates for example, adding or removing numerical data fields.	To create a more efficient data collection, especially where data capture changes are required.
REQ02.017 W	Financial Consolidation	**Data collection cycles**	The system shall accommodate data collection cycles of account components such as base data, intercompany transactions / eliminations, and adjustments and be flexible to accommodate different numbers of update cycles in each component, as required by business needs. All relevant parties shall be able to view counter-party transactions	To enable flexibility to accommodate cycles as required by business needs. To enable bodies to report intercompany transactions prior to the general WGA submission – pending changes to WGA process
REQ02.018 GN	**Data Collection**	**Direct data entry**	The system shall enable users to type or paste data directly into the solution should they choose to as opposed to loading via a file format	To enable users to add data to the solution quickly. This shall include data collection for statutory reporting as referenced in this document, PFI/PF2, and WPR.
REQ02.019 PS	Data Collection	**ONS load data**	The system shall enable ONS to load their PSF data submission directly to the system.	To remove the need for off-system data transfers
REQ02.020 GN	Data Collection	**Direct data upload**	The system shall enable users to upload data files, including Excel, .csv and .txt files, in standardised formats, as per agreed templates including: - Estimates submission (financial and narrative) - Allocations data - Spending review allocations The templates shall be available for users to download from the system.	To enable users to upload files with standardised formats to the solution This shall include data collection for a statutory reporting as referenced in this document, PFI/PF2, and WPR.
REQ02.021 GN	Data Management	**Financial period roll over / forward**	The system shall enable authorised users to roll forward prior year data to the current year.	To pre-populate data and ensure bodies only need to provide updates where required and not enter data.

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ02.022 GN	Data Management	**Financial period open / close**	The system shall enable authorised users to: a) open b) amend c) close fiscal time periods for data entry.	To enable different time periods (e.g. current spending review years) to be made available and closed for data collection and analysis
REQ02.023 GN	Master Data Management	**Mapping**	The system shall have the functionality to automatically map data uploaded by a department / DA, in the agreed format and including the relevant account codes, to the relevant CoA within the system, as per mappings setup and maintained on system.	To enable the data to be mapped on upload. Dependent on requirement REQ04.018GN
REQ02.024 GN	Data Collection	**Comments for uploads and adjustments**	The system shall enable authorised users to add comments to uploads or adjustments via a drop down of standard reasons and a free text field for other reasons / additional information. Users shall be able to add comments to specific fields, lines, and submissions.	To contextualise figures to aid query resolution and to capture an audit trail on the system
REQ02.025 WP	Data Management	**Pay data access for WPP**	The WPP team shall have access to pay data collected via OSCAR, to include this in their analysis and reporting	To allow the WPP team to access pay data via the system. Dependent on REQ01.026P**.**
REQ02.026 E	Workflow, Configuration & Validation	**Enforce and display deadlines**	The system shall enable authorised users to set deadlines for data submissions, or parts of submissions, and enforce these (for example by blocking further uploads after cut off). Deadlines shall be visible to end users.	To ensure users are clear on upcoming deadlines and enforce deadlines.
REQ02.027 E	Data Collection	**Submit Ambit**	The system shall enable users to submit the confirmed Ambit text directly via the system alongside the data upload. The collection shall enforce business rules (i.e, only allow submission of a DEL ambit if the body has DEL spending) and shall provide version control functionality.	To avoid users emailing the Ambit separately
REQ02.028 E	Data Collection	**Submit data / adjustments meeting validation rules**	The system shall enable users to submit adjustments to data meeting validation rules whilst suspending other adjustments for completion later.	To enable submission of adjustments that pass checks enabling users to focus on the issues that require resolution.
REQ02.029 V	Data Collection	**Vote on Account data load**	The system shall enable users to submit Vote on Account figures, including the figure, any adjustments, and narrative rationale where required.	To enable the Vote on Account to be produced on system.

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ03.030 PF	Data Quality	**PFI project list**	The system shall perform a check of PFI projects submitted against the listing from the prior year to identify new or missing projects.	To assist the PFI team with managing PFI submissions
REQ02.031 GN	Master Data Management	**Apply budgeting and accounting frameworks**	The system shall be able to process data in line with the Government budgeting framework and in compliance with IFRS (for WGA)	To be able to process data in line with Government requirements
REQ02.032 GN	Workflow, Configuration & Validation	**Collaborative working**	The system shall enable collaborative working by enabling defined user groups to have shared areas / workflows (i.e. A user loads data and another makes adjustments)	To enable users to work collaboratively and more efficiently
REQ02.033 GN	Workflow, Configuration & Validation	**Minimal process steps**	The system shall enable users to login, load data, perform actions and produce reports with minimal process steps required.	To make processes simpler and more efficient
REQ02.034 GN	Workflow, Configuration & Validation	**Scheduling reports**	The system shall enable end users to schedule reports to run at a specified date and time.	To enable large and regular reports to be scheduled ready to be used when required.
REQ02.035 GN	Reporting & Analytics	**Circulate reports**	The system shall enable users to circulate reports via the system.	To facilitate distribution and publication
REQ02.036 GN	Data Management	**Cancel reports**	The system shall enable users to cancel a report or query once it has started running	To enable users to cancel reports

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ03.001 GN	Workflow, Configuration & Validation	**Audit trail for uploads / reporting / adjustments / validation configuration / validation overrides**	The system shall maintain an audit log for: - data submissions - reports run - data extractions - data adjustments / deletions - validation overrides - approvals - journals - transactions (WGA) - configuration validation rules In line with audit requirements. Audit log information shall be available to relevant users and shall include: a) ID of the user who made the change b) ID user organisation c) Date-timestamp of the change d) Action taken d) Justification comments where required – such as Estimates	To maintain an audit trail of user activity, to enable more efficient tracking of changes and to enable users to understand why adjustments or overrides have been actioned. To ensure the system is auditable.

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			adjustments, validation overrides, WGA journals (i.e. PFI validation overrides - include confirmation that the FD has provided clearance; Estimates - record account number)	
REQ03.002 GN	Workflow, Configuration & Validation	**Query logs**	The system shall enable users to raise and respond to workflow requests via the system and shall maintain a log of queries.	To facilitate resolution of queries and maintain an audit trail of queries
REQ03.004 GN	Workflow, Configuration & Validation	**Change request workflows**	The system shall enable authorised users to make or request changes, such as to: - segment parent, segments, and sub-segments - CoA - CPID list - Classifications (i.e, budget and outturn data to CoA codes) - Department names - Estimates lines	To reduce pressure on OSM, enable changes to be standardised and ensure change control is managed within the system
REQ03.005 GN	Data Quality	**Variance validations**	The system shall enforce validations to sense check figures and flag unexpected variances, for example: a) Check against the equivalent figure in the previous month and flag if figure is X% different to previous month b) Check against equivalent figures in prior years and flag if figures are X% different to prior years	To sense check figures and improve data quality by flagging unexpected variances and reduce the risk of incorrect data being loaded into the system
REQ03.006 GN	Data Quality	**Highlight all validation errors**	The system shall highlight the location (cell or row) of all known errors within a data set at the point of data load.	To make error resolution more efficient and improve data quality. This should include a summary to show the types of errors and links between related errors to enable effective resolution and enable users to check for recurring errors
REQ03.007 GN	Workflow, Configuration & Validation	**Configure exceptions to validation rules**	The system shall enable authorised users to configure and update exceptions to data validation rules for specific bodies (i.e. some bodies have only AME and no equivalent figure in DEL; information may be unavailable for PFI projects before certain dates)	To accommodate known exceptions so that the data does not fail validation in these instances.
REQ03.008 GN	Workflow, Configuration & Validation	**Configure validation rules**	The system shall enable authorised users to configure, update, amend, temporarily override, and remove data validation rules for specific datasets, or bodies, within the system, including for: - WPR data - Budgeting data - Estimates	To enable automated validation of the data and identify issues at load point for resolution. To enforce relevant business rules and ensure data quality through preventing incorrect data being loaded. To enable submission of data

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			- WGA (i.e, TB must balance; Audit thresholds;) - GEP - Cash forecast data (i.e, receipts figures must be positive)	without validation failure where ad hoc exceptions agreed.
REQ03.009 WP	Workflow, Configuration & Validation	**Levels of validations**	The system shall enforce validations of different levels, as required by business processes: a) Enforce hard validations to prevent data being loaded (i.e, WPR - remuneration costs must not be negative; PFI - dates in the wrong format; GEP – 4 DEL control totals and AME control total breaches) b) Enable users to override errors with a justification (i.e, PFI - construction dates should be before other entry dates)	To prevent incorrect data being loaded to the system based on business rules, but to enable bodies to submit correct data where this deviates from standard rules due to specific circumstances
REQ03.010 GN	Workflow, Configuration & Validation	**Explanation of validation errors**	The solution shall provide an explanation of the reason for each validation error in plain English.	To make it easier for end users to understand the reason for an error and facilitate correction.
REQ03.013 GN	Master Data Management	**Consistent capture of figures**	The system shall have a standardised level at which figures are input across related datasets, for example thousands or millions, enforced by system validations / reminder pop-ups and shall apply consistent handling of decimal places	To ensure consistency in figures across the solution and to help data owners recognise their own numbers.
REQ03.014 WP	Data Quality	**Data quality checking**	The system shall enable the WPP team to data quality check submissions on system, mark submissions as reviewed and add review comments where required. The system shall display a summary of: - Submissions reviewed - Outstanding for review It shall be possible to apply filters (i.e, civil service only, workforce only, all)	To facilitate data quality checks and monitoring
REQ03.015 GN	Data Quality	**Spell check text content**	The system shall spell check textual content of reports, highlighting any errors for correction.	To ensure that errors are identified and corrected at an early stage.
REQ03.016 E	Workflow, Configuration & Validation	**Lock / unlock submissions / parts of submissions**	The system shall enable authorised users to lock and unlock submissions (any part including layout and content i.e, an Ambit) at specific points in time. The system shall implement automated locking based on deadlines entered on the system, where required.	To prevent changes after deadlines, other than agreed changes

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ03.017	Workflow, Configuration & Validation	**Identify report data sources**	Enable end users to identify the data sources (fields, tables) within the system from which reports have been derived, based on any data dictionary.	To enable users to check whether reports are based on the fields and data they expect and to avoid misinterpretation.
REQ03.018 GN	Master Data Management	**Data mappings**	The system shall enable authorised users to remap existing incorrect data. The system shall maintain a record of new mapping to previous mappings.	To maintain data structures effectively and correct mapping errors. To ensure that data can be traced back to where it was previously mapped (as per REQ02.023GN)
REQ03.019 GN	Data Quality	**Report unmapped codes**	The system shall enable authorised users to run a report of unmapped account codes.	To enable oversite of CoA mappings
REQ03.020 GN	Workflow, Configuration & Validation	**Automated notifications**	The system shall have the ability to automatically send notifications with key information to relevant users on completion of uploads and processes, including for: - Data rollovers (i.e. WGA) - Requested changes - Loading data (i.e. approved reserve claims; WGA submissions notification to include financial period (P1-12 as 01, P1-14 as 02, HMT adjustments after intercompany errors as 03, analytical review adjustments as 04, audit adjustments at WGA level as 05) - Adjustments (i.e, detail type of change, type of spend affected, bodies involved)	To increase efficiency and reduce need for manual notifications
REQ03.021 W	Workflow, Configuration & Validation	**Task status**	The system shall show the status of a process via a timer or status bar, and shall notify users on completion or failure of task (with failure reason) (i.e, running reports, loading data)	To enable users to determine whether a task is in progress, has run or has failed.
REQ03.022 S	Workflow, Configuration & Validation	**Monitor spend variations**	The system shall monitor variation in specific categories of spend and alert teams if a defined threshold is crossed	To enable spending teams to monitor variations and to identify exceptions
REQ03.023 GN	Security	**Manage user accounts**	The system shall enable "super users" with the appropriate access roles to: - Create new user accounts - Assign user roles to user accounts - Delete user accounts - Run reports on unused user accounts - Run reports on numbers of users by groups The system shall provide a method by which end users can securely: - Automatically perform a password reset	To enable new accounts to be created as and when required with appropriate access and remove access permissions. Monitor accounts for access and licensing.

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			- Request a user account	
REQ03.024 GN	Security	**Roles based access**	The system shall have roles based access for data and functionality (for example a role may correspond to a particular team, process, or publication).	To gives users access to required functionality and data but ensure access is provided on a "need to know" based and maintain information security

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ04.001 GN	Master Data Management	**Non-financial data**	The system shall support the loading of non-financial data, including: - WPR data collections (headcount , %s, FTE, number of exit packages, number of employees on the NLW)	To enable analysis and remove the need to combine data manually off system. This should include: a)Population data b)GDP deflators
REQ04.002 GN	Master Data Management	**Incorporate additional datasets**	The system shall be flexible to incorporate new datasets, into the data model, as determined by business requirements.	To enable additional datasets to be incorporated as required to support cross-government needs (i.e, to support Efficiency Review objectives). These could include: Workforce; Digital; Estates; BRAVO (transactions); Transactions Explorer (digital transactions); Epims (Estates data); ONS (people data).
REQ04.003 GN	Data Collection	**Attachments**	They system shall enable users to upload documents digitally, including: -WGA attachments -PES paper (Estimates)	To facilitate processes.
REQ04.004 CR	Data Collection	**PESA / CRA datasets**	The system shall enable the loading and storage of all datasets required for the CRA and PESA publications, including: CRA submissions, DCLG data, DWP data, DA data, EU transactions, public corporations data, data on public debt, population data from ONS, reserves, OBR allowances and adjustments.	To enable the CRA and PESA publications to be produced via the system, with the complete dataset on system and reduce manual processing
REQ04.005 WP	Data Collection	**ONS total pay bill figure**	The system shall enable the loading and storing of the annual total public sector pay bill figure from the ONS Blue Book publication.	To enable WPR analysis on system
REQ04.006 PF	Data Collection	**Receipts data**	The system shall store receipts data.	To store additional datasets for analysis
REQ04.008 C	Data Collection	**Cash forecasts from departments**	The system shall enable daily and monthly cash forecast data collection and storage for all departments	To enable the process on system and remove off-system working
REQ04.009 G	Data Collection	**OBR AME data**	The system shall store OBR AME data, loaded by internal users	To compare AME forecast and actual spend

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ04.0010 PF	Master Data Management	**Master data lists**	The system shall store master data lists, including for: 1)PFI projects (unique IDs) 2)CPID 3)WPP ALBs 4)Public bodies 5)Categories of spend 6)Policy areas	To maintain a central list and enable changes to be applied to all data sets
REQ04.011 GN	Master Data Management	**Tagging**	The system shall enable users to tag, and update tags, managed by relevant authorisers, including for: - categories of spend - policy areas - spend and income - country and regional analysis	To increase granularity for reporting, take different views of data, enable tagging of data for key policy areas and ensure correct categorisation.
REQ04.012 GN	Master Data Management	**Master Data Management**	The system shall enable robust master data management and change management	To implement robust master data management
REQ04.013 GN	Master Data Management	**Temporary dimensions**	The system shall enable users to create temporary tags / dimensions mapped to other dimensions in the underlying data model to allow filtering by a new list or hierarchy	To accommodate different requirements for data analysis
REQ04.014 GN (FI032)	Master Data Management	**Fiscal Event recognition**	The system shall enable data to be classified according to the fiscal event it relates to (i.e, Main Estimate)	To enable financial data to be tracked to fiscal events.
REQ04.015 GN	Master Data Management	**Existing classifications**	The system shall enable data to be classified according to all current categories, to include: 1) COFOG 2) Chart of Accounts in OSCAR 3) PESA Economic Group 4) National Accounts Definitions 5) Regional/Non regional 6) Sectoral 7) Capital/Resource 8) DEL / AME	To enable continuity of outputs and publications required.
REQ04.016 GN	Master Data Management	**Draft structure changes**	The system shall enable users to have access to an area in which structure changes, such as for the CoA and CPIDs, can be trialled in draft.	To ensure changes are correctly and successfully applied without affecting live data
REQ04.018 GN	Master Data Management	**Mappings between datasets**	The system shall enable the setup and maintenance of mappings between datasets and CoAs on the system.	To enable reconciliations (i.e, mappings should include Year 1 figures from PFI submissions to WGA PFI submissions) and mappings to required CoAs.
REQ04.019 GN	Master Data Management	**CoA Structure**	The system shall hold CoA structures necessary to enable reporting for statutory outputs and other processes as referenced in this document.	To support processes and reporting.
REQ04.020 GN	Master Data Management	**Previous Data structures**	The system shall preserve a record of data / reports under previous structures, shall enable current data / reports to be viewed as they would	To retain a historic record of the data and to enable views of data based on previous and new structures (i.e, through slowly

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			look if previous data structures were still in place, and enable a view of historic data as though new structures had always existed	changing dimensions)
REQ04.021 PF	Data Quality	**Reconciliations**	The system shall enable reconciliations between datasets which are mapped on the system.	To enable a comparison of figures and investigation of differences and changes (i.e, Year 1 figures from PFI submissions to WGA PFI submissions; Estimates to PESA)

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ05.001 GN	Data Integration	**Data interfaces / API load to system**	The system shall enable departments to load data to the system directly from their source systems through the provision of an agreed Application Programming Interface (API). The system should be flexible such that additional APIs can be added in the future.	To enable departments to load data directly and remove manual processing
REQ05.003 GN	Hosting / Infrastructure	**Browser compatibility**	The solution shall be compatible with common internet browsers.	To enable all department / DA users to use the solution
REQ05.004 GN	Hosting / Infrastructure	**Mobile access**	Ability to access reports, dashboards, planning and consolidation components via mobile devices.	To enable more flexible working
REQ05.005 W	Data Collection	**WGA submissions - Online application / system access**	The system shall enable WGA bodies to have access to submit data directly to the system replacing the current DCT. The application shall be flexible to accommodate differences in data collection across WGA bodies and required changes. End users to include: a) Government Departments b) Devolved Administrations c) Local Authorities	To enable all users required to submit data to do so via an online application to avoid manual workarounds and pressure on the WGA team to spend time uploading data on behalf WGA bodies.
REQ05.006 GN	Hosting / Infrastructure	**Website access**	The system shall be available for end users to access directly from their own networks without going via an intermediary system	To remove the need for CITRIX

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ06.002G N	Workflow, Configuration & Validation	**Status of service**	The system shall display a message to users on the status of the service	To alert users to the status of the service

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ06.004GN	Workflow, Configuration & Validation	**Link emails to the system**	The system shall enable email communications to be linked to the system, to enable users to send emails via the system which flag to the recipient that the email relates to the system and shall enable such emails to be attached and stored on the system.	To link communications to the system to aid quicker actions and maintain a log of communications which is critical in teams with high turnover
REQ06.006GN	Hosting / Infrastructure	**User support availability**	End user support shall be in line with agreed SLAs (i.e, available between 08:00-18:00 Monday to Friday).	To ensure current user support levels for end users are maintained.
REQ06.007GN	Workflow, Configuration & Validation	**Pop-up / in context help**	The system shall provide pop-up / in context help, such as for: - Formulas used in calculations and reporting - Specific reports - Query tools - Visualisation tools	To help users when creating reports
REQ06.008GN	Workflow, Configuration & Validation	**User training and guidance**	Users shall have access to training and guidance, tailored to specific roles and business areas, such as through: - Webinars - Videos - Training modules - Audio visual	To provide training and guidance linked with system to reduce the overhead of delivering face to face training. Flexible training to suit user needs. The training material may or may not be stored on the system.
REQ06.009GN	Workflow, Configuration & Validation	**Error log – definitions and guidance**	A list of errors with clear definitions of each error and resolution suggestions shall be available	To help users with error resolution and reduce pressure on FACT team
REQ06.010GN	Hosting / Infrastructure	**Training area**	The system shall provide users with a training area which mirrors the functionality of the production solution to enable practical training without affecting source data.	To enable practical training which is more effective and increases user knowledge

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ07.001GN	Data Management	**Data storage capacity**	The system shall have reasonable data storage capacity as required by business needs and capacity to extend storage	To match storage capacity to the requirements of the business
REQ07.002GN	Hosting / Infrastructure	**Appropriate Disaster Recovery processes**	The system shall have appropriate disaster recovery processes for business continuity in line with SLAs	To ensure business continuity.

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ07.003GN	Hosting / Infrastructure	**Real time system**	The system shall load data / adjustments / transfers such that users shall be able to see the impact of the data load immediately, such as for allocations data loads (DEL budgets and reserve claims)	To make processes more time efficient, reduce pressure around deadlines, and reduce need for manual workarounds. For example use of in memory technology.
REQ07.004GN	Security	**System access**	The system shall be accessible by users / bodies who require access to the system and who are required to submit data. The system shall support single sign on. All system communications and data transfer must be via a secure, encrypted channel. Users shall be authenticated on a role-based basis, securely, through common industry best practice authentication methods (such as multi-factor)	To ensure that all users who require it are able to access the system and perform necessary actions
REQ07.005GN	Hosting / Infrastructure	**Reporting functionality and queries**	The system shall have reasonable performance of reporting functionality (i.e. not more than 2 minutes)	To ensure performance of the solution meets business requirements.
REQ07.006GN	Hosting / Infrastructure	**Notifications**	The system shall have reasonable performance in respect of notifications (i.e. not more than 2 minutes for notifications to send)	To enable timely notification and allow users to take immediate action
REQ07.007GN	Hosting / Infrastructure	**Simultaneous processes**	The system shall enable unrelated processes to run simultaneously and have reasonable timelags between related processes (i.e. a few seconds or minutes for a process to complete and the second process to begin)	To stop all processes needing to be sequenced
REQ07.008GN	Hosting / Infrastructure	**User licences**	The system shall have reasonable availability of user licences as required to satisfy user needs.	To avoid pressure on only one team member with access.
REQ07.009GN	Hosting / Infrastructure	**Reliability**	The system shall be reliable and available for users when required, including reporting and uploading processes	To avoid users being unable to access the system
REQ07.010GN	Hosting / Infrastructure	**Availability**	The system shall have availability, in line with SLAs, such as for software patching and infrastructure maintenance, especially around key reporting deadlines. It shall be possible to make changes to system data structures without requiring a solution outage. The system shall be securely available for users to access	To ensure users have access to the system to perform essential business processes. To ensure that the solution is effectively maintained. For example through using cloud based infrastructure.

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			outside support hours in accordance with availability SLAs.	
REQ07.011GN	Hosting / Infrastructure	**Concurrent users**	The system shall support a reasonable number of concurrent users as required by business needs (i.e, at least 75 concurrent users).	To ensure sufficient user capacity during peak usage periods.
REQ07.012GN	Hosting / Infrastructure	**Number of users**	The system shall support a reasonable number of total users as required by business needs (i.e, which could be 2,000 or more for specific processes).	To ensure the solution is available for use by all end users who require access.
REQ07.013O	Hosting / Infrastructure	**Back ups**	The system must retain appropriate back-ups for business continuity (for example weekly full and daily incremental backups, to be securely stored off site by either physical or electronic transmission for at least five weeks). The backup strategy must align to the classification of data in the solution, meet regulations and meet the needs of the Disaster Recovery and Business Continuity Planning requirements (the backup strategy and schedule must also change if those inputs change)	In order to ensure the service can be restored in the event of on-site business continuity issue.
REQ07.014GN	Hosting / Infrastructure	**Continuous Connection**	The system shall enable users to remain connected to the system for a reasonable period of time (i.e, users shall not be disconnected every few minutes)	To ensure users remain connected to the system whilst working and are not disrupted through disconnections
REQ07.015GN	Security	**Government security requirements**	The system security shall meet Government security requirements (for example, passing relevant penetration tests) Only those devices that are approved shall be able to access the solution.	To align with security requirements.
REQ07.016GN	Hosting / Infrastructure	**Automated testing**	There shall be a test instance which mirrors the system with test data and automated testing capability so that regression can be undertaken on releases in an automated way.	To allow for substantially lower costs of release in future.
REQ07.017GN	Hosting / Infrastructure	**Usability**	The system shall have all features available from a single landing page and the look and style shall meet brand and usability	To provide users with a user-friendly system that meets required standards, such as: - plain English

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			guidelines. The user experience must remain consistent on all devices irrespective of operating systems	- Level AA of the Web Content Accessibility Guidelines (WCAG) 2.0.
REQ07.018GN	Data Management	**Data Management**	All system data must be securely stored and managed (in whatever format it is held). Data must be retrievable on demand immediately or within a reasonable period of time as defined in the SLAs.	Secure and accessible data
REQ07.019GN	Data Management	**Data Removal**	Data no longer required must be securely transferred and destroyed.	Secure removal of data no longer required
REQ07.020GN	Hosting / Infrastructure	**Scalability**	The solution must scale up and down smoothly For example (but not limited to) ensuring that data storage, performance, volumetric and service demand peaks can be scaled for, and are adequately catered for throughout the life of the solution.	Solution with adequate performance
REQ07.021GN	Hosting / Infrastructure	**Maintenance**	The solution must be able to be maintained within SLAs such that scheduled downtime does not impact users. Patches and other necessary updates must be applied (in line with SLAs)	Able to manage the solution in line with user needs
REQ07.022GN	Hosting / Infrastructure	**Supporting Tools**	Appropriate tools must be in place to support solution management such as maintenance and any roll-backs required.	Able to manage the solution in line with user needs
REQ07.023GN	Hosting / Infrastructure	**Recoverability**	The solution (and data) must be recoverable in line with SLAs	Able to recover the solution and data in the event of disaster or emergency
REQ07.024GN	Hosting / Infrastructure	**Transferability**	The solution must be able to be transferred from one supplier to another seamlessly with no break in service	To ensure that the solution is not tied to any one particular supplier
REQ07.025GN	Hosting / Infrastructure	**Solution Performance Tracking**	The following information must be captured such that it can be provided in service reports - Service Availability; - IT System Responsiveness - Number of minor and major degradations of service; - Service Recovery times; - Recovery times; - Diagnostics and Lessons Learned; - Failures in Regulatory and/or Security compliance; - Data integrity.	To support management of the solution

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Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			- Helpdesk tickets, response and resolution times.	
REQ07.026GN	Hosting / Infrastructure	**Documentation**	Documentation related to the solution must be written concisely in English with appropriate diagrams and be kept up to date in a location accessible to authorised users	To support management of the solution
REQ07.026GN	Data Management	**Data Leakage / Data Loss**	The solution must be able to restrict the downloading of content and other data leakage prevention when a user is accessing the service through a personal device (as opposed to a device managed by a Government Department IT Department)	To restrict the loss of important information

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- ANNEX 10 B - Optional Requirements

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ01.012 GN	Reporting & Analytics	**Advanced Analytics Capability**	The system shall provide the capability to run advanced analytics and artificial intelligence across user nominated data sets to highlight anomalies and trends, and the results added to reports and dashboards	To future proof the system and allow an additional level of insight.
REQ01.015 S	Reporting & Analytics	**DDI Pack dashboard**	The system shall enable the production of the DDI pack (departmental spending profiles, forecasting accuracy, admin and program YoY and In Year comparisons and run rates)	To provide a detailed breakdown of spending profiles and forecasting accuracy
REQ01.035 GN	Reporting & Analytics	**Report Templates**	The system shall allow authorised end users to download blank report templates	Allow end users to understand the format in which the output is required.
REQ02.007 G	Reporting & Analytics	**Formal settlement letters**	The system shall enable the production of the formal settlement letters which are sent to departments.	To produce these efficiently
REQ02.008 GN	Data Integration	**Link to other approvals information**	The system shall enable an ID to be added during workflow that can help to reference back to (but not automatically link to) an approval document held on another system (such as infostore / sharepoint etc)	To provide an audit log of approvals relating to changes on system
REQ03.003 PS	Workflow, Configuration & Validation	**Query snapshots**	The system shall enable users to highlight specific rows on the system to other users / send a snapshot of data to other users	To assist with resolving queries
REQ04.007 S	Data Collection	**NI contributions data**	The system shall enable the loading of National Insurance (NI) contributions data	To be able to cross-check NI contributions figures with Estimates
REQ04.017 GN	Master Data Management	**Multiple currencies**	The system shall support multiple currencies.	To accommodate multiple currencies
REQ05.002 GN	Data Integration	**Direct data feed with ONS**	The system shall enable HMT to share data with ONS directly via the system by providing ONS with an API, with HMT users releasing the data / reports to ONS.	To improve access to data for ONS and reduce the overhead on HMT teams.
REQ05.007 GN	Workflow, Configuration & Validation	**Mobile Workflow**	Ability to access workflows (i.e, approving budget cover transfers), and system communications via mobile devices.	To enable more flexible working
REQ06.001 GN	Workflow, Configuration & Validation	**Roles based communications**	The system shall have the ability for users to issue communications, via the system to: - Individual users	To facilitate identification of relevant contacts, link notifications to the system and utilise user groups

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			- User groups - All users To notify users of upcoming system maintenance, data commissioning notifications (eg. PES paper), send newsletters.	
REQ06.003 GN	Workflow, Configuration & Validation	**Collaboration functionality - ability to contact other users via the system**	The system shall have the functionality for users to contact each other via the system: - User forums - Instant messaging - Ability to add queries / comments relating to specific data submissions and entries	To enable users to ask questions and facilitate resolution of queries and amendments that may be required. To facilitate the agreement of inter-company transactions
REQ06.005F	Workflow, Configuration & Validation	**Query management module**	The system shall enable query management, including ticketing, tagging and trend / volume reporting	To facilitate effective management of queries and enable user guidance and support to be targeted where it is most needed.

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ANNEX 11 - Information on Data Volumes

This information relates to the **CURRENT** OSCAR solution. Potential Providers will need to consider the additional capacity required to meet the requirements of this tender process.

- The largest multi-dimensional "Fact" table within the existing database is 65 million records (then in order of scale for the next four largest, 28 million, 11 million, 3 million, 130 thousand).

- The largest multi-dimensional "Dimension" table is the segment table which holds the overall Government departmental structure (including some project / policy / initiative information) to a granular level. This has 36 thousand records (then in order of scale for the next two largest, 17 thousand, 12 thousand – covering other views of the organisational structure and the Chart of Accounts) (Noting that there are approximately 2,500 Organisations and 2,000 codes in the Chart of Accounts).

- There is historical data in OSCAR (typically aggregate totals), with full datasets from 2013-14 onwards.

- The largest database size within the existing database in 144 Gigabytes (GB) (then in order of scale of next four largest, 35 GB, 13GB, 12 GB, 0.6GB).

ANNEX 12 - Information on End Users

The following describes CURRENT end user totals

|	Process	Current Resource Estimate
Collection	**Data collection**	Authority < 30 Departments < 300 DCT for WGA < 1,500 (could be higher, the DCT number is based on an average of one user and one auditor per organisation)
Analysis	**Use of OSCAR to retrieve standard reports and perform ad-hoc financial analysis**	Authority < 30 (This number is expected to significantly increase as a result of a successful OSCAR II project and Potential Providers should account for this significant increase in their response and costs)
Reporting	**Production of standard report packs for use by spending teams**	Authority < 10
	Production of the Whole of Government Accounts (WGA)	Authority < 10 Departments < 300 DCT for WGA < 1,500 (could be higher, the DCT number is based on an average of one user and one auditor per organisation)
	Production of Workforce Pay Remit (WPR)	Authority < 10 Departments < 100
	Production of Public Finance Initiative Information (PFI and PF2)	Authority < 5 Departments < 50
	Management of the Vote on Account	Authority < 30 Departments < 100
	Production of the Country and Regional Analysis (CRA)	Authority < 5 Departments < 100
	Production of the Public Expenditure Statistical Analyses (PESA)	Authority < 5 Departments < 100
	Production of the Supply Estimates (Main and Supplementary) (including management of control totals)	Authority < 10 Departments < 300
	Production of the Public Sector Finance Release (FSP / PSFR) with ONS (Quarterly and Monthly)	Authority < 5 Departments < 100
	Cash Management	Authority < 20 Departments < 300
Main	**Modification of master data in OSCAR**	Authority < 20 Departments < 300
	Maintenance of the OSCAR solution	Authority < 20

Figures are rough headcount totals aggregated for each organisation type of which few are full-time (many use OSCAR part-time at key points in the cycle).

"Department < 100" implies that there are up to 100 people across all Departments (not 100 people in each Department)

Information on concurrent users can be found in Appendix 10 in the Non Functional Requirements

ANNEX 13 - Existing Data Model

The Data Model – Logical (Summary)
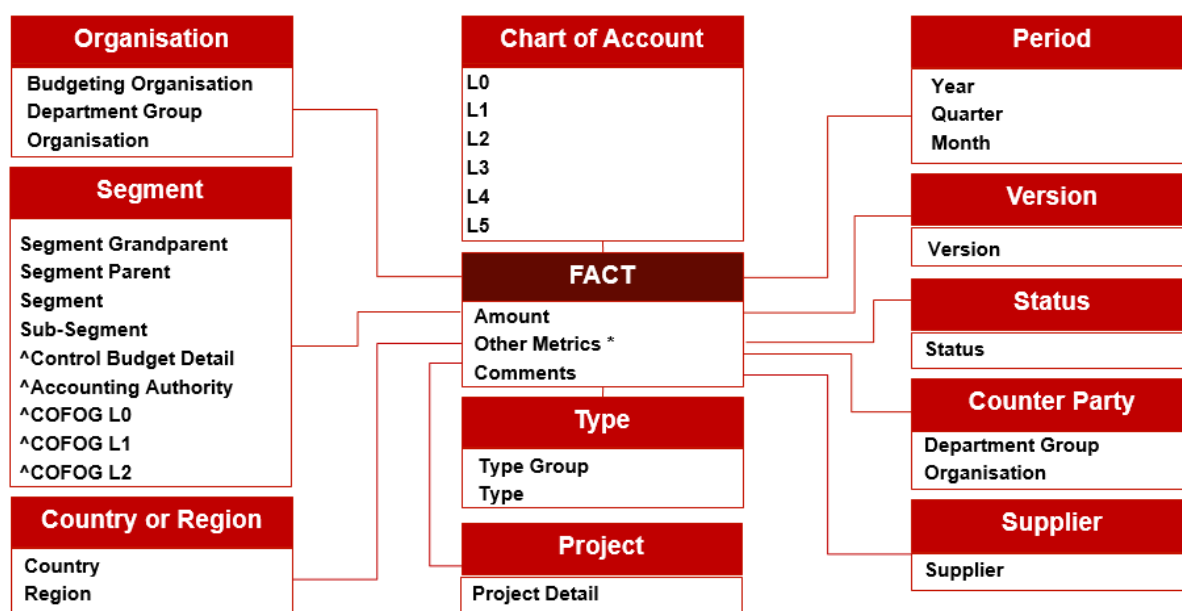
- **Organisation** – The organisation is the body (Government department, Devolved Administration, Local Authority, Other Government Body etc) responsible for the spending, and includes all arms-length bodies.

- **Segment** – Departments and HM Treasury have agreed segmental reporting structures for OSCAR. The segment is the most detailed meaningful breakdown of departments' spending available in OSCAR.

    o ^ These items are attributes within the Segment dimension that help to classify data appropriately for analysis and reporting

- **Country or Region** – this data is used for the Country and Regional analysis publication

- **Chart of Account** - The main CoA hierarchy

- **Type** – This is a 'reason for change' field. Data is entered against a type that indicates the reason for loading the data, in Budgeting publications examples include Reserve Claim or Budget Cover Transfer.

- **Project** – this data is currently used for the PFI dataset only and describes the PFI initiative and relevant project details.

- **Period** – This is the period to which the spending relates.

- **Version** – This comprises plans and each in-year return.

- **Status** – Currently the main statuses used are Draft, Proposed or Confirmed

- **Counter Party** – is a direct copy of the Organisation dimension and is used to track the other half of financial transactions between Government entities.

- **Supplier** – this data is used for the PFI dataset only and holds the third party company investing in the PFI initiative.

- **FACT** - The main "Fact" in the OSCAR data model is "Amount" which is held in £ GBP and relates to pounds spent or planned to be spent. It is currently held in £thousands (£,000s)

  - There are also "Other Metrics" held specifically for publications such as Workforce Pay and Pensions (WPP/WPR) (36 additional metrics predominantly related to aggregated employee statistics such as headcount, FTE and the breakdown of total pay and benefits into constituent parts) and Private Finance Initiative (PFI) (4 additional metrics)

The Data Model – Physical (summary)

There are five physical data models in the current OSCAR System but these could be aligned in the new OSCAR II System. Note that the XDB Fact table relates to the WGA and the FCT_OSCAR table relates to all budgeting based datasets (including Estimates, PESA and Vote on Account)

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ANNEX 14 - Service Level Agreements

Timings start from when the Authority, any end user or monitoring jobs notify the Potential Provider (Verbal, SMS, Email)

Business hours are defined as between 08:00 and 18:00 (UK time) Monday to Friday excluding Public Holidays (England)

Priority	Definition	Measurement	
Critical Service Level Failure	Critical systems outage affecting all or a substantial number of users for a prolonged or repeated period of time. Typically failure of business critical servers, device or application, resulting in service unavailable.	Entire business day before the deadline for the Supply Estimates, Vote on Account, WGA or Management Account Pack reports are due OR 24 hours more than once in a three month period OR More than 3 times in any rolling 12 month period	
	OR The requirements for the solution cannot be proven to have been met and omissions or issues cannot be resolved within reasonable timeframes.		

Priority	Definition	Response	Resolution
1	Critical systems outage affecting all or a substantial number of users. Typically failure of business critical servers, device or application, resulting in service unavailable. OR Critical systems issue affecting all or a substantial set of functionality related to a publication due within the next 72 hours	20 minutes	2 hours
2	Non-critical systems or service outage affecting a significant number of users. Limited or reduced service available. OR Systems issue affecting functionality related to a publication due within the next 120 hours	1 hour	8 hours
3	Non-critical systems or service outage affecting one or a small number of users OR Systems issue affecting functionality	4 hours	2 business days
General Query	Any general query (including Helpdesk queries) not meeting the definitions above	24 hours	Answer to be provided in the

			response
	Incident Management Out of Hours	Response	Resolution
	Priority 1	30 minutes	4 hours
	Priority 2	2 hours	24 hours
	Priority 3 and General Query	No response until business hours commence then as per response timescales above	No resolution until business hours commence then as per resolution timescales above
	Root Cause	Plan developed by Potential Provider and available for Authority Approval	Resolution
Major Request	A request that may involve changes to the scope of the current service	24 hours	72 hours
Minor Request	A request that does not involve changes to the scope of the current service	24 hours	48 hours
	Change Request (Minor, Medium, Major, Emergency)	Plan developed by Potential Provider and available for Authority Approval	Change working in production
Emergency	Emergency	2 hours	4 hours
Major	(A significant implementation which will affect production services, possible service management amendment or impact on contractual obligations).	< 5 business days	< 10 business days
Medium	(A change that will require planning, possibly from multiple teams, may have impact on production services but will not require service management changes or contractual amendments).	< 3 business days	< 5 business days

Minor	(A change request which can be implemented by the Potential Provider only, will not affect production services and will not require service management changes or contractual amendments).	< 2 business days	< 3 business days
	Failed Changes	**Quantity per month**	
	Backed out	Zero	
	Success criteria not met	Zero	
	Uncontrolled changes	Zero	
	Solution Speed	**Timeframes**	
	Refresh of data grids, web screens, dashboards and reports	2 seconds (or 90% improvement on existing OSCAR system for largest queries / reports)	
	Availability / Uptime	**% of time**	
	Databases, Applications, Reports, Network, Servers, Data Storage and Backup infrastructure availability	99.8%	
	Proactive Monitoring	**Alert**	**Threshold**
	All capacity and storage will be automatically monitored. The solution will also be monitored for attempted intrusion or penetration.	Disc space	90%
		Memory usage	90%
		CPU usage	90%
		Intrusion / Penetration Attempt	Any
	Maintenance including patching	**Target response**	**Resolution**
	Maintenance for web based services will be publicised in advance and a managed appropriately during the maintenance periods. Deployed first to the Test Environment, followed by the Development, Pre-Production and then the Production Environment.	During an agreed 6 hour overnight period once a month	Provider will raise changes to the Authority to agree and take place in a controlled

		shutdown order
	Maintenance for non web based services will account for the needs of data back ups and any necessary testing and quality assurance activities.	Outside of business hours

	Communication Plans
	• **Incidents** – text and email messages will be sent out to Authority contacts (as defined by the Authority) during business hours, email notification will be sent out of hours. The text message or email will provide contact details to directly reach Potential Provider staff by phone and email. • **Progress of an incident, change, release** – hourly unless pre-agreed with the Authority • **Service & maintenance notifications** - One month before planned quarterly maintenance, one week before unplanned maintenance, agreed time for emergency maintenance • **Requesting test support (for example for UAT)** – Users notified at least one month prior to test commencing that they may be requested to participate. At least one week before for specific test slot (at a date / time suitable for the end user) • **Security Management Review –** Potential Provider to provide security update report at least monthly and attend Security Working Group at the request of the Authority • **Service Management Review** – Potential Provider to provide service management report (including detailing service credits) at least monthly and attend service management review at least monthly • **Software Vendor Service Review** – If software is purchased via the Potential Provider then Potential provider to arrange annual service meeting between Software Vendor and Authority. • **Milestone missed (or significant risk of being missed) –** Potential Provider to detail an Exception Report within 3 working days which includes (but not be limited to) the following information: (i) Reasons for not meeting that Implementation Milestone; (ii) Consequences of not meeting the Implementation Milestone; and (iii) Possible remedial actions including details of necessary resources.

	Disaster Recovery
	The provider will aim to meet a Recovery Time Objective (RTO) of no more than 4 hours.

	The provider will aim to meet a Recovery Point Objective (RPO) of no more than 2 hours.	
	Other	**Criteria**
	Data Migration practice runs	At least two for each planned release and at least one for each emergency change
	Restore from backup	4 hours from request and approved by Authority
	Data Archiving	Annually for data related to financial years more than six years old
	Exiting the contract – service transition	Transition complete in line with call-off contract Termination Assistance
	Documentation	An updated copy of the documentation must be provided to the Authority within: (i) 30 days of the end of each Contract Year; and (ii) 10 days of a Termination Notice being served.
		The Provider must maintain the Service Delivery Documentation and issue the Authority with an updated copy (for review and approval) within 10 days of any major system or process change.

ANNEX 15 - Required Reports

The following list of Required Reports is a subset of the Project Requirements that can be found in Annex 10. The complexity ratings are estimates.

Requirement ID	Reporting Output Title	Estimated Complexity	Word style and PDF report	Excel output	Online dash board	Other
REQ01.002GN	Bespoke reporting	Very High	x	x	x	JSON / XML
REQ01.003GN	Spending control / plans / returns report	Medium	x	x		
REQ01.003GN	DAR excel file	Medium		x		
REQ01.003GN	MOGs and BCTs excel file	Medium		x		
REQ01.003GN	Transparency Data	Medium		x		JSON / XML
REQ01.003GN	EDP reporting to Eurostat (ONS)	High	x	x		
REQ01.003GN	Fiscal Sustainability Report (OBR)	High	x	x		
REQ01.003GN	HMT Budget PFI control totals	Medium		x		
REQ01.003GN	Private Finance Initiative and Private Finance 2 projects: Summary data	Medium		x		
REQ01.003GN	WPR Key Trends and Analysis	High		x		
REQ01.005WP	WPR Analysis Report	High		x	x	
REQ01.006C	Prediction of future cash requirements report	Very High		x	x	
REQ01.008GN	Variances Report	High		x	x	
REQ01.009PF	PFI Analytics	High		x	x	
REQ01.013GN	Benchmarking dashboard	Very High		x	x	
REQ01.014S	Spending Control Report	Medium		x	x	
REQ01.016S	Spending Control dashboard	High		x	x	
REQ01.017S	OPEX dashboard	High		x	x	
REQ01.018SWP	Risk analysis dashboard	High		x	x	
REQ01.019S	Budget tracker dashboard	High		x	x	
REQ01.020S	Adjustments dashboard	Medium		x	x	
REQ01.021C	Cash management performance monitoring report	Medium		x	x	
REQ01.022GN	Submissions status monitoring dashboard	Medium		x	x	
REQ01.023GN	WGA cash flow (indirect method)	Medium	x	x		
REQ01.023GN	Estimates figures	Medium		x	x	
REQ01.023GN	CPID/Counter Party List	Medium		x		
REQ01.023GN	WGA journals	Medium		x		

REQ01.023GN	CoA, segment and sub-segment level reports	Medium		x	x	
REQ01.023GN	Differences between Main and Supplementary Estimates	High		x	x	
REQ01.023GN	Monthly forecast outturn	High	x	x		
REQ01.023GN	General expenditure report	High	x	x		
REQ01.023GN	Cash flow analysis report	Very High	x	x		
REQ01.023GN	PFI spending control total performance report	Medium		x	x	
REQ01.023GN	OBR Financial Stability Report	High	x	x		
REQ01.023GN	Annual ALB report for bodies spending above £1m+	Medium	x	x		
REQ01.023GN	WGA mapping spreadsheet	Medium		x		
REQ01.023GN	WGA elimination errors	Medium		x	x	
REQ01.023GN	Standard CoA - transactional data and Notes to the Primary Financial Statements	High	x	x		
REQ01.027P	PESA publication	High	x	x		
REQ01.028P	CRA publication	High	x	x		
REQ01.029PF	PFI publication	High	x	x		
REQ01.031PS	PSF publication	High	x	x		
REQ01.032E	Supply Estimates publication (main)	Very High	x	x		
REQ01.032E	Supply Estimates publication (supplementary)	Very High	x	x		
REQ01.033V	Vote on Account Publication	Very High	x	x		
REQ01.034W	WGA publication	Very High	x	x		XBRL
REQ01.036GN	Management Account Pack	Very High		x	x	
REQ02.004GN	Transaction Impact Report	High		x	x	
REQ03.001GN	System Audit Reports	Medium		x	x	
REQ03.014WP	Data Quality Report	High		x	x	
REQ03.019GN	Unmapped account codes report	Medium		x		

ANNEX 16 - Additional Security Requirements

1.1   The end users who will connect to OSCAR II will come from many different government-related organisations and the end user devices that they use will be configured and managed by their own parent organisations. Each of those organisations will have their own processes for making changes to their end user device builds which in some cases may take a very long time and, in some cases may be resisted when a request for change comes from an external source. Therefore in designing the OSCAR II system the aim should be to avoid placing responsibility on OSCAR II end user organisations to deploy specific software products or other end user device configuration changes. Potential Providers will therefore be required to implement measures that will:

- Be able to initially register and then subsequently recognise and allow access only to authorised end user devices.

- Enable only authorised OSCAR II users to authenticate over secure encrypted sessions, with strong passwords and/or other methods of authentication.

- Ensure the confidentiality, integrity and availability of data stored and processed on the OSCAR II system, irrespective of any vulnerabilities which might exist on any end user device used to connect to Oscar II. (as above, preferably done without imposing any requirements for any client software or security-related configuration changes on end user devices used by OSCAR II end users).

- Potential Providers are invited to propose solutions which will meet the above requirements, and to describe in detail how the above requirements would be met.

1.2   The Potential Provider shall demonstrate that they have certification for ISO 27001:2013, Cyber Essential Plus and a robust security management system which addresses risks relating to the following; physical, personnel and technical/cyber. If Cyber Essential accreditation is held then this is acceptable on the basis that the Plus level of accreditation is put in place within 6 months.

1.3   The Potential Provider shall provide a nominated security resource to work with the Authority's Security Management Team including support to the Security Working Group (SWG) and provide the SWG with regular security updates as agreed with the Authority

1.4   The Potential Provider shall, in conjunction with the Authority, implement a security policy (including physical, personnel and technical/cyber) in line with the Government Cloud security principles for the system including:

- Producing security documentation including a formal risk assessment in relation to the policy

- Maintaining and updating the documentation throughout the lifetime of the contract

1.5   The Potential Provider should maintain a risk management strategy including:

- Produce and maintain a risk management strategy which is in line the security requirements and risk appetite set by the Authority

- Documenting a risk management process and risk assessment

- Demonstrating how they identify and manage risks

1.6   The Potential Provider must ensure an effective protective monitoring regime is in place at all times and produce sufficient evidence in the form of logs and other documents to the Authority to confirm this. The Potential Provider should:

- Provide operational security management reports.

- Engage with the Authority incident management process

- Demonstrate the ability to deliver protective monitoring across the supply chain

- Incorporate National Cyber Security Centre (NCSC) guidance on how to design a security operations centre (SOC)

1.7   The Potential Provider must proactively monitor Potential Provider vulnerability websites. Demonstrate the ability to ensure all necessary patches and upgrades are applied to maintain security, integrity and availability in in accordance with the Cloud Security Principles.

1.8   The Potential Provider must carry out:

- Appropriate security assurance activities to demonstrate that the people, process, technical and physical controls have been delivered in an effective way

- Penetration testing to be carried out by certified Crest or Check Potential Provider

- Penetration testing of the production environment before the first release to that environment and at such times after that as the Authority may require.

- An annual IT Health Check (scope to be agreed with the Authority) and where there is a significate change to infrastructure/service.

- regular vulnerability scans on the component devices of the Oscar II IT infrastructure and ensure that any significant vulnerabilities identified by those scans are remediated as soon as possible.

1.9   The Potential Provider shall be able to demonstrate that they have delivered secure solutions for public or private secure user(s)s

1.10   The Potential Provider shall demonstrate that they have delivered and supported a live service in a secure manner.

1.11   The Potential Provider shall demonstrate they have clear user access policy which includes the following:

- Robust password policy

- Process for Removal of access privileges

- Joiner and leaver policy

- Appropriate technical controls on user access

- A process for role based access

1.12   Due to the classification of sensitive data for a limited number of specific employers employees within the Potential Provider who have access to this data will be required to undergo Security Check (SC) level of clearance which determines that a person's character and personal circumstances are such that they can be trusted to work in a position which involves long-term, frequent and uncontrolled access to this data.

1.13   In providing information on the security measures which they have in place the Potential Provider is requested to provide as much information they are able to by completing the Statement of Assurance Questionnaire that forms part of the HMG Supplier Assurance Framework:

https://www.gov.uk/government/publications/government-supplier-assurance-framework

and provide that as part of their response. While it is recognised that providers will not be able to answer some of the questions on the questionnaire, they should try to answer as many as they are able.

1.14   Full compliance with the Data Protection Act 1998 and General Data Protection Regulations (GDPR) is also essential, with the Authority being the Data Controller and the Potential Provider being the Data Processor.

1.15   The provision of cross-Department services requires a security authority to operate. The successful provider will be required to participate in an assurance exercise carried out by a NCSC cyber security expert to verify that the implementation of the required security controls can be evidenced. This will be subject to annual review. Any issues found will required to be fixed immediately by the Potential Provider (timing of system updates agreed with the Authority in advance) at no additional cost.

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ANNEX 17 - Cloud Security Principles

NCSC Cloud Security Principles are documented at https://www.ncsc.gov.uk/guidance/implementing-cloud-security-principles   at the time of publishing this document.

ANNEX 18 - Confidentiality

Subject to the exceptions referred to below, the contents of this and other documents within the procurement pack are being made available by the authority on the conditions that the Potential Provider:

- Treats them as confidential at all times, unless the information is already in the public domain;
- Does not disclose, copy, reproduce, distribute or pass any of the information to any other person at any time or allow any of these things to happen, except where, and to the extent that, the Information has been publicised in accordance with the Freedom of Information section;
- Only uses the information for the purposes of preparing a response (or deciding whether to respond); and
- Does not undertake any promotional or similar activity related to this procurement within any section of the media.

A Potential Provider may disclose, distribute or pass any of the information to its members of its Group of Economic Operators (if acting as a Lead Contact), Sub-Contractors, and advisers or to any other person provided that:

- This is done for the sole purpose of enabling the Potential Provider to submit its response and the person receiving the information undertakes in writing (such written undertaking to be made available to the Authority on the Authority's request) to keep the information confidential.
- It obtains the Authority's prior written consent in relation to such disclosure, distribution or passing of Information; or
- The disclosure is made for the sole purpose of obtaining legal advice from external lawyers in relation to this Request for Information;
- The Potential Provider is legally required to make such a disclosure; or
- The information has been published in accordance with Freedom of Information requirements.

The Authority may disclose information submitted by Potential Provider's during this tender process to its officers, employees, agents or advisers or other government departments who are stakeholders in this process.

All Central Government Departments and their Executive Agencies and Non Departmental Public Bodies are subject to control and reporting within Government. In particular, they report to the Cabinet Office and the Authority for all expenditure.

Further, the Cabinet Office has a cross Government role delivering overall Government Policy on public procurement – including ensuring value for money and related aspects of good procurement practice.

For these purposes, the Authority may disclose within HM Government any of the Potential Provider's documentation or information (including any that the Potential Provider considers to be confidential and / or commercially sensitive such as specific information in its response) submitted by the Potential Provider to the Authority during this tender process. Potential Providers taking part in this tender process consent to such disclosure as part of their participation in the process.

ANNEX 19 - Service Credits

If availability falls below the "Availability / Uptime" Service Level (as defined in Annex 14) in a given quarter the Potential Provider shall credit the Authority's account by an amount calculated as the product of the total cumulative downtime (expressed as a percentage of the total possible uptime minutes in the quarter concerned) and the total running and licencing fees for that quarter. (Where the quarterly fees are the fees for the year divided by four).

If there are any other breaches of Service Level Agreements (as defined in Annex 14) in a given quarter the Potential Provider shall credit the Authority's account by an amount calculated as 5% of the total running and licencing fees for that quarter (5% for each breach).

Service Credits shall be automatically applied by the Potential Provider to its next invoice (or, in the absence of any subsequent invoice, shall be promptly paid to the Authority). Service Credits will be limited up to the maximum as defined by the Service Credit Cap.

If the Authority purchases licenses than licencing fees will not be included in the above definitions.

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ANNEX 20 - Existing Data Collections

For information regarding the frequency of data collections please see Annex 4 – Reporting Calendar

Data Collection	Data Submission Type	Publications Impacted
Treasury Allocations	Control Total budgeting data (Excel)	• Supply Estimates (Main and Supplementary) (including management of control totals) • Standard report packs and dashboards • Transparency Releases
Department Disaggregation	Disaggregation budgeting data (Excel or typed in)	
Budget neutral changes (BNC)	Adjustments to budgeting data (Excel or typed in)	
Changes to budgets	Adjustments to budgeting data / AME figures (budgeting data) (Excel or typed in	
Machinery of Government (MoG) (Donating) /	Adjustments to budgeting data (Excel or typed in)	
MoG (Receiving)	Adjustments to budgeting data (Excel or typed in)	
Budget Cover Transfers (BCT) donating	Adjustments to budgeting data (Excel or typed in)	
In year forecasts	Monthly forecast outturn data (budgeting data) (Excel)	• Public Expenditure Statistical Analyses (PESA) • Public Sector Finance Release (PSF) with ONS (Quarterly and Monthly) • Standard report packs and dashboards • Transparency Releases
Treasury adjustments	HMT adjustments to budgeting datasets (Excel or typed in)	• Supply Estimates (Main and Supplementary) (including management of control totals) • Vote on Account • Public Expenditure Statistical Analyses (PESA) • Standard report packs and dashboards • Transparency Releases
CRA inputs	CRA data (Excel)	• Country and Regional Analysis (CRA) • Standard report packs and dashboards
WPR inputs	WPR data (Excel)	• Workforce Pay and Pensions Analysis (WPR) • Standard report packs and dashboards
PFI inputs	PFI (Excel)	• Private Finance Initiative Information (PFI and PF2) • Standard report packs and dashboards
PSF inputs	PSF forecast adjustments (CSV)	• Public Sector Finance Release (PSF) with ONS (Quarterly and Monthly) • Standard report packs and dashboards
PSF inputs	PSF ONS inputs (CSV / Excel)	
WGA consolidation data	WGA (DCT Excel Macro workbooks)	• Whole of Government Accounts (WGA) • Transparency Releases
Cash Management /	Verbal, Email or Excel throughout	• Standard report packs and dashboards (Cash

| EFA | each business day | Management specific) |

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ANNEX 21 - High Level Design Principles

General Principles

- Maintain service throughout
- Use off the shelf products where possible with limited customisation
- Only deliver what is required
- Focus on efficiency and simplify where possible
- Communicate appropriately with all stakeholders
- Prioritise based on business needs
- Understand and actively manage dependencies and risks
- Deliver a seamless user experience
- Challenge the status quo, setting and agreeing direction where required

Data Principles

- Re-use data to avoid duplication
- Make it accessible within agreed information security protocols
- Treat information as an asset
- Work to agreed standards through common terminology and definitions

Application Principles

- Make it easy to use
- Deliver an overall service not just a set of components
- Allow end users to self-serve
- Use web based delivery mechanisms

Technology Principles

- Use modern systems that meet technology standards
- Ensure interoperability and information security

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ANNEX 22 - Authority Security Policy

In all aspects of security (including, without limitation, physical, personnel, IT and information security) the management, maintenance, development, configuration and operation of the Oscar II system must fully comply with:

- The <u>HMG Security Policy Framework</u>;

- All of the more detailed security requirements and statements set out in "Annex 23 Security Management Plan";

- The Security Aspects Letter attached to "Annex 23 Security Management Plan".

ANNEX 23 - Security Management Plan

INTRODUCTION

1.   This Security Management Plan covers the principles of security for OSCAR II, derived from the HMG Security Policy Framework, including without limitation, principles of physical, personnel and information security.

PRINCIPLES OF SECURITY

2.   The Potential Provider shall be responsible for the security of the OSCAR II Environment[1] and shall at all times ensure a level of security and security management which:

   a)   is in accordance with Good Industry Practice and Law;
   b)   ensures the Authority can comply with the HMG Security Policy Framework;
   c)   meets the relevant standards in ISO/IEC 27001 and ISO/IEC 27002; and
   d)   c) is demonstrably supported by the Potential Provider's Information Security Management System (ISMS) that is applicable to the solution;
   e)   mitigates against any specific security threats to the Potential Provider Provided Infrastructure;
   f)   complies with published National Cyber Security Centre (NCSC) Standards and Guidance;
   g)   complies with NCSC's 10 Steps to Cyber Security;
   h)   complies with Cyber Essentials Plus;
   i)   complies with the NCSC Cloud Security Principles;
   j)   complies with the detail of this Security Management Plan and attached Security Aspects Letter; and
   k)   ensures that reliability and security are at the forefront of design and implementation.

3.   Without limiting paragraph 2, the Potential Provider shall at all times ensure that the level of security employed in the provision of the Goods and/or Services for OSCAR II, is appropriate to minimise the risk of:

   a)   loss of integrity of Authority Data;
   b)   loss of confidentiality of Authority Data;
   c)   unauthorised access to, use of, or interference with Authority Data by any person or organisation;
   d)   unauthorised access to network elements, buildings, the Premises, and tools used by the Potential Provider in the provision of the Goods and/or Services;
   e)   use of the Potential Provider Provided Infrastructure or Goods and/or Services by any third party in order to gain unauthorised access to any computer resource or Authority Data; and
   f)   loss of availability of Authority Data due to any failure or compromise of the Goods and/or Services.

BREACH OF SECURITY

4. Either Party shall notify the other immediately upon becoming aware of any Breach of Security including, but not limited to an actual, potential or attempted breach, or threat to, the Security Plan.

5. Upon becoming aware of any of the circumstances referred to in paragraph 4, the Potential Provider shall immediately take all reasonable steps necessary to:

   a) remedy such Breach of Security to the extent possible and protect the integrity of the IT Environment against any such Breach of Security or attempted Breach of Security;
   b) minimise the extent of actual or potential harm caused by any Breach of Security;
   c) prevent a further Breach of Security or attempted Breach of Security in the future exploiting the same root cause failure; and
   d) supply any requested data to the Authority on the Authority's request within 2 Working Days and without charge (where such requests are reasonably related to a possible incident or compromise).

6. Such steps shall include any action or changes reasonably required by the Authority.

7. The Potential Provider shall as soon as reasonably practicable provide to the Authority full details of the Breach of Security or attempted Breach of Security, including a root cause analysis and of the steps taken in respect thereof.

VULNERABILITIES AND CORRECTIVE ACTION

8. The Authority and the Potential Provider acknowledge that from time to time vulnerabilities in the OSCAR II Environment may be discovered which unless mitigated will present an unacceptable risk to the Authority.

9. The Potential Provider shall:

   a) implement a mechanism for receiving, analysing and acting upon threat information supplied by NCSC, by other reputable sources of such threat information, or any other competent Central Government Body;
   b) ensure that the OSCAR II is proactively monitored to facilitate the detection of anomalous behaviour that would be indicative of system compromise;
   c) ensure it is knowledgeable about the latest trends in threat, vulnerability and exploitation that are relevant to the OSCAR II by actively monitoring the threat landscape during the Term; and
   d) inform the Authority when it becomes aware of any new threat, vulnerability or exploitation technique that has the potential to affect the security of the OSCAR II, provide initial indications of possible mitigations, and apply relevant mitigations in accordance with the agreed Change Management procedures and Service Management SLA.

10. The Potential Provider shall assess the potential impact on the Services of any new threat, vulnerability or exploitation technique of which it becomes aware. The Potential Provider shall

have in place an effective patch management policy that ensures patches and security updates are deployed in accordance with the nature, severity and any vendor-supplied release notes where appropriate. The Potential Provider shall also ensure that patches to critical applications and operating system updates for network infrastructure undergo regression testing prior to deployment. Patches and operating system updates shall be subject to a back-out plan to mitigate against unexpected consequences. Upgrades to the operating system of network devices and/or critical applications shall be undertaken following a clear schedule or as agreed with the Authority as appropriate The Potential Provider shall ensure that all operating systems and software are supported by the vendor.

11. Where a patch is not immediately available for a vulnerability known to be exploitable, the Potential Provider shall follow any reasonable vendor advisory publications and/or guidance issued by NCSC.

12. In order to reduce the attack surface of Potential Provider Supplied Infrastructure, the Potential Provider shall follow industry good practice, any reasonable vendor advisory publications and/or guidance issued by NCSC in ensuring that extraneous interfaces, services or capabilities are removed or disabled.

13. The Potential Provider shall ensure that appropriate Potential Provider staff have access to the Cyber-security Information Sharing Partnership (CISP) website to ensure that they have access to the very latest indicators of compromise that can be used to help aid detection of the latest cyber threats.

SECURITY CLASSIFICATIONS

14. All of the Authority Data maintained by the Potential Provider in the Potential Provider Provided Infrastructure will be classified as OFFICIAL. Handling caveats will be applied to the Authority's data to designate the information as OFFICIAL – SENSITIVE where it will be subject to the principle of "need to know".

15. The Potential Provider shall not be required to handle material of a higher classification than OFFICIAL (including OFFICIAL – SENSITIVE).

DATA PROCESSING, STORAGE, MANAGEMENT AND DESTRUCTION

16. The Potential Provider and Authority recognise the need for Authority Personal Data to be safeguarded in accordance with the requirements of the Data Protection Act 1998, General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679), including the matter of legal jurisdiction, and with any future legal obligations. The Potential Provider shall in all cases act in accordance with its legal obligations in relation to Authority Personal Data.

17. It is also recognised by the Potential Provider and the Authority that because of the sensitivity of some of the data held on the Oscar II, the Authority need to be assured at all times that the data can only be accessed by personnel who have a genuine business justification to have access to it, and who are known by the Authority to have the appropriate minimum level of Security Clearance (See "Personnel Security" section below).

18. Therefore, while this contract does not stipulate that all data held on the Oscar II system must be hosted in the UK, where the Authority regards any of the data held on the Oscar II system to be of a sensitive nature, it will only allow that data to be hosted outside the UK where the Authority is satisfied that it has obtained appropriate assurances in relation to security measures (including personnel security) in place to safeguard the data.

19. Under any circumstances where the Authority takes the view that they are unable to obtain appropriate assurances in relation to security measures (including personnel security) in place to safeguard data regarded by the Authority as being sensitive, the Authority reserves the right to insist on the data being, and remaining, hosted in the UK.

20. In any scenario where the Potential Provider, having previously been instructed by the Authority that sensitive data held on Oscar II must be hosted in the UK, becomes aware of any circumstances under which any Sensitive Authority Data may have been transferred outside the UK, the Potential Provider must inform the Authority without undue delay. Under such circumstances, the Potential Provider must fully co-operate with the Authority in helping the Authority to identify the exact nature and content of any such data in scope, in order to determine whether it still contains any sensitive content. Should the Authority, having assessed the content of the data in scope, request a change of location for the data, the Potential Provider will be expected to act upon the request as soon as possible and provide evidence to the Authority that the change in location has been made.

21. The Potential Provider shall ensure that any Oscar II data held on any Potential Provider-managed storage media that is taken out of service during the contract will be securely erased following the NCSC guidance on secure sanitisation storage media. This must also apply at the end of the contract of the Oscar II data has either been returned to the Authority, or otherwise transferred as directed by the Authority.

NETWORKING

22. The Potential Provider shall act in accordance with the contents of the Security Aspects Letter attached to this Security Management Plan and in accordance with ISO/IEC 27001:2013 compliance requirements in protecting Authority Data in transit and at rest.

23. The Potential Provider shall ensure the Potential Provider Provided Infrastructure perimeter and networks shall be adequately managed and controlled, in order to be protected from threats and to maintain security for the data, users, systems and applications using the System. As a minimum, the Potential Provider shall;

   a) provide and use vulnerability scanning tools approved by the Authority to scan the Oscar II systems for vulnerabilities in accordance with an agreed schedule and proactively apply any remediation required (subject to change controls procedures and agreement with the Authority);
   b) configure and manage all intrusion prevention systems control in accordance with the instructions of the Authority in order to prevent unauthorised access to the Oscar II Environment through;

      (i) automated identification and blocking of malicious activity; and

(ii)   recording and monitoring malicious activity including raising a security incident where appropriate;

c)   carry out all necessary checks and controls to identify any network devices which are introduced on to the network without authorisation and to remove access permissions in accordance with a policy agreed with the Authority;

d)   monitor alarms and alerts and react accordingly to resolve Incidents;

e)   apply encryption to all non-console administrative access and web-based management, using industry recognised technologies such as SSH, IPSec or SSL/TLS (ensuring that all known vulnerabilities are mitigated as soon as possible);

f)   apply encryption to all data in transit, including user access sessions and user authentication;

g)   For any emails generated from the Oscar II system, the system must have the capability to apply encryption to those emails. The system must have the ability to support opportunistic TLS encryption on email and provide the ability to enforce TLS encryption when sending emails to specific domains where the Authority requests, or agrees, that it should be done. In addition email "anti spoofing" measures must be applied to those emails which are consistent with the following guidance:

(i)   https://www.gov.uk/guidance/securing-government-email

(ii)   https://www.gov.uk/guidance/set-up-government-email-services-securely

h)   update the firewall software with updates as they become available (subject to appropriate pre-deployment testing) as agreed with the Authority from time to time;

i)   implement changes approved by the Authority;

j)   ensure that access to the Services by its Sub-contractors shall be mediated by firewalls and similar measures so as to maintain appropriate separation between any domain in which any aspect of the Services is provided by a Sub-contractor from any other domain relating to the Services;

k)   configure and manage all devices and software in accordance with Good Industry Practice and with NCSC guidance, where applicable; and

l)   provide all necessary guidance and documentation to the Authority to evidence compliance with Good Industry Practice and with published NCSC guidance.

24.   The Potential Provider shall ensure that the configuration and use of all networking equipment to provide the Oscar II Services, including those that are located in secure physical locations, protect the network in accordance with Good Industry Practice and in such a way that conforms to the Potential Provider obligations in this Security Management Plan.

SECURITY ARCHITECTURES

25.   The Potential Provider shall apply the 'principle of least privilege' (the practice of limiting systems, processes and user access to the minimum possible level) to the design and configuration of the Potential Provider Provided Infrastructure which will process or store Authority Data.

PERSONNEL SECURITY

26. Potential Provider personnel shall be subject to pre-employment checks that, as a minimum, should be at least equivalent to the <u>Government Baseline Personnel Security Standard. As a minimum, Potential Provider pre-employment checks shall be consistent with BS 7858:2006 Code of Practice for Security Screening of Personnel in a Security Environment. Potential Provider personnel working directly on the OSCAR II environment with system administrator access rights shall be required to hold National Security Vetting to Security Check (SC) level as a minimum.</u>

27. The Potential Provider accepts that Potential Provider staff expected to work in Authority Premises that do not hold <u>Security Check (SC) clearance (or as a minimum Counter Terrorist Check (CTC) clearance)</u> must be escorted at all times by a designated representative of the Authority.

28. During employment, the Potential Provider shall ensure that all terms and conditions of employment contracts for Potential Provider Personnel state their and the Potential Provider's responsibilities for Security.

29. All Potential Provider personnel that have the ability to access Authority Data or systems holding Authority Data shall undergo regular training on secure information management principles.

30. Where the Potential Provider or Subcontractors grants increased IT privileges or access rights to Potential Provider personnel, those Potential Provider personnel shall be granted only those permissions necessary for them to carry out their duties. When staff no longer require elevated privileges, or leave the organisation, their access rights shall be revoked.

DOCUMENTATION

31. The Potential Provider shall be responsible for the creation, development, and ongoing maintenance of the design documents and associated network diagrams in respect of the OSCAR II Environment.

32. The Authority shall use all reasonable endeavours to provide input and information reasonably required by the Potential Provider for it to comply with its responsibilities.

33. The Authority will be responsible for final sign-off/acceptance of any completed version of the network design documentation and diagrams provided by the Potential Provider as agreed in the Implementation Plan.

34. The Potential Provider's technical design documentation, including network diagrams shall be submitted to the Authority as agreed in the Implementation Plan and shall be consistent with the requirements set out in this Security Management Plan.

35. In respect of the documents described in paragraph 30, the Potential Provider shall implement and maintain a document management / version control system which enables clear identification of each document's history and revision trail, and its sign-off.

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36. The Potential Provider shall implement and maintain a security strategy and a technical security strategy for the solution which is consistent with the requirements of this Security Management Plan for the duration of the Call Off Contract.

37. The Potential Provider shall ensure that security operating procedures are maintained which are specific to the Oscar II environment and that they are distributed to relevant Potential Provider Personnel involved with the system support and administration of the solution.

PENETRATION TESTING

38. The infrastructure components of the Potential Provider's solution must be subjected to independent penetration testing at least annually by NCSC CHECK certified penetration testers. This can be done either by:

   a) The Potential Provider arranging the penetration testing using a Potential Provider preferred NCSC CHECK certified company. Under these circumstances, the Potential Provider must:

   - agree the scope of any such penetration testing with the Authority;

     - share copies the resulting penetration test reports with the Authority;
     - agree the associated remediation actions with the Authority and
     - implement any agreed remediation actions in a timely fashion within agreed timescales.

   b) The Authority arranging the penetration testing using an Authority preferred NCSC CHECK certified company. Under these circumstances, the Potential Provider will cooperate fully with the Authority, and the preferred penetration test provider, by:

     - agreeing the scope of any penetration testing with Authority;
     - facilitating the pentester activities, e.g. providing any necessary access to Potential Provider premises and systems related to the pentesting;
     - cooperate with the Authority in reviewing the resulting penetration test reports (copies of which will provided by the Authority to the Potential Provider);
     - agree the associated remediation actions with the Authority and
     - implement any agreed remediation actions in a timely fashion within agreed timescales.

39. The Authority shall not be liable for any costs arising from Potential Provider activities in relation to the independent penetration testing, or any remediation actions arising from the independent penetration testing,

IDENTITY, AUTHENTICATION AND ACCESS CONTROL

40. The Potential Provider shall operate an access control regime to ensure all users and administrators of the Potential Provider Solution are uniquely identified and authenticated when accessing or administering the Services and applying the 'principle of least privilege'. Users

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and administrators shall be allowed access only to those parts of the Potential Provider Solution they require.

41. The Suppler shall also ensure that access to any data centres and/or equipment rooms used to host the OSCAR II infrastructure is controlled to ensure that access is restricted to only who have a legitimate need to have access.

AUDIT AND MONITORING

42. The Potential Provider shall ensure that the recording of audit controls is correct, consistent, and effective by testing the logs and trails to support the Potential Provider obligations in relation the services provided under this contract.

43. The Potential Provider shall agree to cooperate with independent audits of the Oscar II environments as may be required by the Authority, and the Authority shall not be liable for any costs arising from Potential Provider activities to close such actions related to such audits, unless otherwise agreed by the Authority.

44. The Potential Provider shall, 30 working days prior to the Planned Operational Service Date, create and own an overall security audit strategy incorporating all other Potential Providers responsible in the delivery of the Oscar II environment. The Potential Provider shall:

   a)   obtain sign off from the Authority of this strategy;
   b)   carry out all actions in the security audit strategy; and
   c)   review the security audit strategy annually and obtain sign off from the authority.

45. To facilitate effective monitoring and forensic readiness, the Potential Provider shall collect and retain audit records which relate to security events in the systems or would support the analysis of potential and actual compromises. As a minimum, audit records collected shall include (but not be limited to):

   a)   detailed logs of all network traffic (inbound and outbound) passing between Oscar customer (including Authority's IT systems/devices and external endpoints and passing through Potential Provider managed systems/devices;
   b)   logs recording exceptions and security events;
   c)   internal or external activity which would compromise the security, integrity or availability of the Potential Provider Provided Infrastructure; and

46. The Potential Provider shall ensure that access to security logs is restricted to personnel with an operational requirement for access and that they are informed that their actions are logged and monitored and the impact this has on their privacy. The logs shall be read only and copies will be provided without cost to the Authority, on request;

47. The Potential Provider shall establish procedures for monitoring the use of information processing facilities and for proactively and regularly reviewing the results of the monitoring activities as well as acting to investigate and resolve any issues that need to be addressed;

a) networking recording: monitor network access activities including raising a security Incident where appropriate for unauthenticated devices;

b) provide the Authority with reports on the use of the Oscar II Environment as requested by the Authority;

c) appropriately protect logging facilities and log information against tampering and unauthorised access;

d) Monitoring – administrator and operator logs activities; and

e) Monitoring – fault logging and security related incidents: Analyse faults and take appropriate action, including complying with where the fault results in an incident.

48. The Potential Provider shall test and audit compliance in line with Good Industry Practice and shall identify any corrective and preventative corrections required. The Potential Provider shall ensure, and provide evidence on request, that those actions are completed.

49. The Potential Provider shall:

a) carefully plan all internal audit activities and checks on operational systems to minimise the risk of disruptions to business processes;

b) carry out all necessary internal audit activities and checks on operational systems to ensure that it is complying with Authority service level requirements;

c) carry out an audit to check that all Potential Provider System Administrator Personnel have administrative access which is appropriate juts for the role that they perform and no more than that;

d) Information system audit – information systems audit controls: ensure access to systems audit tools is restricted to those individuals needing it to provide the Services.

50. The Authority shall not be liable for any costs arising from Potential Provider activities to close such actions, save for any actions which are agreed to be the responsibility of the Authority.

51. The Potential Provider shall ensure that the recording of audit controls is correct, consistent, and effective by testing the logs and trails to support the Potential Provider obligations in relation the services provided under this contract.

52. The Potential Provider shall document the findings of audit control testing to confirm the effectiveness of the security controls and provide an audit control security test report for approval by the Authority. This will be provided annually and within 3 Working Days of a request from the Authority.

53. The Potential Provider shall fully co-operate with independent security compliance audits commissioned by the Authority and with any requests by the Authority to examine, or to be provided with copies of audit records, access logs and monitoring activity reports in relation to Paragraphs 50-52, and shall otherwise perform such security compliance audits as are reasonably required to validate Potential Provider compliance.

SECURITY ASPECTS LETTER (for handling information in the OFFICIAL tier of the Government Security Classifications (including OFFICIAL – SENSITIVE))

Security Aspects Letter for OSCAR II

Introduction

This letter establishes the security provisions with which the POTENTIAL PROVIDER shall comply in providing the services relevant to the working with information classified up to OFFICIAL – SENSITIVE. These services are provided to AUTHORITY under the contract supplied.

Government Security Classifications – Overview

The service will involve the POTENTIAL PROVIDER holding material that has been assigned a security classification under the Government Security Classification System (GSC). It is a condition of this contract that this material must be appropriately protected. Baseline protection controls are defined in ISO27001: 2005 and further defined by the HMG Security Policy Framework, varying with the level of security classification. Material passed to you of a potentially sensitive nature will bear the security classification appropriate to it, although it is envisaged that a lot of information exchanged will not be sensitive in nature and therefore will not carry a security classification.

To assist you in allocating any necessary security classification to material which the POTENTIAL PROVIDER may produce during the development and hosting of the service and thus enable you to provide the appropriate degree of protection to it, this letter formally advises you of the correct security classification to apply to the various aspects of the service and the correct method of storing and transmitting such information.

Security classification – Aspects

The aspects of the Service in relation to the Potential Provider System that require to be visibly classified are: -

Aspect	Security classification
Non-sensitive Authority Data	No visible classification
Authority Personal Data	OFFICIAL – SENSITIVE PERSONAL
General system description documentation with no specific details of the aspects listed below.	No visible classification
Detailed network diagrams related to Oscar II environment to the extent where these have been specifically required to be provided as a contractual obligation	OFFICIAL – SENSITIVE
Configuration details of devices used in the Potential Provider System	As agreed between the Authority and the Oscar II Potential Provider
Detailed Documentation relating to System Administration services	As agreed between the Authority and the Oscar II Potential Provider

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| Documentation containing detail of content from system Audit logs | As agreed between the Authority and the Oscar II Potential Provider |

It is possible that other sensitive matters will be identified during the development and support of this service. When such matters are identified, the POTENTIAL PROVIDER will be instructed on the security classification assigned to that particular subject and any restrictions relevant to its dissemination and use.

Security classification – Storage – The following table defines where service related data could be stored.

	No visible classification	OFFICAL – SENSITIVE PERSONAL	OFFICIAL – SENSITIVE (or OFFICIAL with any other descriptor other than SENSITIVE PERSONAL)
Document storage	Separate from non-service documentation.	Protected by one barrier, e.g. a locked container in secure building.	
Electronic storage	May be stored on POTENTIAL PROVIDER's corporate network.		May be stored on POTENTIAL PROVIDER's corporate network subject to appropriate access controls and data at rest encryption on mobile devices/storage. Foundation grade hard drive encryption or equivalent should be used as a preference on laptops. For removable media encryption used must be a minimum of AES256 or FIPS 140-2. Must be deleted as soon as no longer required.
Disposal (paper)	Dispose of under POTENTIAL PROVIDER's corporate guidelines	Destroy using cross cut shred.	
Disposal (Digital storage)		Securely destroy. Floppy disk: – dismantle and cut disk into at least quarters. CD/DVD: – destroy completely – disintegrate, pulverise, melt or shred. Server Disks/ Laptop Disks – destroy completely – degaussed	

Security classification – Transmission – The following table defines the transmission methods for service related data

	No visible classification	OFFICIAL – SENSITIVE PERSONAL	OFFICIAL – SENSITIVE (or OFFICIAL with any other descriptor other than SENSITIVE PERSONAL)
Post	By post or courier, in a sealed envelope. Do not show security classification on the envelope		
Telephone	May be used		Shouldn't be discussed by telephones/mobile phones.
Corporate Network			May be sent internally but only to colleagues who have a genuine need to see it
Internet	May be used	Not to be used without suitable security controls (e.g. encryption / username / password)	Not to be used without suitable security controls (e.g. encryption / username / password)
Fax		Within UK only, Check recipient is on hand to receive. Send cover sheet first, wait for confirmation before sending.	Within UK only, Check recipient is on hand to receive. Send cover sheet first, wait for confirmation before sending.

the POTENTIAL PROVIDER shall undertake the contract at pre-designated sites (To be agreed by the AUTHORITY and the POTENTIAL PROVIDER), and shall not transfer any caveated or classified material obtained through this contract to any other site without the prior written authority of the AUTHORITY.

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Human Resources Security

the POTENTIAL PROVIDER shall have, or be able to obtain, sufficient staff with appropriate security clearance to deal with any protectively marked work arising under this project. the POTENTIAL PROVIDER's staff requiring access to the operational environment shall require suitable security clearance.

The vetting clearance required by staff involved in the development of the service will depend upon their access requirements and role. Guidance in such cases should be sought from the Project Manager, for the service.

Shared Responsibilities

The following provisions apply to items, which are the responsibility of the AUTHORITY, the POTENTIAL PROVIDER or are shared between them.

Primary responsibility for the security of AUTHORITY personnel, premises, and assets lies with the AUTHORITY.

the POTENTIAL PROVIDER shall comply with all current and future legislation appropriate to the secure operation and use of IT systems in providing the service / system to the AUTHORITY.

the AUTHORITY requires the POTENTIAL PROVIDER, as appropriate, to comply with or follow the guidance and any mandates contained in the latest versions of the following documents (PLEASE SELECT AS NECESSARY):

    a)   ISO27001: 2005;
    b)   HMG Security Policy Framework (SPF);

the AUTHORITY shall make copies of these documents available to the POTENTIAL PROVIDER as required. All documents are subject to amendment or addition at the AUTHORITY discretion. Changes to documents must be notified to the POTENTIAL PROVIDER, and both parties should consider the implications of those changes.

Any difficulty in interpreting the meaning of the above aspects or in safeguarding the materials should be raised with the AUTHORITY security representatives immediately.

SECTION 2: SOLUTION REQUIREMENTS

1. **SOLUTION REQUIREMENTS**

1.1. The requirements below are in addition to the requirements set out in Section 1 (Statement of Requirements).

1.2. Some requirements (typically reporting requirements) listed below are also present in Section 3 below on Reporting Requirements. Section 3 on Reporting Requirements provides estimates of complexity and expected output formats for specific reports.

1.3. For the purposes of the following Solution Requirements, REQ02.010GN and REQ02.009GN, the approach to data migration shall satisfy the following statement:

"*Due to statutory requirements and the Authority's desire to identify trends or other historical data measures, 5 years' historical data is insufficient. The Authority expects there to be a full data import from both the incumbent OSCAR system and its predecessor COINS, as described in the RfP and your Supplier Solution response.*"

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ01.001 W.GN	Reporting & Analytics	**Data visualisation capability**	The system shall provide data visualisation capability (i.e, interactive charts) as individual charts and in the form of dashboards, for system data.	To enable more interactive reporting. This should include system data for statutory reporting publications, dependent on their production on system, including: WGA; PFI.
REQ01.002 GN	Reporting & Analytics	**Bespoke reporting**	The system shall provide reporting functionality to create bespoke reports, with charts / graphs, such as: • Comparing two or more variables • Filters (i.e, workforces, ALBs) • Reporting on aggregates • Reporting on growth rates • Reporting on growth rates as a proportion of spend • Charts / graphs to display key trends • Regression analysis • Reporting on specific categories: DEL, AME, Resource, Capital, fund, non-fund, admin, non-admin, finance, grants, spend, income, programme • Reporting on data by allocated tags • Reporting at department / DA level • Disaggregate and drill down on data (at its lowest, most detailed level) • Create data queries (i.e, specific type of spend, for a	To enable increased insight and analytics to support business processes and stakeholder objectives. To enable assessment and challenge of information and drive decisions. To enable monitoring of department growth rates and drive decision making. To enable users to manage budgets and to drilldown

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			specific time period, for a department) which can be saved for re-use and offer flexibility to amend query parameters (i.e, update date range; change department;). The system shall have flexibility for users to create and amend reports. Reports shall be viewable as dashboards / reports on system and allow users to export.	on data. The reporting functionality should include value map style charts.
REQ01.003 GN	Reporting & Analytics	**Existing reports – OSCAR data**	See section 9 Existing Reports - OSCAR Data for further information on the below: 1) Spending control / plans / returns - To obtain numbers for RDEL, CDEL, RAME &CAME 2) DAR excel file - Analysis relating to Main and Supplementary Estimates and statistical work for expenditure publications 3) MOGs and BCTs excel file - Details MoG and BC transfers 4) Transparency Data - Publish a quarterly report of monthly data scored by departments 5) EDP reporting to Eurostat (ONS) - Reporting to EU on UK's debt and deficits / / PPP liabilities 6) Fiscal Sustainability Report (OBR) - Independent Reviewer of HMT announcements and forecasts / PPP liabilities 7) HMT Budget PFI control totals - Transparency commitment / PPP liabilities 8) Private Finance Initiative and Private Finance 2 projects - Transparency commitment to Parliament / Shows future liabilities of PFI/PF2 projects 9) WPR Key Trends and Analysis - WPR analysis.	To provide key reporting from the system.
REQ01.004 GN	Reporting & Analytics	**Report from multiple sources**	The system shall offer functionality to enable analysis and reporting using data extracts uploaded from other systems / sources alongside system data (i.e, WPR datasets).	To enable all analysis on system and reduce manual intervention. See REQ04.002GN for examples.
REQ01.005	Reporting &	**WPR analysis**	The system shall enable WPR to perform calculations and create graphs	To enable the WPP team to perform analysis on

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
WP	Analytics		/ charts to produce reports / dashboards from WPR data collected through the system, including: 1) Pay bill split by workforces/civil servants (%) 2) Total pay bill against previous years 3) Change in total pay bill and RDEL - current vs prior years (%) 4) Pay bill split by workforces / civil servants and by component (%) 5) Av earnings – workforces / civil servants (direct wages / salaries divided by workforce size - headcount or FTE) 6) FTE staff numbers (% by workforces and civil servants) 7) Changes in FTE over time (% by workforces and civil servants) 8) Changes in headcount and FTE over time (% by workforces and civil servants) 9) Headcount against average earnings and total pay bill 10) Recruitment/retention - vacancy rates and staff wastage comparison years and sectors 11) Total pay bill over time and % changes over time – comparison WPR collected figures and pay data collected on OSCAR.	system and produce reports / dashboards on the data via the system. To enable the team to look at available data, before all submissions are received to increase efficiencies and to identify emerging trends more quickly. Civil servants figures and 11) comparison with pay data collected on OSCAR dependent on REQ01.026P. The WPP team include the ONS total pay bill figures in their reporting. Including this data on the system is dependent on REQ04.005WP.
REQ01.006 C	Planning and Forecasting	**Predict future cash requirements**	The system shall enable the annual and monthly production of reports on monthly forecast outturn data.	To help predict future cash requirements for cheaper borrowing. There are other requirements for reporting on monthly forecast outturn but this has been documented separately to emphasise the requirements for this team.
REQ01.007	Reporting &	**Effective date**	The system shall enable users to run Estimates reports for both the current	To enable users to better

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
E	Analytics	**reporting**	year and any previous year for which data is available in the system (such as 16/17 and 18/19) by selecting the relevant effective dates.	query the data.
REQ01.008 GN	Reporting & Analytics	**Variance reporting**	The system shall produce variance figures between current data and prior submitted data (on a month and year basis) on the system, including for: • Monthly forecast outturn • CRA • PESA • PFI capital costs • WGA At both control total and individual line levels.	To allow users to view variances and pre-empt queries, to streamline query resolution. To enable teams to monitor and analyse variances and flag up potential risks or drive error resolution.
REQ01.009 PF	Reporting & Analytics	**PFI analytics**	The system shall enable users to analyse and report on existing PFI data, through functionality to: a) Produce charts on data characteristics (i.e, project status: cancelled / expired; Equity holdings) b) Calculations on time periods using date fields (i.e, Length of time from construction for group projects) c) Produce charts to show changes in projects / data over time (i.e, changes in ownership)	To derive more insight from PFI data and be able to query and challenge information and use insight to identify trends. To enable identification of balance sheet treatment changes. See REQ02.017GN for flexibility to accommodate additional fields.
REQ01.010 GN	Reporting & Analytics	**Intuitive reporting capability**	The system shall offer intuitive reporting capability to users via drop down menus (i.e a user selects the category DEL, then the category resource and then the time period) and defined naming conventions for variables.	To enable spending teams to query and report on data more easily and to offer more readily understandable and less technical variable names.
REQ01.011 GN	Reporting & Analytics	**What if and sensitivity analysis**	The system shall enable users to undertake what if and sensitivity analysis (i.e, to manipulate data structures and see impacts without storing the analysis as a final copy).	To support analysis of the impact of current trends (i.e, spending) and changes on future outcomes and to help drive decision making.
REQ01.013 GN	Reporting & Analytics	**Benchmarking dashboard**	The system shall enable the production of a benchmarking dashboard, tailored to roles, functions, and outputs, such as:	To enable assessment of forecasts and outturn against plans and to help identify data quality issues.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			1) Performance dashboards (i.e, actual spend against forecasts) 2) KPI (Key Performance Indicator) dashboards (i.e, the number of adjustments made following data collection) 3) Timeliness league tables (rankings based on date data received and deadline date) 4) Data Quality scorecards 5) Spend tracking (i.e, Forecast / outturn vs control totals;) a) Display the dates figures relate to b) End users (HMT/ departments / DAs) shall be able to download reports c) End users (HMT/ departments / DAs) shall be able to view reports on system d) Flexibility to add and update. e) Maintain directory MI Dashboards	To track and maintain data quality. To enable cross-government benchmarking. This should include OBR AME forecast vs actual spend, dependent on REQ04.009G.
REQ01.014 S	Reporting & Analytics	**Spending Control Report**	The system shall enable the production of a Spending Control Report – display a high level view of control totals.	To provide a high level snapshot of control totals (i.e, used when meeting Ministers).
REQ01.016 S	Reporting & Analytics	**Spending Control dashboard**	The system shall enable the production of the improved Spending Control League tables: a) Metrics shall be at department / DA level b) Metrics shall be by month / annually Metrics: 1) Forecast vs outturn for RDEL, CDEL and AME - option to show / hide ranking, quartile and improvement (based on % variance) 2) Usability (points system) 3) Timeliness (points system) 4) Arrears reporting (points system) 5) Major variances (underspends /overspends) by spending category 6) Major variances (underspends	To enable production of the Spending Control dashboard on system To enable benchmarking, assessment and challenge of information and drive decision making. To provide an overview of spending across DEL & AME covering Plans, Forecast and run rate projections. To identify the largest areas of overspend/underspend across DEL & AME.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			/overspends) by Department/DA 7) Comparison forecasts and plans 8) Calculation of run rate trajectory 9) Spending comparisons by body split by DEL Resource, DEL Capital and AME.	
REQ01.017 S	Reporting & Analytics	**OPEX dashboard**	The system shall enable the production of the OPEX dashboards, including key metrics: - Forecast - Plans - Spend by functional area government - Comparison end year forecast against plan - Growth in end year forecast compared to outturn in previous year - Categories of spend by functional area KPIs For spend at the most granular level i.e L5 in the Chart of Accounts.	To provide a view of spend across functional areas of government and monitor and benchmark spend against KPI's related to each function. To enable assessment and challenge of information and drive decision making.
REQ01.018 SWP	Reporting & Analytics	**Risk analysis dashboard**	The system shall enable the production of a Risk analysis Dashboard with functionality to: 1) Enable authorised users to create a trajectory of spend for a project / WPR forecast. Calculate difference between trajectory and actual spend figures collected via the system to identify under or overspend (% variance). 2) Enable authorised users to create a trajectory of spend for a project / WPR forecast from prior years actual spend. Calculate difference between trajectory and actual spend figures collected via the system to identify under or overspend (% variance).	To enable spending teams to compare actual spend with expected or historic trajectories. To enable identification of risk and drive decision making.
REQ01.019	Reporting &	**Budget tracker**	The system shall enable the production	To provide the DAS branch

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
S	Analytics	**dashboard**	of a budget tracker to track and compare changes in baselines, from the control total level to segment level, over a multi-year period. To include: a) Control Budget summary by Spending Review year b) Detail of adjustments and adjustments status by category (RDEL ring-fenced, RDEL non ring fenced, RDEL Admin, RDEL Programme, AME Resource, AME Capital, CDEL General, CDEL Financial transactions) c) Underlying data set by Department/ Departmental Group The report shall be automated and shall refresh following fiscal events / as required.	with more time to focus on specialist reporting and analysis queries from spending teams, rather than on routine tasks. To provide spending teams with updated information, reduce manual processing and maintain data integrity. To provide insight into changes to baselines – multi year periods.
REQ01.020 S	Reporting & Analytics	**Adjustments dashboard**	The system shall track adjustments, including BCTs and MoG transfers and enable users to extract a summary report on adjustments for a body / bodies, including: a) Bodies involved b) Type of transfer/adjustment c) Impact of adjustment / transfer d) Date e) User	To enable spending teams to have oversight of adjustments and to make information available to investigate adjustments further if required.
REQ01.021 C	Reporting & Analytics	**Cash management performance monitoring report**	The system shall enable analysis of data and calculations on system and the production of a report, including: - Determine charges and rebates - Performance monitoring on forecasting KPIs	To enable the cash management process on system and remove off-system working. Dependent on REQ04.008C.
REQ01.022	Reporting &	**Submissions**	The system shall monitor data	To enable the team to

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
GN	Analytics	**status monitoring dashboard**	submissions and provide: a) Overview of submissions by status b) Status for each body (outstanding / in progress / completed) c) Filters (i.e, WPR – civil service and workforce views; WGA – data cycles; Estimates – draft, proposed, confirmed;) The dashboard shall be able to refresh to show the current status as files are submitted.	monitor submissions and identify where teams need to chase in order to meet deadlines.
REQ01.023 GN	Reporting & Analytics	**Standard reports**	The system shall enable the production of individual standard reports, tailored to roles, functions, and outputs: 1) WGA cash flow (indirect method) 2) Estimates figures 3) CPID/Counter Party List 4) WGA journals 5) CoA, segment and sub-segment level reports 6) Differences between Main and Supplementary Estimates 7) Monthly forecast outturn 8) General expenditure reports 9) Cash flow analysis report 10) PFI spending control total performance report 11) OBR Financial Stability Report 12) Annual ALB report for bodies spending above £1m+ 13) WGA mapping spreadsheet 14) WGA elimination errors 15) Standard CoA - transactional data and Notes to the Primary Financial Statements - Flexibility to create and amend reports. - Ability to share reports on system. - Maintain directory of reports.	To provide the data for the Public Bodies Reform Team (Cabinet Office) report published on gov.uk. To provide standard reports based on roles.
REQ01.024 C	Reporting & Analytics	**System outputs**	The system shall enable the extraction and circulation of reports and source data as PDF, Microsoft Word, .csv, .txt and Excel and XBRL (for WGA), as individual files and bulk outputs.	To support different file types as required and ability to import outputs into other systems.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ01.025 GN	Reporting & Analytics	**Pivot table style reporting**	The system shall offer pivot table style reporting, in a row and column grid format, such that key data points and filters can be used to analyse and report on data.	To provide users with a simple way to analyse data.
REQ01.026 GN	Data Management	**Database queries**	The system shall enable users to query the database securely using a query tool. Users with this capability will be agreed with the OSM team in advance and given additional access.	To enable querying of the database as required.
REQ01.027 P	Reporting & Analytics	**PESA publication**	The system shall enable the production of sections of the PESA publication, and full document assembly, including: - Introduction - Statistics - PESA tables 1.1 – 10.10 - Narrative text - Annex - Ability to suppress 000s Flexibility to accommodate format changes (i.e, addition or removal of lines in the tables).	To save a significant amount of time and reduce the risk of errors due to manual processing. See output 5.1 in section 6.
REQ01.028 P	Reporting & Analytics	**CRA publication**	The system shall enable the production of sections of the CRA publication, and full document assembly, including: - Introduction - Statistics - CRA tables A.1 – B.10 - Narrative text - Annex - Ability to suppress 000s Flexibility to accommodate format	To reduce the manual processing required to produce CRA and enable data corrections and missing meta data to be added to the system to improve quality. See output 5.2 in section 6.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			changes.	
REQ01.029 PF	Reporting & Analytics	**PFI publication**	The system shall enable the production of sections of the PFI publication, and full document assembly, including: 1) Analysis 2) Production of charts and graphs 3) Descriptive narrative 4) Tables 5) Transparency releases raw data (current projects and projects in procurement) 6) Consolidated dataset Flexibility to accommodate format changes.	To remove the need for manual processing and to enable PFI to start analysing the data on system earlier. See output 7 in section 6.
REQ01.030 GN	Data Management	**Snapshot datasets and changes**	The system shall enable users to take a snapshot of data on the system at a specific point in time (i.e, a fiscal event; submission deadline), on which to report and be able to compare this with a snapshot of data taken later in order to identify changes.	PFI: To enable departments to submit data after the May deadline, if required, and the team can decide whether changes should be included to improve data quality. To ensure access to data as it was at a set point in time.
REQ01.031 PS	Reporting & Analytics	**PSF publication**	The system shall enable the production of sections of the PSFR publication, and full document assembly, including: a) Statistics b) Narrative Flexibility to accommodate format changes.	To reduce the manual processing required to produce the PSF release and enable data corrections and missing meta data to be added to improve data quality. See output 1 in section 6.
REQ01.032 E	Planning and Forecasting	**Supply Estimates**	The system shall enable the production of individual Main and Supplementary Estimates - both production of only	To remove manual processing required to produce the publication,

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
		publication	specific sections of these reports, and full document assembly, including: a) Tables b) Text c) Auto-label Estimates lines (subhead detail table and income note) d) Vote on Account data Flexibility to accommodate format changes (i.e, order of columns; edits to tables; order of publication).	provide flexibility for future changes in requirements and assist with accommodating last minute update requests. To deliver more efficient and targeted views of the Estimates reports to the user. See output 3 in section 6.
REQ01.033 V	Reporting & Analytics	**Vote on Account Publication**	The system shall enable the production of the Vote on Account Publication – both production of only specific sections (i.e, tables) and full document assembly, including: - Vote on Account figures - Summary tables - Narrative text - Perform any necessary calculations, such as % calculations and adjustments Flexibility to accommodate format changes.	To remove the need for manual, off-system, creation of the Vote on Account. See output 4 in section 6.
REQ01.034 W	Financial Consolidation	**WGA publication**	The system shall enable the production of the Whole Government Accounts publication, including: 1) Consolidated WGA accounts financial data 2) Main financial statements 3) Narrative notes to the accounts 4) Summary tables 5) Narrative analysis	To reduce manual processing. To create a permanent record of notes. To accommodate changes. such as for notes to accounts and financial instruments which are affected by disclosure changes.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			6) Footnotes	To extract supporting evidence.
			7) Storing templates	
			8) Report of entities for the Designation Order	To include cost object analysis and modular structure for consolidation purposes.
			The system shall enable users to produce P&L, balance sheet, cash flow and TB reports for an entity / entity group.	See output 9 in section 6.
			Flexibility to accommodate format changes and edit lists (i.e, entity lists).	
			Hierarchical entity structure including consolidation entities at multiple consolidation levels.	
REQ01.036 GN	Reporting & Analytics	**Management Account Pack**	The system shall enable the production of a management account pack.	To provide senior management with a monthly view of performance.
REQ02.001 PS	Workflow, Configuration & Validation	**Adjustments overlay**	The system shall enable authorised users to load adjustments overlays as a separate dataset, without affecting source data.	To include external dataset for reporting without affecting system data.
REQ02.002 G	Workflow, Configuration & Validation	**Budget Transfers**	The system shall enable bodies to transfer budgets (i.e, BCTs; MoGTs) to another body. The receiving department shall receive a workflow alert and be able to view the transfer type, amount and sending body.	To ensure the transfer is correct.
			When the receiving department accepts the budget transfer, the change, as actioned by the sending department, shall be implemented.	To avoid adjustments being lost if only corrections are required.
			The receiving body shall be able to accept or reject the transfer, with a reason. If the transfer is rejected it shall revert to draft status.	To avoid duplication of efforts: one department actions the change and the other accepts.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			Note that where budget has left one department before being accepted into another department that the totals are held in such a way that control totals (i.e. the total across all bodies – e.g. total DEL) do not drop by the amount in transit.	
REQ02.003 GN	Workflow, Configuration & Validation	**Make adjustments**	The system shall enable authorised users to make adjustments to source data (both draft and submitted), as individual or bulk adjustments, in line with defined business rules (i.e, GEP team amend allocations) It shall be possible to: - Allocate adjustments across the financial year (i.e., PSF allocation year end adjustments) - Make adjustments between financial years (i.e., DEL budget exchanges) - Make multiple adjustments which can be saved as draft and submitted when required - Identify the adjustment type (i.e., SR settlements, reserve claims, budget measures) Some types of adjustments shall require an approvals workflow (i.e., WGA cycle changes).	To enable changes to be reflected on the system and to improve data quality. To enable users to enter multiple adjustments and save adjustments in draft form to be submitted when additional data required becomes available.
REQ02.004 GN	Workflow, Configuration & Validation	**Review transaction impact**	The system shall enable users and approvers to see the impact of a transaction before it is moved to submitted status. (i.e. the impact on control totals/AME; where spending teams approve budget switches)	To view the impact and make necessary changes before submission. To avoid approvers giving approval before seeing the impacts.
REQ02.005 C	Workflow, Configuration & Validation	**Self-service adjustments workflow**	The system shall enable users to make updates to cash forecast data via a workflow process and shall track updates via an activity log, accessible to authorised users.	To enable the cash management process on system and remove off-system working.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ02.006 GN	Workflow, Configuration & Validation	**Approvals workflow**	The system shall implement an approvals workflow for processes, adjustments, and reports to include: - Spending teams to approve budget changes where required - Approvals of final Estimate - Creation of standard reports The system shall enable multiple approvers and delegation of approvers as required. The system shall notify relevant users of approvals / rejections / outstanding approvals and adjustments shall be returned to draft status if rejected. The system shall enable users to view / run a report on outstanding approvals. The system shall log a timestamp and approver ID.	To formalise and streamline the approvals process to increase efficiency and to retain an audit trail. To improve the timeliness of approvals within the system and enable more effective monitoring.
REQ02.009 GN	Data Management	**Data migration - legacy data**	Legacy data from OSCAR and COINS SQL Server Archive database shall be migrated into the system.	To enable users to report on data from the previous years and enable analysis over time.
REQ02.010 GN	Data Management	**Hold historic / future data**	The system shall store data for the current year, at least 5 previous years, and at least 5 future years. Historic data may be read only / archived as required.	To ensure historic data remains accessible.
REQ02.011 GN	Data Management	**Reports archiving**	The system shall enable authorised users to import sections of reports from prior years, to update for current reporting. (i.e, reproduce a previous Ambit; reproduce Analytical Review notes)	To use and update previous sections and make the process more efficient.
REQ02.012 W	Financial Consolidation	**Consolidation**	The system shall include consolidation / elimination capabilities for intercompany eliminations, to enable: - Automatic elimination of matched transactions between WGA counter	To enable the required consolidation and eliminations on system to produce the WGA.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			parties - Automatic identification Counter Party elimination errors - Visual representation of un-eliminated transactions against set thresholds - Automatic calculation of the financial value of any residual Counter Party eliminations errors - Consolidation all data submissions into a single dataset. - Analysis of inter-company imbalances It shall be possible to define elimination thresholds for individual transactions and at group levels. The consolidations and eliminations should be auditable.	To monitor the value of un-eliminated transactions and can work to reduce this to below the NAO threshold.
REQ02.013 W	Financial Consolidation	**WGA Journals**	The system shall enable authorised users to make financial transaction journals between counter parties and shall auto generate a sequential reference number for each new journal created. The system shall notify users of any errors in uploading journals via an error notification.	In order that WGA Team can resolve elimination errors.
REQ02.014 W	Financial Consolidation	**Sub-consolidate data**	The system shall enable WGA data for sub-consolidating departments to be consolidated and should enable navigation between parent and child levels.	To enable sub-departments to be consolidated.
REQ02.015 W	Financial Consolidation	**WGA analytical review workflow**	System to enable WGA analytical review process, through: a) Functionality to refresh reports when new data received b) Variance analysis between this year and prior year c) Generate Analytical Review notes	To reduce manual intervention and the time taken to produce WGA (currently 12 months +).

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			and tables from the system d) Edit AR notes and tables on system e) Line-by-line and entity-by-entity inter-company eliminations	
REQ02.016 GN	Data Collection	**Data capture - changes**	The system shall enable changes to data capture / data collection templates for example, adding or removing numerical data fields.	To create a more efficient data collection, especially where data capture changes are required.
REQ02.017 W	Financial Consolidation	**Data collection cycles**	The system shall accommodate data collection cycles of account components such as base data, intercompany transactions / eliminations, and adjustments and be flexible to accommodate different numbers of update cycles in each component, as required by business needs. All relevant parties shall be able to view counter-party transactions.	To enable flexibility to accommodate cycles as required by business needs. To enable bodies to report intercompany transactions prior to the general WGA submission – pending changes to WGA process.
REQ02.018 GN	**Data Collection**	**Direct data entry**	The system shall enable users to type or paste data directly into the solution should they choose to as opposed to loading via a file format.	To enable users to add data to the solution quickly. This shall include data collection for statutory reporting as referenced in this document, PFI/PF2, and WPR.
REQ02.019 PS	Data Collection	**ONS load data**	The system shall enable ONS to load their PSF data submission directly to the system.	To remove the need for off-system data transfers.
REQ02.020 GN	Data Collection	**Direct data upload**	The system shall enable users to upload data files, including Excel, .csv and .txt files, in standardised formats, as per agreed templates including: - Estimates submission (financial and narrative) - Allocations data - Spending review allocations The templates shall be available for	To enable users to upload files with standardised formats to the solution. This shall include data collection for a statutory reporting as referenced in this document, PFI/PF2, and WPR.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			users to download from the system.	
REQ02.021 GN	Data Management	**Financial period roll over / forward**	The system shall enable authorised users to roll forward prior year data to the current year.	To pre-populate data and ensure bodies only need to provide updates where required and not enter data.
REQ02.022 GN	Data Management	**Financial period open / close**	The system shall enable authorised users to: a) open b) amend c) close fiscal time periods for data entry.	To enable different time periods (e.g. current spending review years) to be made available and closed for data collection and analysis.
REQ02.023 GN	Master Data Management	**Mapping**	The system shall have the functionality to automatically map data uploaded by a department / DA, in the agreed format and including the relevant account codes, to the relevant CoA within the system, as per mappings setup and maintained on system.	To enable the data to be mapped on upload. Dependent on requirement REQ04.018GN
REQ02.024 GN	Data Collection	**Comments for uploads and adjustments**	The system shall enable authorised users to add comments to uploads or adjustments via a drop down of standard reasons and a free text field for other reasons / additional information. Users shall be able to add comments to specific fields, lines, and submissions.	To contextualise figures to aid query resolution and to capture an audit trail on the system.
REQ02.025 WP	Data Management	**Pay data access for WPP**	The WPP team shall have access to pay data collected via OSCAR, to include this in their analysis and reporting.	To allow the WPP team to access pay data via the system. Dependent on REQ01.026P.
REQ02.026 E	Workflow, Configuration & Validation	**Enforce and display deadlines**	The system shall enable authorised users to set deadlines for data submissions, or parts of submissions, and enforce these (for example by blocking further uploads after cut off). Deadlines shall be visible to end users.	To ensure users are clear on upcoming deadlines and enforce deadlines.
REQ02.027 E	Data Collection	**Submit Ambit**	The system shall enable users to submit the confirmed Ambit text directly via the system alongside the data upload. The collection shall enforce business rules (i.e, only allow	To avoid users emailing the Ambit separately.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			submission of a DEL ambit if the body has DEL spending) and shall provide version control functionality.	
REQ02.028 E	Data Collection	**Submit data / adjustments meeting validation rules**	The system shall enable users to submit adjustments to data meeting validation rules whilst suspending other adjustments for completion later.	To enable submission of adjustments that pass checks enabling users to focus on the issues that require resolution.
REQ02.029 V	Data Collection	**Vote on Account data load**	The system shall enable users to submit Vote on Account figures, including the figure, any adjustments, and narrative rationale where required.	To enable the Vote on Account to be produced on system.
REQ03.030 PF	Data Quality	**PFI project list**	The system shall perform a check of PFI projects submitted against the listing from the prior year to identify new or missing projects.	To assist the PFI team with managing PFI submissions.
REQ02.031 GN	Master Data Management	**Apply budgeting and accounting frameworks**	The system shall be able to process data in line with the Government budgeting framework and in compliance with IFRS (for WGA).	To be able to process data in line with Government requirements.
REQ02.032 GN	Workflow, Configuration & Validation	**Collaborative working**	The system shall enable collaborative working by enabling defined user groups to have shared areas / workflows (i.e. A user loads data and another makes adjustments).	To enable users to work collaboratively and more efficiently.
REQ02.033 GN	Workflow, Configuration & Validation	**Minimal process steps**	The system shall enable users to login, load data, perform actions and produce reports with minimal process steps required.	To make processes simpler and more efficient.
REQ02.034 GN	Workflow, Configuration & Validation	**Scheduling reports**	The system shall enable end users to schedule reports to run at a specified date and time.	To enable large and regular reports to be scheduled ready to be used when required.
REQ02.035 GN	Reporting & Analytics	**Circulate reports**	The system shall enable users to circulate reports via the system.	To facilitate distribution and publication.
REQ02.036 GN	Data Management	**Cancel reports**	The system shall enable users to cancel a report or query once it has started running.	To enable users to cancel reports.
REQ03.001 GN	Workflow, Configuration & Validation	**Audit trail for uploads / reporting / adjustments / validation configuration /**	The system shall maintain an audit log for: - data submissions	To maintain an audit trail of user activity, to enable more efficient tracking of changes and to enable users to understand why adjustments or overrides

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
		validation overrides	- reports run - data extractions - data adjustments / deletions - validation overrides - approvals - journals - transactions (WGA) - configuration validation rules In line with audit requirements. Audit log information shall be available to relevant users and shall include: a) ID of the user who made the change b) ID user organisation c) Date-timestamp of the change d) Action taken e) Justification comments where required – such as Estimates adjustments, validation overrides, WGA journals. (i.e. PFI validation overrides - include confirmation that the FD has provided clearance; Estimates - record account number)	have been actioned. To ensure the system is auditable.
REQ03.002 GN	Workflow, Configuration & Validation	**Query logs**	The system shall enable users to raise and respond to workflow requests via the system and shall maintain a log of queries.	To facilitate resolution of queries and maintain an audit trail of queries.
REQ03.004 GN	Workflow, Configuration & Validation	**Change request workflows**	The system shall enable authorised users to make or request changes, such as to: - segment parent, segments, and sub-segments	To reduce pressure on OSM, enable changes to be standardised and ensure change control is managed within the system.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			- CoA - CPID list - Classifications (i.e, budget and outturn data to CoA codes) - Department names - Estimates lines	
REQ03.005 GN	Data Quality	**Variance validations**	The system shall enforce validations to sense check figures and flag unexpected variances, for example: a) Check against the equivalent figure in the previous month and flag if figure is X% different to previous month b) Check against equivalent figures in prior years and flag if figures are X% different to prior years.	To sense check figures and improve data quality by flagging unexpected variances and reduce the risk of incorrect data being loaded into the system.
REQ03.006 GN	Data Quality	**Highlight all validation errors**	The system shall highlight the location (cell or row) of all known errors within a data set at the point of data load.	To make error resolution more efficient and improve data quality. This should include a summary to show the types of errors and links between related errors to enable effective resolution and enable users to check for recurring errors.
REQ03.007 GN	Workflow, Configuration & Validation	**Configure exceptions to validation rules**	The system shall enable authorised users to configure and update exceptions to data validation rules for specific bodies (i.e. some bodies have only AME and no equivalent figure in DEL; information may be unavailable for PFI projects before certain dates).	To accommodate known exceptions so that the data does not fail validation in these instances.
REQ03.008 GN	Workflow, Configuration & Validation	**Configure validation rules**	The system shall enable authorised users to configure, update, amend, temporarily override, and remove data validation rules for specific datasets, or bodies, within the system, including for: - WPR data - Budgeting data - Estimates - WGA (i.e, TB must balance; Audit thresholds;) - GEP	To enable automated validation of the data and identify issues at load point for resolution. To enforce relevant business rules and ensure data quality through preventing incorrect data being loaded.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			- Cash forecast data (i.e, receipts figures must be positive)	To enable submission of data without validation failure where ad hoc exceptions agreed.
REQ03.009 WP	Workflow, Configuration & Validation	**Levels of validations**	The system shall enforce validations of different levels, as required by business processes: a) Enforce hard validations to prevent data being loaded (i.e, WPR - remuneration costs must not be negative; PFI - dates in the wrong format; GEP – 4 DEL control totals and AME control total breaches) b) Enable users to override errors with a justification (i.e, PFI - construction dates should be before other entry dates).	To prevent incorrect data being loaded to the system based on business rules, but to enable bodies to submit correct data where this deviates from standard rules due to specific circumstances.
REQ03.010 GN	Workflow, Configuration & Validation	**Explanation of validation errors**	The solution shall provide an explanation of the reason for each validation error in plain English.	To make it easier for end users to understand the reason for an error and facilitate correction.
REQ03.013 GN	Master Data Management	**Consistent capture of figures**	The system shall have a standardised level at which figures are input across related datasets, for example thousands or millions, enforced by system validations / reminder pop-ups and shall apply consistent handling of decimal places.	To ensure consistency in figures across the solution and to help data owners recognise their own numbers.
REQ03.014 WP	Data Quality	**Data quality checking**	The system shall enable the WPP team to data quality check submissions on system, mark submissions as reviewed and add review comments where required. The system shall display a summary of: - Submissions reviewed - Outstanding for review It shall be possible to apply filters (i.e,	To facilitate data quality checks and monitoring.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			civil service only, workforce only, all).	
REQ03.015 GN	Data Quality	**Spell check text content**	The system shall spell check textual content of reports, highlighting any errors for correction.	To ensure that errors are identified and corrected at an early stage.
REQ03.016 E	Workflow, Configuration & Validation	**Lock / unlock submissions / parts of submissions**	The system shall enable authorised users to lock and unlock submissions (any part including layout and content i.e, an Ambit) at specific points in time. The system shall implement automated locking based on deadlines entered on the system, where required.	To prevent changes after deadlines, other than agreed changes.
REQ03.017	Workflow, Configuration & Validation	**Identify report data sources**	Enable end users to identify the data sources (fields, tables) within the system from which reports have been derived, based on any data dictionary.	To enable users to check whether reports are based on the fields and data they expect and to avoid misinterpretation.
REQ03.018 GN	Master Data Management	**Data mappings**	The system shall enable authorised users to remap existing incorrect data. The system shall maintain a record of new mapping to previous mappings.	To maintain data structures effectively and correct mapping errors. To ensure that data can be traced back to where it was previously mapped (as per REQ02.023GN).
REQ03.019 GN	Data Quality	**Report unmapped codes**	The system shall enable authorised users to run a report of unmapped account codes.	To enable oversite of CoA mappings.
REQ03.020 GN	Workflow, Configuration & Validation	**Automated notifications**	The system shall have the ability to automatically send notifications with key information to relevant users on completion of uploads and processes, including for: - Data rollovers (i.e. WGA) - Requested changes - Loading data (i.e. approved reserve claims; WGA submissions notification to include financial period, P1-12 as 01, P1-14 as 02, HMT adjustments after intercompany errors as 03, analytical review adjustments as 04, audit adjustments at WGA level as 05) - Adjustments (i.e, detail type of change, type of spend affected, bodies	To increase efficiency and reduce need for manual notifications.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			involved)	
REQ03.021 W	Workflow, Configuration & Validation	**Task status**	The system shall show the status of a process via a timer or status bar, and shall notify users on completion or failure of task (with failure reason). (i.e, running reports, loading data)	To enable users to determine whether a task is in progress, has run or has failed.
REQ03.022 S	Workflow, Configuration & Validation	**Monitor spend variations**	The system shall monitor variation in specific categories of spend and alert teams if a defined threshold is crossed.	To enable spending teams to monitor variations and to identify exceptions.
REQ03.023 GN	Security	**Manage user accounts**	The system shall enable "super users" with the appropriate access roles to: - Create new user accounts - Assign user roles to user accounts - Delete user accounts - Run reports on unused user accounts - Run reports on numbers of users by groups The system shall provide a method by which end users can securely: - Automatically perform a password reset - Request a user account	To enable new accounts to be created as and when required with appropriate access and remove access permissions. Monitor accounts for access and licensing.
REQ03.024 GN	Security	**Roles based access**	The system shall have roles based access for data and functionality (for example a role may correspond to a particular team, process, or publication).	To gives users access to required functionality and data but ensure access is provided on a "need to know" based and maintain information security.
REQ04.001 GN	Master Data Management	**Non-financial data**	The system shall support the loading of non-financial data, including: - WPR data collections (headcount, %s, FTE, number of exit packages, number of employees on the NLW)	To enable analysis and remove the need to combine data manually off system. This should include: a)Population data b)GDP deflators.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ04.002 GN	Master Data Management	**Incorporate additional datasets**	The system shall be flexible to incorporate new datasets, into the data model, as determined by business requirements.	To enable additional datasets to be incorporated as required to support cross-government needs (i.e, to support Efficiency Review objectives). These could include: Workforce; Digital; Estates; BRAVO (transactions); Transactions Explorer (digital transactions); Epims (Estates data); ONS (people data).
REQ04.003 GN	Data Collection	**Attachments**	They system shall enable users to upload documents digitally, including: -WGA attachments -PES paper (Estimates)	To facilitate processes.
REQ04.004 CR	Data Collection	**PESA / CRA datasets**	The system shall enable the loading and storage of all datasets required for the CRA and PESA publications, including: CRA submissions, DCLG data, DWP data, DA data, EU transactions, public corporations data, data on public debt, population data from ONS, reserves, OBR allowances and adjustments.	To enable the CRA and PESA publications to be produced via the system, with the complete dataset on system and reduce manual processing.
REQ04.005 WP	Data Collection	**ONS total pay bill figure**	The system shall enable the loading and storing of the annual total public sector pay bill figure from the ONS Blue Book publication.	To enable WPR analysis on system.
REQ04.006 PF	Data Collection	**Receipts data**	The system shall store receipts data.	To store additional datasets for analysis.
REQ04.008 C	Data Collection	**Cash forecasts from departments**	The system shall enable daily and monthly cash forecast data collection and storage for all departments.	To enable the process on system and remove off-system working.
REQ04.009 G	Data Collection	**OBR AME data**	The system shall store OBR AME data, loaded by internal users.	To compare AME forecast and actual spend.
REQ04.001 0PF	Master Data Management	**Master data lists**	The system shall store master data lists, including for:	To maintain a central list and enable changes to be

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			1)PFI projects (unique IDs) 2)CPID 3)WPP ALBs 4)Public bodies 5)Categories of spend 6)Policy areas	applied to all data sets.
REQ04.011 GN	Master Data Management	**Tagging**	The system shall enable users to tag, and update tags, managed by relevant authorisers, including for: - categories of spend - policy areas - spend and income - country and regional analysis	To increase granularity for reporting, take different views of data, enable tagging of data for key policy areas and ensure correct categorisation.
REQ04.012 GN	Master Data Management	**Master Data Management**	The system shall enable robust master data management and change management.	To implement robust master data management.
REQ04.013 GN	Master Data Management	**Temporary dimensions**	The system shall enable users to create temporary tags / dimensions mapped to other dimensions in the underlying data model to allow filtering by a new list or hierarchy.	To accommodate different requirements for data analysis.
REQ04.014 GN (FI032)	Master Data Management	**Fiscal Event recognition**	The system shall enable data to be classified according to the fiscal event it relates to (i.e, Main Estimate).	To enable financial data to be tracked to fiscal events.
REQ04.015 GN	Master Data Management	**Existing classifications**	The system shall enable data to be classified according to all current categories, to include: 1) COFOG 2) Chart of Accounts in OSCAR 3) PESA Economic Group 4) National Accounts Definitions 5) Regional/Non regional 6) Sectoral 7) Capital/Resource 8) DEL / AME	To enable continuity of outputs and publications required.
REQ04.016	Master Data	**Draft structure**	The system shall enable users to have access to an area in which structure	To ensure changes are correctly and successfully

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
GN	Management	**changes**	changes, such as for the CoA and CPIDs, can be trialled in draft.	applied without affecting live data.
REQ04.018 GN	Master Data Management	**Mappings between datasets**	The system shall enable the setup and maintenance of mappings between datasets and CoAs on the system.	To enable reconciliations (i.e, mappings should include Year 1 figures from PFI submissions to WGA PFI submissions) and mappings to required CoAs.
REQ04.019 GN	Master Data Management	**CoA Structure**	The system shall hold CoA structures necessary to enable reporting for statutory outputs and other processes as referenced in this document.	To support processes and reporting.
REQ04.020 GN	Master Data Management	**Previous Data structures**	The system shall preserve a record of data / reports under previous structures, shall enable current data / reports to be viewed as they would look if previous data structures were still in place, and enable a view of historic data as though new structures had always existed	To retain a historic record of the data and to enable views of data based on previous and new structures (i.e, through slowly changing dimensions).
REQ04.021 PF	Data Quality	**Reconciliations**	The system shall enable reconciliations between datasets which are mapped on the system.	To enable a comparison of figures and investigation of differences and changes (i.e, Year 1 figures from PFI submissions to WGA PFI submissions; Estimates to PESA).
REQ05.001 GN	Data Integration	**Data interfaces / API load to system**	The system shall enable departments to load data to the system directly from their source systems through the provision of an agreed Application Programming Interface (API). The system should be flexible such that additional APIs can be added in the future.	To enable departments to load data directly and remove manual processing.
REQ05.003 GN	Hosting / Infrastructure	**Browser compatibility**	The solution shall be compatible with common internet browsers.	To enable all department / DA users to use the solution.
REQ05.004 GN	Hosting / Infrastructure	**Mobile access**	Ability to access reports, dashboards, planning and consolidation components via mobile devices.	To enable more flexible working.
REQ05.005	Data	**WGA**	The system shall enable WGA bodies	To enable all users

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
W	Collection	**submissions - Online application / system access**	to have access to submit data directly to the system replacing the current DCT. The application shall be flexible to accommodate differences in data collection across WGA bodies and required changes. End users to include: a) Government Departments b) Devolved Administrations c) Local Authorities	required to submit data to do so via an online application to avoid manual workarounds and pressure on the WGA team to spend time uploading data on behalf WGA bodies.
REQ05.006 GN	Hosting / Infrastructure	**Website access**	The system shall be available for end users to access directly from their own networks without going via an intermediary system.	To remove the need for CITRIX.
REQ06.002 GN	Workflow, Configuration & Validation	**Status of service**	The system shall display a message to users on the status of the service.	To alert users to the status of the service.
REQ06.004 GN	Workflow, Configuration & Validation	**Link emails to the system**	The system shall enable email communications to be linked to the system, to enable users to send emails via the system which flag to the recipient that the email relates to the system and shall enable such emails to be attached and stored on the system.	To link communications to the system to aid quicker actions and maintain a log of communications which is critical in teams with high turnover.
REQ06.006 GN	Hosting / Infrastructure	**User support availability**	End user support shall be in line with agreed SLAs (i.e, available between 08:00-18:00 Monday to Friday).	To ensure current user support levels for end users are maintained.
REQ06.007 GN	Workflow, Configuration & Validation	**Pop-up / in context help**	The system shall provide pop-up / in context help, such as for: - Formulas used in calculations and reporting - Specific reports - Query tools - Visualisation tools	To help users when creating reports.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ06.008 GN	Workflow, Configuration & Validation	**User training and guidance**	Users shall have access to training and guidance, tailored to specific roles and business areas, such as through: - Webinars - Videos - Training modules - Audio visual	To provide training and guidance linked with system to reduce the overhead of delivering face to face training. Flexible training to suit user needs. The training material may or may not be stored on the system.
REQ06.009 GN	Workflow, Configuration & Validation	**Error log – definitions and guidance**	A list of errors with clear definitions of each error and resolution suggestions shall be available.	To help users with error resolution and reduce pressure on FACT team.
REQ06.010 GN	Hosting / Infrastructure	**Training area**	The system shall provide users with a training area which mirrors the functionality of the production solution to enable practical training without affecting source data.	To enable practical training which is more effective and increases user knowledge.
REQ07.001 GN	Data Management	**Data storage capacity**	The system shall have reasonable data storage capacity as required by business needs and capacity to extend storage.	To match storage capacity to the requirements of the business.
REQ07.002 GN	Hosting / Infrastructure	**Appropriate Disaster Recovery processes**	The system shall have appropriate disaster recovery processes for business continuity in line with SLAs.	To ensure business continuity.
REQ07.003 GN	Hosting / Infrastructure	**Real time system**	The system shall load data / adjustments / transfers such that users shall be able to see the impact of the data load immediately, such as for allocations data loads (DEL budgets and reserve claims).	To make processes more time efficient, reduce pressure around deadlines, and reduce need for manual workarounds. For example use of in memory technology.
REQ07.004 GN	Security	**System access**	The system shall be accessible by users / bodies who require access to the system and who are required to submit data. The system shall support single sign on. All system communications and data transfer must be via a secure, encrypted channel. Users shall be authenticated on a role-	To ensure that all users who require it are able to access the system and perform necessary actions.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			based basis, securely, through common industry best practice authentication methods (such as multi-factor).	
REQ07.005 GN	Hosting / Infrastructure	**Reporting functionality and queries**	The system shall have reasonable performance of reporting functionality (i.e. not more than 2 minutes).	To ensure performance of the solution meets business requirements.
REQ07.006 GN	Hosting / Infrastructure	**Notifications**	The system shall have reasonable performance in respect of notifications (i.e. not more than 2 minutes for notifications to send).	To enable timely notification and allow users to take immediate action.
REQ07.007 GN	Hosting / Infrastructure	**Simultaneous processes**	The system shall enable unrelated processes to run simultaneously and have reasonable timelags between related processes (i.e. a few seconds or minutes for a process to complete and the second process to begin).	To stop all processes needing to be sequenced.
REQ07.008 GN	Hosting / Infrastructure	**User licences**	The system shall have reasonable availability of user licences as required to satisfy user needs.	To avoid pressure on only one team member with access.
REQ07.009 GN	Hosting / Infrastructure	**Reliability**	The system shall be reliable and available for users when required, including reporting and uploading processes.	To avoid users being unable to access the system.
REQ07.010 GN	Hosting / Infrastructure	**Availability**	The system shall have availability, in line with SLAs, such as for software patching and infrastructure maintenance, especially around key reporting deadlines. It shall be possible to make changes to system data structures without requiring a solution outage. The system shall be securely available for users to access outside support hours in accordance with availability SLAs.	To ensure users have access to the system to perform essential business processes. To ensure that the solution is effectively maintained. For example through using cloud based infrastructure.
REQ07.011 GN	Hosting / Infrastructure	**Concurrent users**	The system shall support a reasonable number of concurrent users as required by business needs (i.e, at least 75 concurrent users).	To ensure sufficient user capacity during peak usage periods.
REQ07.012 GN	Hosting / Infrastructure	**Number of users**	The system shall support a reasonable number of total users as required by business needs (i.e, which could be 2,000 or more for specific processes).	To ensure the solution is available for use by all end users who require access.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
REQ07.013 O	Hosting / Infrastructure	**Back ups**	The system must retain appropriate back-ups for business continuity (for example weekly full and daily incremental backups, to be securely stored off site by either physical or electronic transmission for at least five weeks). The backup strategy must align to the classification of data in the solution, meet regulations and meet the needs of the Disaster Recovery and Business Continuity Planning requirements (the backup strategy and schedule must also change if those inputs change).	In order to ensure the service can be restored in the event of on-site business continuity issue.
REQ07.014 GN	Hosting / Infrastructure	**Continuous Connection**	The system shall enable users to remain connected to the system for a reasonable period of time (i.e, users shall not be disconnected every few minutes).	To ensure users remain connected to the system whilst working and are not disrupted through disconnections.
REQ07.015 GN	Security	**Government security requirements**	The system security shall meet Government security requirements (for example, passing relevant penetration tests).

Only those devices that are approved shall be able to access the solution. | To align with security requirements. |
| REQ07.016 GN | Hosting / Infrastructure | **Automated testing** | There shall be a test instance which mirrors the system with test data and automated testing capability so that regression can be undertaken on releases in an automated way. | To allow for substantially lower costs of release in future. |
| REQ07.017 GN | Hosting / Infrastructure | **Usability** | The system shall have all features available from a single landing page and the look and style shall meet brand and usability guidelines.

The user experience must remain consistent on all devices irrespective of operating systems. | To provide users with a user-friendly system that meets required standards, such as:

- plain English

- Level AA of the Web Content Accessibility Guidelines (WCAG) 2.0. |
| REQ07.018 GN | Data Management | **Data Management** | All system data must be securely stored and managed (in whatever format it is held). Data must be retrievable on demand immediately or within a reasonable period of time as defined in | Secure and accessible data. |

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			the SLAs.	
REQ07.019 GN	Data Management	**Data Removal**	Data no longer required must be securely transferred and destroyed.	Secure removal of data no longer required.
REQ07.020 GN	Hosting / Infrastructure	**Scalability**	The solution must scale up and down smoothly For example (but not limited to) ensuring that data storage, performance, volumetric and service demand peaks can be scaled for, and are adequately catered for throughout the life of the solution.	Solution with adequate performance.
REQ07.021 GN	Hosting / Infrastructure	**Maintenance**	The solution must be able to be maintained within SLAs such that scheduled downtime does not impact users. Patches and other necessary updates must be applied (in line with SLAs).	Able to manage the solution in line with user needs.
REQ07.022 GN	Hosting / Infrastructure	**Supporting Tools**	Appropriate tools must be in place to support solution management such as maintenance and any roll-backs required.	Able to manage the solution in line with user needs.
REQ07.023 GN	Hosting / Infrastructure	**Recoverability**	The solution (and data) must be recoverable in line with SLAs.	Able to recover the solution and data in the event of disaster or emergency.
REQ07.024 GN	Hosting / Infrastructure	**Transferability**	The solution must be able to be transferred from one supplier to another seamlessly with no break in service.	To ensure that the solution is not tied to any one particular supplier.
REQ07.025 GN	Hosting / Infrastructure	**Solution Performance Tracking**	The following information must be captured such that it can be provided in service reports - Service Availability; - IT System Responsiveness - Number of minor and major degradations of service; - Service Recovery times; - Recovery times; - Diagnostics and Lessons Learned; - Failures in Regulatory and/or Security	To support management of the solution.

Reference #	Technical Delivery Area	Requirement Name	Requirement Description	Impact
			compliance; - Data integrity. - Helpdesk tickets, response and resolution times.	
REQ07.026 GN	Hosting / Infrastructure	**Documentation**	Documentation related to the solution must be written concisely in English with appropriate diagrams and be kept up to date in a location accessible to authorised users.	To support management of the solution.
REQ07.026 GN	Data Management	**Data Leakage / Data Loss**	The solution must be able to restrict the downloading of content and other data leakage prevention when a user is accessing the service through a personal device (as opposed to a device managed by a Government Department IT Department).	To restrict the loss of important information.

2. DESCRIPTION OF AUTHORITY PROCESSES

2.1. The following are provided to describe the Authority Processes for the following numbered Payment Milestones as set out in Schedule 3 – Annex 2 and in relation to the Solution Requirements:

Payment Milestone No ("00")	Description
004.Cash Management	Data is required on a daily basis for HMT's Cashflow Management Scheme which feeds into cash forecasts for the Debt Management Office and provides departments with funding from the Consolidated Fund.
005. WPR	Departments provide data to the Treasury on their forecasts and outturns for the pay round. This is to enable the Treasury to confirm that departments are abiding by the parameters set in the annual pay guidance, to report overall priorities and risks to the Chief Secretary and to set overall civil service pay parameters for future years.
006. Public Sector Finance ("PSF")	**Monthly outturn and forecasts -** Departments provide outturn and forecast data for the current financial year split by month. This data is provided to a tight timescale – the deadline is 10am on the eight-working day of each month. **Analysis for PSF team -** The PSF team have a need to load adjustments to the in-year dataset which are required for monthly reporting but do not need to be reflected in the main budgeting data. **Reporting for ONS -** The monthly statistical bulletin presents net debt and borrowing for the public sector, along with other public-sector finance data. **Initial annual outturn** – the final collection of these data in a financial year forms the basis of the annual outturn for that financial year. This is then further adjusted via the Estimates/PESA workstream.
007. Country & Regional Analysis ("CRA")	**Country and Regional Analysis – CRA -** There is a requirement, for PESA publication, that certain larger areas of spend are split out to indicate their "coverage" – i.e. what proportion relates to NE England, NW England, Northern Ireland etc. Departments do this in an annual exercise. Data is collected for the past five years.
008. Estimates/PESA	Process by which Estimates, and Supplementary Estimates are produced. These are the means of obtaining from Parliament, the legal authority to consume resources and spend cash the government needs to finance department's agreed spending programmes. This includes - **Treasury allocation of budget and Adjustments for publications -** HMT needs to record aggregate changes to budgets and all local government and public corporation spending. HMT load announced Spending Review settlements, Reserve Claims and Budget Measures. The data will reflect the agreed control totals. Also, to record minor corrections to SR settlements and SR data. **Departmental Disaggregation of Treasury allocations and Budget Cover Transfers (BCTs) -** Used by departments to disaggregate (break down) the allocations loaded by Treasury Central Teams and those departments receiving a Budget Cover Transfer from another department. All control totals must match those allocated by Treasury, or in the case of a BCT those recorded by the donating department. **Departmental Budget Neutral Changes -** All budget neutral changes must net to

	zero. Validation rules must ensure that such changes net to zero and will not allow data to be loaded which fails this rule. This allows departments to make changes to internal plans data which do not change the control totals.
	• **Changes to Departmental Budgets -** Departments are sometimes required to make changes to their budgets that affect one or more of their control totals. Adjustments need to be approved by the department Spending Team. This can be due to - for example - changes in the discount rate which is used for discounting future cash flows as announced by HMT, DEL underspends, changes in AME forecasts, changes in Budgetary treatment or to adjust provisional outturn figures to be in line with audited accounts for prior years.
	• **Machinery of Government – Donating and Receiving -** If a body moves from one Department group to another the system must support the recording of that change on the system. Validations ensure that the same amount donated is disaggregated by the receiving Department. These disaggregation's need to be approved by the receiving department's Spending Team within HMT.
	• **Departmental Budget Cover Transfers -** Where a function moves from one Department to another then data has to move out of the donating Department's budget. Validations built into the system must ensure that the same amount transferred out is disaggregated by the receiving Department.
	Public Expenditure Statistical Analysis (PESA) – This is a set of statistical analyses of outturn data used for various statistical publications. It is published annually and refreshed on a regular basis throughout the year.
009. PFI and PF2	**Private Finance Initiative** - The Government is under an obligation to disclose PFI/PF2 information to Parliament. The financial data collected sets out departments and Devolved Administrations PFI/PF2 liabilities and is used by a variety of bodies and Parliamentary Committees including the National Audit Office, Office for National Statistics, Office for Budget Responsibility and Committee of Public Accounts.
10.1 WGA (Data Collection Tool)	WGA consolidates the audited accounts of approximately 3,800 organisations across the public sector in order to produce a comprehensive, accounts-based picture of the financial position of the UK public sector. WGA is based on EU-adopted International Financial Reporting Standards (IFRS), the system of accounts used internationally by the private sector.
10.2 WGA Consolidation **10.3 WGA Reporting**	**Financial consolidation -** Organisations that are a part of WGA are required to identify transactions and balances with other WGA bodies. A financial consolidation is produced by eliminating these amounts. Validations are required to mandate the quality of data submitted.

SECTION 3: REQUIRED REPORTS

1.1 The following list of Required Reports is a subset of the Authority Requirements that can be found in Section 2 (Solution Requirements). The complexity ratings are estimates.

Requirement ID	Reporting Output Title	Estimated Complexity	Word style and PDF report	Excel output	Online dash board	Other
REQ01.002GN	Bespoke reporting	Very High	x	x	x	JSON / XML
REQ01.003GN	Spending control / plans / returns report	Medium	x	x		
REQ01.003GN	DAR excel file	Medium		x		
REQ01.003GN	MOGs and BCTs excel file	Medium		x		
REQ01.003GN	Transparency Data	Medium		x		JSON / XML
REQ01.003GN	EDP reporting to Eurostat (ONS)	High	x	x		
REQ01.003GN	Fiscal Sustainability Report (OBR)	High	x	x		
REQ01.003GN	HMT Budget PFI control totals	Medium		x		
REQ01.003GN	Private Finance Initiative and Private Finance 2 projects: Summary data	Medium		x		
REQ01.003GN	WPR Key Trends and Analysis	High		x		
REQ01.005WP	WPR Analysis Report	High		x	x	
REQ01.006C	Prediction of future cash requirements report	Very High		x	x	
REQ01.008GN	Variances Report	High		x	x	
REQ01.009PF	PFI Analytics	High		x	x	
REQ01.013GN	Benchmarking dashboard	Very High		x	x	
REQ01.014S	Spending Control Report	Medium		x	x	
REQ01.016S	Spending Control dashboard	High		x	x	
REQ01.017S	OPEX dashboard	High		x	x	

Requirement ID	Reporting Output Title	Estimated Complexity	Word style and PDF report	Excel output	Online dashboard	Other
REQ01.018SWP	Risk analysis dashboard	High		x	x	
REQ01.019S	Budget tracker dashboard	High		x	x	
REQ01.020S	Adjustments dashboard	Medium		x	x	
REQ01.021C	Cash management performance monitoring report	Medium		x	x	
REQ01.022GN	Submissions status monitoring dashboard	Medium		x	x	
REQ01.023GN	WGA cash flow (indirect method)	Medium	x	x		
REQ01.023GN	Estimates figures	Medium		x	x	
REQ01.023GN	CPID/Counter Party List	Medium		x		
REQ01.023GN	WGA journals	Medium		x		
REQ01.023GN	CoA, segment and sub-segment level reports	Medium		x	x	
REQ01.023GN	Differences between Main and Supplementary Estimates	High		x	x	
REQ01.023GN	Monthly forecast outturn	High	x	x		
REQ01.023GN	General expenditure report	High	x	x		
REQ01.023GN	Cash flow analysis report	Very High	x	x		
REQ01.023GN	PFI spending control total performance report	Medium		x	x	
REQ01.023GN	OBR Financial Stability Report	High	x	x		
REQ01.023GN	Annual ALB report for bodies spending above £1m+	Medium	x	x		
REQ01.023GN	WGA mapping spreadsheet	Medium		x		
REQ01.023GN	WGA elimination errors	Medium		x	x	
REQ01.023GN	Standard CoA - transactional data and Notes to the Primary Financial Statements	High	x	x		

Requirement ID	Reporting Output Title	Estimated Complexity	Word style and PDF report	Excel output	Online dash board	Other
REQ01.027P	PESA publication	High	x	x		
REQ01.028P	CRA publication	High	x	x		
REQ01.029PF	PFI publication	High	x	x		
REQ01.031PS	PSF publication	High	x	x		
REQ01.032E	Supply Estimates publication (main)	Very High	x	x		
REQ01.032E	Supply Estimates publication (supplementary)	Very High	x	x		
REQ01.033V	Vote on Account Publication	Very High	x	x		
REQ01.034W	WGA publication	Very High	x	x		XBRL
REQ01.036GN	Management Account Pack	Very High		x	x	
REQ02.004GN	Transaction Impact Report	High		x	x	
REQ03.001GN	System Audit Reports	Medium		x	x	
REQ03.014WP	Data Quality Report	High		x	x	
REQ03.019GN	Unmapped account codes report	Medium		x		