HM Revenue & Customs

SCHEDULE 2.1 | Services Description

Schedule 2.1 | Services Description

1 DEFINITIONS

In this Schedule 2.1 (*Services Description*), the following definitions shall apply:

Authority's ITSM Tool	means the Authority's IT Service Management tool;
Business Application	means a software application that supports a business process or function that is within the scope of support under the Services, as identified in Part A of this Schedule 2.1 (*Services Description*);
Business Requirements	means the Authority's requirements for Services as set out in the following schedules: Schedule 2.1 (*Services Description*), Schedule 2.2 (*Performance Levels*), Schedule 2.3 (*Standards*) and Schedule 2.4 (*Security Management*);
Delivery Group Service Management	has the meaning given at Paragraph 3.4;
IT Service Request Catalogue	means the catalogue of services, as agreed between the Parties from time to time, from which the Authority may raise a standard Service Request as specified in the Authority's ITSM Tool;
Service Request	means a request submitted by the Authority in the Authority's ITSM Tool for information, advice, a standard change, or access to a Service, in each case, that is selected from the IT Service Request Catalogue and which does not constitute an Incident for the purposes of Schedule 2.2 (*Performance Levels*);
Supplier Policies and Procedures Manual or SPPM	means the collection of designated documents made available by the Authority to the Supplier and referenced as the "Supplier Policies and Procedures Manual" or "SPPM", as may be varied in accordance with the process set out in Paragraphs 2.8 to 2.10 of this preamble to this Schedule 2.1 (*Services Description*);

SPPM Variation shall have the meaning given at Paragraph 2.8,

and any other capitalised terms not defined in this Agreement shall have the meaning set out in the SPPM or such meaning as would be understood in the industry (as appropriate).

2 INTRODUCTION

2.1 The Authority (also referred to interchangeably as "**HMRC**" in this Schedule 2.1 (*Services Description*)) has a large number of IT systems on its estate, many Critical National Infrastructure, which require ongoing operational support, maintenance and development to ensure HMRC is able to provide a stable and progressive service to its customers.

2.2 This Schedule 2.1 (*Services Description*) provides a description of what each Service entails (Paragraph 3, below (*Services Description*)) and sets out the intended scope of the Services to be provided by the Supplier (Parts A, B and C).

2.3 This Schedule includes the following sections:

- **Part A:** Business Applications
- **Part B:** Business Application Support and Maintenance (BASM) Services
- **Part C:** Project Services
  - i. Business Applications Development and Enhancement Services;
  - ii. Integration Services;
  - iii. Strategy, Architecture and Feasibility Analysis Services; and
  - iv. Decommissioning Services.

2.4 Each part consists of a number of individual Business Requirements which have been logically grouped for the purposes of this Schedule 2.1 (*Services Description*).

2.5 Wherever the Business Requirement for an element of Service specifies a duty to comply with a standard, policy, procedure, strategy or other rule this will be shown as the sole responsibility of the Supplier. If the standard, policy, procedure, strategy or other rule is not specified in the Schedules to this Agreement, the Authority shall be responsible for communicating the standard, policy, procedures, strategy or other rule to the Supplier.

2.6 Processes are defined in the Supplier Policies and Procedures Manual (SPPM) which is a living document of policies, processes, procedures and standards (as required). This enables the Authority to ensure day-to-day working practices align to operational and commercial requirements, so ensuring that the delivery and management of Services is provisioned in an agreed, efficient and logical manner. The Authority and the Supplier shall comply with the relevant policies and standards.

2.7 Subject to Paragraphs 2.8 and 2.9 of this preamble to this Schedule 2.1 (*Services Description*) below, the Authority shall be entitled at its discretion to update any of its policies, standards or procedures set out in the Supplier Policies and Procedures Manual by providing the Supplier with written notice, following which the Supplier shall have thirty (30) days to comply with such updates. For the avoidance of doubt, such updates shall not include any amendments to the definitions of Priority Levels, which shall be managed in accordance with paragraphs 1.10 to 1.12 (inclusive) of Part B of Schedule 2.2 (*Performance Levels*). Other than as provided for in Paragraphs 2.8 and 2.9 and Schedule 2.3 (*Standards*), any such updates will not be subject to the Change Control Procedure. As at the Effective Date, the relevant version of the SPPM that applies to this Agreement is the version in place as at the Effective Date, and any variations from such version will be subject to the process in Paragraphs 2.7 to 2.9 of this preamble to this Schedule 2.1 (*Services Description*).

2.8 If a policy, standard or procedure contained in the SPPM is updated (such update excluding any amendment to the definitions of Priority Levels) (**"SPPM Variation"**), and the Supplier reasonably considers that such SPPM Variation is likely to materially impact upon the Supplier's cost of performing its obligations under the Agreement or impact on their delivery, then the Supplier shall:

(a) notify the Authority as soon as reasonably practicable of the likely effects of the SPPM Variation, including whether any Change is required to the Services or Charges;

(b) in respect of any such changes in the Supplier's costs, provide the Authority with evidence:

(i) that the Supplier has minimised any increase in costs or maximised any reduction in costs;

(ii) as to how the SPPM Variation has affected the cost of providing the Services; and

(iii) demonstrating that any expenditure that has been avoided has been taken into account in amending the Charges.

2.9 Any variation to the Agreement resulting from a SPPM Variation pursuant to Paragraph 2.8 of this preamble to this Schedule shall be agreed in accordance with the Change Control Procedure, and the Supplier and the Services shall not be required to comply with the relevant SPPM Variation until the date agreed for such implementation as set out in the relevant Change Authorisation Note.

2.10 Without prejudice to clauses 13.2 to 13.5 (*Change in Law*), the Supplier shall not be entitled to an increase in the Charges to the extent that a SSPM Variation is required to implement a General Change in Law.

2.11 Where appropriate, a corresponding Authority Responsibility is listed alongside the Business Requirement and, where such a responsibility is listed, that responsibility shall relate solely to that Business Requirement and shall not confer any wider obligation upon the Authority in respect of any other Business Requirements. For the avoidance of doubt, the Authority shall have no obligation to perform an Authority Responsibility in this Schedule 2.1 (*Services Description*) unless it is cross-referenced in the table in Paragraph 3 of Schedule 3 (*Authority Responsibilities*).

2.12 Note that Transition requirements are detailed in Schedule 6.1 (*Transition*).

3 SERVICES DESCRIPTION

Part A: Business Applications

3.1 Part A lists the Business Applications in respect of which the Supplier performs the Services. The Supplier will maintain and support the Business Applications by providing the Services and in accordance with the obligations and responsibilities set out in Part B and C.

3.2 The business applications not to be maintained and supported by the Supplier will be maintained and supported by HMRC or third parties on behalf of HMRC.

3.3 Unless otherwise stated, the Business Requirements and the Supplier's responsibilities do not extend to the provisioning and support for infrastructure and networking capabilities which are both made available to the Supplier and provided to the Authority by other ICT suppliers.

Part B: Business Application Support and Maintenance Services

3.4 The Business Application Support and Maintenance Services (the Operational Services) are the operational activities ensuring business-as-usual operation and include:

- necessary work to resolve incidents and problems and keep the Business Applications performing to the level of functionality defined in the requirements and Performance Indicators defined in Schedule 2.2 (*Performance Levels*);

- agreed necessary work to keep the Services current as a result of statutory, year-end and essential parameter changes;
- actions taken to prevent future problems arising as a result of infrastructure changes, performance issues and systems software upgrades; and
- Delivery Group Service Management (DGSM), which incorporates end to end governance and reporting across the Supplier's delivery centres and operational support and guidance to the Authority on wider aspects of the Supplier's Services detailed in Part B and C.

3.5 The hours during which the Services are to be provided are defined in Schedule 2.2 (*Performance Levels*).

3.6 Services defined in Part B are all considered mandatory and make up the Service Charges as defined in Schedule 7.1 (*Charges and Invoicing*).For Business Applications migrated to Cloud utilising the IaC model, or similar methodologies, the Supplier may be required to provide additional support and maintenance for the environments, including but not limited to: support for virtual machines, operating systems, firewalls, load balancers and connectivity, and may involve such activities as patching, addressing vulnerabilities, back-ups and restoration. Any additional Cloud support activities not currently defined in Part B: Business Application Support and Maintenance (BASM) Services will be subject to a Change Request.

Part C: Project Services

3.7 Project Services are optional requirements which may be required by the Authority at any time during the Term, as agreed by the Authority.

3.8 All Project Services activities should be undertaken in line with the Authority's business needs and functional / non-functional requirements, and the processes outlined in Schedule 6.3 (*Projects and Ordering*).

3.9 Business Application Development Services

- sets out the Business Requirements for Services for projects and programmes to develop new and enhance existing Business Applications;
- covers the development and enhancement of software frameworks and middleware components where listed in Part A;
- covers necessary work to keep Services current as a result of statutory, year-end and essential parameter changes other than the work that is agreed as being within the scope of Part B;
- covers those aspects of the Business Applications Development and Enhancement lifecycle that are currently controlled by the HMRC delivery teams and technical design authorities within the Authority's organisation.

This includes process management and improvement, project management and planning, requirements analysis and determination, design, development and testing.

3.10 Integration Services covers

- the integration and testing of new and enhanced Business Applications with the live environments to ensure that implementation does not detract from existing services and Performance Indicators;
- the implementation of the new and enhanced Business Applications into live;
- configuration management; and
- release management, the scope of which covers the planning, management and scheduling of software releases. Release management shall ensure that appropriate release slots are allocated and published, any conflicts are resolved or escalated, software release activity is load balanced and that software releases do not impact the service.

3.11 Strategy, Architecture and Feasibility Analysis Services are concerned with ensuring that:

- a cohesive yet flexible set of IT infrastructures and services that are aligned to, and meet, the Authority's business strategy and direction, and operational requirements are delivered; and
- innovation and business improvement within the Authority is stimulated through the application of technology.

3.12 Authority staff will be closely involved throughout the process and are expected to provide agreed input.

3.13 The Authority's feasibility appraisal assesses the viability of proceeding with Authority projects, especially those impacting IT - projects can be both Authority and Supplier initiated. It plays a key role in ensuring that the solutions proposed align with Authority's business and IT strategies, meet the key business requirements and represent good value for money.

3.14 The Authority's IT teams may require input from IT suppliers. The Authority's IT teams exercise 'best-practice' as well as providing options, recommend solution(s) and costs of potential Authority projects which are used in the formulation of business cases. The information from feasibility is used in preparation of business cases and is also fed into long-range plans and resource forecasts. This helps the Authority plan its future IT spend and ensures the availability of resources.

3.15 Potential projects can arise through several sources including, Authority business areas, Business Services staff, the Chancellor via the Budget and other ministerial initiatives.

3.16 Decommissioning Services outline requirements applicable for Business Applications which are being permanently retired from the Authority's IT estate.

Part A: Business Applications

[redacted]

Part B: Business Application Support and Maintenance (BASM) Services

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
Management and Administration			
B-001	Standards	Ensure compliance with agreed software development methodology, deployment, data and programming standards.	Agree the Supplier's software development methodology, deployment, data and programming standards
B-002	Standards	Ensure compliance with legal accessibility requirements.	
B-003	Performance Indicators	Ensure that the Supplier's service meets HMRC's Performance Indicators as defined in Schedule 2.2 (*Performance Levels*).	
B-004	Performance Indicators	Provide robust evidence of root cause analysis findings to support service credit negotiations.	
B-005	Processes and Procedures	Ensure that the Supplier's service will be delivered in line with the definitions and timescales detailed in the Supplier Policies and Procedures Manual (SPPM). The SPPM describes the policy, process, procedures and responsibilities within the following areas: • Availability Management • Business Event Management • Change Management (Operational) • Configuration Management • Continuous Improvement • Incident Management • Information Security Management • IT Asset Management • IT Strategy • Knowledge Management • Problem Management • Release Management • Security Incident Management • Service Design & Transition Planning & Support • Service Level Management • Tech Standards • Test Management	

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
B-006	Processes and Procedures	Ensure that any changes to the Business Application software are applied using Configuration Management and Change Management procedures set out in the SPPM.	
B-007	Processes and Procedures	Ensure that the Supplier's Service complies with HMRC's data policies set out in the SPPM.	
B-008	Collaboration	Work closely with HMRC, external third party suppliers and across the internal Supplier organisation throughout the Business Application life cycle, including when scheduling maintenance work and for any required audit and investigations.	
B-009	Scheduling	Schedule planned outages in advance, the notice period for which is to be agreed with HMRC and in accordance with service requirements. This is expected to be 4 weeks' notice for planned outages.	
B-010	Scheduling	Assure that backup regimes do not impact the agreed batch and on-line schedules for each of the Business Applications the Supplier is responsible for.	
B-011	Risk Management	Review functional changes and manage associated risks to live service.	
B-012	Service Review	Ensure that the Supplier's representatives at the service review meetings with HMRC have sufficient subject matter knowledge of the full scope of the relevant Business Applications.	
B-013	Service Review	Participate in HMRC's supplier - customer feedback process to ensure feedback on the collaboration is captured from both the HMRC's and Supplier's sides.	
B-014	Resource Capacity Management	Manage Supplier resource capacity vs HMRC demand to ensure HMRC's support and maintenance demands can be met to the agreed Performance Indicators.	Provide the Supplier with demand forecasts.
B-015	Resource Capacity Management	Raise with HMRC conflicting resource demands from Business Application Support and Maintenance vs Business Applications Development & Enhancement service lines for HMRC to advise on priorities.	Advise Supplier on priorities.

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	**HMRC shall:**
B-016	Service Extension	Provide the service, by joint agreement between the Supplier and HMRC, outside of the Supported Hours (as defined in Schedule 2.2 (*Performance Levels*)). Where this occurs, the service may not be provided with the standard level of support and failures during these extended periods will not be regarded as failing the Performance Indicators unless otherwise agreed. The standard service times for each service are defined in Schedule 2.2 (*Performance Levels*).	
Security			
B-017	Compliance	Ensure that the Service delivered by the Supplier to HMRC complies with HMRC's Security Policies (including Vulnerability Management and Patch Management related policies and standards) and meet the applicable security standards in each case as set out in the SPPM.	Communicate to the Supplier any changes to the Security Policy following a review.
B-018	Compliance	If there is a vulnerability for which the above is not achievable, an appropriate risk management decision has to be agreed in writing by fully authorised representatives of HMRC to enable such applications and Services to be delivered without complying with the Security Policy or without meeting the applicable security standards.	
B-019	Risk Management	Manage security risks on HMRC's services in line with HMRC's risk management processes as outlined in HMRC's Security Policies (including vulnerability management and patch management) set out in the SPPM.	
Corrective Maintenance			
B-021	Incident Management	Deliver Incident (as defined in Schedule 2.2. (*Performance Levels*)) management to meet Performance Indicators for the Business Applications the Supplier is responsible for.	
B-022	Incident Management	Provide incident management for Services that have no Performance Indicators defined on a reasonable endeavour's basis.	
B-023	Incident Management	Manage HMRC's expectations and coordinate recovery activities across Supplier delivery teams, as directed by HMRC.	Identify and agree with the Suppliers who the lead Supplier delivery team is in the recovery activity

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
B-024	Incident Management	Aid in the governance and control for the triaging of issues being received into the Supplier Delivery Groups. Check that Incidents are correctly assigned, classified and prioritised.	
B-025	Incident and Problem Management	Manage stakeholder communication related to Incidents and Problems in line with HMRC's Incident and Problem Management Processes and Procedures set out in the SPPM.	
B-026	Incident and Problem Management	Manage the resolution of Incidents and Problems (as defined in Schedule 2.2. (*Performance Level*s)) in line with HMRC's Incident and Problem Management Processes and Procedures as set out in the SPPM.	
B-027	Incident and Problem Management	Contribute to the resolution of Incidents and Problems requiring collaboration amongst HMRC's suppliers in line with the Collaboration Agreement.	
B-028	Incident and Problem Management	Contribute to the resolution of Incidents and Problems requiring collaboration amongst HMRC's suppliers in order that the Performance Indicators defined by HMRC can be met by the Suppliers collectively. *Note: the collaboration element of the agreement will be executed post Agreement and the Performance Indicators will be reviewed accordingly.*	
B-029	Incident Management	Perform all resolution and recovery activities in relation to Incidents in line with HMRC's “fix first, settle later” principle if the root cause of the incident is unclear and in line with the priority as defined in HMRC's Incident Management Process set out in the SPPM. As it is anticipated that the quality and transparency of automated service monitoring, messaging and performance data to enable more proactive fault identification and remediation will improve over the life of the contract, HMRC and Supplier will review the application of the fix first, settle later principle on a 6-monthly basis.	Review the application of the fix now, settle later principle with the Supplier on a 6-monthly basis.

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
B-030	Problem Management	Be responsible for Problem management including: - capturing and categorising Problems with Business Applications; - coding, testing and implementing resolutions to open Problems in accordance with the HMRC's Test Policy and Strategy as set out in the SPPM; - scheduling resolutions in accordance with the release plan for the Business Application; - editing live data only on authority from HMRC; and - maintaining documentation to reflect fixes made.	
B-032	Data Integrity Issues	When a data integrity issue is identified by either the Supplier or HMRC, develop data integrity fix design documentation.	
B-033	Data Integrity Issues	Execute data fix tests in conjunction with HMRC in an appropriate test environment. On receipt of written instructions and approval from HMRC, execute the data fix in the live environment as per the tested design documentation.	
B-034		Not used	
B-035		Not used	
B-036	Security Incidents	In the event of a breach or attempted breach of security that becomes known to the Supplier, inform the appropriate HMRC contact of the incident immediately.	
B-037	Operational Emergency	If in the event of an operational emergency, the only option is total withdrawal of an on-line service, agree with HMRC, via the single point of contact, the need to withdraw the service, and provide the reason(s) why the withdrawal of the service is the only/best option. This must be carried out as part of the major incident or security major incident process as set out in the SPPM.	

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
B-038	Operational Emergency	If due to operational problems, withdrawal of an on-line service, in whole or in part, is one of a number of options available, the Supplier will notify HMRC, via the single point of contact, of the full range of options available. This must be carried out as part of the major incident process as set out in the SPPM.	
Preventative Maintenance			
B-039	Application Capacity Management	Produce capacity plans for the Business Applications to be included in service reviews and, where necessary, work with the providers of the underlying infrastructure (internal or external, on premise, cloud, or third party datacentre).	
B-040	Application Capacity Management	Analyse workload patterns and provide forecasts of predicted changes to Business Application capacity / workloads and the effect on the Business Applications together with recommendations.	Provide information relating to anticipated change in end user behaviour likely to impact workload on systems
B-041	Application Capacity Management	Perform capacity management and monitoring to ensure Services meet the agreed Performance Indicators and alert HMRC to identified risks in a timely fashion to ensure scalability options can be implemented.	
B-042	Scheduling	Provide and agree schedule of releases to Business Applications, upgrades to Business Applications, maintenance on hardware and plan any major business activities for the Business Applications the Supplier is responsible for.	Provide input about critical business activities to the Supplier; Review and agree schedule (proposed by the Supplier) of releases to Business Applications, upgrades to Business Applications, maintenance on hardware and major business activities.

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
B-043	Maintenance	When requested by HMRC, co-ordinate and carry out actions outside the agreed Supported Hours according to an agreed rate card. These may be needed to maintain Services as a result of changes arising from: - infrastructure – essential upgrades to system software, firmware, etc.; - Service performance tuning; - database repairs; - mandatory upgrades necessary to ensure continuing operation and maintainability of the Service including security patches; - amendments to rates and parameter tables; - technical specifications and schema for HMRC's internet services to reflect regulatory / legislative changes - changes arising from OS patching activities - changes arising from required security updates: security patches, emergency patches or when a patch cannot be applied or is not available, the Supplier has to be responsible for the configuration changes to be implemented.	
B-044	Maintenance	Undertake the necessary work to keep Services current as a result of agreed statutory, year-end and essential parameter changes.	
B-045	Patching	Be responsible for the agreed planning, testing and application of all patches for the Software the Supplier is responsible for in line with HMRC's Patch Management Policy set out in the SPPM.	
B-046	Patching	Agree with HMRC a patch release schedule.	
B-047	Patching	Analyse the patching and software version status of the Business Applications managed by the Supplier and provide a proposal for a period to be agreed with HMRC, for patching and software upgrades to HMRC as part of the service reviews.	

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
B-048	Patching	Plan, test and carry out agreed critical security patching in line with the agreed patching timeline KPI.	
B-049	Patching	If a security patch is not achievable, implement a compensating control where appropriate or advise on a risk treatment/remediation plan (e.g. alternative hardening or migration plan) in collaboration with HMRC as per HMRC's Patch Management Policy set out in the SPPM.	
B-050	Patching	Collaborate with HMRC's other suppliers, when required, to complete patching and other security vulnerability remediation activities for Services the Supplier is responsible for to enable compliance with HMRC's Patch Management Policy set out in the SPPM including stopping/starting the service and regression testing.	
B-051	Patching	Produce and issue a Patch Compliance Report for each Measurement Period, to be agreed with HMRC, in line with the relevant Performance Indicators agreed with HMRC, providing the patch compliance status of all agreed assets to the HMRC Patch Management Policy.	
B-052	Patching	Where Business Applications are unable to receive regular security patches from the third party vendor, the Supplier will be responsible for decommissioning/retiring the Business Application or migrating it to supportable platforms for Services the Supplier is responsible for based on a Change Request raised by HMRC. (Change Request to be raised for major upgrades only). Where this is not possible in the short-term other mitigations should be put in place e.g. 'hardening or configuration changes' and held as a risk within the service.	Agree the appropriate course of action with the Supplier and raise and approve a Change Request, as required, for the Supplier to be able to execute the agreed action
B-053	Alternative Remediation Options	Deliver assurance to HMRC for the progress of alternative remediation options (where an official patch is not available) – e.g. configuration changes.	

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
B-054	Software Upgrades	Plan, test and carry out software upgrades (not including major software upgrades) agreed with HMRC, in line with HMRC's Patch Management Policy set out in the SPPM throughout the Term unless: (a) where upgrading such Supplier Software and Third Party Software reduces the level of mitigations for known threats, vulnerabilities or exploitation techniques, provided always that such upgrade is made within twelve (12) months of release of the latest version; (b) the Software has reached end of vendor support and no extended security update licences have been purchased by HMRC; or (c) is agreed with HMRC in writing.	
B-055	Roll Back Capability	Ensure all Services have roll back capability, with evidenced testing.	
B-056	Software Release Management	Manage the distribution of new releases of software in line with HMRC's release management policies and procedures set out in the SPPM co-ordinating with HMRC's other suppliers, as required.	
B-057	Software Release Management	Work with HMRC to produce and agree a schedule for the delivery of software releases.	
B-058	Software Release Management	Deliver software releases in line with the agreed schedule.	
B-059	Software Release Management	Deliver software using automated processes, where feasible.	
B-060	Software Release Management	Co-ordinate with the appropriate system administrator and/or local office in advance to make arrangements for site visits when on-site upgrades are required.	
B-061	Software Licence Management	Ensure that any Business Application software is properly licensed where it is agreed that the Supplier is responsible for purchasing licences. Where the Supplier is responsible for purchasing licences they will assume responsibility for any penalties imposed by the vendor or non-compliance with the purchased entitlement.	• when requested by the Supplier, review and accept the licence terms for Open Source software products that are to be installed as part of the software application and/or toolset, or advise the Supplier that the terms are not accepted; and • where it is agreed that HMRC is responsible for

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
			purchasing software licences they will do so when a valid request is made by the Supplier.
B-062	Software Licence Management	Jointly agree the Supplier's and HMRC's responsibility with regards to purchasing licences required for any Business Application software the Supplier is responsible for.	Jointly agree which party is responsible for the purchasing of which licences.
B-063	Software Licence Management	Maintain a catalogue of Software and licences required for the Business Applications the Supplier is responsible for, regardless of who is responsible for purchasing the licenses.	
B-064	Software Licence Management	Provide HMRC visibility of the licencing requirements of Business Application software the Supplier is responsible for where HMRC is responsible for purchasing licences to allow HMRC to evaluate the requirement and purchase the required licences, if appropriate. This visibility must be provided in a format defined by HMRC, including the deployment of HMRC's chosen software asset management product where technically possible. A report providing this visibility should be provided as part of the service reviews, the format and content to be agreed with HMRC.	
B-065	Software Licence Management	Where the option exists from the software vendor the Supplier must novate/transfer licences to HMRC that the Supplier has purchased to support the Business Applications the Supplier is responsible for, on HMRC's request.	
B-066	Software Certificate Management	Demonstrate that the Supplier has a robust, auditable, monitored and preferably automated certificate management process/system and use reasonable endeavours to minimise loss of availability due to certificate expiry.	
B-067	Software Certificate Management	Follow HMRC's certificate management policy set out in the SPPM or as mutually agreed with HMRC until the HMRC policy is available.	

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
B-068	Software Certificate Management	Use or provide an integration to HMRC's certificate management / IT Operations Management (ITOM) system or use Supplier's own until HMRC's certificate management / ITOM system is available.	
Data Interfaces Support			
B-069	Data Interfaces Support	Document, support and maintain interfaces to Business Applications and external systems including the government gateway. Additionally, Supplier shall provide temporary or transitional interfaces between Business Applications during releases.	
B-070	Data Interfaces Support	Develop and support data conversions, as required by HMRC.	
B-071	Data Interfaces Support	Maintain the character sets used for data transfer.	
B-072	Data Interfaces Support	Ensure data keyed into on-line forms and submitted by external customers is transmitted intact to the government gateway.	
Documentation			
B-073	Technical Documentation	Produce, or update where existing, within a period to be determined by HMRC, a set of documents to be agreed with HMRC, which provide the details of the Business Applications being provided and how it is managed, operated and supported. Where the Supplier has already been providing IT Services to HMRC, these documents must be provided and/or updated to the reasonable satisfaction of HMRC.	Agree which documents are required and determine timescales for provision.
B-074	Technical Documentation	Maintain documentation in respect of the Services and provide updates to the documentation following every new software release.	
B-075	Technical Documentation	Review and agree technical documentation standards relating to Business Applications.	Agree the technical documentation standards with the Supplier

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
B-076	Technical Documentation	Work with HMRC to ensure that HMRC is able to access and identify the full scale of up to date technical documentation relating to any given Business Application the Supplier is responsible for.	
Configuration Management			
B-077	Configuration Management	Communicate changes to HMRC to enable HMRC's Configuration Management Database (CMDB) records to be updated to the required level of detail as set out in the SPPM.	
B-078	Software Control	Maintain a definitive software library to include: - Business Application source code; - technical documentation in respect of the Supplier's Solution only; - live, development and test version numbers; - database definitions; - utilities; and - procedures	Agree the material required for inclusion in the definitive software library.
B-079	Software Control	Back up and store the definitive software library in line with any applicable Performance Indicators.	
Support Arrangements			
B-080	Support Arrangements	Acknowledges that any development Business Requirements for Electronic Folder (EF) will be covered under Project Services.	
Tax Credit Payment Processes Disaster Recovery Environment Maintenance			
B-081	Tax Credit Payment Processes Disaster Recovery Environment Maintenance	Mirror all implementation and functional (non-data content) system maintenance activities performed on the Tax Credit Payment Processes live environments on the Tax Credit Payment Processes (TCPP) disaster recovery environment.	
B-082	Tax Credit Payment Processes Disaster Recovery Environment Maintenance	Ensure live and recovery environments are kept in sync with one another.	

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	**HMRC shall:**
B-083	Tax Credit Payment Processes Disaster Recovery Environment Maintenance	Perform annual test of the recovery environment.	Provide test scenarios, resources and acceptance criteria.
B-084	Business Continuity and Disaster Recovery	Perform Business Continuity and Disaster Recovery in accordance with Schedule 8.6 (*Service Continuity Plan and Corporate Resolution Planning*).	
Service Requests			
B-085	Service Requests	Execute standard Service Requests documented by HMRC and agreed with the Supplier.	
B-086	Service Requests	Design, build and implement non standard Service Requests, as agreed with HMRC, to satisfy the following criteria: • Not already defined as a standard Service Request • Not already defined under Business Application Support and Maintenance Service as a maintenance activity • A maximum of five (5) effort days for end-to-end delivery • No involvement required from Test and Release • No integration required with other Business Applications • Does not require a service outage • In the worst case scenario its implementation in the production environment would not result in a Priority 3 (as defined in Schedule 2.2 (*Performance Levels*) or above Incident	

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
Tooling			
B-087	Tooling	Any technology a Supplier wishes to introduce to HMRC's estate is subject to the HMRC CDIO governance approval and must be agreed in writing between HMRC and the Supplier in advance.	
B-088	Tooling	HMRC strategy is to transition tooling to the preferred tooling software stack. Where tooling that is not strategic is currently used to provide existing services, Suppliers should ensure that the impact is documented, understood and agreed with HMRC. Where appropriate, this should include recommendations for migration of the existing tooling to the preferred stack	
Customer Support			
B-089	On-site Support	The Supplier shall provide a dedicated on-site team if required to fulfil Performance Indicators, for ad-hoc, time limited investigations into specific Incidents	
B-090	Training	Have responsibility for the training and development of technical and business skills for their own employees.	
B-091	Technical Advice	Provide technical and subject matter assistance to HMRC for general, non-service impacting inquiries relating to Business Applications, such as usage, functionality and technical roadmap.	
Base Operations			
B-092	Batch processing	Be responsible for producing the batch schedules for the Business Applications managed by the Supplier.	
B-093	Batch processing	Execute batch processes within specified windows of time and manage the resolution of batch issues.	
B-094	Batch processing	Ensure batch processes for the service are executed in accordance with the batch schedules and manage the resolution of batch errors in accordance with the contracted Performance Indicators .	

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
B-095	Batch processing	Batch processes will be categorised depending on requirements of individual Services. Default categories are as follows:- Category A – The process must run on the agreed due date, if necessary at the expense of the following on-line day. Category B - The process will be run on the agreed due date unless the start of the next on line day is endangered. It can only be rescheduled for a new date by agreement between the Supplier and HMRC. Category C - The process can be left until the next batch session. It can only be rescheduled for a new date by agreement between the Supplier and HMRC. Category C* - The process can be left until the next batch session but will then be re-classified as a Category B process for that session unless otherwise agreed between the Supplier and HMRC. Category Z Batch - Light batch. The process runs recurrently during the day alongside the on-line. The on-line day is not significantly affected by failure of this process. Category Z* Batch - Light batch. The process runs recurrently during the day alongside the on-line. The on-line day is not significantly affected by failure of this process, but the process is time-critical for HMRC.	
B-096	Batch processing	In the event of a Category A batch failure the HMRC Service Manager will be notified immediately and provided with details of the proposed recovery strategy.	
B-097	Batch processing	In the event of a Category B batch failure, where it is not possible to recover it without jeopardising the remaining batch session and/or the start of the following on-line day, the HMRC Service Manager will be notified immediately.	
B-098	Batch processing	For both Category B and Category C batch failures the HMRC Service Manager will be contacted by 10:00 am on the next Working Day in order that a new run date for the process can be agreed.	

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
B-099	Batch processing	In the event of a category Z batch failure the HMRC Service Manager will be notified during the standard business day and provided with details of the proposed strategy.	
B-100	Batch processing	In the event of a category Z* batch failure the HMRC Service Manager will be notified immediately and provided with details of the proposed strategy.	
B-101	Batch processing	Batch frequencies are defined in the agreed service overview documents and will use the following identifiers: H - Hourly D - Daily W - Weekly M - Monthly Q - Quarterly A - Annually P - Periodic	
B-102	Access Management	Provide user administration functions including, creating or deleting operating system accounts for user and service accounts, managing group permissions and passwords	
B-103	Access Management	Comply with HMRC's Privileged Access Management process set out in the SPPM or as mutually agreed until the HMRC process document is available.	
B-104	Access Management	Comply with the agreed processes regarding the onboarding/offboarding of the Supplier's personnel on HMRC's account	
B-105	Access Management	Conduct an audit of the Supplier's own staff for joiners and leavers with access to HMRC's IT Services and provide an audit report on request. Joiners and Leavers data will be reviewed with HMRC quarterly.	Spot check onboarding/offboarding audit information provided by the Supplier.

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
Continuous Service Improvement			
B-106	Continuous Service Improvement	Work with HMRC to: - Identify potential service improvement opportunities in respect of the Business Applications the Supplier is responsible for - Identify efficiencies and cost saving opportunities - Develop automated processes to reduce manual intervention - Work with HMRC to progress such opportunities	
B-107	Intelligent Client	Engage with HMRC to identify opportunities for upskilling, reskilling and the transfer of technical/operational knowledge to HMRCs' personnel for the purpose of empowering HMRC to operate and support IT Services.	Identify opportunities in conjunction with the Supplier and aligning with the wider HMRC strategy
B-108	Risk Management	Identify, to HMRC, any individuals who could be considered high risk as holding technical or operational information whereby their absence would provide a risk to the operation or support of any live service. The Supplier shall enable the dissemination of knowledge from such individuals to other personnel within the Supplier's teams to reduce the risk. Other team members should have the technical ability to perform the same role as the high risk individual.	
Application System Management (historic reference S02.190)			
B-109	Management and Administration	Document and update operational procedures to reflect Application System Management	
B-110	Management and Administration	Assure that backup regimes do not impact the agreed batch and on-line schedules for each of the Business Applications hosted on an unmanaged FAST Commodity Cloud (FAST-P) IaaS on a production network.	
B-111	Management and Administration	Assure that changes to the Application System Software are applied using configuration management and change control procedures set out in the SPPM.	

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
B-112	Operations	Execute start up and shut down procedures for scheduled and unscheduled outages of virtual machines hosted on the unmanaged FAST Commodity Cloud (FAST-P) IaaS on a production network	Provide approval in a timely manner and ensure that switching off virtual machines is authorised by an approved Change Request.
B-113	Operations	Assure all Application System Software monitoring and system management tools used by the Supplier are appropriate to monitor and manage the operation of the unmanaged FAST Commodity Cloud (FAST-P) IaaS on a production network	
B-114	Access Management	Provide user administration functions including, create or delete operating system accounts for user and service accounts, manage group permissions and passwords	
B-115	Operations	Provide administration and maintenance for the monitoring tools database	
B-116	Operations	Implement fixes required to maintain the Application System Software that the Supplier deems are necessary and advise HMRC in advance of the fix. Any fixes implemented at HMRC request; or that require infrastructure changes shall be chargeable and agreed in accordance with Schedule 8.3 (Change Control Procedure). All version releases shall be chargeable and agreed in accordance with Schedule 8.3 (Change Control Procedure).	
B-117	Support	Provide support and monitoring for up to 100 virtual machines hosted on an unmanaged FAST Commodity Cloud (FAST-P) IaaS on a production network	
B-118	Support	Provide technical support during normal working hours and on call support between 17:00 and 08:30 on a Working Day (excluding maintenance slots or agreed downtime) and twenty four (24) hour on call technical support during weekends.	
B-119	Support	Provide technical advice and support to the Supplier's Business Application Support and Maintenance and Software Development staff for the Application System Software supported by the Supplier.	

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
B-120	Support	Install the operating system software procured by the Supplier, if required	Procure and install the operating system software or instruct the Supplier to install the operating system (which procurement and installation is not part of S02.190 service line element). Procure support and maintenance for HMRC purchased operating systems
B-121	Support	Ensure that any Application System Software is properly licensed (excluding Microsoft which will be provided through HMRC's Enterprise Agreement), except where no licencing arrangement is provided by the software supplier.	• when requested by the Supplier, download Open Source Software products that are to be installed as part of the software application and/or toolset; • when requested by the Supplier, review and accept the licence terms for Open Source Software products that are to be installed as part of the software application and/or toolset, or advise the Supplier that the terms are not accepted; and • purchase licences for software when requested by the Supplier
B-122	Reporting	Provide HMRC with a report each Month that includes the number of virtual machines being supported through the S02.190 service line element	
B-123	Backup	Take daily snapshots of the S18 virtual machines and retain the snapshot for 24 hours	
B-124	Backup	Provide a restore service for the daily snapshots	
B-125	Backup	Run daily backups of the monitoring database	
Social Value			
B-126		Undertake Social Value initiatives to address a minimum of two policy outcomes in the Social Value Model (issued under PPN 06/20) as agreed in accordance with Schedule 2.2 (Performance Levels).	
B-127		Throughout the term of this Agreement publish and maintain the Supplier's Carbon Reduction Plan in line with PPN 06/21: Taking account of Carbon Reduction Plans in the procurement	

Ref	Component	Business Requirement	Authority Responsibility
		The Supplier shall:	HMRC shall:
		of major government contracts, as applicable to the Supplier's business in the United Kingdom; and commit to meeting Net Zero by 2050.	

Part C: Project Services

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
Business Application Development Services			
C-001	Process Management and Improvement	Discuss and agree, with HMRC, standard system development methodologies and generic product breakdown structures to be used for Business Applications Development and Enhancement. In respect of the Suppliers processes and methodologies, any changes shall be agreed by the Parties in advance of their use on a Project.	Discuss and agree with the Supplier, standard system development methodologies and generic product breakdown structures to be used for Business Applications Development and Enhancement Architectural artefacts to be provided to the Supplier when required.
C-002	Process Management and Improvement	Migrate to the use of new system development methodologies and related toolsets as agreed with HMRC to an agreed timetable;	Approve and align development tooling within HMRC technology and development strategies Any technology the Supplier wishes to introduce to HMRC estate is subject to HMRC CDIO governance approval and must be agreed in writing between HMRC and the Supplier
C-003	Process Management and Improvement	Provide a single point of contact for process management, development and improvement. The terms of reference for the single point of contact are to facilitate and manage the interface between HMRC single point of contact and the Supplier;	Provide the CDIO IT Head of Service as a single point of contact for process management, development and improvement. The terms of reference for the single point of contact are to facilitate and manage the interface between the Supplier's single point of contact and HMRC
C-004	Process Management and Improvement	Provide agreed change management processes across all stages of the Business Applications Development and Enhancement lifecycle to ensure all changes are appropriately raised, recorded, assessed for impact, agreed with HMRC, implemented and reflected in all relevant documentation;	Agree the change management process with the Supplier;
C-005	Process Management and Improvement	Operate continuous process improvement forums, in conjunction with HMRC, to improve standards, manage process improvements and resolve methodology problems relating to system development and project management;	Support continuous process improvement forums, in conjunction with the Supplier, to improve standards, manage process improvements and resolve methodology problems relating to system development and project management;

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-006	Process Management and Improvement	Carry out continuous process improvement activities, including those arising from quality assurance and quality control, and support and respond to HMRC initiatives in this area, including analysis of software defects, Performance Indicators evaluations, project evaluations and implementation reviews;	Agree and participate in continuous process improvement activities, and propose and introduce agreed initiatives
C-007	Process Management and Improvement	Provide appropriate access to an agreed set of planning, requirements, analysis and design, and testing, tools and documentation for collaborative platforms	Provide details of the users needing access to collaborative platforms hosting the set of planning, requirements, analysis and design, testing, tools and documentation;
C-008	Process Management and Improvement	For waiver processes, adhere to Schedule 2.3 (*Standards*) and obtain agreement from HMRC	Ensure that any other third party supplier (excluding the Supplier) complies with provisions equivalent to the Supplier's obligations under Schedule 2.4 (*Security Management*) and schedule 2.3 (*Standards*) and, in the event of non-compliance, discuss and agree the consequences with the Supplier.
C-009	Process Management and Improvement	Maintain an agreed set of HMRC user interface standards;	Set the user interface standards
C-010	Process Management and Improvement	Subject to agreed waivers, adhere to the user interface standards when building new/changing IT systems;	Agree and sign-off the technical waivers for user interface standards when building new/changing IT systems
C-011	Process Management and Improvement	Subject to agreed waivers, ensure new Business Application Developments adhere to approved data standards;	Provide data standards for business systems and authority for waivers;
C-012	Process Management and Improvement	Deliver to agreed set of non-functional requirements and associated features including, capacity, availability, security and configuration requirements;	Review and agree the set of corporate non-functional and associated features with the Supplier;

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-013	Process Management and Improvement	Ensure all Business Application Development and Enhancement is carried out in accordance with Schedule 2.3 (*Standards*), Schedule 2.4 (*Security Management*), Schedule 6.2 (*Testing Procedures*) and Schedule 7.5 (*Financial Reports and Audits*)	
C-014	Process Management and Improvement	Review and agree with HMRC the productivity measures, including agreeing any exceptions where productivity measures are not feasible, against the software development life cycle as outlined in Schedule 6.3 (*Projects and Ordering*).	Where feasible, agree productivity measures in accordance with Schedule 6.3 (Projects and Ordering)
C-015	Project Management and Planning	Manage the Project using an agreed and recognised project management methodology in line with Schedule 2.3 (*Standards*)	Make the departmental project management methodology available to the Supplier;
C-016	Project Management and Planning	Provide IT product descriptions during the planning cycle for all products to be produced in line with agreed project management methodology;	Review and agree the IT product descriptions during the planning cycle for all products that has to be in line with the project management methodology
C-017	Project Management and Planning	Discuss and agree, with HMRC, system development methodologies, to be used on individual Projects;	Discuss and agree, with the Supplier, system development methodologies to be used on individual Projects;
C-018	Project Management and Planning	Provide IT product breakdown structure for the Supplier's scope of work which conforms to the overall product breakdown structure if applicable;	Provide overall product breakdown structure for the Project;
C-019	Project Management and Planning	Provide and operate agreed quality controls for all work products produced;	Provide a quality strategy for work products
C-020	Project Management and Planning	Provide documented and agreed risks, issues, dependencies and assumptions documentation, management and escalation processes. Ensure all risks, issues, dependencies and assumptions are made visible to HMRC and actively managed to an agreed standard;	Review and agree process for the documentation, management and escalation of risks, issues, dependencies and assumptions;

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-021	Project Management and Planning	Ensure that the completion of system testing and implementation into the live environment are in accordance with agreed planning windows and Schedule 6.2 (*Testing Procedures*). Plans should be developed jointly with HMRC and/or the Test and Release Service taking account of HMRC resource availability and skills;	Agree planning windows, provide HMRC resource availability and skills, agree plans, and any changes subsequently proposed with the Supplier; For Agile Projects; • Establish and maintain a high level release plan for the project; • Establish and maintain a joint decision log for the project; • Attend Sprint planning to advise on the User Stories to be prioritised as part of the next Sprint; • Evaluate the Sprint by attending post Sprint retrospective meetings; • Establish and maintain the plan for the requirements for the live service model and service requirements for each phase and any ramp up in any of the phases e.g. Alpha Phase, private beta, public beta through to the full live and communicating any changes to the Supplier and third party suppliers such that its clear how support will be delivered and charged for at each stage by the third party suppliers;
C-022	Project Management and Planning	Agree location of joint project activities, taking account of office locations of HMRC staff;	Provide location details and agree where joint project activities are carried out;
C-023	Project Management and Planning	Produce and agree test plans for the Business Application Development and Enhancement; defining the level of testing and quality assurance expected (balancing risk with quality), requesting support from HMRC's delegated Test and Release service provider where required.	•Provide a test manager whose responsibilities include directing the production of business testing plans and processes for each project; •Review and agree a test strategy for the Business Application Development and Enhancement; •Procure programme test management and end to end test management via the Test and Release service
C-024	Project Management and Planning	Agree, with HMRC, the schedule and process for reporting and demonstrating progress against HMRC change framework all plans, Milestones and deliverables including cost tracking,	Agree, with the Supplier, the schedule and process for reporting and demonstrating progress against all plans,

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
		trialling tests and estimates to complete. Agree all changes to such plans, test plans, Milestones and deliverables with HMRC;	milestones and deliverables including cost tracking, trailing tests and estimates to complete. Review and agree all changes to such plans, test plans, milestones and deliverables with the Supplier;
C-025	Project Management and Planning	Report progress according to agreed delivery schedule and process;	Review the progress according to agreed delivery schedule and process
C-026	Project Management and Planning	Arrange and conduct progress meetings with HMRC according to agreed reporting process;	Review and agree with the Supplier, the schedule and process for reporting and demonstrating progress against all plans, Milestones and deliverables including cost tracking, trailing tests and estimates to complete. Review and agree all changes to such plans, test plans, Milestones and deliverables with the Supplier;
C-027	Project Management and Planning	Provide the single point of contact for all in-scope suppliers within the Ecosystem;	CDIO act as the single point of contact for all in-scope third party suppliers;
C-028	Project Management and Planning	Identify and manage in-scope dependencies within the Supplier’s organisation;	Review and agree detailed in-scope dependencies within the Supplier's organisation.
C-029	Project Management and Planning	Provide a documented project organisation chart including roles and responsibilities and a nominated single point of contact. The terms of reference for the Supplier’s single point of contact include facilitating and managing the interface with HMRC and providing project expertise to HMRC boards;	Review and agree roles and responsibilities of Supplier's nominated single point of contact to facilitate and manage the interface to provide project expertise
C-030	Project Management and Planning	Propose a cost model for Business Applications Development and Enhancement requirements, for impacts including functional and non-functional requirements to be agreed and signed-off by HMRC	Provide high level requirements, including functional and non-functional requirements.
C-031	Project Management and Planning	Participate in project evaluation, post implementation reviews and external project reviews such as Office of Government Commerce (OGC) Gateway reviews.	Schedule and conduct project evaluation and post implementation reviews.

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-032	Determination of IT Requirements	Confirm that the scope of each Business Applications Development and Enhancement is impacted against the cost and time constraints defined by HMRC and produce the final Supplier proposal	Provide the scope for each Business Application Development and Enhancement;
C-033	Determination of IT Requirements	For Agile Development Projects supply the estimated charges for the User Stories in scope, as part of the prioritised product backlog, for the next phase and include these in an Agile Development Project proposal;	·Work closely with the Supplier providing direction for Sprint planning. ·Maintain the high level view for the end to end requirements for the Project
C-034	Determination of IT Requirements	• In conjunction with HMRC, prioritise the User Stories for the next Sprint during Sprint planning. • Evaluate the sprint in the post Sprint retrospective	Engage with the Supplier during Sprint planning, be involved and assist/support the Supplier with Sprint retrospective outcomes aligned with overall value and solution
C-035	Determination of IT Requirements (New)	Provide technical input to support the delivery of the solution design for the Project	Provide the end to end project solution and validate the technical input against the Authority's IT strategy
C-036	Determination of IT Requirements	Provide a single point of contact on IT requirements throughout the Business Application Development and Enhancement lifecycle. The terms of reference for the single point of contact include facilitating and managing the interface with HMRC;	Provide a contact, via CDIO, for example IT delivery lead / Project Manager who is responsible for the functional and non-functional requirements.
C-037	Determination of IT Requirements	Agree and adhere to an agreed escalation process for managing requirement issues, risks, dependencies and assumptions;	Agree an escalation process for managing requirement issues, risks, dependencies and assumptions
C-038	Determination of IT Requirements	Work in collaboration with HMRC to produce and agree descriptions of IT functional and non-functional requirements to agreed levels of detail within the boundary of the Services in-scope for the Supplier	Provide a high level business requirements document or product backlog of User Stories (depending on development approach) and work with the Supplier to establish the IT requirements;
C-039	Determination of IT Requirements	Work in collaboration with HMRC to produce and agree any functional and non-functional requirement changes needed to existing systems and interfaces within the boundary of the Services in-scope for the Supplier	Review and agree any functional and non-functional requirement changes needed to existing system and interfaces as produced by the Supplier;

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-040	Determination of IT Requirements	Provide input or comment upon cut-over/conversion plans from existing systems. Define and agree, a. data migration, conversion and cleansing plans b. contingency and regression plans	Review and agree the Supplier cut-over/conversion plans from existing systems. Review and agree the Supplier provided, a. data migration, conversion and cleansing plans b. contingency and regression plans
C-041	Determination of IT Requirements	Produce and agree minutes of meetings and workshops that define the Supplier's components of the requirement;	Review and agree minutes of meetings and workshops produced by the Supplier that define the Supplier's components of the requirement;
C-042	Determination of IT Requirements	Confirm that the IT requirements are all within the scope of each Business Application Development and Enhancement and highlight any inconsistencies in the requirements or solution;	Work with the Supplier to resolve any queries regarding the scope of IT requirements; Provide a change management process for IT requirements;
C-043	Determination of IT Requirements	Where the Supplier has relevant expertise and is obliged pursuant to this Agreement to comply with security requirements: - Provide impact assessment and change management processes for all potential and actual changes to requirements in the Business Applications Development and Enhancement. - Maintain IT functional and non-functional requirements reflecting formally approved changes;	Analyse the Supplier provided Schedule 2.4 (Security Management), review and agree the change management process for all potential and actual changes to requirements in the Business Applications Development and Enhancement. Discuss and agree IT functional and non-functional requirements reflecting formally approved changes;
C-044	Determination of IT Requirements	For Agile Development Projects provide an impact assessment against the prioritised product backlog and high level release plan for all potential and actual changes to requirements in the Business Applications Development and Enhancement. Provide an impact assessment to IT functional and non-functional requirements against the existing Business Application /system	Review and sign-off the: a. Technical delivery impact assessment for prioritised product backlog b. High-level release plan for all potential and actual changes to requirement in Business Applications Development and Enhancement. Discuss and agree with the Supplier IT functional and non-functional requirements changes in compliance with the HMRC Change Management process as per the SPPM.

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-045	Determination of IT Requirements	Comply with security requirements, policies and standards. To develop and maintain the IT product in line with Security Policies set out in the SPPM. Provide input for Security related escalations. Comply with all security requirements as defined in Schedule 2.4 (*Security Management*)	Provide Business Service Security Policies and manage production of the finalised Security Policies;
C-046	Determination of IT Requirements	Provide expertise to determine, in conjunction with HMRC, what provision for business continuity and disaster recovery is required for each Business Applications Development and Enhancement.	
C-047	Determination of IT Requirements	Provide the necessary software (and related documentation) and technical assistance as may be required in providing prototype systems to an agreed specification where needed to inform analysis of the functional and non-functional requirements. Provide input to prototyping workshops where required;	Manage prototyping activities to an agreed plan;
C-048	Determination of IT Requirements	Support determination of business process models and steps by validating implied system functionality against the functional requirements;	Manage the planning and production of business process outlines;
C-049	Determination of IT Requirements	Provide description of functional content of each release or phase of each project or programme to an agreed level of detail;	Review the content of each release or phase of each project or programme to an agreed level of detail
C-050	Determination of IT Requirements	Make all updated IT functional and non-functional requirements documents available to HMRC in an agreed timeframe for each Business Application Development and Enhancement.	Authorise access to all IT functional and non-functional requirements documents in an agreed timeframe for each Business Applications Development and Enhancement.

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-051	Design	Produce functional and non-functional designs which will be subject to trials in accordance with Schedule 6.2 (*Testing Procedures*)	Assess the impact against functional and non-functional requirements against HMRC technology design
C-052	Design	Provide a single point of contact for IT design and development issues. The terms of reference for the single point of contact are to facilitate and manage the interface with HMRC;	Provide an architect or design authority to oversee the end to end solution and resolve any issues raised by the Supplier;
C-053	Design	Provide an agreed high level IT design, enterprise data model and data standards for each Business Application Development and Enhancement;	Review and agree the high level IT design, enterprise data model and data standards, provided by the Supplier for each Business Application Development and Enhancement and procure necessary support from the Authority's IT delivery lead as required;
C-054	Design	Provide an agreed functional breakdown of IT requirement, maintain traceability between IT functionality and functional requirements in accordance with Schedule 6.2 (*Testing Procedures*)	Review and agree the functional breakdown of IT requirements provided by the Supplier and procure the necessary support from the IT delivery lead
C-055	Design	Provide an agreed functional process map showing how users will access functions and perform tasks;	Review and agree the functional process map provided by the Supplier;
C-056	Design	Provide agreed access to relevant designs and outputs;	Agree details of the access needed;
C-057	Design	Review and sign-off test deliverables in accordance with Schedule 6.2 (*Testing Procedures*)	Provide final sign-off for reviewed test deliverables in accordance with Schedule 6.2 (*Testing Procedures*)
C-058	Design	Ensure IT functional designs meet usability requirement specifications;	Supply usability requirement specifications to the Supplier
C-059	Design	Work closely with the IT delivery lead and, where appropriate, other stakeholders to design, develop and agree the details of inputs, outputs, screens, navigation, updates to databases and interfaces;	Drive engagement and resource availability to include subject matter experts and users, and resolve any emerging business issues;
C-060	Design	Produce and agree minutes of meetings and workshops that define the IT design;	Review and sign-off minutes of meetings and workshops that define the IT design provided by the Supplier;
C-061	Design	Agree with HRMC and adhere to the mechanism for providing help to internal/external users;	Provide help text and agree with the Supplier the mechanism for providing help to internal/external users;

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-062	Design	Produce and maintain IT design documentation to a standard agreed with HMRC consistent with the below conditions: The Supplier to produce and maintain the Architectural artefacts and other IT design documentation and to assist HMRC as set out in Schedule 6.2 (*Testing Procedures*). Where the development of such Architectural artefacts is in progress, and where variations to the Architectural methodology occur, the Supplier will not be obliged to apply such variation to in-progress or completed Architectural artefacts for that Project;	Check and agree that screen design and the business descriptions of functionality and interfaces are complete and to the agreed standard; Agree (in conjunction with the Supplier where appropriate) which of the Architectural artefacts are required for each Business Application Development and Enhancement and procure any necessary support
C-063	Design	Provide IT specialist input to usability evaluations;	Lead usability evaluations of navigation, input/output standards and functional designs.
C-064	Design	Make all IT design documentation available to HMRC, within the roadmap required by HMRC.	
C-065	Build	Build IT systems using agreed technical architecture components and development methods and tools to meet functional and non-functional requirements in line with HMRC solution design describing HMRC strategy	Define the blueprint and technology strategies and agree the technical architecture components and development methods and tools with the Supplier;
C-066	Build	Utilise optimisation and automation methods, tools, techniques and testing to obtain the agreed levels of application performance;	Define the test strategy and agree optimisation and automation methods, tools, techniques and testing to obtain the agreed levels of application performance
C-067	Build	Maintain a consistent naming convention for all aspects of the development and test environments that is compliant with Supplier and industry standards;	Agree the naming convention for all aspects of the development and test environments that is compliant in line with HMRC and industry standards

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-068	Build	Maintain a definitive software library to include: - -application Source Code; - technical documentation; - development version numbers; -database definitions; - utilities; and - procedures;	Review and agree access to all software library and sign-off to: -application Source Code; - technical documentation; - development version numbers; -database definitions; - utilities; and - procedures;
C-069	Build	Provide HMRC with access to the IT Deliverable under development at times in the development schedule agreed with HMRC;	Agree access required to the IT Deliverable under development at times in the development schedule agreed
C-070	Build	Provide a single point of contact to liaise with HMRC Learning.	Provide a single point of contact to manage all HMRC Learning requirements.
C-071	Build	Provide input to, develop and test against the HMRC defined standard desktop build(s) in accordance with HMRC approved software, hardware and desktop configuration standards for systems that have a client side application	Agree content of the desktop build(s), including desktop look and feel and configuration for client side applications.
C-072	Test (Unit and System Test or for In-flight Projects only, Unit, System and Systems, Integration Testing)	Implement the agreed build and test trial in accordance with Schedule 6.2 (Testing Procedures)	Provide a test manager to plan and manage testing for the end to end solution;
C-073	Test	Agree and adhere to HMRC Test Policy and Strategy as set out in the SPPM;	Define HMRC Test Policy and Strategy and provide assurance that it is being adhered to
C-074	Test	Develop and agree test scripts and plans for each phase, project and programme in accordance with Schedule 6.2 (*Testing Procedures*)	Provide business scenarios and Business Specified Test Points/business product test conditions, validate coverage and agree plans; Agree and sign-off tests scripts and plans; project and

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
			programme as provided by the Supplier or its nominated representative
C-075	Test	Test all new and changed business systems in accordance with the HMRC test strategy as set out in Schedule 6.2 (*Testing Procedures*)	Sign-off trial tests in accordance with Schedule 6.2 (*Testing Procedures*)
C-076	Test	Report test coverage and results to HMRC as set out in Schedule 6.2 (*Testing Procedures*)	Agree and sign-off outcome of test coverage and results as set out in Schedule 6.2 (*Testing Procedures*)
C-077	Test	Provide agreed problem management process and agree resolution of problems with HMRC, in accordance with the Test Strategy;	Provide business impact assessment and agree resolution process for problems with the Supplier;
C-078	Test	Provide progress reports on problem resolution to HMRC application testing service supplier, when requested by HMRC	Monitor and assess progress reports and agree escalation routes.
C-079	Test	Provide, maintain, and manage a test service and databases for business testing, business trials and usability evaluation, to a specification and plan agreed with HMRC as set out in Schedule 6.2 (*Testing Procedures*)	Provide specifications, plans, and lead on live trials carried out;
C-080	Test	Provide a live trial service; the equivalent of live facilities to test the entire installation of components built and re-used, to prove implementation readiness; as set out in Schedule 6.2 (*Testing Procedures*)	Provide a priority order of problems that are to be corrected, and agree responsibility and timescales in consultation with the Supplier.
C-081	Test	Agree and adhere to live trial specifications and plans	Review and agree live trial specifications and plans with the Supplier;
C-082	Test	Provide testing status reports on proposed releases to HMRC (Test and Release Service), to an agreed plan and standard	Review and share the test status report to the Test and Release supplier
C-083	Test	Agree responsibility and timescales for rectifying any residual problems which are to be corrected, in new/changed IT systems at live releases;	Agree responsibility and timescales with the Supplier for rectifying any residual problems which are to be corrected, in new/changed IT systems at live releases;

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-084	Test	Conduct build and test trials in accordance with Schedule 6.2 (*Testing Procedures*)	Monitor build and test trials in accordance with Schedule 6.2 (*Testing Procedures*)
C-085	Build	Produce, maintain, agree, publish and adhere to detailed plans for the Business Applications Development and Enhancement with agreed IT products and Milestones.	Agree planning window, provide HMRC resource availability and skills, agree plans, and any changes subsequently proposed;
C-086	Build	Produce, maintain, agree, publish and adhere to detailed plans for Agile Development Projects related Business Application Development and Enhancement with agreed IT products and Milestones in line with relevant government digital standards	For Agile Development Projects: •Establish and maintain a high level release plan for the project; • Establish, maintain and sign off a joint decision log for the project • Attend Sprint planning to advise on the User Stories to be prioritised as part of the next Sprint; •Attend the 'show and tell' meeting and sign off critical milestone in the delivery cycle •Sign off the product and acceptance criteria in-line with the Agile Development Project manifest • evaluate the Sprint by attending post Sprint retrospective meetings; and • maintain the vision (established in the discovery phase) for the support model and service requirements for each phase and any ramp up in phase e.g. Alpha Phase, private beta, public beta through to the full live and communicating any changes to the Supplier and third party suppliers such that its clear how support will be delivered and charged for at each stage by the third party suppliers;

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
Integration Services			
C-087	Environment Management	Govern the provision of system environments for development, testing and integration: a - Manage the integration layer of the environments in line with production standards, processes and procedures b - Maintain a booking and scheduling process for the allocation of environments c - Ensure environments are configured as requested in booking requests, taking account of priorities, and restored to their default configurations at the end of testing sessions	Be responsible for managing development environments for the Business Applications not under the control of the Supplier. Provide requests for development environments for Business Applications not under the control of the Supplier; Be responsible for building and maintaining the system environments; Procure Software licences and support required for building and maintaining the system environments.
C-088	System Integration and Testing	Integrate the system with the live IT environment including: a - definition of the set of values to be used in live for any environment-specific system parameters; b - development of agreed software components that are required to integrate the system with hardware or system software specific to the live environment; c - integration of the system with live system management solution(s); d - with live backup and recovery mechanism(s), conforming to HMRC's Disaster Recovery policies and standards set out in the SPPM; e - with live archiving or other data management solution(s); f - integration of the system with live job scheduling system(s); g - tuning of database access mechanisms within the application software, database and underlying database management system to ensure they are optimised for performance within the live environment; and h - into the authentication and security infrastructure;	

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-089	System Integration and Testing	Produce, maintain, agree, publish and adhere to detailed activity plans for integration and test with agreed products and milestones. Plans should be developed jointly with HMRC taking account of HMRC's resource availability and skills;	Review and agree detailed activity plans provided by the Supplier for integration to agreed standards/acceptance criteria;
C-090	System Integration and Testing	When instructed by HMRC, conduct system integration tests to demonstrate that the operation of the Business Application is not adversely affected by or does not adversely affect, the simultaneous operation of other Business Applications with which it shares hardware or other system or network resources	Assist with the tests; Agree and sign-off test outcomes
C-091	System Integration and Testing	Conduct clone tests within a live-like environment, to confirm that the software product functionality operates correctly when server components are installed in an environment that is a clone of the live environment. This clone environment should comprise agreed hardware, software and data (either live volumes or alternatives as agreed with HMRC) as the live environment and be in the same configuration as the live environment;	Provide indicative forecasts of expected business volumes;
C-092	System Integration and Testing	Request (or conduct on HMRC's behalf when requested) performance validation tests to confirm that the system meets its performance requirements in an environment that simulates the live environment with respect to factors affecting system performance. Performance validation includes: - transaction throughput; - online response times; - report generation; - number of simultaneous user sessions; - query execution times; - duration of batch jobs, e.g., with respect to available window for execution; - load balancing; and - system behaviour under maximum expected and abnormal levels of system load.	Provide indicative forecasts of expected business volumes; Provide a plan and report of performance validation test outcomes completed by HMRC (or other third party supplier) to agreed standard

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-093	System Integration and Testing	Conduct operational tests as agreed with HMRC to demonstrate that the required system operator tasks can be performed successfully according to system operator documentation	When required in support of the Supplier's obligations HMRC shall make available to the Supplier the resources that have been trained to operate a new development; Assist with the operational tests;
C-094	System Integration and Testing	Conduct penetration tests as agreed with HMRC to demonstrate that the system is secure from unauthorised access. Penetration tests should be performed in the live configuration;	Agree penetration tests to be conducted by the Supplier
C-095	System Integration and Testing	Conduct all integration-related tests in environments that are in a known and controlled configuration;	
C-096	System Integration and Testing	Define entry and exit criteria for each stage of integration and test in line with HMRC's test strategy and agree them with HMRC;	Review and agree entry and exit criteria provided by the Supplier for each stage of integration and test;
C-097	System Integration and Testing	Document test strategies, plans and instructions for all tests in line with HMRC's test policy and strategy, agreeing the outputs with HMRC;	Review and agree test strategies, plans and instructions for all tests documented by the Supplier
C-098	System Integration and Testing	Conduct end-to-end integration tests in conjunction with other government departments or other external parties and their suppliers where appropriate to demonstrate correct system operation on the integrated live networks. Such tests may make use of live or clone environments for each party as agreed with HMRC;	
C-099	System Integration and Testing	Document all actual results of all tests for review by HMRC;	
C-100	System Integration and Testing	Agree with HMRC, and adhere to, a schedule and process for reporting and demonstrating progress against plan and quality. The quality information shall include the number and severity of test problems at each stage of the problem resolution lifecycle, e.g., problems found, open and closed., as well as the proposed route to resolve problems	Agree with the Supplier a schedule and process for reporting and demonstrating against plan and quality.

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-101	System Integration and Testing	When instructed by HMRC (or delegated Test and Release service supplier) agree with HMRC roles and responsibilities regarding co-ordination and communication with external parties for end-to-end integration tests. These responsibilities may include the provision of a single point of contact to communicate directly with the external parties and their suppliers on behalf of HMRC;	Agree with the Supplier the HMRC roles and responsibilities regarding co-ordination and communication with external parties for end to end integration tests
C-102	System Integration and Testing	Provide support for tests with HMRC staff in live-like environments to demonstrate correct system operation in conjunction with real business processes, users, and any relevant industry standards (including Accessibility);	
C-103	Implementation	Produce plans for piloting the Business Application with real users and, if applicable, real taxpayers and citizens and agree them with HMRC	Designate a group of end users to take part in the pilot; Define list of activities that the users are required to perform in exercising system functionality for the pilot; Provide the Supplier with HMRC input into the plans;
C-104	Implementation	Implement the Business Application according to agreed plans for access by a designated group of users who will conduct the pilot	Exercise the software product as planned during the pilot period; Define success criteria for the pilot and indicate to the Supplier whether these have been met; Assist the Supplier with plans
C-105	Implementation	Where agreed with HMRC develop system implementation plans and schedules, ensuring that system implementation schedules do not adversely impact Performance Indicators and are co-ordinated and synchronised with HMRC's business cycles and other changes to the live environment;	Assist with and/or review plans and schedules for system implementation.

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-106	Implementation	In the event of an aborted implementation, regress the live environment to the state immediately prior to the aborted implementation or as according to the agreed implementation plan;	Impact and agree any regression plans in advance of implementation
C-107	Implementation	Develop a cutover plan which identifies how cutover from an existing system to a new system will be achieved. Ensure any reduction in Performance Indicators during cutover is for the shortest possible period so that the impact on the end user is minimised and agree any such reduction with HMRC	Assist with and/or review plan;
C-108	Implementation	Agree post-implementation checklist with HMRC to be used to verify that all integration activities are complete and that post-implementation tests have been conducted to demonstrate that the implementation has been successful;	
C-109	Implementation	Monitor and report on implementation successes and failures. Failures caused by the Supplier should be managed via the problem management process, and resolved within the project or referred to Live Service support as appropriate;	
C-110	Implementation	Conduct post-implementation tests and complete the post-implementation checklist as agreed;	
C-111	Implementation	Stagger implementation, according to the implementation plan agreed with HMRC, in a controlled manner in which the Business Application is implemented function by function in a limited number of locations with outputs checked and post-implementation checklists completed before releasing across the network.	Ensure that HMRC plans conform to the staggered implementation

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-112	Implementation	Implement the Business Application for live use. Outputs will include: - successful system and application software implemented in the live environment(s); - system and application software implemented in any disaster recovery environment(s) as agreed with HMRC; - reference data loaded into the live database(s); for existing applications where appropriate, converted or migrated data in the live database(s); - agreed user accounts and permissions; and - provide any supporting documentation as deemed appropriate between HMRC and Supplier to agreed timescales	
C-113	Implementation	Update required configuration management and asset information following successful implementation and/or de-implementation of software in line with HMRC's Configuration Management Policy and Procedures set out in the SPPM	Update the HMRC owned configuration management and asset information records.
C-114	Configuration Management	Conduct configuration control in line with HMRC's Configuration Management policy set out in the SPPM using HMRC's choice of tooling	
C-115	Configuration Management	Assist HMRC in defining which software components and documentation are placed under configuration control as configuration items. This definition will include system level software and utilities in addition to application level software	Be responsible for all aspects of configuration management of business applications that are not Business Applications; In respect of the Business Applications maintained by the Supplier define which software components and documentation are placed under configuration control as configuration items
C-116	Configuration Management	Maintain control responsibilities for the Supplier software components and documentation in line with agreed HMRC Configuration Management procedures	Define Configuration Management procedures

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-117	Configuration Management	Notify HMRC of relevant changes to tools or processes and in the event HMRC reasonably considers this have an impact on HMRC, agree such changes to tools or processes in accordance with Change Control Procedure;	Agree relevant changes to tools or processes in accordance with Change Control Procedure.
C-118	Configuration Management	Provide input into Configuration Management in so far as it relates to the Business Applications maintained by the Supplier	
C-119	Configuration Management	Uniquely identify and retain all declared versions of configuration items;	
C-120	Configuration Management	Maintain segregation between development, test and live versions of configuration items;	
C-121	Configuration Management	Prevent the unauthorised migration of development software to live systems	
C-122	Configuration Management	Record all changes made to configuration items and report any physical or logical movement of software;	
C-123	Configuration Management	Validate live software against the baseline versions of that software;	Maintain and provide access to current data for software assets generated from a discovery tool that enables the Supplier to validate the software versions deployed in live against the baseline versions of that software (as held under the Supplier's configuration control) and to determine the configuration status of those software assets
C-124	Configuration Management	Compare a newly generated version of software with the previous version	
C-125	Configuration Management	Retain copies of the agreed third party software installation media and documentation	In respect of the Business Applications agree third party software installation media and documentation to be retained by the Supplier;
C-126	Configuration Management	Retain records as to the test status of configuration items	

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-127	Release Management	Provide a representative (or representatives) to HMRC, to enable HMRC to interface with each business stream to discuss Change proposals, prioritise and plan software releases. In addition, the service delivery manager (SDM) shall agree provisional and approved release entries with the agreed release management forums;	Discuss and agree provisional and approved release entries with the Supplier's representatives; Provide the Supplier with a release schedule and any associated information such as business criticality and project and service contingency planning for major implementations. Raise Change Requests associated with software releases;
C-128	Release Management	Monitor the progress of individual system/project plans for the implementation of major software releases and report any issues/risks to the agreed release management forums;	
C-129	Release Management	Contribute to the release schedule all proposed and approved releases, a release description, their dates, entry status (provisional, approved), history and a summary of changes to the schedule and status;	Provide the Supplier with a release schedule and any associated information such as business criticality and project and service contingency planning for major implementations. Inform the Supplier of relevant scheduled events (e.g., power downs and Key Business Events). Validate the register and ensure no conflict with HMRC release capacity for KBE
C-130	Release Management	Agree with HMRC any system or service downtime anticipated as a result of implementing a software release (including where any relevant Performance Indicators may be affected). The expected downtime shall be detailed and agreed in advance with the appropriate business stream;	
C-131	Release Management	Escalate any unresolved release issues or conflicts to the appropriate HMRC forums for guidance and/or resolution (currently HMRC Delivery Board and Client Acceptance Board);	Provide resources and escalation forums to resolve issues. Ensure any risk/issue has clear mitigation

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-132	Release Management	Ensure that Change proposal(s) are raised in the event that the HMRC Delivery Board agrees to the dates of a major live release of any project/service or agreed deliverable;	Raise relevant Change Requests for agreed releases;
C-133	Release Management	Fully document and maintain all Supplier owned release management processes and procedures.	Document and maintain HMRC owned processes and procedures
Strategy, Architecture and Feasibility Analysis Services			
C-134	Technology Scanning	Develop and communicate a detailed understanding of all relevant current, new and emerging technologies in the marketplace	Provide agreed involvement throughout the process (for example, through attending site visits and meetings with third party suppliers' representatives);
C-135	Technology Scanning	Document the outputs from the process in such a way required by HMRC that they may be communicated clearly (with all relevant information) to relevant parts of HMRC's organisation (including senior management, strategy and planning and business services)	Review and approve all related deliverables.
C-136	Technology Scanning	Make the information obtained through the technology scanning process readily and easily available to all HMRC and Supplier Personnel for reference.	Review and approve all related deliverables.
C-137	Situation Analysis	Undertake a detailed appraisal of the ability of operational information systems and their support processes to fulfil existing and planned operational requirements. This shall encompass, on a system by system basis and as a whole: - Software, to support current and predicted business requirements; - usability and performance of business applications; - supportability of hardware and software; - skills and capabilities of the Supplier Personnel and HMRC staff to operate and support existing and planned information systems; and - third party (including all Subcontractors and any other third parties e.g., vendors and service providers) capabilities and stability	Review and approve all related deliverables; and Specify the required structure and content of report(s), review and approve.

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-138	Situation Analysis	Provide the output in a form suitable to allow strategic and lower level planning and decision making	Advise and agree on a suitable form for output.
C-139	Innovation Proposals	Develop proposals for how technology enabled change could help to innovate and transform HMRC's business in collaboration with HMRC	Assess proposals and sponsor further investigation, if appropriate
C-140	Innovation Proposals	Submit proposals using HMRC's established process. Such proposals shall outline: · potential benefits; · strategic fit with HMRC's change programmes and medium-term strategy; · likely priority; and · risks – both of implementing the proposal and not implementing the proposal;	Advise the Supplier of any updates to HMRC's established process, as soon as reasonably practicable. .
C-141	Innovation Proposals	Support any proposals through the subsequent lifecycle, providing specialist input into feasibility assessments, business cases and ultimately, implementation, as required	
C-142	Innovation Proposals	To the extent agreed and required, develop pilots and demonstrators. These will have a number of applications including: · evaluating new technologies, infrastructures or lifecycle methodologies; · supporting other aspects of the IS/IT Strategy and Architecture service; · obtaining end user (HMRC customer feedback) on proposed services in conjunction with HMRC; · obtaining end user staff feedback on new systems and processes; · assisting business and process analysis and design; and · assisting in prioritisation and business case development. Such pilots and demonstrators will be developed as required, to specifications agreed with HMRC on a case by case basis.	

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-143	Business Planning Support	Support HMRC's business planning process through the provision of specialist advice. This shall include: · the provision of IT specialist advice to appropriate approvals and governance bodies, including attendance at meetings. This advice shall be independent of any relationships the Supplier may have with third party suppliers; · supporting the development of business strategy through contribution to corporate strategy documents; and · undertaking specific strategy studies (for instance assessing the potential of a new technology, or the impact of new regulatory requirements on HMRC's information systems) against agreed terms of reference.	Participate in the development of deliverables as agreed and review and confirm approval of all deliverables.
C-144	Business Strategy and IS/IT Alignment	Work with HMRC in a process to ensure alignment of HMRC's business strategy with the development of the supporting IS/IT	Provide relevant HMRC policy and strategic documents; Participate in the development of deliverables as agreed and review and confirm approval of all deliverables
C-145	Technical Infrastructure	Maintain the technical infrastructure documentation	Provide relevant HMRC policy and strategic documents; Participate in the development of deliverables as agreed and review and confirm approval of all deliverables;
C-146	Technical Infrastructure	Maintain the forward-looking architectures for each Business Application.	Provide relevant HMRC policy and strategic documents; Participate in the development of deliverables as agreed and review and confirm approval of all deliverables;
C-147	Strategy Communications	Develop, maintain and execute an agreed communications plan to ensure that appropriate elements of the IS/IT strategy and architecture are promulgated throughout HMRC and the Supplier in such a way that the content is accessible, comprehensible, relevant and can be exploited fully	Manage communications to HMRC staff

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-148	Feasibility & Investigation	Propose a set of possible IT solutions in accordance with agreed standards, templates and timescales, in response to project business requirements provided by HMRC	Review and agree the standards, templates and timescales proposed by the Supplier; Provide outline project objectives and scope; Provide high level business requirements; Review proposed set of IT solutions; Manage the feasibility studies; Provide access to business architects; Communicate HMRC business direction and IT strategies to the Supplier
C-149	Feasibility & Investigation	Work closely with HMRC investigation team in determining options and solutions to meet business requirements and maximise business benefits	
C-150	Feasibility & Investigation	Ensure that IT solutions proposed comply with HMRC business direction and IT strategies where appropriate. Where the Supplier perceives there to be an advantage to HMRC in considering alternative solutions which do not comply with these strategies, the Supplier should include such solutions in the proposal together with a description of their non-compliance and the rationale for considering them;	Advise the Supplier, as soon as reasonably practicable, on any updates to the HMRC business direction and IT strategies;
C-151	Feasibility & Investigation	Provide the IT specialist advice to meetings, discussions and papers which are required by HMRC at the investigation stage	
C-152	Feasibility & Investigation	Proactively identify and provide ideas for improvement of the feasibility service;	Assess improvements and provide support and assistance in taking forward ideas
C-153	Feasibility & Investigation	Provide up to date specialist and technical IT knowledge to facilitate future ideas and requirements	

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-154	Feasibility & Investigation	Provide the necessary replies to HMRC's validation, checks or challenges to feasibility responses/proposals provided;	Review and agree minutes of meetings and workshops produced by the Supplier that define the response to feasibility
C-155	Feasibility & Investigation	Make all feasibility IT architecture and design documentation available to HMRC.	
C-156	Control	Discuss, agree and plan the IT feasibility work in conjunction with HMRC	Discuss and agree the IT feasibility work and the plan with the Supplier; Provide and agree information and advice on HMRC priorities and requirements;
C-157	Control	Produce and provide reports on the progress of individual investigations on a regular and ad-hoc basis	Agree content, format and timescales for progress reports
C-158	Management	Manage a portfolio of work and sequence this to meet business needs;	Confirm the business priorities and discuss and agree them with the Supplier;
C-159	Management	Provide a single point of contact to HMRC whose responsibility is to facilitate and manage the interface with HMRC regarding all feasibility work;	Provide a single point of contact whose responsibility is to facilitate and manage the interface with the Supplier regarding all feasibility work
C-160	Software Sizing and Estimating	Size the functionality of Business Applications using agreed methods and estimate Business Applications Development and Enhancement resources from software requirements specifications	Provide high level business requirements to the Supplier; Audit productivity measures
Decommissioning Services			
C-161	Decommissioning	On HMRC's request, produce and agree an impact analysis for decommissioning an application that the Supplier is responsible for, working with HMRC's other suppliers to obtain relevant information, as required. The analysis must cover but not be limited to data, software, hardware, licences, certificates, interfaces, environments, monitoring, reporting, archiving, configuration management, and Supplier charges, as relevant to the application and agreed with HMRC.	Submit a CR for the impact analysis of the decommissioning activity. Review and agree the impact analysis.

Ref	Component	Business Requirement The Supplier shall:	Authority Responsibility HMRC shall:
C-162	Decommissioning	Produce and agree with HMRC a decommissioning plan in line with HMRC's policies and processes, as applicable.	Review and agree the decommissioning plan.
C-163	Decommissioning	Contribute to the project management of the application decommissioning.	Support the Supplier in the decommissioning activity and co-ordinate decommissioning activities across multiple suppliers, where applicable.
C-164	Decommissioning	Execute the tasks assigned to the Supplier in the decommissioning plan.	Carry out assigned tasks as stated in the plan. Validate that the Supplier has executed their tasks fully and correctly.
C-165	Decommissioning	Archive the application data for databases the Supplier is responsible for in line with relevant non-functional requirements to be catalogued in the impact assessment including GDPR, data retention, data access, and data security.	
C-166	Decommissioning	Produce a data model for the data to be archived and share it with HMRC before decommissioning.	Review and approve the data model.