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Schedule 4.5 – ESMCP Mobile Services Agreement

Quality Plans

Version 1.0

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Page 1 of 20

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CHANGE HISTORY

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Schedule 4.5
Quality Plan

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Page 3 of 20

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Page 4 of 20

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Table of Contents

1.	Introduction	7
2.	Key Points of the Quality Plan	7
3.	Alignment with BSN EN ISO 9001:2015	10
4.	Quality Management System	13
5.	Draft Knowledge Transfer Plan	17
APPENDIX 1 - Certificate of Registration with LRQA		18



1. INTRODUCTION

The Authority has requested a detailed draft Quality Plan which:

- demonstrates clear alignment with BS EN ISO 9001:2015; and
- recognises the broader Emergency Services Network (ESN) context and explicitly addresses this.

. The Quality Plan comprises the following sections:

- **Section 2: Key Points of the Quality Plan:**
 - This section provides a high-level summary of how the Supplier will deliver quality in the specific context of the ESN Agreement.
- **Section 3: Alignment with BSN EN ISO 9001:2015:**
 - This section demonstrates the Supplier's compliance with BSN EN ISO 9001:2015 and describes how it will be maintained.
- **Section 4: The Quality Management System:**
 - This section describes the Quality Management System (QMS) the Supplier uses to achieve and maintain high levels of quality in all services provided in the context of the ESN Agreement.
- **Section 5: Knowledge Transfer Plan (KTP):**
 - The purpose of knowledge management is to improve knowledge efficiency by reducing the need to rediscover knowledge. This process and its supporting information relate to the management of knowledge articles and content which support the services and processes provided by the MS Supplier. The process is described in EE000277 section 8.

2. KEY POINTS OF THE QUALITY PLAN

Key points of the quality management approach described in this Quality Plan include the following:

- The Supplier is ISO 9001:2015 compliant (please see certificate of compliance attached at Appendix 1) and the organisation takes compliance extremely seriously.
- The Supplier has a quality team, embedded within the Supplier's service management team, which is responsible for conducting ongoing internal audits of all the Supplier's processes to ensure that compliance is maintained, and for managing the regular external audits conducted by LRQA, the UK's leading quality standards auditor.
- The Supplier has a well-established ISO 9001:2015 -compliant QMS, which means that the Supplier:
 - has a clearly articulated and defined vision of quality;

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- ensures that maintaining quality is the responsibility of every individual who works for the Supplier, and this responsibility is incentivised through the performance management system; and
- monitors the quality of Services the Supplier provides through the use of annual Satisfaction Surveys enabling the Supplier to respond to structured feedback provided by clients in the context of the ESN Agreement.
- The ESN Managing Director will have overall responsibility for the application of the Supplier's QMS and the implementation of the KTP.
- The Supplier is committed to maintaining its organisation's compliance with ISO 9001:2015 and to maintaining the compliance of all of the processes through which the ESN Agreement will be delivered; responsibility for maintaining compliance will be the responsibility of the Quality team, who will form part of the service management team within the organisation charts provided in the Quality of Personnel Method Statement.
- Responsibility for delivery of the Authority Requirements and service standards will lie with each service area; compliance with these standards will be monitored through the Requirements Traceability Matrix (Schedule 2.1 paragraphs 9.3.4 to 9.3.8); the Performance Monitoring Reports required under Schedule 2.2; and the Satisfaction Surveys completed by Users and/or Other ESN Suppliers (Schedule 2.2 paragraph 9.6.1).

The distribution of responsibilities described above is summarised in the table below:

Team/individual	Responsibility
ESN Managing Director	<ul style="list-style-type: none"> • The ESN Managing Director will have overall accountability for implementation of this Quality Plan.
Senior Manager – ESN Quality	<ul style="list-style-type: none"> • Accountable for the ESN programme quality and service quality. • Accountable for quality strategy. • Accountable for Quality Management System. • Accountable for ESN ISO9001:2015 standard compliance (certification). • Prepares the ESN programme for external audit. • Accountable for the implementation of the Quality Plan. • Assuring quality delivering ESN Services.

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Page 8 of 20

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	<ul style="list-style-type: none"> • Interface with the Authority for quality. • Responsible to map obligations to processes where applicable to ensure compliance.
ESN Quality Manager	<ul style="list-style-type: none"> • Integrate all the processes for the ESN service into the QMS. • Process control testing management. • Audit planning (OAT, BT Group quality and external). • Recommendation tracking. • Risk Management. • Quality reporting. • QMS process improvements. • Governance reviews. • Process obligation mapping. • Aris process management tool adoption and migration of processes. • Identification of process improvements / missed compliance. • Establishment of business cases. • Transformation delivery. • Measure of success reporting. • Permit performance improvements. • Data integrity assurance.
Operational Assurance Team (part of ESN Quality team)	<ul style="list-style-type: none"> • Responsible for providing independent assurance of the first line of defence – all processes that deliver the Services • Responsible for assurance review completion in line with agreed plan. • Responsible to complete independent process control reviews.

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Page 9 of 20

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	<ul style="list-style-type: none"> Records and tracks recommendations made via assurance reviews. Support the QMS integration of all processes that deliver / impact the ESN Services. Supports the mapping and adherence of obligations against processes where applicable. Provide support for the Senior Manager - ESN quality as necessary to support the overall quality assurance of the ESN.
Group quality function	<ul style="list-style-type: none"> Responsible to audit the ESN Programme for ISO9001:2015 compliance. Responsible to work with the Senior Manager – ESN quality to agree audit plan. Makes compliance recommendations where non-conformities are identified.

The Supplier will work with the Authority and US Supplier to review and align on approaches to quality within [REDACTED] of the US Supplier's quality plan being available.

3. ALIGNMENT WITH BSN EN ISO 9001:2015

The Supplier is fully compliant with ISO 9001:2015.

[REDACTED]

The Certificate demonstrates that the Supplier operates a Quality Management System which complies with the requirements of ISO 9001:2015 for the scope as described in Appendix 1:

Ownership of BT compliance with ISO 9001:2015 lies with the Director of Operational Resilience and Service Management.

The ESN quality team:

- prepares the business for the external audits conducted by LRQA at least twice annually to ensure the Supplier's continued compliance with requirements, including any changes and improvements the Supplier may have made to the QMS; and
- conducts internal assurance reviews in line with BTs three Lines of Defence, encompassing the scope of the Supplier's product and service offering.

Internal audits required under ISO9001:2015 are conducted by a BT Group internal audit.

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Page 10 of 20

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An enhanced Quality Management System is operated for ESN which follows a best practice model using three lines of defence framework as detailed below.

First Line of Defence

The process owner is required to submit control testing information which enables assurance to take place at a low level. Control testing evidence is uploaded to the ESN SharePoint sites helping to ensure that the process remains effective.

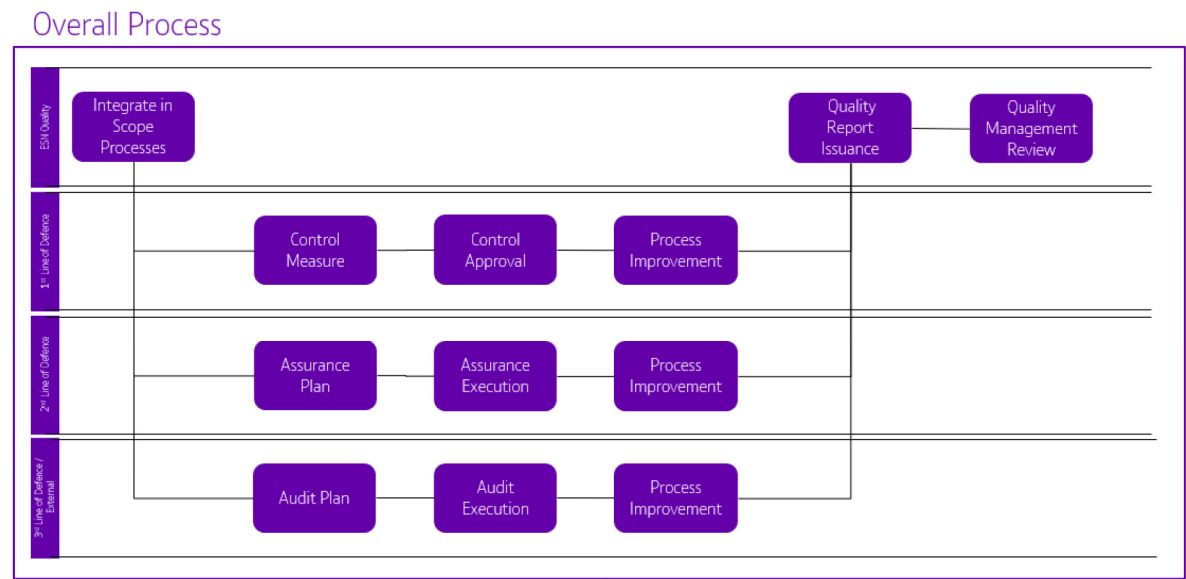
Second Line of Defence

This part of the assurance framework is managed by the Group Quality team and the ESN operational assurance team (part of the ESN Quality team). Assurance reviews and audits take place on a regular basis, the Group Quality team audit specifically against the ISO9001:2015 standard, and the operational assurance team provide a specific focus on process quality and execution.

Third Line of Defence

This assurance will cover how effectively the organisation assesses and manages its risks and will include assurance on the effectiveness of the first and second lines of defence. The BT Group internal audit team undertake a risk-based audit programme covering the design and operation of the framework of controls operated by the first and second lines.

The graphic below shows the Supplier’s internal three lines of defence process:



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The Supplier's internal three lines of defence programme encompasses all ESN impacting processes, indicated in the table below. The internal three lines of defence programme is set at the beginning of each year and monthly meetings are held to monitor progress and take action to address any issues arising as required.

Process areas subject to internal audit	Scope
Service Management	<ul style="list-style-type: none"> Including but not limited to Mobile Core Network, RAN and IT Incident Management, change management, problem management, CSI.
Project & Programme	<ul style="list-style-type: none"> Including but not limited to Programme change control, project management activities, document artefacts, Requirements Traceability Matrix, Products.
Risk & Audits	<ul style="list-style-type: none"> Including but not limited to Programme Risk Management, Business Continuity and Disaster Recovery.
Security	<ul style="list-style-type: none"> Including but not limited to physical security, Vulnerability and Patch Management, Third Party Assurance.
Technology	<ul style="list-style-type: none"> Including but not limited to user device and network testing, NPI and SI, Resilience, Satellite backhaul, capacity management.
Finance	<ul style="list-style-type: none"> Including but not limited to Programme and commercial finance.
HR	<ul style="list-style-type: none"> Including but not limited to training, performance and objectives, onboarding to ESN programme, manage reward.

Action Management

- All recommendations and actions relating to the QMS are tracked and managed via the Supplier's QMS system by the Quality team.
- The robustness of the Supplier's QMS is also audited by LRQA during their surveillance auditing programme. This means that an LRQA auditor observes and audits the practice of the quality



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team, the execution of the internal audit and assurance programme and the robustness of recommendations and actions management processes.

External Supplier Quality Assurance

- Processes managed by external suppliers are subjected to the same quality assurance framework that is applied to BT internal processes. Section 8.4 within the ISO9001:2015 standard describes the requirements for externally managed processes.
- The Supplier will engage with the Other ESN Suppliers for issues which may impact their processes.
- The Authority may also wish to attend these meetings, to increase understanding of the Supplier's processes and ways of working.

Summary — what this means for the Authority and the ESN Agreement

The Authority can have confidence that the ESN Agreement will be delivered by an organisation which is fully compliant with ISO 9001:2015 and which has a highly performing quality team which follows established internal audit processes to ensure ongoing compliance.

The quality assurance of the processes required under the ESN Agreement will be encompassed within the internal and external audit processes described in this section.

4. QUALITY MANAGEMENT SYSTEM

- The Quality Management System ("**QMS**") is designed to deliver the best network and best service for ESN.
- This section describes the Supplier's QMS, and how the commitment to quality is embedded in the delivery of services by all the Supplier Personnel.

It contains the following sub-sections:

Overall principles of the Supplier's QMS

- Roles and responsibilities — how the Supplier's senior management team inspires the whole organisation to deliver quality in everything they do.
- QMS methodology — how the Supplier's QMS works in practice.
- How QMS cascades through the organisation — how the Supplier's QMS means that every employee is clear on their personal objectives and how these relate to the overall delivery of quality.
- Quality objectives and how they are reviewed and measured — this sub-section includes examples of how the Supplier's quality objectives shall be met.



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Page 13 of 20

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(i) Overall Principles:

The ESN Quality Management System is based on the principles below as laid out in ISO9001:2015 standards and these shall be the guiding principles for the ESN programme.

- Customer focus
- Leadership
- Engagement of people
- Process approach
- Improvement
- Excellence based decision-making
- Relationship Management

(ii) Roles and responsibilities:

- The QMS and associated ISO9001: 2015 certification are sponsored by the Supplier's senior management team. The joint sponsors are:
 - Sponsor - [REDACTED]
- ISO9001:2015 compliance and QMS implementation for ESN are led by the quality team, senior representatives being:
 - Delegate Sponsor — [REDACTED]

(iii) QMS Methodology

The ESN Quality Management team has developed a comprehensive quality strategy and operating model for ESN. The framework underpins all ESN Services to ensure that the highest standards are maintained to provide the best possible user experience. The quality framework is aligned to ISO9001:2015 standards.



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Page 14 of 20

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1. CSI

Continuous Service Improvement (CSI) provides a platform for stakeholders to implement process improvements that follow the seven-step improvement cycle. Key steps include identify, define, gather, process, analyse, present and implement.

2. Governance

There are multiple governance and control forums in place to track, manage and improve quality across the ESN Services. Including but not limited to QMS performance (weekly), delivery quality forums, external and internal service boards, quality management review.

3. Performance Metrics

Process performance metrics are sourced from the QMS to provide assurance for the ESN Services and to identify improvement opportunities. The QMS runs its own control testing where this information is recorded.

4. ESN QMS

The ESN Quality Management System (QMS) is an enhanced service provided specifically for ESN. The QMS provides assurance for all ESN processes that deliver or impact the service to ensure they are effective and continually improved. Key activities include process control testing; assurance reviews; audits and resolution tracking of all non-conformances and improvement recommendations. The individual and aggregated performance of the management of constituent processes within the QMS is measured using a five-level maturity index,



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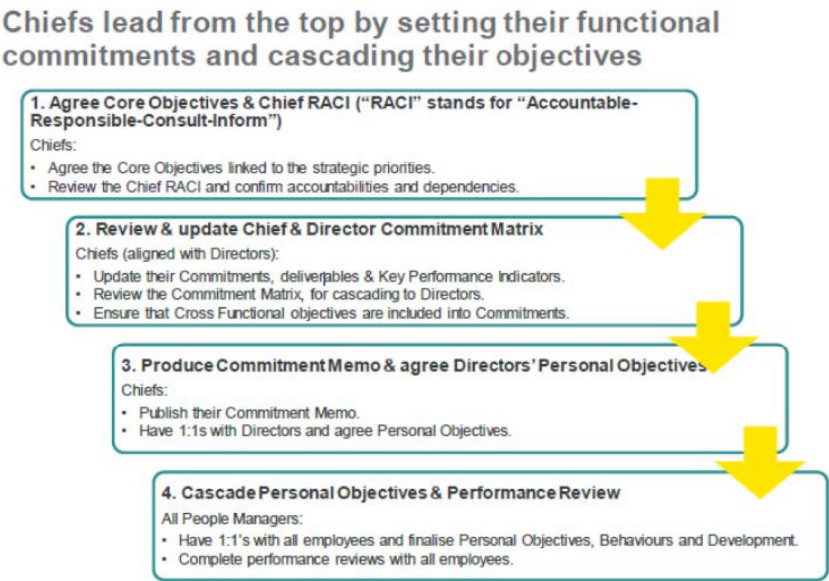
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5. ESN Quality Plan

The Quality Plan is the foundation for the ESN quality framework and provides information relating to quality scope, organisational quality objectives, the activities completed to assure the Services, and the methodology used to measure performance and improve the processes.

(iv) How QMS cascades throughout the organisation

The following graphic shows how the QMS described above cascades through the organisation:



(v) Quality Objectives and how they are reviewed and met

Quality objectives for the Emergency Services Network (ESN) are defined and are reviewed on an annual basis. Some examples of how those objectives shall be met are as follows:

Examples of how Quality Objectives shall be met
<ul style="list-style-type: none">Adoption and assurance of enhanced Quality Management System

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Examples of how Quality Objectives shall be met
<ul style="list-style-type: none"> • Utilization of the ESN process operating model and 3 Lines of Defence Framework (three lines of defense (LoD) <ul style="list-style-type: none"> ○ first LoD – Process control testing and assurance provided by process owner. ○ second LoD – Assurance reviews and independent testing of first line controls / ISO9001:2015 compliance audits. ○ third LoD – BT Group Internal Audit and external reviews completed by accredited certification provider Lloyds Register.
<ul style="list-style-type: none"> • Operating a Continuous Service Improvement process (CSI) • Process data insight for service improvement • Quality audits / assurance review recommendations • Quality Management Improvement Forum • Quality Management Review

5. DRAFT KNOWLEDGE TRANSFER PLAN

The general approach to knowledge management for the MS Supplier is set out in EE000277. The MS Supplier will operate a process to produce and publish articles to meet the needs of End Users whilst consuming the service and for internal customers whilst operating it. The RACI in EE000277 sets out the responsibilities of each party but fundamentally MS Supplier knowledge management retains accountability for the operation of the end-to-end process.

Knowledge management can interface with all areas of the MS Supplier organisation and directly interfaces with the US knowledge management function. Such interfaces include, but are not limited to, the following processes: Incident Management, Problem Management, Change Management and Release & Deployment Management.

The MS Supplier will undertake to communicate with the US Supplier to define an effective knowledge transfer plan (i.e. review and agree what knowledge needs to be transferred) either within the abovementioned processes or in any other such situation where Knowledge Transfer is required and is agreed by both supplier's representatives.



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Page 17 of 20

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