



This Call-Off Contract for the G-Cloud 12 Framework Agreement (RM1557.12) includes:

Part A: Order Form 2

Schedule 1: Services 12

Schedule 2: Call-Off Contract charges 12

Part B: Terms and conditions 13

Schedule 3: Collaboration agreement 32

Schedule 4: Alternative clauses 44

Schedule 5: Guarantee 49

Schedule 6: Glossary and interpretations 57

Schedule 7: GDPR Information 68

Part A: Order Form

Buyers must use this template order form as the basis for all call-off contracts and must refrain from accepting a supplier's prepopulated version unless it has been carefully checked against template drafting.

Digital Marketplace service ID number	460602191944302
Call-Off Contract reference	██████████
Call-Off Contract title	(Service Now (SaaS) Advisory, Implementation and Support Services
Call-Off Contract description	Cloud Support
Start date	TBA
Expiry date	TBA
Call-Off Contract value	██████████
Charging method	Invoice
Purchase order number	TBC

This Order Form is issued under the G-Cloud 12 Framework Agreement (RM1557.12).

Buyers can use this Order Form to specify their G-Cloud service requirements when placing an Order.

The Order Form cannot be used to alter existing terms or add any extra terms that materially change the Deliverables offered by the Supplier and defined in the Application.

There are terms in the Call-Off Contract that may be defined in the Order Form. These are identified in the contract with square brackets.

From the Buyer	Rallis Quays 3 Stanley Street Salford M60 9HL 9
To the Supplier	Registered address: 71 Midcity place High Holborn London WC1V 6EA
Together the 'Parties'	

Principal contact details

For the Buyer:

Title:

For the Supplier:

Title: Business Development Manager

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Call-Off Contract term

Start date	This Call-Off Contract, date to be confirmed, and is valid for 14 Weeks once started
Ending (termination)	The notice period for the Supplier needed for Ending the Call-Off Contract is at least 30 Working Days from the date of written notice for undisputed sums (as per clause 18.6). The notice period for the Buyer is a maximum of 30 days from the date of written notice for Ending without cause (as per clause 18.1).
Extension period	This Call-off Contract can be extended by the Buyer for period(s) of 12 months, by giving the Supplier 30 days written notice before its expiry. The extension periods are subject to clauses 1.3 and 1.4 in Part B below. Extensions which extend the Term beyond 14 weeks are only permitted if the Supplier complies with the additional exit plan requirements at clauses 21.3 to 21.8. [The extension period after 14 weeks should not exceed the maximum permitted under the Framework Agreement which is 12 months If a buyer is a central government department and the contract Term is intended to exceed 14 weeks, then under the Spend Controls process, prior approval must be obtained from the Government Digital Service (GDS). Further guidance: https://www.gov.uk/service-manual/agile-delivery/spend-controls-check-if-you-need-approval-to-spend-money-on-a-service

Buyer contractual details

This Order is for the G-Cloud Services outlined below. It is acknowledged by the Parties that the volume of the G-Cloud Services used by the Buyer may vary during this Call-Off Contract.

G-Cloud lot	This Call-Off Contract is for the provision of Services under: • Lot 3: Cloud support
G-Cloud services required	The Services to be provided by the Supplier under the above Lot 3 are listed in Schedule 1 Services and outlined below: Professional service resources to implement the Phase 2 of the Security Incident Response (SIR) module within Service-Now and to supply a superior, and efficient SIR experience by implementing further Playbooks with some integrations to wider security infrastructure as defined
Additional Services	Additional updates may be required and then called off, subject to the buyer agreeing to the update.
Location	Remote to occasional travel to sites, if required (Subject to COVID 19 restrictions)
Quality standards	The quality standards required for this Call-Off Contract are specified by the Government Service Standard
Technical standards:	The technical standards used as a requirement for this Call-Off Contract are as agreed in Government Technology Code of Practice (wherever applicable), adopting SAS Data Quality best practice (whenever possible)
Service level agreement:	The service level and availability criteria required for this Call-Off Contract are specified in the G-Cloud Service Definition Document for SAS on Cloud
Onboarding	N/A

Collaboration agreement	N/A
Limit on Parties' liability	The annual total liability of either Party for all Property Defaults will not exceed £ 1,000,000 (One million GBP) The annual total liability for Buyer Data Defaults will not exceed £ 250,000 or 100% of the Charges payable by the Buyer to the Supplier during the Call-Off Contract Term (whichever is the greater). The annual total liability for all other Defaults will not exceed the greater of [£ 250,000 or [100% of the Charges payable by the Buyer to the Supplier during the Call-Off Contract Term (whichever is the greater).
Insurance	The insurance(s) required will be: • a minimum insurance period of 6 years following the expiration or Ending of this Call-Off Contract • Professional indemnity insurance cover to be held by the Supplier and by any agent, Subcontractor or consultant involved in the supply of the G-Cloud Services. This professional indemnity insurance cover will have a minimum limit of indemnity of £1,000,000 for each individual claim or any higher limit the Buyer requires (and as required by Law) • employers' liability insurance with a minimum limit of £5,000,000 or any higher minimum limit required by Law

Force majeure	A Party may End this Call-Off Contract if the Other Party is affected by a Force Majeure Event that lasts for more than 30 consecutive days.
Audit	N/A
Buyer's responsibilities	N/A
Buyer's equipment	N/A

Supplier's information

Subcontractors or partners	Not Applicable
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Call-Off Contract charges and payment

The Call-Off Contract charges and payment details are in the table below. See Schedule 2 for a full breakdown.

Payment method	The payment method for this Call-Off Contract is per Invoice
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Payment profile	The payment profile for this Call-Off Contract is Monthly
Invoice details	The Supplier will issue electronic invoices The Buyer will pay the Supplier within 30 days of receipt of a valid invoice.
Who and where to send invoices to	Invoices will be sent to the Buyer via Ariba Network
Invoice information required	All invoices must include ▪ PO Reference number ▪ Call off contract Title and reference ▪ Date issued ▪ Period that the amount of the invoice covers ▪ Itemised list of deliverables and costs
Invoice frequency	Invoice will be sent to the Buyer in arrears
Call-Off Contract value	[REDACTED]
Call-Off Contract charges	[REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] d in the SOW Service Now SOAR Project –Playbook [REDACTED]

Additional Buyer terms

Performance of the Service and Deliverables	(ServiceNow (SaaS) Advisory, Implementation and Support Services
Guarantee	N/A
Warranties, representations	N/A
Supplemental requirements in addition to the Call-Off terms	N/A
Alternative clauses	N/A
Buyer specific amendments to/refinements of the Call-Off Contract terms	N/A
Public Services Network (PSN)	N/A
Personal Data and Data Subjects	N/A

1. Formation of contract

- 1.1 By signing and returning this Order Form (Part A), the Supplier agrees to enter into a Call-Off Contract with the Buyer.
- 1.2 The Parties agree that they have read the Order Form (Part A) and the Call-Off Contract terms and by signing below agree to be bound by this Call-Off Contract.
- 1.3 This Call-Off Contract will be formed when the Buyer acknowledges receipt of the signed copy of the Order Form from the Supplier.
- 1.4 In cases of any ambiguity or conflict, the terms and conditions of the Call-Off Contract (Part B) and Order Form (Part A) will supersede those of the Supplier Terms and Conditions as per the order of precedence set out in clause 8.3 of the Framework Agreement.

2. Background to the agreement

- 2.1 The Supplier is a provider of G-Cloud Services and agreed to provide the Services under the terms of Framework Agreement number RM1557.12.
- 2.2 The Buyer provided an Order Form for Services to the Supplier.

[Redacted]

[Redacted]	[Redacted]	[Redacted]
[Redacted]	[Redacted] [Redacted]	[Redacted] [Redacted] [Redacted]
[Redacted]	[Redacted] [Redacted]	[Redacted]
[Redacted]	[Redacted]	[Redacted]
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[Redacted]
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Travel and Subsistence: not included and payable as standard HMRC Travels and subsistence policy (in case travelling is required occasionally)

*Prices in £/GBP

Any files related to SLA will be stored also in the Buyer's Ariba Contract workspace

For each Call-Off Contract please complete a customer benefits record, by following this link;

Commercial in Confidence © 2021 | Page 13
G-Cloud 12 Call-off Contract

Part B: Terms and conditions

1. Call-Off Contract Start date and length

- 1.1 The Supplier must start providing the Services on the date specified in the Order Form.
- 1.2 This Call-Off Contract will expire on the Expiry Date in the Order Form. It will be for up to 14 weeks from the Start date unless Ended earlier under clause 18 or extended by the Buyer under clause 1.3.
- 1.3 The Buyer can extend this Call-Off Contract, with written notice to the Supplier, by the period in the Order Form, provided that this is within the maximum permitted under the Framework Agreement up to 12 months maximum
- 1.4 The Parties must comply with the requirements under clauses 21.3 to 21.8 if the Buyer reserves the right in the Order Form to extend the contract beyond 14 weeks

2. Incorporation of terms

- 2.1 The following Framework Agreement clauses (including clauses and defined terms referenced by them) as modified under clause 2.2 are incorporated as separate Call-Off Contract obligations and apply between the Supplier and the Buyer:

- 4.1 (Warranties and representations)
- 4.2 to 4.7 (Liability)
- 4.11 to 4.12 (IR35)
- 5.4 to 5.5 (Force majeure)
- 5.8 (Continuing rights)
- 5.9 to 5.11 (Change of control)
- 5.12 (Fraud)
- 5.13 (Notice of fraud)
- 7.1 to 7.2 (Transparency)
- 8.3 (Order of precedence)
- 8.6 (Relationship)
- 8.9 to 8.11 (Entire agreement)
- 8.12 (Law and jurisdiction)
- 8.13 to 8.14 (Legislative change)
- 8.15 to 8.19 (Bribery and corruption)
- 8.20 to 8.29 (Freedom of Information Act)
- 8.30 to 8.31 (Promoting tax compliance)
- 8.32 to 8.33 (Official Secrets Act)
- 8.34 to 8.37 (Transfer and subcontracting)
- 8.40 to 8.43 (Complaints handling and resolution)

- 8.44 to 8.50 (Conflicts of interest and ethical walls)
- 8.51 to 8.53 (Publicity and branding)
- 8.54 to 8.56 (Equality and diversity)
- 8.59 to 8.60 (Data protection)
- 8.64 to 8.65 (Severability)
- 8.66 to 8.69 (Managing disputes and Mediation)
- 8.80 to 8.88 (Confidentiality)
- 8.89 to 8.90 (Waiver and cumulative remedies)
- 8.91 to 8.101 (Corporate Social Responsibility)
- paragraphs 1 to 10 of the Framework Agreement glossary and interpretation
- any audit provisions from the Framework Agreement set out by the Buyer in the Order Form

2.2 The Framework Agreement provisions in clause 2.1 will be modified as follows:

- 2.2.1 a reference to the 'Framework Agreement' will be a reference to the 'Call-Off Contract'
- 2.2.2 a reference to 'CCS' will be a reference to 'the Buyer'
- 2.2.3 a reference to the 'Parties' and a 'Party' will be a reference to the Buyer and Supplier as Parties under this Call-Off Contract

2.3 The Parties acknowledge that they are required to complete the applicable Annexes contained in Schedule 4 (Processing Data) of the Framework Agreement for the purposes of this Call-Off Contract. The applicable Annexes being reproduced at Schedule 7 of this Call-Off Contract.

2.4 The Framework Agreement incorporated clauses will be referred to as incorporated Framework clause 'XX', where 'XX' is the Framework Agreement clause number.

2.5 When an Order Form is signed, the terms and conditions agreed in it will be incorporated into this Call-Off Contract.

3. Supply of services

3.1 The Supplier agrees to supply the G-Cloud Services and any Additional Services under the terms of the Call-Off Contract and the Supplier's Application.

3.2 The Supplier undertakes that each G-Cloud Service will meet the Buyer's acceptance criteria, as defined in the Order Form.

4. Supplier staff

4.1 The Supplier Staff must:

- 4.1.1 be appropriately experienced, qualified and trained to supply the Services
- 4.1.2 apply all due skill, care and diligence in faithfully performing those duties
- 4.1.3 obey all lawful instructions and reasonable directions of the Buyer and provide the Services to the reasonable satisfaction of the Buyer
- 4.1.4 respond to any enquiries about the Services as soon as reasonably possible
- 4.1.5 complete any necessary Supplier Staff vetting as specified by the Buyer
- 4.2 The Supplier must retain overall control of the Supplier Staff so that they are not considered to be employees, workers, agents or contractors of the Buyer.
- 4.3 The Supplier may substitute any Supplier Staff as long as they have the equivalent experience and qualifications to the substituted staff member.
- 4.4 The Buyer may conduct IR35 Assessments using the ESI tool to assess whether the Supplier's engagement under the Call-Off Contract is Inside or Outside IR35.
- 4.5 The Buyer may End this Call-Off Contract for Material Breach as per clause 18.5 hereunder if the Supplier is delivering the Services Inside IR35.
- 4.6 The Buyer may need the Supplier to complete an Indicative Test using the ESI tool before the Start date or at any time during the provision of Services to provide a preliminary view of whether the Services are being delivered Inside or Outside IR35. If the Supplier has completed the Indicative Test, it must download and provide a copy of the PDF with the 14-digit ESI reference number from the summary outcome screen and promptly provide a copy to the Buyer.
- 4.7 If the Indicative Test indicates the delivery of the Services could potentially be Inside IR35, the Supplier must provide the Buyer with all relevant information needed to enable the Buyer to conduct its own IR35 Assessment.
- 4.8 If it is determined by the Buyer that the Supplier is Outside IR35, the Buyer will provide the ESI reference number and a copy of the PDF to the Supplier.

5. Due diligence

- 5.1 Both Parties agree that when entering into a Call-Off Contract they:
 - 5.1.1 have made their own enquiries and are satisfied by the accuracy of any information supplied by the other Party

- 5.1.2 are confident that they can fulfil their obligations according to the Call-Off Contract terms
- 5.1.3 have raised all due diligence questions before signing the Call-Off Contract
- 5.1.4 have entered into the Call-Off Contract relying on its own due diligence

6. Business continuity and disaster recovery

- 6.1 The Supplier will have a clear business continuity and disaster recovery plan in their service descriptions.
- 6.2 The Supplier's business continuity and disaster recovery services are part of the Services and will be performed by the Supplier when required.
- 6.3 If requested by the Buyer prior to entering into this Call-Off Contract, the Supplier must ensure that its business continuity and disaster recovery plan is consistent with the Buyer's own plans.

7. Payment, VAT and Call-Off Contract charges

- 7.1 The Buyer must pay the Charges following clauses 7.2 to 7.11 for the Supplier's delivery of the Services.
- 7.2 The Buyer will pay the Supplier within the number of days specified in the Order Form on receipt of a valid invoice.
- 7.3 The Call-Off Contract Charges include all Charges for payment Processing. All invoices submitted to the Buyer for the Services will be exclusive of any Management Charge.
- 7.4 If specified in the Order Form, the Supplier will accept payment for G-Cloud Services by the Government Procurement Card (GPC). The Supplier will be liable to pay any merchant fee levied for using the GPC and must not recover this charge from the Buyer.
- 7.5 The Supplier must ensure that each invoice contains a detailed breakdown of the G-Cloud Services supplied. The Buyer may request the Supplier provides further documentation to substantiate the invoice.
- 7.6 If the Supplier enters into a Subcontract it must ensure that a provision is included in each Subcontract which specifies that payment must be made to the Subcontractor within 30 days of receipt of a valid invoice.
- 7.7 All Charges payable by the Buyer to the Supplier will include VAT at the appropriate Rate.
- 7.8 The Supplier must add VAT to the Charges at the appropriate rate with visibility of the amount as a separate line item.
- 7.9 The Supplier will indemnify the Buyer on demand against any liability arising from the Supplier's failure to account for or to pay any VAT on payments made to the

Supplier under this Call-Off Contract. The Supplier must pay all sums to the Buyer at least 5 Working Days before the date on which the tax or other liability is payable by the Buyer.

- 7.10 The Supplier must not suspend the supply of the G-Cloud Services unless the Supplier is entitled to End this Call-Off Contract under clause 18.6 for Buyer's failure to pay undisputed sums of money. Interest will be payable by the Buyer on the late payment of any undisputed sums of money properly invoiced under the Late Payment of Commercial Debts (Interest) Act 1998.
- 7.11 If there's an invoice dispute, the Buyer must pay the undisputed portion of the amount and return the invoice within 10 Working Days of the invoice date. The Buyer will provide a covering statement with proposed amendments and the reason for any non-payment. The Supplier must notify the Buyer within 10 Working Days of receipt of the returned invoice if it accepts the amendments. If it does then the Supplier must provide a replacement valid invoice with the response.
- 7.12 Due to the nature of G-Cloud Services it isn't possible in a static Order Form to exactly define the consumption of services over the duration of the Call-Off Contract. The Supplier agrees that the Buyer's volumes indicated in the Order Form are indicative only.

8. Recovery of sums due and right of set-off

- 8.1 If a Supplier owes money to the Buyer, the Buyer may deduct that sum from the Call-Off Contract Charges.

9. Insurance

- 9.1 The Supplier will maintain the insurances required by the Buyer including those in this clause.
- 9.2 The Supplier will ensure that:
 - 9.2.1 during this Call-Off Contract, Subcontractors hold third party public and products liability insurance of the same amounts that the Supplier would be legally liable to pay as damages, including the claimant's costs and expenses, for accidental death or bodily injury and loss of or damage to Property, to a minimum of £1,000,000
 - 9.2.2 the third-party public and products liability insurance contains an 'indemnity to principals' clause for the Buyer's benefit
 - 9.2.3 all agents and professional consultants involved in the Services hold professional indemnity insurance to a minimum indemnity of £1,000,000 for

each individual claim during the Call-Off Contract, and for 6 years after the End or Expiry Date

- 9.2.4 all agents and professional consultants involved in the Services hold employers liability insurance (except where exempt under Law) to a minimum indemnity of £5,000,000 for each individual claim during the Call-Off Contract, and for 6 years after the End or Expiry Date
- 9.3 If requested by the Buyer, the Supplier will obtain additional insurance policies, or extend existing policies bought under the Framework Agreement.
- 9.4 If requested by the Buyer, the Supplier will provide the following to show compliance with this clause:
 - 9.4.1 a broker's verification of insurance
 - 9.4.2 receipts for the insurance premium
 - 9.4.3 evidence of payment of the latest premiums due
- 9.5 Insurance will not relieve the Supplier of any liabilities under the Framework Agreement or this Call-Off Contract and the Supplier will:
 - 9.5.1 take all risk control measures using Good Industry Practice, including the investigation and reports of claims to insurers
 - 9.5.2 promptly notify the insurers in writing of any relevant material fact under any Insurances
 - 9.5.3 hold all insurance policies and require any broker arranging the insurance to hold any insurance slips and other evidence of insurance
- 9.6 The Supplier will not do or omit to do anything, which would destroy or impair the legal validity of the insurance.
- 9.7 The Supplier will notify CCS and the Buyer as soon as possible if any insurance policies have been, or are due to be, cancelled, suspended, Ended or not renewed.
- 9.8 The Supplier will be liable for the payment of any:
 - 9.8.1 premiums, which it will pay promptly
 - 9.8.2 excess or deductibles and will not be entitled to recover this from the Buyer

10. Confidentiality

- 10.1 Subject to clause 24.1 the Supplier must during and after the Term keep the Buyer fully indemnified against all Losses, damages, costs or expenses and other liabilities (including legal fees) arising from any breach of the Supplier's obligations under the Data Protection Legislation or under incorporated Framework Agreement clauses 8.80 to 8.88. The indemnity doesn't apply to the extent that the Supplier breach is due to a Buyer's instruction.

11. Intellectual Property Rights

- 11.1 Unless otherwise specified in this Call-Off Contract, a Party will not acquire any right, title or interest in or to the Intellectual Property Rights (IPRs) of the other Party or its Licensors.
- 11.2 The Supplier grants the Buyer a non-exclusive, transferable, perpetual, irrevocable, royalty-free licence to use the Project Specific IPRs and any Background IPRs embedded within the Project Specific IPRs for the Buyer's ordinary business activities.
- 11.3 The Supplier must obtain the grant of any third-party IPRs and Background IPRs so the Buyer can enjoy full use of the Project Specific IPRs, including the Buyer's right to publish the IPR as open source.
- 11.4 The Supplier must promptly inform the Buyer if it can't comply with the clause above and the Supplier must not use third-party IPRs or Background IPRs in relation to the Project Specific IPRs if it can't obtain the grant of a licence acceptable to the Buyer.
- 11.5 The Supplier will, on written demand, fully indemnify the Buyer and the Crown for all Losses which it may incur at any time from any claim of infringement or alleged infringement of a third party's IPRs because of the:
- 11.5.1 rights granted to the Buyer under this Call-Off Contract
 - 11.5.2 Supplier's performance of the Services
 - 11.5.3 use by the Buyer of the Services
- 11.6 If an IPR Claim is made, or is likely to be made, the Supplier will immediately notify the Buyer in writing and must at its own expense after written approval from the Buyer, either:
- 11.6.1 modify the relevant part of the Services without reducing its functionality or performance

- 11.6.2 substitute Services of equivalent functionality and performance, to avoid the infringement or the alleged infringement, as long as there is no additional cost or burden to the Buyer
 - 11.6.3 buy a licence to use and supply the Services which are the subject of the alleged infringement, on terms acceptable to the Buyer
- 11.7 Clause 11.5 will not apply if the IPR Claim is from:
 - 11.7.2 the use of data supplied by the Buyer which the Supplier isn't required to verify under this Call-Off Contract
 - 11.7.3 other material provided by the Buyer necessary for the Services
- 11.8 If the Supplier does not comply with clauses 11.2 to 11.6, the Buyer may End this Call-Off Contract for Material Breach. The Supplier will, on demand, refund the Buyer all the money paid for the affected Services.

12. Protection of information

- 12.1 The Supplier must:
 - 12.1.1 comply with the Buyer's written instructions and this Call-Off Contract when Processing Buyer Personal Data
 - 12.1.2 only Process the Buyer Personal Data as necessary for the provision of the G-Cloud Services or as required by Law or any Regulatory Body
 - 12.1.3 take reasonable steps to ensure that any Supplier Staff who have access to Buyer Personal Data act in compliance with Supplier's security processes
- 12.2 The Supplier must fully assist with any complaint or request for Buyer Personal Data including by:
 - 12.2.1 providing the Buyer with full details of the complaint or request
 - 12.2.2 complying with a data access request within the timescales in the Data Protection Legislation and following the Buyer's instructions
 - 12.2.3 providing the Buyer with any Buyer Personal Data it holds about a Data Subject (within the timescales required by the Buyer)
 - 12.2.4 providing the Buyer with any information requested by the Data Subject

- 12.3 The Supplier must get prior written consent from the Buyer to transfer Buyer Personal Data to any other person (including any Subcontractors) for the provision of the G-Cloud Services.

13. Buyer data

- 13.1 The Supplier must not remove any proprietary notices in the Buyer Data.
- 13.2 The Supplier will not store or use Buyer Data except if necessary to fulfil its obligations.
- 13.3 If Buyer Data is processed by the Supplier, the Supplier will supply the data to the Buyer as requested.
- 13.4 The Supplier must ensure that any Supplier system that holds any Buyer Data is a secure system that complies with the Supplier's and Buyer's security policies and all Buyer requirements in the Order Form.
- 13.5 The Supplier will preserve the integrity of Buyer Data processed by the Supplier and prevent its corruption and loss.
- 13.6 The Supplier will ensure that any Supplier system which holds any protectively marked Buyer Data or other government data will comply with:
- 13.6.1 the principles in the Security Policy Framework:
<https://www.gov.uk/government/publications/security-policy-framework-and-the-government-security-classification-policy>
<https://www.gov.uk/government/publications/government-security-classifications>
- 13.6.2 guidance issued by the Centre for Protection of National Infrastructure on Risk Management:
<https://www.cpni.gov.uk/content/adopt-risk-management-approach> and Protection of Sensitive Information and Assets:
<https://www.cpni.gov.uk/protection-sensitive-information-and-assets>
- 13.6.3 the National Cyber Security Centre's (NCSC) information risk management guidance:
<https://www.ncsc.gov.uk/collection/risk-management-collection>
- 13.6.4 government best practice in the design and implementation of system components, including network principles, security design principles for digital services and the secure email blueprint:
<https://www.gov.uk/government/publications/technology-code-of-practice/technology-code-of-practice>

13.6.5 the security requirements of cloud services using the NCSC Cloud Security Principles and accompanying guidance:

<https://www.ncsc.gov.uk/guidance/implementing-cloud-security-principles>

13.6.6 buyer requirements in respect of AI ethical standards.

- 13.7 The Buyer will specify any security requirements for this project in the Order Form.
- 13.8 If the Supplier suspects that the Buyer Data has or may become corrupted, lost, breached or significantly degraded in any way for any reason, then the Supplier will notify the Buyer immediately and will (at its own cost if corruption, loss, breach or degradation of the Buyer Data was caused by the action or omission of the Supplier) comply with any remedial action reasonably proposed by the Buyer.
- 13.9 The Supplier agrees to use the appropriate organisational, operational and technological processes to keep the Buyer Data safe from unauthorised use or access, loss, destruction, theft or disclosure.
- 13.10 The provisions of this clause 13 will apply during the term of this Call-Off Contract and for as long as the Supplier holds the Buyer's Data.

14. Standards and quality

- 14.1 The Supplier will comply with any standards in this Call-Off Contract, the Order Form and the Framework Agreement.
- 14.2 The Supplier will deliver the Services in a way that enables the Buyer to comply with its obligations under the Technology Code of Practice, which is at:
<https://www.gov.uk/government/publications/technology-code-of-practice/technology-code-of-practice>
- 14.3 If requested by the Buyer, the Supplier must, at its own cost, ensure that the G-Cloud Services comply with the requirements in the PSN Code of Practice.
- 14.4 If any PSN Services are Subcontracted by the Supplier, the Supplier must ensure that the services have the relevant PSN compliance certification.
- 14.5 The Supplier must immediately disconnect its G-Cloud Services from the PSN if the PSN Authority considers there is a risk to the PSN's security and the Supplier agrees that the Buyer and the PSN Authority will not be liable for any actions, damages, costs, and any other Supplier liabilities which may arise.

15. Open source

- 15.1 All software created for the Buyer must be suitable for publication as open source, unless otherwise agreed by the Buyer.
- 15.2 If software needs to be converted before publication as open source, the Supplier must also provide the converted format unless otherwise agreed by the Buyer.

16. Security

- 16.1 If requested to do so by the Buyer, before entering into this Call-Off Contract the Supplier will, within 15 Working Days of the date of this Call-Off Contract, develop (and obtain the Buyer's written approval of) a Security Management Plan and an Information Security Management System. After Buyer approval the Security Management Plan and Information Security Management System will apply during the Term of this Call-Off Contract. Both plans will comply with the Buyer's security policy and protect all aspects and processes associated with the delivery of the Services.
- 16.2 The Supplier will use all reasonable endeavours, software and the most up-to-date antivirus definitions available from an industry-accepted antivirus software seller to minimise the impact of Malicious Software.
- 16.3 If Malicious Software causes loss of operational efficiency or loss or corruption of Service Data, the Supplier will help the Buyer to mitigate any losses and restore the Services to operating efficiency as soon as possible.
- 16.4 Responsibility for costs will be at the:
 - 16.4.1 Supplier's expense if the Malicious Software originates from the Supplier software or the Service Data while the Service Data was under the control of the Supplier, unless the Supplier can demonstrate that it was already present, not quarantined or identified by the Buyer when provided
 - 16.4.2 Buyer's expense if the Malicious Software originates from the Buyer software or the Service Data, while the Service Data was under the Buyer's control
- 16.5 The Supplier will immediately notify the Buyer of any breach of security of Buyer's Confidential Information (and the Buyer of any Buyer Confidential Information breach). Where the breach occurred because of a Supplier Default, the Supplier will recover the Buyer's Confidential Information however it may be recorded.
- 16.6 Any system development by the Supplier should also comply with the government's '10 Steps to Cyber Security' guidance:

<https://www.ncsc.gov.uk/guidance/10-steps-cyber-security>

- 16.7 If a Buyer has requested in the Order Form that the Supplier has a Cyber Essentials certificate, the Supplier must provide the Buyer with a valid Cyber Essentials certificate (or equivalent) required for the Services before the Start date.

17. Guarantee

- 17.1 If this Call-Off Contract is conditional on receipt of a Guarantee that is acceptable to the Buyer, the Supplier must give the Buyer on or before the Start date:
- 17.1.1 an executed Guarantee in the form at Schedule 5
 - 17.1.2 a certified copy of the passed resolution or board minutes of the guarantor approving the execution of the Guarantee

18. Ending the Call-Off Contract

- 18.1 The Buyer can End this Call-Off Contract at any time by giving 30 days' written notice to the Supplier, unless a shorter period is specified in the Order Form. The Supplier's obligation to provide the Services will end on the date in the notice.
- 18.2 The Parties agree that the:
- 18.2.1 Buyer's right to End the Call-Off Contract under clause 18.1 is reasonable considering the type of cloud Service being provided
 - 18.2.2 Call-Off Contract Charges paid during the notice period is reasonable compensation and covers all the Supplier's avoidable costs or Losses
- 18.3 Subject to clause 24 (Liability), if the Buyer Ends this Call-Off Contract under clause 18.1, it will indemnify the Supplier against any commitments, liabilities or expenditure which result in any unavoidable Loss by the Supplier, provided that the Supplier takes all reasonable steps to mitigate the Loss. If the Supplier has insurance, the Supplier will reduce its unavoidable costs by any insurance sums available. The Supplier will submit a fully itemised and costed list of the unavoidable Loss with supporting evidence.
- 18.4 The Buyer will have the right to End this Call-Off Contract at any time with immediate effect by written notice to the Supplier if either the Supplier commits:
- 18.4.1 a Supplier Default and if the Supplier Default cannot, in the reasonable opinion of the Buyer, be remedied

18.4.2 any fraud

18.5 A Party can End this Call-Off Contract at any time with immediate effect by written notice if:

18.5.1 the other Party commits a Material Breach of any term of this Call-Off Contract (other than failure to pay any amounts due) and, if that breach is remediable, fails to remedy it within 15 Working Days of being notified in writing to do so

18.5.2 an Insolvency Event of the other Party happens

18.5.3 the other Party ceases or threatens to cease to carry on the whole or any material part of its business

18.6 If the Buyer fails to pay the Supplier undisputed sums of money when due, the Supplier must notify the Buyer and allow the Buyer 5 Working Days to pay. If the Buyer doesn't pay within 5 Working Days, the Supplier may End this Call-Off Contract by giving the length of notice in the Order Form.

18.7 A Party who isn't relying on a Force Majeure event will have the right to End this Call-Off Contract if clause 23.1 applies.

19. Consequences of suspension, ending and expiry

19.1 If a Buyer has the right to End a Call-Off Contract, it may elect to suspend this Call-Off Contract or any part of it.

19.2 Even if a notice has been served to End this Call-Off Contract or any part of it, the Supplier must continue to provide the Ordered G-Cloud Services until the dates set out in the notice.

19.3 The rights and obligations of the Parties will cease on the Expiry Date or End Date whichever applies) of this Call-Off Contract, except those continuing provisions described in clause 19.4.

19.4 Ending or expiry of this Call-Off Contract will not affect:

19.4.1 any rights, remedies or obligations accrued before its Ending or expiration

19.4.2 the right of either Party to recover any amount outstanding at the time of Ending or expiry

19.4.3 the continuing rights, remedies or obligations of the Buyer or the Supplier under clauses

- 7 (Payment, VAT and Call-Off Contract charges)
- 8 (Recovery of sums due and right of set-off)
- 9 (Insurance)
- 10 (Confidentiality)
- 11 (Intellectual property rights)
- 12 (Protection of information)
- 13 (Buyer data)
- 19 (Consequences of suspension, ending and expiry)
- 24 (Liability); incorporated Framework Agreement clauses: 4.2 to 4.7 (Liability)
- 8.44 to 8.50 (Conflicts of interest and ethical walls)
- 8.89 to 8.90 (Waiver and cumulative remedies)

19.4.4 any other provision of the Framework Agreement or this Call-Off Contract which expressly or by implication is in force even if it Ends or expires

19.5 At the end of the Call-Off Contract Term, the Supplier must promptly:

19.5.1 return all Buyer Data including all copies of Buyer software, code and any other software licensed by the Buyer to the Supplier under it

19.5.2 return any materials created by the Supplier under this Call-Off Contract if the IPRs are owned by the Buyer

19.5.3 stop using the Buyer Data and, at the direction of the Buyer, provide the Buyer with a complete and uncorrupted version in electronic form in the formats and on media agreed with the Buyer

19.5.4 destroy all copies of the Buyer Data when they receive the Buyer's written instructions to do so or 12 calendar months after the End or Expiry Date, and provide written confirmation to the Buyer that the data has been securely destroyed, except if the retention of Buyer Data is required by Law

19.5.5 work with the Buyer on any ongoing work

19.5.6 return any sums prepaid for Services which have not been delivered to the Buyer, within 10 Working Days of the End or Expiry Date

19.6 Each Party will return all of the other Party's Confidential Information and confirm this has been done, unless there is a legal requirement to keep it or this Call-Off Contract states otherwise.

- 19.7 All licences, leases and authorisations granted by the Buyer to the Supplier will cease at the end of the Call-Off Contract Term without the need for the Buyer to serve notice except if this Call-Off Contract states otherwise.

20. Notices

- 20.1 Any notices sent must be in writing. For the purpose of this clause, an email is accepted as being 'in writing'.
- Manner of delivery: email
 - Deemed time of delivery: 9am on the first Working Day after sending
 - Proof of service: Sent in an emailed letter in PDF format to the correct email address without any error message
- 20.2 This clause does not apply to any legal action or other method of dispute resolution which should be sent to the addresses in the Order Form (other than a dispute notice under this Call-Off Contract).

21. Exit plan

- 21.1 The Supplier must provide an exit plan in its Application which ensures continuity of service and the Supplier will follow it.
- 21.2 When requested, the Supplier will help the Buyer to migrate the Services to a replacement supplier in line with the exit plan. This will be at the Supplier's own expense if the Call-Off Contract Ended before the Expiry Date due to Supplier cause.
- 21.3 If the Buyer has reserved the right in the Order Form to extend the Call-Off Contract Term beyond 24 months the Supplier must provide the Buyer with an additional exit plan for approval by the Buyer at least 8 weeks before the 18 month anniversary of the Start date.
- 21.4 The Supplier must ensure that the additional exit plan clearly sets out the Supplier's methodology for achieving an orderly transition of the Services from the Supplier to the Buyer or its replacement Supplier at the expiry of the proposed extension period or if the contract Ends during that period.
- 21.5 Before submitting the additional exit plan to the Buyer for approval, the Supplier will work with the Buyer to ensure that the additional exit plan is aligned with the Buyer's own exit plan and strategy.

21.6 The Supplier acknowledges that the Buyer's right to extend the Term beyond 24 months is subject to the Buyer's own governance process. Where the Buyer is a central government department, this includes the need to obtain approval from GDS under the Spend Controls process. The approval to extend will only be given if the Buyer can clearly demonstrate that the Supplier's additional exit plan ensures that:

21.6.1 the Buyer will be able to transfer the Services to a replacement supplier before the expiry or Ending of the extension period on terms that are commercially reasonable and acceptable to the Buyer

21.6.2 there will be no adverse impact on service continuity

21.6.3 there is no vendor lock-in to the Supplier's Service at exit

21.6.4 it enables the Buyer to meet its obligations under the Technology Code Of Practice

21.7 If approval is obtained by the Buyer to extend the Term, then the Supplier will comply with its obligations in the additional exit plan.

21.8 The additional exit plan must set out full details of timescales, activities and roles and responsibilities of the Parties for:

21.8.1 the transfer to the Buyer of any technical information, instructions, manuals and code reasonably required by the Buyer to enable a smooth migration from the Supplier

21.8.2 the strategy for exportation and migration of Buyer Data from the Supplier system to the Buyer or a replacement supplier, including conversion to open standards or other standards required by the Buyer

21.8.3 the transfer of Project Specific IPR items and other Buyer customisations, configurations and databases to the Buyer or a replacement supplier

21.8.4 the testing and assurance strategy for exported Buyer Data

21.8.5 if relevant, TUPE-related activity to comply with the TUPE regulations

21.8.6 any other activities and information which is reasonably required to ensure continuity of Service during the exit period and an orderly transition

22. Handover to replacement supplier

22.1 At least 10 Working Days before the Expiry Date or End Date, the Supplier must provide any:

22.1.1 data (including Buyer Data), Buyer Personal Data and Buyer Confidential Information in the Supplier's possession, power or control

22.1.2 other information reasonably requested by the Buyer

22.2 On reasonable notice at any point during the Term, the Supplier will provide any information and data about the G-Cloud Services reasonably requested by the Buyer (including information on volumes, usage, technical aspects, service performance and staffing). This will help the Buyer understand how the Services have been provided and to run a fair competition for a new supplier.

22.3 This information must be accurate and complete in all material respects and the level of detail must be sufficient to reasonably enable a third party to prepare an informed offer for replacement services and not be unfairly disadvantaged compared to the Supplier in the buying process.

23. Force majeure

23.1 If a Force Majeure event prevents a Party from performing its obligations under this Call-Off Contract for more than the number of consecutive days set out in the Order Form, the other Party may End this Call-Off Contract with immediate effect by written notice.

24. Liability

24.1 Subject to incorporated Framework Agreement clauses 4.2 to 4.7, each Party's Yearly total liability for Defaults under or in connection with this Call-Off Contract (whether expressed as an indemnity or otherwise) will be set as follows:

24.1.1 Property: for all Defaults by either party resulting in direct loss to the property (including technical infrastructure, assets, IPR or equipment but excluding any loss or damage to Buyer Data) of the other Party, will not exceed the amount in the Order Form

24.1.2 Buyer Data: for all Defaults by the Supplier resulting in direct loss, destruction, corruption, degradation or damage to any Buyer Data, will not exceed the amount in the Order Form

24.1.3 Other Defaults: for all other Defaults by either party, claims, Losses or damages, whether arising from breach of contract, misrepresentation (whether under common law or statute), tort (including negligence), breach of statutory duty or otherwise will not exceed the amount in the Order Form.

25. Premises

- 25.1 If either Party uses the other Party's premises, that Party is liable for all loss or damage it causes to the premises. It is responsible for repairing any damage to the premises or any objects on the premises, other than fair wear and tear.
- 25.2 The Supplier will use the Buyer's premises solely for the performance of its obligations under this Call-Off Contract.
- 25.3 The Supplier will vacate the Buyer's premises when the Call-Off Contract Ends or expires.
- 25.4 This clause does not create a tenancy or exclusive right of occupation.
- 25.5 While on the Buyer's premises, the Supplier will:
 - 25.5.1 comply with any security requirements at the premises and not do anything to weaken the security of the premises
 - 25.5.2 comply with Buyer requirements for the conduct of personnel
 - 25.5.3 comply with any health and safety measures implemented by the Buyer
 - 25.5.4 immediately notify the Buyer of any incident on the premises that causes any damage to Property which could cause personal injury
- 25.6 The Supplier will ensure that its health and safety policy statement (as required by the Health and Safety at Work etc Act 1974) is made available to the Buyer on request.

26. Equipment

- 26.1 The Supplier is responsible for providing any Equipment which the Supplier requires to provide the Services.
- 26.2 Any Equipment brought onto the premises will be at the Supplier's own risk and the Buyer will have no liability for any loss of, or damage to, any Equipment.
- 26.3 When the Call-Off Contract Ends or expires, the Supplier will remove the Equipment and any other materials leaving the premises in a safe and clean condition.

27. The Contracts (Rights of Third Parties) Act 1999

- 27.1 Except as specified in clause 29.8, a person who isn't Party to this Call-Off Contract has no right under the Contracts (Rights of Third Parties) Act 1999 to enforce any of its terms. This does not affect any right or remedy of any person which exists or is available otherwise.

28. Environmental requirements

- 28.1 The Buyer will provide a copy of its environmental policy to the Supplier on request, which the Supplier will comply with.
- 28.2 The Supplier must provide reasonable support to enable Buyers to work in an environmentally friendly way, for example by helping them recycle or lower their carbon footprint.

29. The Employment Regulations (TUPE)

- 29.1 The Supplier agrees that if the Employment Regulations apply to this Call-Off Contract on the Start date then it must comply with its obligations under the Employment Regulations and (if applicable) New Fair Deal (including entering into an Admission Agreement) and will indemnify the Buyer or any Former Supplier for any loss arising from any failure to comply.
- 29.2 Twelve months before this Call-Off Contract expires, or after the Buyer has given notice to End it, and within 28 days of the Buyer's request, the Supplier will fully and accurately disclose to the Buyer all staff information including, but not limited to, the total number of staff assigned for the purposes of TUPE to the Services. For each person identified the Supplier must provide details of:
- 29.2.1 the activities they perform
 - 29.2.2 age
 - 29.2.3 start date
 - 29.2.4 place of work
 - 29.2.5 notice period
 - 29.2.6 redundancy payment entitlement
 - 29.2.7 salary, benefits and pension entitlements
 - 29.2.8 employment status
 - 29.2.9 identity of employer
 - 29.2.10 working arrangements
 - 29.2.11 outstanding liabilities
 - 29.2.12 sickness absence
 - 29.2.13 copies of all relevant employment contracts and related documents
 - 29.2.14 all information required under regulation 11 of TUPE or as reasonably requested by the Buyer

- 29.3 The Supplier warrants the accuracy of the information provided under this TUPE clause and will notify the Buyer of any changes to the amended information as soon as reasonably possible. The Supplier will permit the Buyer to use and disclose the information to any prospective Replacement Supplier.
- 29.4 In the 12 months before the expiry of this Call-Off Contract, the Supplier will not change the identity and number of staff assigned to the Services (unless reasonably requested by the Buyer) or their terms and conditions, other than in the ordinary course of business.
- 29.5 The Supplier will co-operate with the re-tendering of this Call-Off Contract by allowing the Replacement Supplier to communicate with and meet the affected employees or their representatives.
- 29.6 The Supplier will indemnify the Buyer or any Replacement Supplier for all Loss arising from both:
- 29.6.1 its failure to comply with the provisions of this clause
- 29.6.2 any claim by any employee or person claiming to be an employee (or their employee representative) of the Supplier which arises or is alleged to arise from any act or omission by the Supplier on or before the date of the Relevant Transfer
- 29.7 The provisions of this clause apply during the Term of this Call-Off Contract and indefinitely after it Ends or expires.
- 29.8 For these TUPE clauses, the relevant third party will be able to enforce its rights under this clause but their consent will not be required to vary these clauses as the Buyer and Supplier may agree.

30. Additional G-Cloud services

- 30.1 The Buyer may require the Supplier to provide Additional Services. The Buyer doesn't have to buy any Additional Services from the Supplier and can buy services that are the same as or similar to the Additional Services from any third party.
- 30.2 If reasonably requested to do so by the Buyer in the Order Form, the Supplier must provide and monitor performance of the Additional Services using an Implementation Plan.

31. Collaboration

- 31.1 If the Buyer has specified in the Order Form that it requires the Supplier to enter into a Collaboration Agreement, the Supplier must give the Buyer an executed Collaboration Agreement before the Start date.
- 31.2 In addition to any obligations under the Collaboration Agreement, the Supplier must:
 - 31.2.1 work proactively and in good faith with each of the Buyer's contractors
 - 31.2.2 co-operate and share information with the Buyer's contractors to enable the efficient operation of the Buyer's ICT services and G-Cloud Services

32. Variation process

- 32.1 The Buyer can request in writing a change to this Call-Off Contract if it isn't a material change to the Framework Agreement/or this Call-Off Contract. Once implemented, it is called a Variation.
- 32.2 The Supplier must notify the Buyer immediately in writing of any proposed changes to their G-Cloud Services or their delivery by submitting a Variation request. This includes any changes in the Supplier's supply chain.
- 32.3 If Either Party can't agree to or provide the Variation, the Buyer may agree to continue performing its obligations under this Call-Off Contract without the Variation, or End this Call-Off Contract by giving 30 days notice to the Supplier.

33. Data Protection Legislation (GDPR)

- 33.1 Pursuant to clause 2.1 and for the avoidance of doubt, clauses 8.59 and 8.60 of the Framework Agreement are incorporated into this Call-Off Contract. For reference, the appropriate GDPR templates which are required to be completed in accordance with clauses 8.59 and 8.60 are reproduced in this Call-Off Contract document at schedule 7.

Schedule 3: Collaboration agreement **(NOT APPLICABLE)**

This agreement is made on [enter date]

between:

- 1) [Buyer name] of [Buyer address] (the Buyer)
- 2) [Company name] a company incorporated in [company address] under [registration number], whose registered office is at [registered address]
- 3) [Company name] a company incorporated in [company address] under [registration number], whose registered office is at [registered address]
- 4) [Company name] a company incorporated in [company address] under [registration number], whose registered office is at [registered address]
- 5) [Company name] a company incorporated in [company address] under [registration number], whose registered office is at [registered address]
- 6) [Company name] a company incorporated in [company address] under [registration number], whose registered office is at [registered address] together (the Collaboration Suppliers and each of them a Collaboration Supplier).

Whereas the:

- Buyer and the Collaboration Suppliers have entered into the Call-Off Contracts (defined below) for the provision of various IT and telecommunications (ICT) services
- Collaboration Suppliers now wish to provide for the ongoing cooperation of the Collaboration Suppliers in the provision of services under their respective Call-Off Contract to the Buyer

In consideration of the mutual covenants contained in the Call-Off Contracts and this Agreement and intending to be legally bound, the parties agree as follows:

1. Definitions and interpretation

1.1 As used in this Agreement, the capitalised expressions will have the following meanings unless the context requires otherwise:

1.1.1 "Agreement" means this collaboration agreement, containing the Clauses and Schedules

- 1.1.2 "Call-Off Contract" means each contract that is let by the Buyer to one of the Collaboration Suppliers
- 1.1.3 "Contractor's Confidential Information" has the meaning set out in the Call-Off Contracts
- 1.1.4 "Confidential Information" means the Buyer Confidential Information or any Collaboration Supplier's Confidential Information
- 1.1.5 "Collaboration Activities" means the activities set out in this Agreement
- 1.1.6 "Buyer Confidential Information" has the meaning set out in the Call-Off Contract
- 1.1.7 "Default" means any breach of the obligations of any Collaboration Supplier or any Default, act, omission, negligence or statement of any Collaboration Supplier, its employees, servants, agents or subcontractors in connection with or in relation to the subject matter of this Agreement and in respect of which such Collaboration Supplier is liable (by way of indemnity or otherwise) to the other parties
- 1.1.8 "Detailed Collaboration Plan" has the meaning given in clause 3.2
- 1.1.9 "Dispute Resolution Process" means the process described in clause 9
- 1.1.10 "Effective Date" means [insert date]
- 1.1.11 "Force Majeure Event" has the meaning given in clause 11.1.1
- 1.1.12 "Mediator" has the meaning given to it in clause 9.3.1
- 1.1.13 "Outline Collaboration Plan" has the meaning given to it in clause 3.1
- 1.1.14 "Term" has the meaning given to it in clause 2.1
- 1.1.15 "Working Day" means any day other than a Saturday, Sunday or public holiday in England and Wales

1.2 General

- 1.2.1 As used in this Agreement the:
 - 1.2.1.1 masculine includes the feminine and the neuter
 - 1.2.1.2 singular includes the plural and the other way round

1.2.1.3 A reference to any statute, enactment, order, regulation or other similar instrument will be viewed as a reference to the statute, enactment, order, regulation or instrument as amended by any subsequent statute, enactment, order, regulation or instrument or as contained in any subsequent re-enactment.

1.2.2 Headings are included in this Agreement for ease of reference only and will not affect the interpretation or construction of this Agreement.

1.2.3 References to Clauses and Schedules are, unless otherwise provided, references to clauses of and schedules to this Agreement.

1.2.4 Except as otherwise expressly provided in this Agreement, all remedies available to any party under this Agreement are cumulative and may be exercised concurrently or separately and the exercise of any one remedy will not exclude the exercise of any other remedy.

1.2.5 The party receiving the benefit of an indemnity under this Agreement will use its reasonable endeavours to mitigate its loss covered by the indemnity.

2. Term of the agreement

2.1 This Agreement will come into force on the Effective Date and, unless earlier terminated in accordance with clause 10, will expire 6 months after the expiry or termination (however arising) of the exit period of the last Call-Off Contract (the "Term").

2.2 A Collaboration Supplier's duty to perform the Collaboration Activities will continue until the end of the exit period of its last relevant Call-Off Contract.

3. Provision of the collaboration plan

3.1 The Collaboration Suppliers will, within 2 weeks (or any longer period as notified by the Buyer in writing) of the Effective Date, provide to the Buyer detailed proposals for the Collaboration Activities they require from each other (the "Outline Collaboration Plan").

3.2 Within 10 Working Days (or any other period as agreed in writing by the Buyer and the Collaboration Suppliers) of [receipt of the proposals] or [the Effective Date], the Buyer will prepare a plan for the Collaboration Activities (the "Detailed Collaboration Plan"). The Detailed Collaboration Plan will include full details of the activities and interfaces that involve all of the Collaboration Suppliers to ensure the receipt of the services under each Collaboration Supplier's respective [contract] [Call-Off Contract], by the Buyer. The Detailed Collaboration Plan will be based on the

Outline Collaboration Plan and will be submitted to the Collaboration Suppliers for approval.

- 3.3 The Collaboration Suppliers will provide the help the Buyer needs to prepare the Detailed Collaboration Plan.
- 3.4 The Collaboration Suppliers will, within 10 Working Days of receipt of the Detailed Collaboration Plan, either:
 - 3.4.1 approve the Detailed Collaboration Plan
 - 3.4.2 reject the Detailed Collaboration Plan, giving reasons for the rejection
- 3.5 The Collaboration Suppliers may reject the Detailed Collaboration Plan under clause 3.4.2 only if it is not consistent with their Outline Collaboration Plan in that it imposes additional, more onerous, obligations on them.
- 3.6 If the parties fail to agree the Detailed Collaboration Plan under clause 3.4, the dispute will be resolved using the Dispute Resolution Process.

4. Collaboration activities

- 4.1 The Collaboration Suppliers will perform the Collaboration Activities and all other obligations of this Agreement in accordance with the Detailed Collaboration Plan.
- 4.2 The Collaboration Suppliers will provide all additional cooperation and assistance as is reasonably required by the Buyer to ensure the continuous delivery of the services under the Call-Off Contract.
- 4.3 The Collaboration Suppliers will ensure that their respective subcontractors provide all co-operation and assistance as set out in the Detailed Collaboration Plan.

5. Invoicing

- 5.1 If any sums are due under this Agreement, the Collaboration Supplier responsible for paying the sum will pay within 30 Working Days of receipt of a valid invoice.
- 5.2 Interest will be payable on any late payments under this Agreement under the Late Payment of Commercial Debts (Interest) Act 1998, as amended.

6. Confidentiality

- 6.1 Without prejudice to the application of the Official Secrets Acts 1911 to 1989 to any Confidential Information, the Collaboration Suppliers acknowledge that any

Confidential Information obtained from or relating to the Crown, its servants or agents is the property of the Crown.

6.2 Each Collaboration Supplier warrants that:

- 6.2.1 any person employed or engaged by it (in connection with this Agreement in the course of such employment or engagement) will only use Confidential Information for the purposes of this Agreement
- 6.2.2 any person employed or engaged by it (in connection with this Agreement) will not disclose any Confidential Information to any third party without the prior written consent of the other party
- 6.2.3 it will take all necessary precautions to ensure that all Confidential Information is treated as confidential and not disclosed (except as agreed) or used other than for the purposes of this Agreement by its employees, servants, agents or subcontractors
- 6.2.4 neither it nor any person engaged by it, whether as a servant or a consultant or otherwise, will use the Confidential Information for the solicitation of business from the other or from the other party's servants or consultants or otherwise

6.3 The provisions of clauses 6.1 and 6.2 will not apply to any information which is:

- 6.3.1 or becomes public knowledge other than by breach of this clause 6
- 6.3.2 in the possession of the receiving party without restriction in relation to disclosure before the date of receipt from the disclosing party
- 6.3.3 received from a third party who lawfully acquired it and who is under no obligation restricting its disclosure
- 6.3.4 independently developed without access to the Confidential Information
- 6.3.5 required to be disclosed by law or by any judicial, arbitral, regulatory or other authority of competent jurisdiction

6.4 The Buyer's right, obligations and liabilities in relation to using and disclosing any Collaboration Supplier's Confidential Information provided under this Agreement and the Collaboration Supplier's right, obligations and liabilities in relation to using and disclosing any of the Buyer's Confidential Information provided under this Agreement, will be as set out in the [relevant contract] [Call-Off Contract].

7. Warranties

- 7.1 Each Collaboration Supplier warrant and represent that:
- 7.1.1 it has full capacity and authority and all necessary consents (including but not limited to, if its processes require, the consent of its parent company) to enter into and to perform this Agreement and that this Agreement is executed by an authorised representative of the Collaboration Supplier
 - 7.1.2 its obligations will be performed by appropriately experienced, qualified and trained personnel with all due skill, care and diligence including but not limited to good industry practice and (without limiting the generality of this clause 7) in accordance with its own established internal processes
- 7.2 Except as expressly stated in this Agreement, all warranties and conditions, whether express or implied by statute, common law or otherwise (including but not limited to fitness for purpose) are excluded to the extent permitted by law.

8. Limitation of liability

- 8.1 None of the parties exclude or limit their liability for death or personal injury resulting from negligence, or for any breach of any obligations implied by Section 2 of the Supply of Goods and Services Act 1982.
- 8.2 Nothing in this Agreement will exclude or limit the liability of any party for fraud or fraudulent misrepresentation.
- 8.3 Subject always to clauses 8.1 and 8.2, the liability of the Buyer to any Collaboration Suppliers for all claims (by way of indemnity or otherwise) arising whether in contract, tort (including negligence), misrepresentation (other than if made fraudulently), breach of statutory duty or otherwise under this Agreement (excluding Clause 6.4, which will be subject to the limitations of liability set out in the relevant Contract) will be limited to [(£,000)].
- 8.4 Subject always to clauses 8.1 and 8.2, the liability of each Collaboration Supplier for all claims (by way of indemnity or otherwise) arising whether in contract, tort (including negligence), misrepresentation (other than if made fraudulently), breach of statutory duty or otherwise under this Agreement will be limited to [Buyer to specify].
- 8.5 Subject always to clauses 8.1, 8.2 and 8.6 and except in respect of liability under clause 6 (excluding clause 6.4, which will be subject to the limitations of liability set out in the [relevant contract] [Call-Off Contract]), in no event will any party be liable to any other for:
- 8.5.1 indirect loss or damage
 - 8.5.2 special loss or damage

- 8.5.3 consequential loss or damage
- 8.5.4 loss of profits (whether direct or indirect)
- 8.5.5 loss of turnover (whether direct or indirect)
- 8.5.6 loss of business opportunities (whether direct or indirect)
- 8.5.7 damage to goodwill (whether direct or indirect)
- 8.6 Subject always to clauses 8.1 and 8.2, the provisions of clause 8.5 will not be taken as limiting the right of the Buyer to among other things, recover as a direct loss any:
 - 8.6.1 additional operational or administrative costs and expenses arising from a Collaboration Supplier's Default
 - 8.6.2 wasted expenditure or charges rendered unnecessary or incurred by the Buyer arising from a Collaboration Supplier's Default

9. Dispute resolution process

- 9.1 All disputes between any of the parties arising out of or relating to this Agreement will be referred, by any party involved in the dispute, to the representatives of the parties specified in the Detailed Collaboration Plan.
- 9.2 If the dispute cannot be resolved by the parties' representatives nominated under clause 9.1 within a maximum of 5 Working Days (or any other time agreed in writing by the parties) after it has been referred to them under clause 9.1, then except if a party seeks urgent injunctive relief, the parties will refer it to mediation under the process set out in clause 9.3 unless the Buyer considers (acting reasonably and considering any objections to mediation raised by the other parties) that the dispute is not suitable for resolution by mediation.
- 9.3 The process for mediation and consequential provisions for mediation are:
 - 9.3.1 a neutral adviser or mediator will be chosen by agreement between the parties or, if they are unable to agree upon a Mediator within 10 Working Days after a request by one party to the other parties to appoint a Mediator or if the Mediator agreed upon is unable or unwilling to act, any party will within 10 Working Days from the date of the proposal to appoint a Mediator or within 10 Working Days of notice to the parties that he is unable or unwilling to act, apply to the President of the Law Society to appoint a Mediator
 - 9.3.2 the parties will within 10 Working Days of the appointment of the Mediator meet to agree a programme for the exchange of all relevant information and the structure of the negotiations
 - 9.3.3 unless otherwise agreed by the parties in writing, all negotiations connected with the dispute and any settlement agreement relating to it will be

conducted in confidence and without prejudice to the rights of the parties in any future proceedings

- 9.3.4 if the parties reach agreement on the resolution of the dispute, the agreement will be put in writing and will be binding on the parties once it is signed by their authorised representatives
 - 9.3.5 failing agreement, any of the parties may invite the Mediator to provide a non-binding but informative opinion in writing. The opinion will be provided on a without prejudice basis and will not be used in evidence in any proceedings relating to this Agreement without the prior written consent of all the parties
 - 9.3.6 if the parties fail to reach agreement in the structured negotiations within 20 Working Days of the Mediator being appointed, or any longer period the parties agree on, then any dispute or difference between them may be referred to the courts
- 9.4 The parties must continue to perform their respective obligations under this Agreement and under their respective Contracts pending the resolution of a dispute.

10. Termination and consequences of termination

10.1 Termination

- 10.1.1 The Buyer has the right to terminate this Agreement at any time by notice in writing to the Collaboration Suppliers whenever the Buyer has the right to terminate a Collaboration Supplier's [respective contract] [Call-Off Contract].
- 10.1.2 Failure by any of the Collaboration Suppliers to comply with their obligations under this Agreement will constitute a Default under their [relevant contract] [Call-Off Contract]. In this case, the Buyer also has the right to terminate by notice in writing the participation of any Collaboration Supplier to this Agreement and sever its name from the list of Collaboration Suppliers, so that this Agreement will continue to operate between the Buyer and the remaining Collaboration Suppliers.

10.2 Consequences of termination

- 10.2.1 Subject to any other right or remedy of the parties, the Collaboration Suppliers and the Buyer will continue to comply with their respective obligations under the [contracts] [Call-Off Contracts] following the termination (however arising) of this Agreement.

- 10.2.2 Except as expressly provided in this Agreement, termination of this Agreement will be without prejudice to any accrued rights and obligations under this Agreement.

11. General provisions

11.1 Force majeure

- 11.1.1 For the purposes of this Agreement, the expression "Force Majeure Event" will mean any cause affecting the performance by a party of its obligations under this Agreement arising from acts, events, omissions, happenings or non-happenings beyond its reasonable control, including acts of God, riots, war or armed conflict, acts of terrorism, acts of government, local government or Regulatory Bodies, fire, flood, storm or earthquake, or disaster but excluding any industrial dispute relating to any party, the party's personnel or any other failure of a Subcontractor.
- 11.1.2 Subject to the remaining provisions of this clause 11.1, any party to this Agreement may claim relief from liability for non-performance of its obligations to the extent this is due to a Force Majeure Event.
- 11.1.3 A party cannot claim relief if the Force Majeure Event or its level of exposure to the event is attributable to its wilful act, neglect or failure to take reasonable precautions against the relevant Force Majeure Event.
- 11.1.4 The affected party will immediately give the other parties written notice of the Force Majeure Event. The notification will include details of the Force Majeure Event together with evidence of its effect on the obligations of the affected party, and any action the affected party proposes to take to mitigate its effect.
- 11.1.5 The affected party will notify the other parties in writing as soon as practicable after the Force Majeure Event ceases or no longer causes the affected party to be unable to comply with its obligations under this Agreement. Following the notification, this Agreement will continue to be performed on the terms existing immediately before the Force Majeure Event unless agreed otherwise in writing by the parties.

11.2 Assignment and subcontracting

- 11.2.1 Subject to clause 11.2.2, the Collaboration Suppliers will not assign, transfer, novate, sub-license or declare a trust in respect of its rights under all or a part of this Agreement or the benefit or advantage without the prior written consent of the Buyer.

11.2.2 Any subcontractors identified in the Detailed Collaboration Plan can perform those elements identified in the Detailed Collaboration Plan to be performed by the Subcontractors.

11.3 Notices

11.3.1 Any notices given under or in relation to this Agreement will be deemed to have been properly delivered if sent by recorded or registered post or by fax and will be deemed for the purposes of this Agreement to have been given or made at the time the letter would, in the ordinary course of post, be delivered or at the time shown on the sender's fax transmission report.

11.3.2 For the purposes of clause 11.3.1, the address of each of the parties are those in the Detailed Collaboration Plan.

11.4 Entire agreement

11.4.1 This Agreement, together with the documents and agreements referred to in it, constitutes the entire agreement and understanding between the parties in respect of the matters dealt with in it and supersedes any previous agreement between the Parties about this.

11.4.2 Each of the parties agrees that in entering into this Agreement and the documents and agreements referred to in it does not rely on, and will have no remedy in respect of, any statement, representation, warranty or undertaking (whether negligently or innocently made) other than as expressly set out in this Agreement. The only remedy available to each party in respect of any statements, representation, warranty or understanding will be for breach of contract under the terms of this Agreement.

11.4.3 Nothing in this clause 11.4 will exclude any liability for fraud.

11.5 Rights of third parties

Nothing in this Agreement will grant any right or benefit to any person other than the parties or their respective successors in title or assignees, or entitle a third party to enforce any provision and the parties do not intend that any term of this Agreement should be enforceable by a third party by virtue of the Contracts (Rights of Third Parties) Act 1999.

11.6 Severability

If any provision of this Agreement is held invalid, illegal or unenforceable for any reason by any court of competent jurisdiction, that provision will be severed without

effect to the remaining provisions. If a provision of this Agreement that is fundamental to the accomplishment of the purpose of this Agreement is held to any extent to be invalid, the parties will immediately commence good faith negotiations to remedy that invalidity.

11.7 Variations

No purported amendment or variation of this Agreement or any provision of this Agreement will be effective unless it is made in writing by the parties.

11.8 No waiver

The failure to exercise, or delay in exercising, a right, power or remedy provided by this Agreement or by law will not constitute a waiver of that right, power or remedy. If a party waives a breach of any provision of this Agreement this will not operate as a waiver of a subsequent breach of that provision, or as a waiver of a breach of any other provision.

11.9 Governing law and jurisdiction

This Agreement will be governed by and construed in accordance with English law and without prejudice to the Dispute Resolution Process, each party agrees to submit to the exclusive jurisdiction of the courts of England and Wales.

Executed and delivered as an agreement by the parties or their duly authorised attorneys the day and year first above written.

For and on behalf of the Buyer

Signed by:

Full name (capitals):

Position:

Date:

For and on behalf of the [Company name]

Signed by:

Full name (capitals):

Position:

Date:

For and on behalf of the [Company name]

Signed by:

Full name (capitals):

Position:

Date:

For and on behalf of the [Company name]

Signed by:

Full name (capitals):

Position:

Date:

For and on behalf of the [Company name]

Signed by:

Full name (capitals):

Position:

Date:

For and on behalf of the [Company name]

Signed by:

Full name (capitals):

Position:

Date:

For and on behalf of the [Company name]

Signed by:

Full name (capitals):

Position:

Date:

Collaboration Agreement Schedule 1: List of contracts

Collaboration supplier	Name/reference of contract	Effective date of contract

Collaboration Agreement Schedule 2 **[Insert Outline Collaboration Plan]**

Schedule 4: Alternative clauses

1. Introduction

1.1 This Schedule specifies the alternative clauses that may be requested in the Order Form and, if requested in the Order Form, will apply to this Call-Off Contract.

2. Clauses selected

2.1 The Customer may, in the Order Form, request the following alternative Clauses:

2.1.1 Scots Law and Jurisdiction

2.1.2 References to England and Wales in incorporated Framework Agreement clause 8.12 (Law and Jurisdiction) of this Call-Off Contract will be replaced with Scotland and the wording of the Framework Agreement and Call-Off Contract will be interpreted as closely as possible to the original English and Welsh Law intention despite Scots Law applying.

2.1.3 Reference to England and Wales in Working Days definition within the Glossary and interpretations section will be replaced with Scotland.

2.1.4 References to the Contracts (Rights of Third Parties) Act 1999 will be removed in clause 27.1. Reference to the Freedom of Information Act 2000 within the defined terms for 'FoIA/Freedom of Information Act' to be replaced with Freedom of Information (Scotland) Act 2002.

2.1.5 Reference to the Supply of Goods and Services Act 1982 will be removed in incorporated Framework Agreement clause 4.2.

2.1.6 References to "tort" will be replaced with "delict" throughout

2.2 The Customer may, in the Order Form, request the following Alternative Clauses:

2.2.1 Northern Ireland Law (see paragraph 2.3, 2.4, 2.5, 2.6 and 2.7 of this Schedule)

2.3 Discrimination

2.3.1 The Supplier will comply with all applicable fair employment, equality of treatment and anti-discrimination legislation, including, in particular the:

- Employment (Northern Ireland) Order 2002
- Fair Employment and Treatment (Northern Ireland) Order 1998
- Sex Discrimination (Northern Ireland) Order 1976 and 1988
- Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003
- Equal Pay Act (Northern Ireland) 1970
- Disability Discrimination Act 1995
- Race Relations (Northern Ireland) Order 1997
- Employment Relations (Northern Ireland) Order 1999 and Employment Rights (Northern Ireland) Order 1996
- Employment Equality (Age) Regulations (Northern Ireland) 2006
- Part-time Workers (Prevention of less Favourable Treatment) Regulation 2000
- Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002
- The Disability Discrimination (Northern Ireland) Order 2006
- The Employment Relations (Northern Ireland) Order 2004
- Equality Act (Sexual Orientation) Regulations (Northern Ireland) 2006
- Employment Relations (Northern Ireland) Order 2004
- Work and Families (Northern Ireland) Order 2006

and will use his best endeavours to ensure that in his employment policies and practices and in the delivery of the services required of the Supplier under this Call-Off Contract he promotes equality of treatment and opportunity between:

- a. persons of different religious beliefs or political opinions
- b. men and women or married and unmarried persons
- c. persons with and without dependants (including women who are pregnant or on maternity leave and men on paternity leave)
- d. persons of different racial groups (within the meaning of the Race Relations (Northern Ireland) Order 1997)
- e. persons with and without a disability (within the meaning of the Disability Discrimination Act 1995)
- f. persons of different ages
- g. persons of differing sexual orientation

2.3.2 The Supplier will take all reasonable steps to secure the observance of clause 2.3.1 of this Schedule by all Supplier Staff.

2.4 Equality policies and practices

- 2.4.1 The Supplier will introduce and will procure that any Subcontractor will also introduce and implement an equal opportunities policy in accordance with guidance from and to the satisfaction of the Equality Commission. The Supplier will review these policies on a regular basis (and will procure that its Subcontractors do likewise) and the Customer will be entitled to receive upon request a copy of the policy.
- 2.4.2 The Supplier will take all reasonable steps to ensure that all of the Supplier Staff comply with its equal opportunities policies (referred to in clause 2.3 above). These steps will include:
- a. the issue of written instructions to staff and other relevant persons
 - b. the appointment or designation of a senior manager with responsibility for equal opportunities
 - c. training of all staff and other relevant persons in equal opportunities and harassment matters
 - d. the inclusion of the topic of equality as an agenda item at team, management and staff meetings

The Supplier will procure that its Subcontractors do likewise with their equal opportunities policies.

- 2.4.3 The Supplier will inform the Customer as soon as possible in the event of:
- A. the Equality Commission notifying the Supplier of an alleged breach by it or any Subcontractor (or any of their shareholders or directors) of the Fair Employment and Treatment (Northern Ireland) Order 1998 or
 - B. any finding of unlawful discrimination (or any offence under the Legislation mentioned in clause 2.3 above) being made against the Supplier or its Subcontractors during the Call-Off Contract Period by any Industrial or Fair Employment Tribunal or court,

The Supplier will take any necessary steps (including the dismissal or replacement of any relevant staff or Subcontractor(s)) as the Customer directs and will seek the advice of the Equality Commission in order to prevent any offence or repetition of the unlawful discrimination as the case may be.

- 2.4.4 The Supplier will monitor (in accordance with guidance issued by the Equality Commission) the composition of its workforce and applicants for employment and will provide an annual report on the composition of the workforce and applicants to the Customer. If the monitoring reveals under-representation or lack of fair participation of particular groups, the Supplier will review the operation of its relevant policies and take positive action if

appropriate. The Supplier will impose on its Subcontractors obligations similar to those undertaken by it in this clause 2.4 and will procure that those Subcontractors comply with their obligations.

- 2.4.5 The Supplier will provide any information the Customer requests (including Information requested to be provided by any Subcontractors) for the purpose of assessing the Supplier's compliance with its obligations under clauses 2.4.1 to 2.4.5 of this Schedule.

2.5 Equality

- 2.5.1 The Supplier will, and will procure that each Subcontractor will, in performing its/their obligations under this Call-Off Contract (and other relevant agreements), comply with the provisions of Section 75 of the Northern Ireland Act 1998, as if they were a public authority within the meaning of that section.
- 2.5.2 The Supplier acknowledges that the Customer must, in carrying out its functions, have due regard to the need to promote equality of opportunity as contemplated by the Northern Ireland Act 1998 and the Supplier will use all reasonable endeavours to assist (and to ensure that relevant Subcontractor helps) the Customer in relation to same.

2.6 Health and safety

- 2.6.1 The Supplier will promptly notify the Customer of any health and safety hazards which may arise in connection with the performance of its obligations under the Call-Off Contract. The Customer will promptly notify the Supplier of any health and safety hazards which may exist or arise at the Customer premises and which may affect the Supplier in the performance of its obligations under the Call-Off Contract.
- 2.6.2 While on the Customer premises, the Supplier will comply with any health and safety measures implemented by the Customer in respect of Supplier Staff and other persons working there.
- 2.6.3 The Supplier will notify the Customer immediately in the event of any incident occurring in the performance of its obligations under the Call-Off Contract on the Customer premises if that incident causes any personal injury or damage to property which could give rise to personal injury.
- 2.6.4 The Supplier will comply with the requirements of the Health and Safety at Work (Northern Ireland) Order 1978 and any other acts, orders, regulations and codes of practice relating to health and safety, which may apply to

Supplier Staff and other persons working on the Customer premises in the performance of its obligations under the Call-Off Contract.

- 2.6.5 The Supplier will ensure that its health and safety policy statement (as required by the Health and Safety at Work (Northern Ireland) Order 1978) is made available to the Customer on request.

2.7 Criminal damage

- 2.7.1 The Supplier will maintain standards of vigilance and will take all precautions as advised by the Criminal Damage (Compensation) (Northern Ireland) Order 1977 or as may be recommended by the police or the Northern Ireland Office (or, if replaced, their successors) and will compensate the Customer for any loss arising directly from a breach of this obligation (including any diminution of monies received by the Customer under any insurance policy).
- 2.7.2 If during the Call-Off Contract Period any assets (or any part thereof) is or are damaged or destroyed by any circumstance giving rise to a claim for compensation under the provisions of the Compensation Order the following provisions of this clause 2.7 will apply.
- 2.7.3 The Supplier will make (or will procure that the appropriate organisation make) all appropriate claims under the Compensation Order as soon as possible after the CDO Event and will pursue any claim diligently and at its cost. If appropriate, the Customer will also make and pursue a claim diligently under the Compensation Order. Any appeal against a refusal to meet any claim or against the amount of the award will be at the Customer's cost and the Supplier will (at no additional cost to the Customer) provide any help the Customer reasonably requires with the appeal.
- 2.7.4 The Supplier will apply any compensation paid under the Compensation Order in respect of damage to the relevant assets towards the repair, reinstatement or replacement of the assets affected.

Schedule 5: Guarantee **NOT APPLICABLE**

[A Guarantee should only be requested if the Supplier's financial standing is not enough on its own to guarantee delivery of the Services. This is a draft form of guarantee which can be used to procure a Call Off Guarantee, and so it will need to be amended to reflect the Beneficiary's requirements]

This deed of guarantee is made on **[insert date, month, year]** between:

(1) **[Insert the name of the Guarantor]** a company incorporated in England and Wales with number **[insert company number]** whose registered office is at **[insert details of the guarantor's registered office]** [or a company incorporated under the Laws of **[insert country]**, registered in **[insert country]** with number **[insert number]** at **[insert place of registration]**, whose principal office is at **[insert office details]**](**'Guarantor'**); in favour of
and

(2) The Buyer whose offices are **[insert Buyer's official address]**
(**'Beneficiary'**)

Whereas:

- (A) The guarantor has agreed, in consideration of the Buyer entering into the Call-Off Contract with the Supplier, to guarantee all of the Supplier's obligations under the Call-Off Contract.
- (B) It is the intention of the Parties that this document be executed and take effect as a deed.

[Where a deed of guarantee is required, include the wording below and populate the box below with the guarantor company's details. If a deed of guarantee isn't needed then the section below and other references to the guarantee should be deleted.]

Suggested headings are as follows:

- Demands and notices
- Representations and Warranties
- Obligation to enter into a new Contract
- Assignment
- Third Party Rights
- Governing Law
- This Call-Off Contract is conditional upon the provision of a Guarantee to the Buyer from the guarantor in respect of the Supplier.]

Guarantor company	[Enter Company name] 'Guarantor'
Guarantor company address	[Enter Company address]
Account manager	[Enter Account Manager name]
	Address: [Enter Account Manager address]
	Phone: [Enter Account Manager phone number]
	Email: [Enter Account Manager email]
	Fax: [Enter Account Manager fax if applicable]

In consideration of the Buyer entering into the Call-Off Contract, the Guarantor agrees with the Buyer as follows:

Definitions and interpretation

In this Deed of Guarantee, unless defined elsewhere in this Deed of Guarantee or the context requires otherwise, defined terms will have the same meaning as they have for the purposes of the Call-Off Contract.

Term	Meaning
Call-Off Contract	Means [the Guaranteed Agreement] made between the Buyer and the Supplier on [insert date].
Guaranteed Obligations	Means all obligations and liabilities of the Supplier to the Buyer under the Call-Off Contract together with all obligations owed by the Supplier to the Buyer that are supplemental to, incurred under, ancillary to or calculated by reference to the Call-Off Contract.
Guarantee	Means the deed of guarantee described in the Order Form (Parent Company Guarantee).

References to this Deed of Guarantee and any provisions of this Deed of Guarantee or to any other document or agreement (including to the Call-Off Contract) apply now, and as amended, varied, restated, supplemented, substituted or novated in the future.

Unless the context otherwise requires, words importing the singular are to include the plural and vice versa.

References to a person are to be construed to include that person's assignees or transferees or successors in title, whether direct or indirect.

The words 'other' and 'otherwise' are not to be construed as confining the meaning of any following words to the class of thing previously stated if a wider construction is possible.

Unless the context otherwise requires:

- reference to a gender includes the other gender and the neuter
- references to an Act of Parliament, statutory provision or statutory instrument also apply if amended, extended or re-enacted from time to time

- any phrase introduced by the words 'including', 'includes', 'in particular', 'for example' or similar, will be construed as illustrative and without limitation to the generality of the related general words

References to Clauses and Schedules are, unless otherwise provided, references to Clauses of and Schedules to this Deed of Guarantee.

References to liability are to include any liability whether actual, contingent, present or future.

Guarantee and indemnity

The Guarantor irrevocably and unconditionally guarantees that the Supplier duly performs all of the guaranteed obligations due by the Supplier to the Buyer.

If at any time the Supplier will fail to perform any of the guaranteed obligations, the Guarantor irrevocably and unconditionally undertakes to the Buyer it will, at the cost of the Guarantor:

- fully perform or buy performance of the guaranteed obligations to the Buyer
- as a separate and independent obligation and liability, compensate and keep the Buyer compensated against all losses and expenses which may result from a failure by the Supplier to perform the guaranteed obligations under the Call-Off Contract

As a separate and independent obligation and liability, the Guarantor irrevocably and unconditionally undertakes to compensate and keep the Buyer compensated on demand against all losses and expenses of whatever nature, whether arising under statute, contract or at common Law, if any obligation guaranteed by the guarantor is or becomes unenforceable, invalid or illegal as if the obligation guaranteed had not become unenforceable, invalid or illegal provided that the guarantor's liability will be no greater than the Supplier's liability would have been if the obligation guaranteed had not become unenforceable, invalid or illegal.

Obligation to enter into a new contract

If the Call-Off Contract is terminated or if it is disclaimed by a liquidator of the Supplier or the obligations of the Supplier are declared to be void or voidable, the Guarantor will, at the request of the Buyer, enter into a Contract with the Buyer in the same terms as the Call-Off Contract and the obligations of the Guarantor under such substitute agreement will be the same as if the Guarantor had been original obligor under the Call-Off Contract or under an agreement entered into on the same terms and at the same time as the Call-Off Contract with the Buyer.

Demands and notices

Any demand or notice served by the Buyer on the Guarantor under this Deed of Guarantee will be in writing, addressed to:

[Enter Address of the Guarantor in England and Wales]

[Enter Email address of the Guarantor representative]

For the Attention of **[insert details]**

or such other address in England and Wales as the Guarantor has notified the Buyer in writing as being an address for the receipt of such demands or notices.

Any notice or demand served on the Guarantor or the Buyer under this Deed of Guarantee will be deemed to have been served if:

- delivered by hand, at the time of delivery
- posted, at 10am on the second Working Day after it was put into the post
- sent by email, at the time of despatch, if despatched before 5pm on any Working Day, and in any other case at 10am on the next Working Day

In proving Service of a notice or demand on the Guarantor or the Buyer, it will be sufficient to prove that delivery was made, or that the envelope containing the notice or demand was properly addressed and posted as a prepaid first class recorded delivery letter, or that the fax message was properly addressed and despatched.

Any notice purported to be served on the Buyer under this Deed of Guarantee will only be valid when received in writing by the Buyer.

Beneficiary's protections

The Guarantor will not be discharged or released from this Deed of Guarantee by:

- any arrangement made between the Supplier and the Buyer (whether or not such arrangement is made with the assent of the Guarantor)
- any amendment to or termination of the Call-Off Contract
- any forbearance or indulgence as to payment, time, performance or otherwise granted by the Buyer (whether or not such amendment, termination, forbearance or indulgence is made with the assent of the Guarantor)
- the Buyer doing (or omitting to do) anything which, but for this provision, might exonerate the Guarantor

This Deed of Guarantee will be a continuing security for the Guaranteed Obligations and accordingly:

- it will not be discharged, reduced or otherwise affected by any partial performance (except to the extent of such partial performance) by the Supplier of the Guaranteed Obligations or by any omission or delay on the part of the Buyer in exercising its rights under this Deed of Guarantee
- it will not be affected by any dissolution, amalgamation, reconstruction, reorganisation, change in status, function, control or ownership, insolvency, liquidation, administration, appointment of a receiver, voluntary arrangement, any legal limitation or other incapacity, of the Supplier, the Buyer, the Guarantor or any other person
- if, for any reason, any of the Guaranteed Obligations is void or unenforceable against the Supplier, the Guarantor will be liable for that purported obligation or liability as if the same were fully valid and enforceable and the Guarantor were principal debtor
- the rights of the Buyer against the Guarantor under this Deed of Guarantee are in addition to, will not be affected by and will not prejudice, any other security, guarantee, indemnity or other rights or remedies available to the Buyer

The Buyer will be entitled to exercise its rights and to make demands on the Guarantor under this Deed of Guarantee as often as it wishes. The making of a demand (whether effective, partial or defective) relating to the breach or non-performance by the Supplier of any Guaranteed Obligation will not preclude the Buyer from making a further demand relating to the same or some other Default regarding the same Guaranteed Obligation.

The Buyer will not be obliged before taking steps to enforce this Deed of Guarantee against the Guarantor to:

- obtain judgment against the Supplier or the Guarantor or any third party in any court
- make or file any claim in a bankruptcy or liquidation of the Supplier or any third party
- take any action against the Supplier or the Guarantor or any third party
- resort to any other security or guarantee or other means of payment

No action (or inaction) by the Buyer relating to any such security, guarantee or other means of payment will prejudice or affect the liability of the Guarantor.

The Buyer's rights under this Deed of Guarantee are cumulative and not exclusive of any rights provided by Law. The Buyer's rights may be exercised as often as the Buyer deems expedient. Any waiver by the Buyer of any terms of this Deed of Guarantee, or of any Guaranteed Obligations, will only be effective if given in writing and then only for the purpose and upon the terms and conditions on which it is given.

Any release, discharge or settlement between the Guarantor and the Buyer will be conditional upon no security, disposition or payment to the Buyer by the Guarantor or any other person being void, set aside or ordered to be refunded following any enactment or Law relating to liquidation, administration or insolvency or for any other reason. If such condition will not be fulfilled, the Buyer will be entitled to enforce this Deed of Guarantee subsequently as if such release, discharge or settlement had not occurred and any such

payment had not been made. The Buyer will be entitled to retain this security before and after the payment, discharge or satisfaction of all monies, obligations and liabilities that are or may become due owing or incurred to the Buyer from the Guarantor for such period as the Buyer may determine.

Representations and warranties

The Guarantor hereby represents and warrants to the Buyer that:

- the Guarantor is duly incorporated and is a validly existing company under the Laws of its place of incorporation
- has the capacity to sue or be sued in its own name
- the Guarantor has power to carry on its business as now being conducted and to own its Property and other assets
- the Guarantor has full power and authority to execute, deliver and perform its obligations under this Deed of Guarantee and no limitation on the powers of the Guarantor will be exceeded as a result of the Guarantor entering into this Deed of Guarantee
- the execution and delivery by the Guarantor of this Deed of Guarantee and the performance by the Guarantor of its obligations under this Deed of Guarantee including entry into and performance of a Call-Off Contract following Clause 3) have been duly authorised by all necessary corporate action and do not contravene or conflict with:
 - the Guarantor's memorandum and articles of association or other equivalent constitutional documents, any existing Law, statute, rule or Regulation or any judgment, decree or permit to which the Guarantor is subject
 - the terms of any agreement or other document to which the Guarantor is a party or which is binding upon it or any of its assets
 - all governmental and other authorisations, approvals, licences and consents, required or desirable

This Deed of Guarantee is the legal valid and binding obligation of the Guarantor and is enforceable against the Guarantor in accordance with its terms.

Payments and set-off

All sums payable by the Guarantor under this Deed of Guarantee will be paid without any set-off, lien or counterclaim, deduction or withholding, except for those required by Law. If any deduction or withholding must be made by Law, the Guarantor will pay that additional amount to ensure that the Buyer receives a net amount equal to the full amount which it would have received if the payment had been made without the deduction or withholding.

The Guarantor will pay interest on any amount due under this Deed of Guarantee at the applicable rate under the Late Payment of Commercial Debts (Interest) Act 1998, accruing

on a daily basis from the due date up to the date of actual payment, whether before or after judgment.

The Guarantor will reimburse the Buyer for all legal and other costs (including VAT) incurred by the Buyer in connection with the enforcement of this Deed of Guarantee.

Guarantor's acknowledgement

The Guarantor warrants, acknowledges and confirms to the Buyer that it has not entered into this Deed of Guarantee in reliance upon the Buyer nor been induced to enter into this Deed of Guarantee by any representation, warranty or undertaking made by, or on behalf of the Buyer, (whether express or implied and whether following statute or otherwise) which is not in this Deed of Guarantee.

Assignment

The Buyer will be entitled to assign or transfer the benefit of this Deed of Guarantee at any time to any person without the consent of the Guarantor being required and any such assignment or transfer will not release the Guarantor from its liability under this Guarantee.

The Guarantor may not assign or transfer any of its rights or obligations under this Deed of Guarantee.

Severance

If any provision of this Deed of Guarantee is held invalid, illegal or unenforceable for any reason by any court of competent jurisdiction, such provision will be severed and the remainder of the provisions will continue in full force and effect as if this Deed of Guarantee had been executed with the invalid, illegal or unenforceable provision eliminated.

Third-party rights

A person who is not a Party to this Deed of Guarantee will have no right under the Contracts (Rights of Third Parties) Act 1999 to enforce any term of this Deed of Guarantee. This Clause does not affect any right or remedy of any person which exists or is available otherwise than following that Act.

Governing law

This Deed of Guarantee, and any non-Contractual obligations arising out of or in connection with it, will be governed by and construed in accordance with English Law.

The Guarantor irrevocably agrees for the benefit of the Buyer that the courts of England will have jurisdiction to hear and determine any suit, action or proceedings and to settle any dispute which may arise out of or in connection with this Deed of Guarantee and for such purposes hereby irrevocably submits to the jurisdiction of such courts.

Nothing contained in this Clause will limit the rights of the Buyer to take proceedings against the Guarantor in any other court of competent jurisdiction, nor will the taking of any such proceedings in one or more jurisdictions preclude the taking of proceedings in any other jurisdiction, whether concurrently or not (unless precluded by applicable Law).

The Guarantor irrevocably waives any objection which it may have now or in the future to the courts of England being nominated for this Clause on the ground of venue or otherwise and agrees not to claim that any such court is not a convenient or appropriate forum.

[The Guarantor hereby irrevocably designates, appoints and empowers **[enter the Supplier name]** [or a suitable alternative to be agreed if the Supplier's registered office is not in England or Wales] either at its registered office or on fax number **[insert fax number]** from time to time to act as its authorised agent to receive notices, demands, Service of process and any other legal summons in England and Wales for the purposes of any legal action or proceeding brought or to be brought by the Buyer in respect of this Deed of Guarantee. The Guarantor hereby irrevocably consents to the Service of notices and demands, Service of process or any other legal summons served in such way.]

IN WITNESS whereof the Guarantor has caused this instrument to be executed and delivered as a Deed the day and year first before written.

EXECUTED as a DEED by

[Insert name of the Guarantor] acting by **[Insert names]**

Director

Director/Secretary

Schedule 6: Glossary and interpretations

In this Call-Off Contract the following expressions mean:

Expression	Meaning
Additional Services	Any services ancillary to the G-Cloud Services that are in the scope of Framework Agreement Section 2 (Services Offered) which a Buyer may request.
Admission Agreement	The agreement to be entered into to enable the Supplier to participate in the relevant Civil Service pension scheme(s).
Application	The response submitted by the Supplier to the Invitation to Tender (known as the Invitation to Apply on the Digital Marketplace).
Audit	An audit carried out under the incorporated Framework Agreement clauses specified by the Buyer in the Order (if any).
Background IPRs	For each Party, IPRs: - owned by that Party before the date of this Call-Off Contract (as may be enhanced and/or modified but not as a consequence of the Services) including IPRs contained in any of the Party's Know-How, documentation and processes - created by the Party independently of this Call-Off Contract, or For the Buyer, Crown Copyright which isn't available to the Supplier otherwise than under this Call-Off Contract, but excluding IPRs owned by that Party in Buyer software or Supplier software.
Buyer	The contracting authority ordering services as set out in the Order Form.
Buyer Data	All data supplied by the Buyer to the Supplier including Personal Data and Service Data that is owned and managed by the Buyer.
Buyer Personal Data	The Personal Data supplied by the Buyer to the Supplier for purposes of, or in connection with, this Call-Off Contract.

Buyer Representative	The representative appointed by the Buyer under this Call-Off Contract.
Buyer Software	Software owned by or licensed to the Buyer (other than under this Agreement), which is or will be used by the Supplier to provide the Services.
Call-Off Contract	This call-off contract entered into following the provisions of the Framework Agreement for the provision of Services made between the Buyer and the Supplier comprising the Order Form, the Call-Off terms and conditions, the Call-Off schedules and the Collaboration Agreement.
Charges	The prices (excluding any applicable VAT), payable to the Supplier by the Buyer under this Call-Off Contract.
Collaboration Agreement	An agreement, substantially in the form set out at Schedule 3, between the Buyer and any combination of the Supplier and contractors, to ensure collaborative working in their delivery of the Buyer's Services and to ensure that the Buyer receives end-to-end services across its IT estate.
Commercially Sensitive Information	Information, which the Buyer has been notified about by the Supplier in writing before the Start date with full details of why the Information is deemed to be commercially sensitive.
Confidential Information	Data, Personal Data and any information, which may include (but isn't limited to) any: - information about business, affairs, developments, trade secrets, know-how, personnel, and third parties, including all Intellectual Property Rights (IPRs), together with all information derived from any of the above - other information clearly designated as being confidential or which ought reasonably be considered to be confidential (whether or not it is marked 'confidential').
Control	'Control' as defined in section 1124 and 450 of the Corporation Tax Act 2010. 'Controls' and 'Controlled' will be interpreted accordingly.
Controller	Takes the meaning given in the GDPR.

Crown	The government of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Executive and the National Assembly for Wales), including, but not limited to, government ministers and government departments and particular bodies, persons, commissions or agencies carrying out functions on its behalf.
Data Loss Event	Event that results, or may result, in unauthorised access to Personal Data held by the Processor under this Framework Agreement and/or actual or potential loss and/or destruction of Personal Data in breach of this Agreement, including any Personal Data Breach.
Data Protection Impact Assessment (DPIA)	An assessment by the Controller of the impact of the envisaged Processing on the protection of Personal Data.
Data Protection Legislation (DPL)	Data Protection Legislation means: (i) the GDPR, the LED and any applicable national implementing Laws as amended from time to time (ii) the DPA 2018 to the extent that it relates to Processing of Personal Data and privacy (iii) all applicable Law about the Processing of Personal Data and privacy including if applicable legally binding guidance and codes of practice issued by the Information Commissioner
Data Subject	Takes the meaning given in the GDPR
Default	Default is any: • breach of the obligations of the Supplier (including any fundamental breach or breach of a fundamental term) • other Default, negligence or negligent statement of the Supplier, of its Subcontractors or any Supplier Staff (whether by act or omission), in connection with or in relation to this Call-Off Contract Unless otherwise specified in the Framework Agreement the Supplier is liable to CCS for a Default of the Framework Agreement and in relation to a Default of the Call-Off Contract, the Supplier is liable to the Buyer.
Deliverable(s)	The G-Cloud Services the Buyer contracts the Supplier to provide under this Call-Off Contract.

Digital Marketplace	The government marketplace where Services are available for Buyers to buy. (https://www.digitalmarketplace.service.gov.uk/)
DPA 2018	Data Protection Act 2018.
Employment Regulations	The Transfer of Undertakings (Protection of Employment) Regulations 2006 (SI 2006/246) ('TUPE') which implements the Acquired Rights Directive.
End	Means to terminate; and Ended and Ending are construed accordingly.
Environmental Information Regulations or EIR	The Environmental Information Regulations 2004 together with any guidance or codes of practice issued by the Information Commissioner or relevant government department about the regulations.
Equipment	The Supplier's hardware, computer and telecoms devices, plant, materials and such other items supplied and used by the Supplier (but not hired, leased or loaned from CCS or the Buyer) in the performance of its obligations under this Call-Off Contract.
ESI Reference Number	The 14 digit ESI reference number from the summary of the outcome screen of the ESI tool.
Employment Status Indicator test tool or ESI tool	The HMRC Employment Status Indicator test tool. The most up-to-date version must be used. At the time of drafting the tool may be found here: https://www.gov.uk/guidance/check-employment-status-for-tax
Expiry Date	The expiry date of this Call-Off Contract in the Order Form.

Force Majeure	A force Majeure event means anything affecting either Party's performance of their obligations arising from any: • acts, events or omissions beyond the reasonable control of the affected Party • riots, war or armed conflict, acts of terrorism, nuclear, biological or chemical warfare • acts of government, local government or Regulatory Bodies • fire, flood or disaster and any failure or shortage of power or fuel • industrial dispute affecting a third party for which a substitute third party isn't reasonably available The following do not constitute a Force Majeure event: • any industrial dispute about the Supplier, its staff, or failure in the Supplier's (or a Subcontractor's) supply chain • any event which is attributable to the wilful act, neglect or failure to take reasonable precautions by the Party seeking to rely on Force Majeure • the event was foreseeable by the Party seeking to rely on Force Majeure at the time this Call-Off Contract was entered into • any event which is attributable to the Party seeking to rely on Force Majeure and its failure to comply with its own business continuity and disaster recovery plans
Former Supplier	A supplier supplying services to the Buyer before the Start date that are the same as or substantially similar to the Services. This also includes any Subcontractor or the Supplier (or any subcontractor of the Subcontractor).
Framework Agreement	The clauses of framework agreement RM1557.12 together with the Framework Schedules.
Fraud	Any offence under Laws creating offences in respect of fraudulent acts (including the Misrepresentation Act 1967) or at common law in respect of fraudulent acts in relation to this Call-Off Contract or defrauding or attempting to defraud or conspiring to defraud the Crown.
Freedom of Information Act or FoIA	The Freedom of Information Act 2000 and any subordinate legislation made under the Act together with any guidance or codes of practice issued by the Information Commissioner or relevant government department in relation to the legislation.

G-Cloud Services	The cloud services described in Framework Agreement Section 2 (Services Offered) as defined by the Service Definition, the Supplier Terms and any related Application documentation, which the Supplier must make available to CCS and Buyers and those services which are deliverable by the Supplier under the Collaboration Agreement.
GDPR	General Data Protection Regulation (Regulation (EU) 2016/679)
Good Industry Practice	Standards, practices, methods and process conforming to the Law and the exercise of that degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged in a similar undertaking in the same or similar circumstances.
Government Procurement Card	The government's preferred method of purchasing and payment for low value goods or services.
Guarantee	The guarantee described in Schedule 5.
Guidance	Any current UK government guidance on the Public Contracts Regulations 2015. In the event of a conflict between any current UK government guidance and the Crown Commercial Service guidance, current UK government guidance will take precedence.
Implementation Plan	The plan with an outline of processes (including data standards for migration), costs (for example) of implementing the services which may be required as part of Onboarding.
Indicative test	ESI tool completed by contractors on their own behalf at the request of CCS or the Buyer (as applicable) under clause 4.6.
Information	Has the meaning given under section 84 of the Freedom of Information Act 2000.
Information security management system	The information security management system and process developed by the Supplier in accordance with clause 16.1.

Inside IR35	Contractual engagements which would be determined to be within the scope of the IR35 Intermediaries legislation if assessed using the ESI tool.
Insolvency event	Can be: • a voluntary arrangement • a winding-up petition • the appointment of a receiver or administrator • an unresolved statutory demand • a Schedule A1 moratorium
Intellectual Property Rights or IPR	Intellectual Property Rights are: • copyright, rights related to or affording protection similar to copyright, rights in databases, patents and rights in inventions, semi-conductor topography rights, trade marks, rights in internet domain names and website addresses and other rights in trade names, designs, Know-How, trade secrets and other rights in Confidential Information • applications for registration, and the right to apply for registration, for any of the rights listed at (a) that are capable of being registered in any country or jurisdiction • all other rights having equivalent or similar effect in any country or jurisdiction
Intermediary	For the purposes of the IR35 rules an intermediary can be: • the supplier's own limited company • a service or a personal service company • a partnership It does not apply if you work for a client through a Managed Service Company (MSC) or agency (for example, an employment agency).
IPR claim	As set out in clause 11.5.
IR35	IR35 is also known as 'Intermediaries legislation'. It's a set of rules that affect tax and National Insurance where a Supplier is contracted to work for a client through an Intermediary.
IR35 assessment	Assessment of employment status using the ESI tool to determine if engagement is Inside or Outside IR35.

Know-How	All ideas, concepts, schemes, information, knowledge, techniques, methodology, and anything else in the nature of know-how relating to the G-Cloud Services but excluding know-how already in the Supplier's or CCS's possession before the Start date.
Law	Any law, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of Section 2 of the European Communities Act 1972, regulation, order, regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements with which the relevant Party is bound to comply.
LED	Law Enforcement Directive (EU) 2016/680.
Loss	All losses, liabilities, damages, costs, expenses (including legal fees), disbursements, costs of investigation, litigation, settlement, judgment, interest and penalties whether arising in contract, tort (including negligence), breach of statutory duty, misrepresentation or otherwise and ' Losses ' will be interpreted accordingly.
Lot	Any of the 3 Lots specified in the ITT and Lots will be construed accordingly.
Malicious Software	Any software program or code intended to destroy, interfere with, corrupt, or cause undesired effects on program files, data or other information, executable code or application software macros, whether or not its operation is immediate or delayed, and whether the malicious software is introduced wilfully, negligently or without knowledge of its existence.
Management Charge	The sum paid by the Supplier to CCS being an amount of up to 1% but currently set at 0.75% of all Charges for the Services invoiced to Buyers (net of VAT) in each month throughout the duration of the Framework Agreement and thereafter, until the expiry or End of any Call-Off Contract.
Management Information	The management information specified in Framework Agreement section 6 (What you report to CCS).
Material Breach	Those breaches which have been expressly set out as a Material Breach and any other single serious breach or persistent failure to perform as required under this Call-Off Contract.

Ministry of Justice Code	The Ministry of Justice's Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the Freedom of Information Act 2000.
New Fair Deal	The revised Fair Deal position in the HM Treasury guidance: "Fair Deal for staff pensions: staff transfer from central government" issued in October 2013 as amended.
Order	An order for G-Cloud Services placed by a contracting body with the Supplier in accordance with the ordering processes.
Order Form	The order form set out in Part A of the Call-Off Contract to be used by a Buyer to order G-Cloud Services.
Ordered G-Cloud Services	G-Cloud Services which are the subject of an order by the Buyer.
Outside IR35	Contractual engagements which would be determined to not be within the scope of the IR35 intermediaries legislation if assessed using the ESI tool.
Party	The Buyer or the Supplier and 'Parties' will be interpreted accordingly.
Personal Data	Takes the meaning given in the GDPR.
Personal Data Breach	Takes the meaning given in the GDPR.
Processing	Takes the meaning given in the GDPR.
Processor	Takes the meaning given in the GDPR.

Prohibited act	To directly or indirectly offer, promise or give any person working for or engaged by a Buyer or CCS a financial or other advantage to: • induce that person to perform improperly a relevant function or activity • reward that person for improper performance of a relevant function or activity • commit any offence: ○ under the Bribery Act 2010 ○ under legislation creating offences concerning Fraud ○ at common Law concerning Fraud ○ committing or attempting or conspiring to commit Fraud
Project Specific IPRs	Any intellectual property rights in items created or arising out of the performance by the Supplier (or by a third party on behalf of the Supplier) specifically for the purposes of this Call-Off Contract including databases, configurations, code, instructions, technical documentation and schema but not including the Supplier's Background IPRs.
Property	Assets and property including technical infrastructure, IPRs and equipment.
Protective Measures	Appropriate technical and organisational measures which may include: pseudonymisation and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of such measures adopted by it.
PSN or Public Services Network	The Public Services Network (PSN) is the government's high-performance network which helps public sector organisations work together, reduce duplication and share resources.
Regulatory body or bodies	Government departments and other bodies which, whether under statute, codes of practice or otherwise, are entitled to investigate or influence the matters dealt with in this Call-Off Contract.
Relevant person	Any employee, agent, servant, or representative of the Buyer, any other public body or person employed by or on behalf of the Buyer, or any other public body.

Relevant Transfer	A transfer of employment to which the employment regulations applies.
Replacement Services	Any services which are the same as or substantially similar to any of the Services and which the Buyer receives in substitution for any of the services after the expiry or Ending or partial Ending of the Call-Off Contract, whether those services are provided by the Buyer or a third party.
Replacement supplier	Any third-party service provider of replacement services appointed by the Buyer (or where the Buyer is providing replacement Services for its own account, the Buyer).
Security management plan	The Supplier's security management plan developed by the Supplier in accordance with clause 16.1.
Services	The services ordered by the Buyer as set out in the Order Form.
Service data	Data that is owned or managed by the Buyer and used for the G-Cloud Services, including backup data.
Service definition(s)	The definition of the Supplier's G-Cloud Services provided as part of their Application that includes, but isn't limited to, those items listed in Section 2 (Services Offered) of the Framework Agreement.
Service description	The description of the Supplier service offering as published on the Digital Marketplace.
Service Personal Data	The Personal Data supplied by a Buyer to the Supplier in the course of the use of the G-Cloud Services for purposes of or in connection with this Call-Off Contract.
Spend controls	The approval process used by a central government Buyer if it needs to spend money on certain digital or technology services, see https://www.gov.uk/service-manual/agile-delivery/spend-controls-check-if-you-need-approval-to-spend-money-on-a-service
Start date	The Start date of this Call-Off Contract as set out in the Order Form.

Subcontract	Any contract or agreement or proposed agreement between the Supplier and a subcontractor in which the subcontractor agrees to provide to the Supplier the G-Cloud Services or any part thereof or facilities or goods and services necessary for the provision of the G-Cloud Services or any part thereof.
Subcontractor	Any third party engaged by the Supplier under a subcontract (permitted under the Framework Agreement and the Call-Off Contract) and its servants or agents in connection with the provision of G-Cloud Services.
Subprocessor	Any third party appointed to process Personal Data on behalf of the Supplier under this Call-Off Contract.
Supplier	The person, firm or company identified in the Order Form.
Supplier Representative	The representative appointed by the Supplier from time to time in relation to the Call-Off Contract.
Supplier staff	All persons employed by the Supplier together with the Supplier's servants, agents, suppliers and subcontractors used in the performance of its obligations under this Call-Off Contract.
Supplier terms	The relevant G-Cloud Service terms and conditions as set out in the Terms and Conditions document supplied as part of the Supplier's Application.
Term	The term of this Call-Off Contract as set out in the Order Form.
Variation	This has the meaning given to it in clause 32 (Variation process).
Working Days	Any day other than a Saturday, Sunday or public holiday in England and Wales.
Year	A contract year.

Schedule 7: GDPR Information

This schedule reproduces the annexes to the GDPR schedule contained within the Framework Agreement and incorporated into this Call-off Contract.

Annex 1: Processing Personal Data

This Annex shall be completed by the Controller, who may take account of the view of the Processors, however the final decision as to the content of this Annex shall be with the Buyer at its absolute discretion.

- 1.1 The contact details of the Buyer's Data Protection Officer are: **[Insert Contact details]**
- 1.2 The contact details of the Supplier's Data Protection Officer are: **[Insert Contact details]**
- 1.3 The Processor shall comply with any further written instructions with respect to Processing by the Controller.
- 1.4 Any such further instructions shall be incorporated into this Annex.

Descriptions	Details
Identity of Controller for each Category of Personal Data	The Buyer is Controller and the Supplier is Processor The Parties acknowledge that in accordance with paragraph 2-15 Framework Agreement Schedule 4 (Where the Party is a Controller and the other Party is Processor) and for the purposes of the Data Protection Legislation, the Buyer is the Controller and the Supplier is the Processor of the following Personal Data: [Insert the scope of Personal Data for which the purposes and means of the Processing by the Supplier is determined by the Buyer] The Supplier is Controller and the Buyer is Processor The Parties acknowledge that for the purposes of the Data Protection Legislation, the Supplier is the Controller and the Buyer is the Processor in accordance with paragraph 2 to paragraph 15 of the following Personal Data:

	• [Insert the scope of Personal Data which the purposes and means of the Processing by the Buyer is determined by the Supplier] The Parties are Joint Controllers The Parties acknowledge that they are Joint Controllers for the purposes of the Data Protection Legislation in respect of: [Insert the scope of Personal Data which the purposes and means of the Processing is determined by the both Parties together] The Parties are Independent Controllers of Personal Data The Parties acknowledge that they are Independent Controllers for the purposes of the Data Protection Legislation in respect of: • Business contact details of Supplier Personnel for which the Supplier is the Controller • Business contact details of any directors, officers, employees, agents, consultants and contractors of Buyer (excluding the Supplier Personnel) engaged in the performance of the Buyer's duties under the Contract) for which the Buyer is the Controller • [Insert the scope of other Personal Data provided by one Party who is Controller to the other Party who will separately determine the nature and purposes of its Processing the Personal Data on receipt e.g. where (1) the Supplier has professional or regulatory obligations in respect of Personal Data received, (2) a standardised service is such that the Buyer cannot dictate the way in which Personal Data is processed by the Supplier, or (3) where the Supplier comes to the transaction with Personal Data for which it is already Controller for use by the Buyer] [Guidance where multiple relationships have been identified above, please address the below
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	rows in the table for in respect of each relationship identified]
Duration of the Processing	[Clearly set out the duration of the Processing including dates]
Nature and purposes of the Processing	[Please be as specific as possible, but make sure that you cover all intended purposes.] The nature of the Processing means any operation such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction of data (whether or not by automated means) etc. The purpose might include: employment Processing, statutory obligation, recruitment assessment etc]
Type of Personal Data	[Enter type of Personal Data] . Examples here include: name, address, date of birth, NI number, telephone number, pay, images, biometric data etc]
Categories of Data Subject	[Enter categories] . Examples include: Staff (including volunteers, agents, and temporary workers), customers/ clients, suppliers, patients, students / pupils, members of the public, users of a particular website etc]
Plan for return and destruction of the data once the Processing is complete UNLESS requirement under Union or Member State law to preserve that type of data	[Describe how long the data will be retained for, how it be returned or destroyed]

Annex 2: Joint Controller Agreement

1. Joint Controller Status and Allocation of Responsibilities

- 1.1 With respect to Personal Data under Joint Control of the Parties, the Parties envisage that they shall each be a Data Controller in respect of that Personal Data in accordance with the terms of this Annex 2 (Joint Controller Agreement) in replacement of paragraphs 2 to 15 of Schedule 4 of the Framework Agreement (Where one Party is Controller and the other Party is Processor) and paragraphs 17-27 of Schedule 4 (Independent Controllers of Personal Data). Accordingly, the Parties each undertake to comply with the applicable Data Protection Legislation in respect of their Processing of such Personal Data as Data Controllers.
- 1.2 The Parties agree that the Buyer:
- (a) is the exclusive point of contact for Data Subjects and is responsible for all steps necessary to comply with the GDPR regarding the exercise by Data Subjects of their rights under the GDPR;
 - (b) shall direct Data Subjects to its Data Protection Officer or suitable alternative in connection with the exercise of their rights as Data Subjects and for any enquiries concerning their Personal Data or privacy;
 - (c) is solely responsible for the Parties' compliance with all duties to provide information to Data Subjects under Articles 13 and 14 of the GDPR;
 - (d) is responsible for obtaining the informed consent of Data Subjects, in accordance with the GDPR, for Processing in connection with the Services where consent is the relevant legal basis for that Processing; and
 - (e) shall make available to Data Subjects the essence of this Annex (and notify them of any changes to it) concerning the allocation of responsibilities as Joint Controller and its role as exclusive point of contact, the Parties having used their best endeavours to agree the terms of that essence. This must be outlined in the **[Supplier's/Buyer's]** privacy policy (which must be readily available by hyperlink or otherwise on all of its public facing services and marketing).
- 1.3 Notwithstanding the terms of clause 1.2, the Parties acknowledge that a data subject has the right to exercise their legal rights under the Data Protection Legislation as against the relevant Party as Controller.

2. Undertakings of both Parties

2.1 The Supplier and the Buyer each undertake that they shall:

- (a) report to the other Party every **[enter number]** months on:
 - (i) the volume of Data Subject Request (or purported Data Subject Requests) from Data Subjects (or third parties on their behalf);
 - (ii) the volume of requests from Data Subjects (or third parties on their behalf) to rectify, block or erase any Personal Data;
 - (iii) any other requests, complaints or communications from Data Subjects (or third parties on their behalf) relating to the other Party's obligations under applicable Data Protection Legislation;
 - (iv) any communications from the Information Commissioner or any other regulatory authority in connection with Personal Data; and
 - (v) any requests from any third party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law, that it has received in relation to the subject matter of the Contract during that period;
- (b) notify each other immediately if it receives any request, complaint or communication made as referred to in Clauses 2.1(a)(i) to (v);
- (c) provide the other Party with full cooperation and assistance in relation to any request, complaint or communication made as referred to in Clauses 2.1(a)(iii) to (v) to enable the other Party to comply with the relevant timescales set out in the Data Protection Legislation;
- (d) not disclose or transfer the Personal Data to any third party unless necessary for the provision of the Services and, for any disclosure or transfer of Personal Data to any third party, (save where such disclosure or transfer is specifically authorised under the Contract or is required by Law) ensure consent has been obtained from the Data Subject prior to disclosing or transferring the Personal Data to the third party. For the avoidance of doubt the third party to which Personal Data is transferred must be subject to equivalent obligations which are no less onerous than those set out in this Annex;
- (e) request from the Data Subject only the minimum information necessary to provide the Services and treat such extracted information as Confidential Information;

- (f) ensure that at all times it has in place appropriate Protective Measures to guard against unauthorised or unlawful Processing of the Personal Data and/or accidental loss, destruction or damage to the Personal Data and unauthorised or unlawful disclosure of or access to the Personal Data;
- (g) take all reasonable steps to ensure the reliability and integrity of any of its personnel who have access to the Personal Data and ensure that its personnel:
 - (i) are aware of and comply with their 's duties under this Annex 2 (Joint Controller Agreement) and those in respect of Confidential Information
 - (ii) are informed of the confidential nature of the Personal Data, are subject to appropriate obligations of confidentiality and do not publish, disclose or divulge any of the Personal Data to any third party where the that Party would not be permitted to do so;
 - (iii) have undergone adequate training in the use, care, protection and handling of Personal Data as required by the applicable Data Protection Legislation;
- (h) ensure that it has in place Protective Measures as appropriate to protect against a Data Loss Event having taken account of the:
 - (i) nature of the data to be protected;
 - (ii) harm that might result from a Data Loss Event;
 - (iii) state of technological development; and
 - (iv) cost of implementing any measures;
- (i) ensure that it has the capability (whether technological or otherwise), to the extent required by Data Protection Legislation, to provide or correct or delete at the request of a Data Subject all the Personal Data relating to that Data Subject that the Supplier holds; and
 - (i) ensure that it notifies the other Party as soon as it becomes aware of a Data Loss Event.

2.2 Each Joint Controller shall use its reasonable endeavours to assist the other Controller to comply with any obligations under applicable Data Protection Legislation and shall not perform its obligations under this Annex in such a way as to cause the other Joint Controller to breach any of its obligations under applicable Data Protection Legislation to the extent it is aware, or ought reasonably to have been aware, that the same would be a breach of such obligations

3. Data Protection Breach

3.1 Without prejudice to Paragraph 3.2, each Party shall notify the other Party promptly and without undue delay, and in any event within 48 hours, upon becoming aware of any Personal Data Breach or circumstances that are likely to give rise to a Personal Data Breach, providing the other Party and its advisors with:

- (a) sufficient information and in a timescale which allows the other Party to meet any obligations to report a Personal Data Breach under the Data Protection Legislation;
- (b) all reasonable assistance, including:
 - (i) co-operation with the other Party and the Information Commissioner investigating the Personal Data Breach and its cause, containing and recovering the compromised Personal Data and compliance with the applicable guidance;
 - (ii) co-operation with the other Party including taking such reasonable steps as are directed by the other Party to assist in the investigation, mitigation and remediation of a Personal Data Breach;
 - (iii) co-ordination with the other Party regarding the management of public relations and public statements relating to the Personal Data Breach;and/or
- (iv) providing the other Party and to the extent instructed by the other Party to do so, and/or the Information Commissioner investigating the Personal Data Breach, with complete information relating to the Personal Data Breach, including, without limitation, the information set out in Clause 3.2.

3.2 Each Party shall take all steps to restore, re-constitute and/or reconstruct any Personal Data where it has lost, damaged, destroyed, altered or corrupted as a result of a Personal Data Breach as it was that Party's own data at its own cost with all possible speed and shall provide the other Party with all reasonable assistance in respect of any such Personal Data Breach, including providing the other Party, as soon as possible and within 48 hours of the Personal Data Breach relating to the Personal Data Breach, in particular:

- (a) the nature of the Personal Data Breach;
- (b) the nature of Personal Data affected;

- (c) the categories and number of Data Subjects concerned;
- (d) the name and contact details of the Supplier's Data Protection Officer or other relevant contact from whom more information may be obtained;
- (e) measures taken or proposed to be taken to address the Personal Data Breach; and
- (f) describe the likely consequences of the Personal Data Breach.

4. Audit

4.1 The Supplier shall permit:

- (a) the Buyer, or a third-party auditor acting under the Buyer's direction, to conduct, at the Buyer's cost, data privacy and security audits, assessments and inspections concerning the Supplier's data security and privacy procedures relating to Personal Data, its compliance with this Annex 2 and the Data Protection Legislation; and/or
- (b) the Buyer, or a third-party auditor acting under the Buyer's direction, access to premises at which the Personal Data is accessible or at which it is able to inspect any relevant records, including the record maintained under Article 30 GDPR by the Supplier so far as relevant to the contract, and procedures, including premises under the control of any third party appointed by the Supplier to assist in the provision of the Services.

4.2 The Buyer may, in its sole discretion, require the Supplier to provide evidence of the Supplier's compliance with Clause 4.1 in lieu of conducting such an audit, assessment or inspection.

5. Impact Assessments

5.1 The Parties shall:

- (a) provide all reasonable assistance to the each other to prepare any data protection impact assessment as may be required (including provision of detailed information and assessments in relation to Processing operations, risks and measures); and
- (b) maintain full and complete records of all Processing carried out in respect of the Personal Data in connection with the contract, in accordance with the terms of Article 30 GDPR.

6. ICO Guidance

- 6.1 The Parties agree to take account of any guidance issued by the Information Commissioner and/or any relevant central government body. The Buyer may on not less than thirty (30) Working Days' notice to the Supplier amend the contract to ensure that it complies with any guidance issued by the Information Commissioner and/or any relevant central government body.

7. Liabilities for Data Protection Breach

[Guidance: This clause represents a risk share, you may wish to reconsider the apportionment of liability and whether recoverability of losses are likely to be hindered by the contractual limitation of liability provisions]

- 7.1 If financial penalties are imposed by the Information Commissioner on either the Buyer or the Supplier for a Personal Data Breach ("Financial Penalties") then the following shall occur:
- (a) if in the view of the Information Commissioner, the Buyer is responsible for the Personal Data Breach, in that it is caused as a result of the actions or inaction of the Buyer, its employees, agents, contractors (other than the Supplier) or systems and procedures controlled by the Buyer, then the Buyer shall be responsible for the payment of such Financial Penalties. In this case, the Buyer will conduct an internal audit and engage at its reasonable cost when necessary, an independent third party to conduct an audit of any such Personal Data Breach. The Supplier shall provide to the Buyer and its third party investigators and auditors, on request and at the Supplier's reasonable cost, full cooperation and access to conduct a thorough audit of such Personal Data Breach;
 - (b) if in the view of the Information Commissioner, the Supplier is responsible for the Personal Data Breach, in that it is not a Personal Data Breach that the Buyer is responsible for, then the Supplier shall be responsible for the payment of these Financial Penalties. The Supplier will provide to the Buyer and its auditors, on request and at the Supplier's sole cost, full cooperation and access to conduct a thorough audit of such Personal Data Breach; or
 - (c) if no view as to responsibility is expressed by the Information Commissioner, then the Buyer and the Supplier shall work together to investigate the relevant Personal Data Breach and allocate responsibility for any Financial Penalties as outlined above, or by agreement to split any Financial Penalties equally if no responsibility for the Personal Data Breach can be apportioned. In the event that the Parties do not agree such apportionment then such Dispute shall be referred to the procedure set out in clauses 8.66 to 8.79 of the Framework terms (Managing disputes).
- 7.2 If either the Buyer or the Supplier is the defendant in a legal claim brought before a court of competent jurisdiction ("Court") by a third party in respect of a Personal Data Breach, then unless the Parties otherwise agree, the Party that is determined by the final decision of the Court to be responsible for the Personal Data Breach

shall be liable for the losses arising from such Personal Data Breach. Where both Parties are liable, the liability will be apportioned between the Parties in accordance with the decision of the Court.

7.3 In respect of any losses, cost claims or expenses incurred by either Party as a result of a Personal Data Breach (the "Claim Losses"):

(a) if the Buyer is responsible for the relevant Personal Data Breach, then the Buyer shall be responsible for the Claim Losses;

(b) if the Supplier is responsible for the relevant Personal Data Breach, then the Supplier shall be responsible for the Claim Losses: and

(c) if responsibility for the relevant Personal Data Breach is unclear, then the Buyer and the Supplier shall be responsible for the Claim Losses equally.

7.4 Nothing in either clause 7.2 or clause 7.3 shall preclude the Buyer and the Supplier reaching any other agreement, including by way of compromise with a third party complainant or claimant, as to the apportionment of financial responsibility for any Claim Losses as a result of a Personal Data Breach, having regard to all the circumstances of the Personal Data Breach and the legal and financial obligations of the Buyer.

8. Not used

9. Termination

9.1 If the Supplier is in material Default under any of its obligations under this Annex 2 (joint controller agreement), the Buyer shall be entitled to terminate the contract by issuing a termination notice to the Supplier in accordance with Clause 18.5 (Ending the contract).

10. Sub-Processing

10.1 In respect of any Processing of Personal Data performed by a third party on behalf of a Party, that Party shall:

(a) carry out adequate due diligence on such third party to ensure that it is capable of providing the level of protection for the Personal Data as is required by the contract, and provide evidence of such due diligence to the other Party where reasonably requested; and

(b) ensure that a suitable agreement is in place with the third party as required under applicable Data Protection Legislation.

11. Data Retention

- 11.1 The Parties agree to erase Personal Data from any computers, storage devices and storage media that are to be retained as soon as practicable after it has ceased to be necessary for them to retain such Personal Data under applicable Data Protection Legislation and their privacy policy (save to the extent (and for the limited period) that such information needs to be retained by the a Party for statutory compliance purposes or as otherwise required by the contract), and taking all further actions as may be necessary to ensure its compliance with Data Protection Legislation and its privacy policy.

Appendix 1 Statement of Work

Document Control

This is a Statement of Work as defined in the Terms and Conditions within the G-Cloud Contract

This Statement of Work shall be governed by the above terms.

Distribution

Name	Organisation
Matthew Lobley	HMRC
Engage ESM Bid Team	Engage ESM
Murray Acheson	Engage ESM

Version History

Version Number	Revision Date	Summary of Changes	Author(s)
0.1	26/07/2021	Document creation	SS
1	03/08/2021	Sales additions	MA
1.1	09/08/2021	Updated with input from customer	SS/MA
2	24/08/2021	Version 2 update	SS/MA
2.1	27/08/2021	Updated with 'Very high' topics as per SoW tracker.	SS
2.2	03/09/2021	Updates post v2 feedback	MA/PL
3.0	13/09/2021	Updates post review with client on 10/09/2021	PL/SS
3.1	14/09/2021	Internal review	SS
3.2	16/09/2021	Updates from internal review	SS
3.3	22/09/2021	Updates post review with client on Monday 20/09/2021	SS

3.4	24/09/2021	Updated with feedback from customer:; - Updated DA12 to state that customer is responsible for End to End testing during UAT - Removed Defect cap in Milestone 3 as it contradicted Defect matrix in section [5.3 Defect fix]	SS
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Commercial Statement

Accuracy

Engage ESM endeavours to ensure that the information contained in this document is correct, and whilst every effort is made to ensure the accuracy of such information it accepts no liability for any error or omission in the same.

Non-Disclosure

The information contained in this document is confidential and is submitted by Engage ESM on the understanding that it is used for the purposes of evaluation only. In particular, the contents of this Statement of Work may not be disclosed in whole or in part to any other third party without the prior express written consent of Engage ESM.

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Validity

The information contained within this document shall remain valid for a period of 30 days from date of submission. Any requested extension to this period shall not be valid unless confirmed by Engage ESM in writing and may result in a variation of the terms contained herein.

Disclaimer

Engage ESM provides the information contained herein for information and evaluation purposes only and does not warrant the use of it for any purpose or to derive any business benefit.

Terms and Conditions

This document and any work arising from customer acceptance of this document is subject to Engage ESM's standard terms and conditions. Copies are available on request.

Marketing

Permission should be expressly sought from HMRC before advertising HMRC as a customer.

Agreement

This Statement of Work has been duly agreed on [Click here to enter a date](#). Executed by the parties below:

SIGNED on behalf of Engage ESM and
thereby duly authorised:

SIGNED on behalf of **Company** and
thereby duly authorised:

Signature

Signature

Name

Name

Title

Title

Contents

1	Introduction	7
1.1	Executive Summary	7
1.1.1	Engage ESM Credentials	7
1.2	Document Objective	8
1.3	Contact	8
1.4	Acronyms and Abbreviations	8
2	Background Summary	9
2.1	Introduction	9
3	Scope of Work and Deliverables	9
3.1	In-scope Security Incident Response (SIR) Playbooks	9
3.2	High Level Solution Summary	14
3.3	Project overview	19
3.4	Indicative Project Schedule	21
3.5	Inclusions (In Scope)	26
3.6	Exclusions (Out of Scope)	99
3.7	Deliverables	101
3.8	Risks, Assumptions and Dependencies	102
3.8.1	Risks	102
3.8.2	Assumptions & Dependencies: All Engagements	102
3.8.3	Assumptions & Dependencies: Scope Specific	107
4	Project Management	124
4.1	Supplier Personnel	124
4.2	RACI Model	125
4.3	Required Customer Resources and Activities	127
4.3.1	Role definitions	127
4.4	Project Change Management	132
5	Commercial Information	134
5.1	Introductions and Assumptions	134
5.2	Cost Summary	135
5.3	Defect fix	136
6	Appendix	138
6.1	Delivery Methodology	138
6.2	Project Change Request Form	143
6.3	Deliverables Acceptance Form	143
6.4	GDPR	145



Introduction

Executive Summary

This document is a statement of work based on the provided information by HMRC through several meetings and the requirements documents.

Engage ESM are pleased to present HMRC with the following proposal to implement the Phase 2 of the Security Incident Response (SIR) module within ServiceNow.

HMRC have expressed a vision to improve their organisation to supply a superior, and efficient SIR experience by implementing further Playbooks with some integrations to wider security infrastructure.

Ultimately improving the service, the user experience, driving automation and therefore efficiencies.

The project is expected to take 14 weeks and cost £266,360.00

Engage ESM Credentials

Engage ESM has a long history with ServiceNow as one of the first and most experienced ServiceNow partners globally with a relationship lasting over 12 years. As an organisation, we have been working in the Enterprise Service Management arena for 19 years.

We have a number of accreditations in regard to ServiceNow that we are proud to hold:

- ServiceNow Elite/ Gold services partner for 7 consecutive years
- Accredited ServiceNow resell and training partner
- 4.88/5 independently measured Customer Satisfaction score
- Part of the Partner Retainer Program (completing ServiceNow development on behalf of ServiceNow)
- Investors in People Gold
- 400+ consultants
- Over 1500+ completed projects

Some of the clients we have supported with their implementations include Lloyds Banking group, HMRC, Home Office, A&M, Coventry University, NHS Blood and Transplant, NHS Greater Glasgow and Clyde and more.

We welcome and value the opportunity to continue developing a trusted partnership with HMRC as you begin another stage of your ServiceNow journey.

Document Objective



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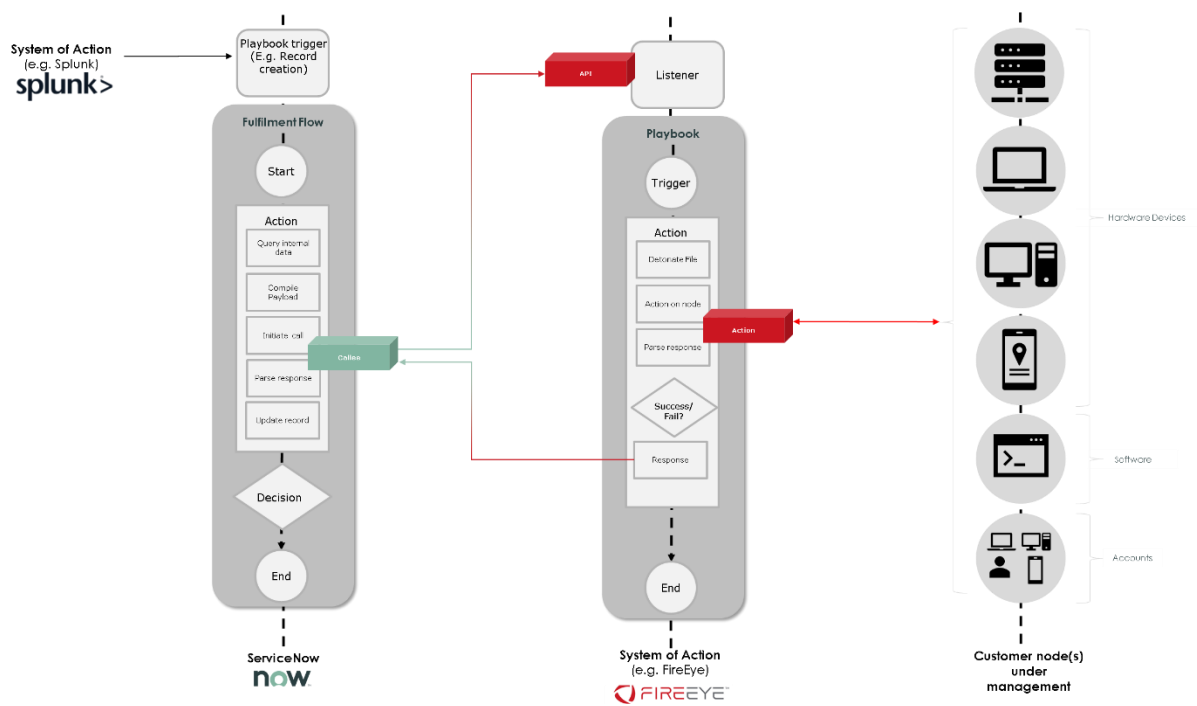
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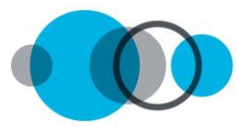


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Playbook	Integration points	Priority stream
PB2 – Check host for activity	Case creation: 1. Splunk 2. Manual Fulfilment: 1. MTP 2. Splunk (Searching) 3. Internal NOW c.r.u.d operation 4. Update SIR Record 5. Read, Update ITSM Ticket Case resolved in NOW: n/a	High
PB4 – Investigate the file	Case creation: 1. Splunk 2. Manual Fulfilment: 1. MTP (File collection) 2. MTP (File search) 3. Fire Eye 4. Virus Total 5. Forcepoint 6. Splunk (Searching) 7. Internal NOW c.r.u.d operation 8. Update SIR Record Case resolved in NOW: n/a	High
PB7 – Desktop Antivirus	Case creation: 1. Splunk 2. Manual Fulfilment: 1. Windows Defender (MTP API) 3. Fireeye 5. ForcePoint 6. Internal NOW c.r.u.d operation 8. Update SIR Record 9. Create, Update Survey and Survey response Case resolved in NOW: n/a	High
PB6 – Confirm password activity	Case creation: 1. Splunk 2. Manual Fulfilment: n/a 1. Internal NOW c.r.u.d operation 4. Update SIR Record 9. Create, Update Survey and Survey response Case resolved in NOW: 1. Splunk	Medium



Process	Execution points	Priority Stream
CS – User Suspension	Case creation: 1. As subflow 2. Manual Fulfillment: 1. Security Graph API – MCAS 2. Internal NOW c.r.u.d operation 3. Update SIR Record Case resolved in NOW: 0/1	Medium
CS – Machine Suspension	Case creation: 1. As subflow 2. Manual Fulfillment: 1. Security Graph API – MCAS 2. Internal NOW c.r.u.d operation 3. Update SIR Record Case resolved in NOW: 0/1	Medium
CSID – Suspicious Device	Case creation: 1. Splunk 2. Manual Fulfillment: 1. Confluence 2. Mail vendor 3. Splunk (Searching) 4. MITB 5. Splunk (Searching) 6. Security Graph API – MCAS 7. Security Graph API – MCAS 8. Internal NOW c.r.u.d operation 9. Update SIR Record 10. Read CMDB 11. Read, Update DSI tickets Case resolved in NOW: 0/1	Medium
CS – Investigate the domain	Case creation: 1. Splunk 2. Manual Fulfillment: 1. Hexillion Who Is 2. Virus total 3. Fire Eye 4. Splunk (Searching) 5. Force point 6. Internal NOW c.r.u.d operation 7. Update SIR Record Case resolved in NOW: 0/1	Low





- All these integration points are considered by Engage ESM as Low complexity Uni-directional >>Fire-and-Forget<< in nature.

The Splunk integration will utilise the Splunk connector that is available, event escalation and remediation using NOW SecOps event mgmt. and related routines is not in-scope for this connector, this connector will be used to raise SIR records directly into the NOW SIR application.

MID server(s) will be used to facilitate the communication from NOW.

6 – Nodes under management

'Nodes' Such as Hardware devices (Infrastructure, User compute, Server, Mobile) and Software that are managed as part of a Playbook scenario using automation from Internal tooling (6) and Cloud enabled tooling (7) and manual intervention.

7 – Cloud enabled tooling

Cloud and virtualised tooling at HMRC that NOW will be integrating with to perform the Automation request. This SoW includes efforts to build integrations as listed in the *in-scope integration endpoints* table.

- All these integration points are considered by Engage ESM as Low complexity Uni-directional >>Fire-and-Forget<< in nature.



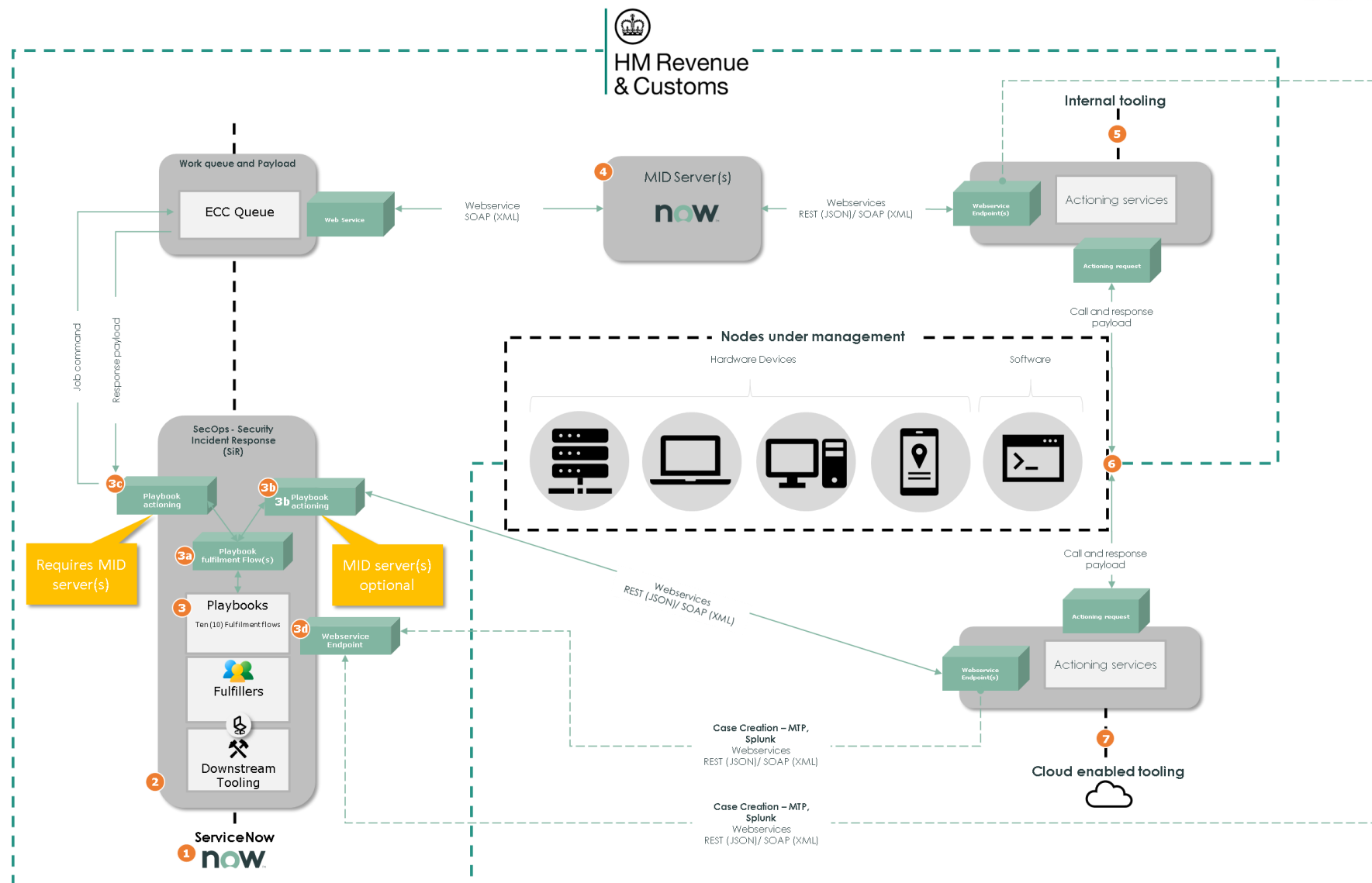


Diagram: Indicative High-level Solution



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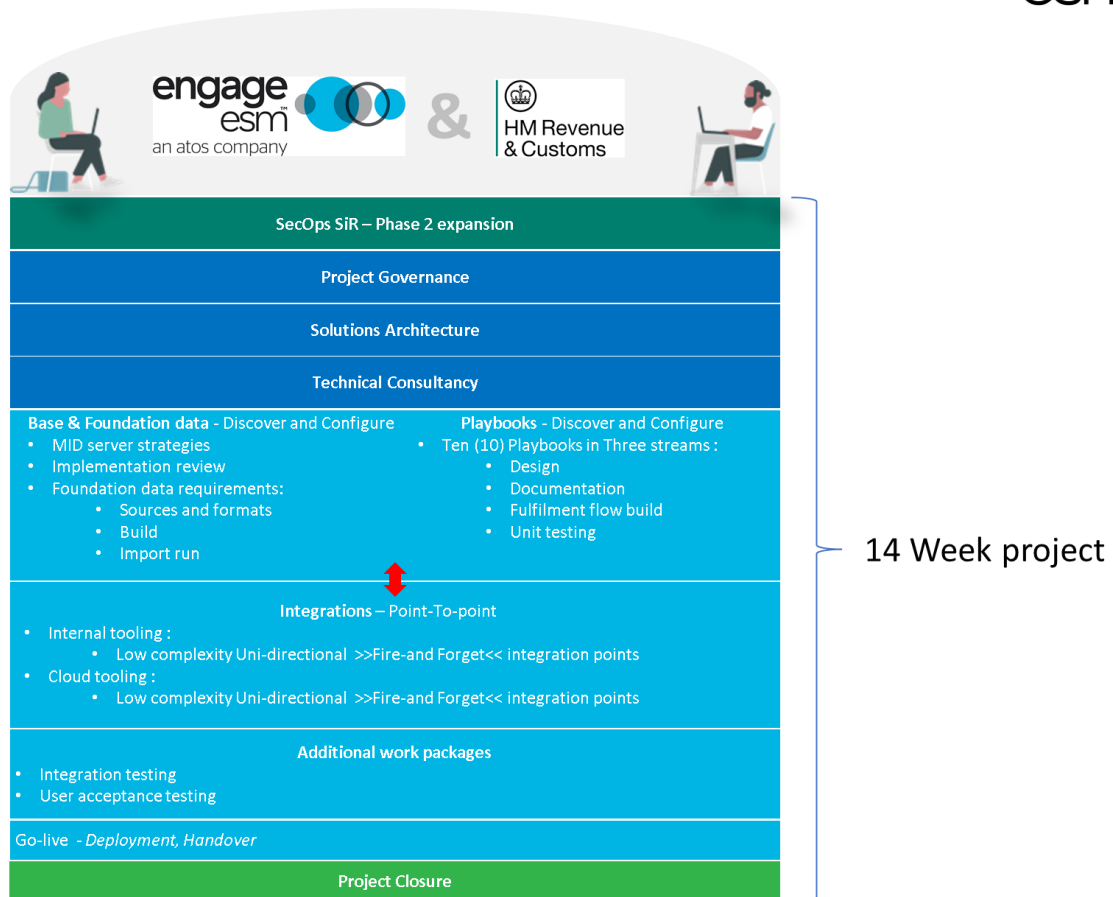
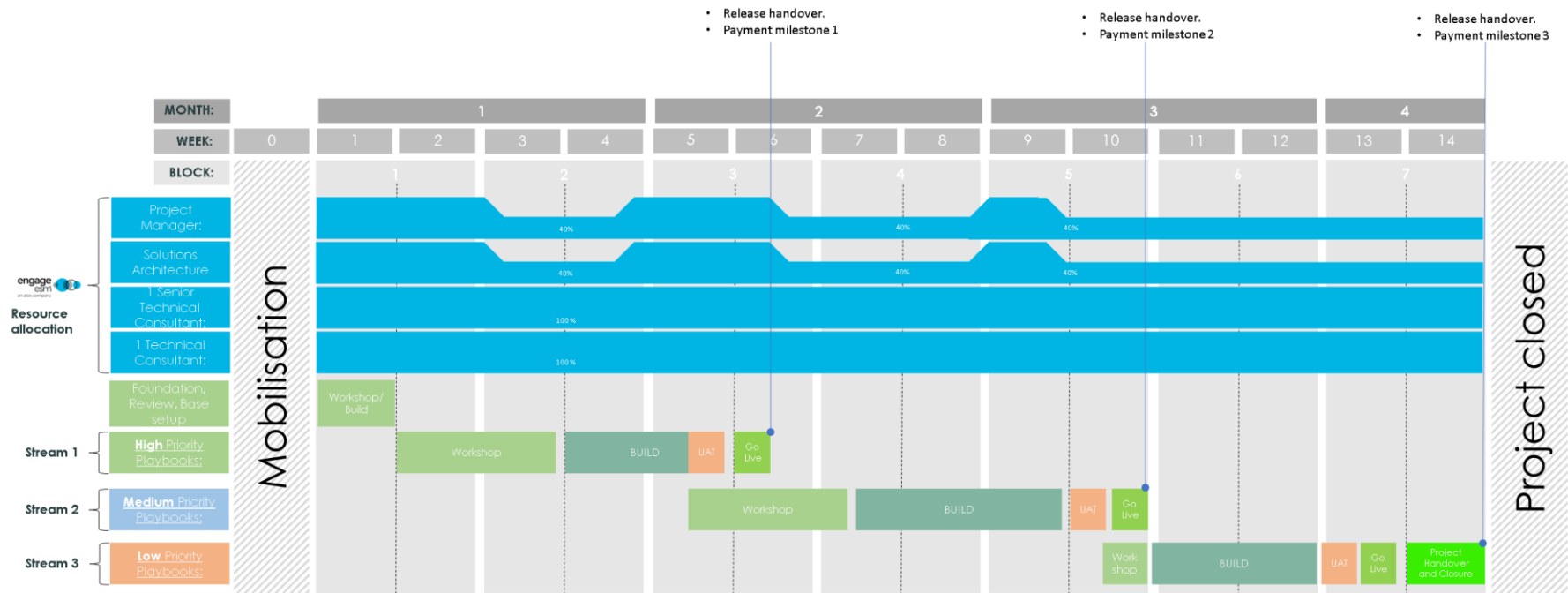


Diagram: Indicative Project, Resources and Project work packages





Below diagram shows the activities during the Mobilisation phase, week 0:

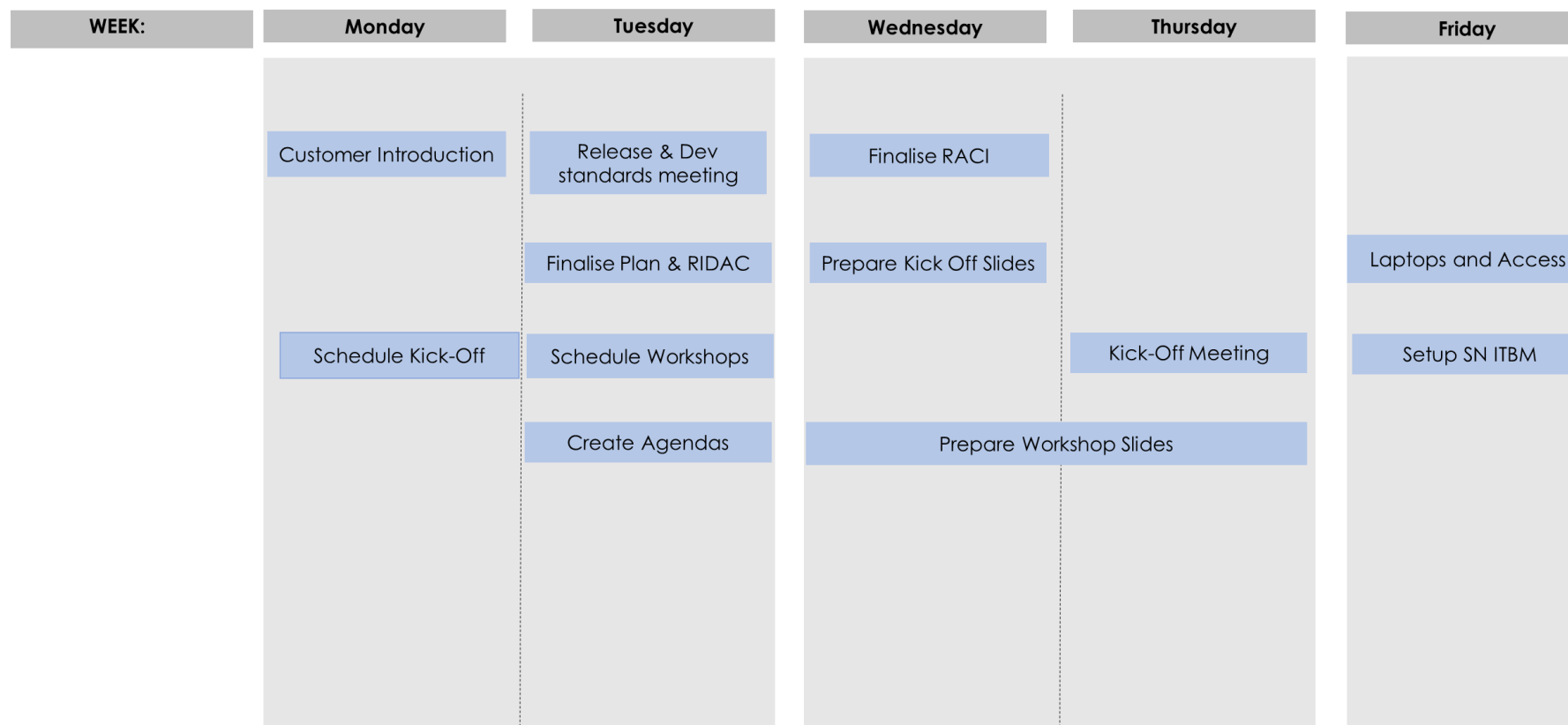


Diagram: Mobilisation phase, week 0



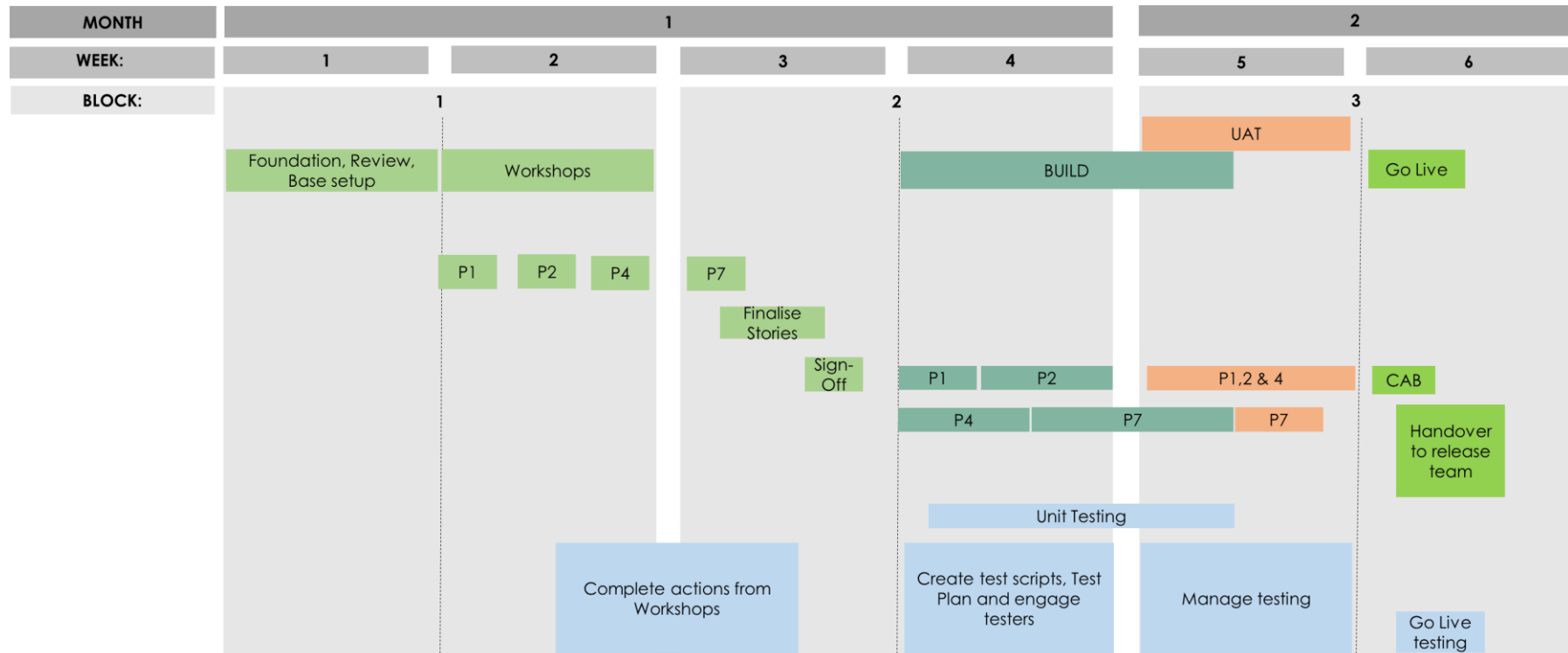
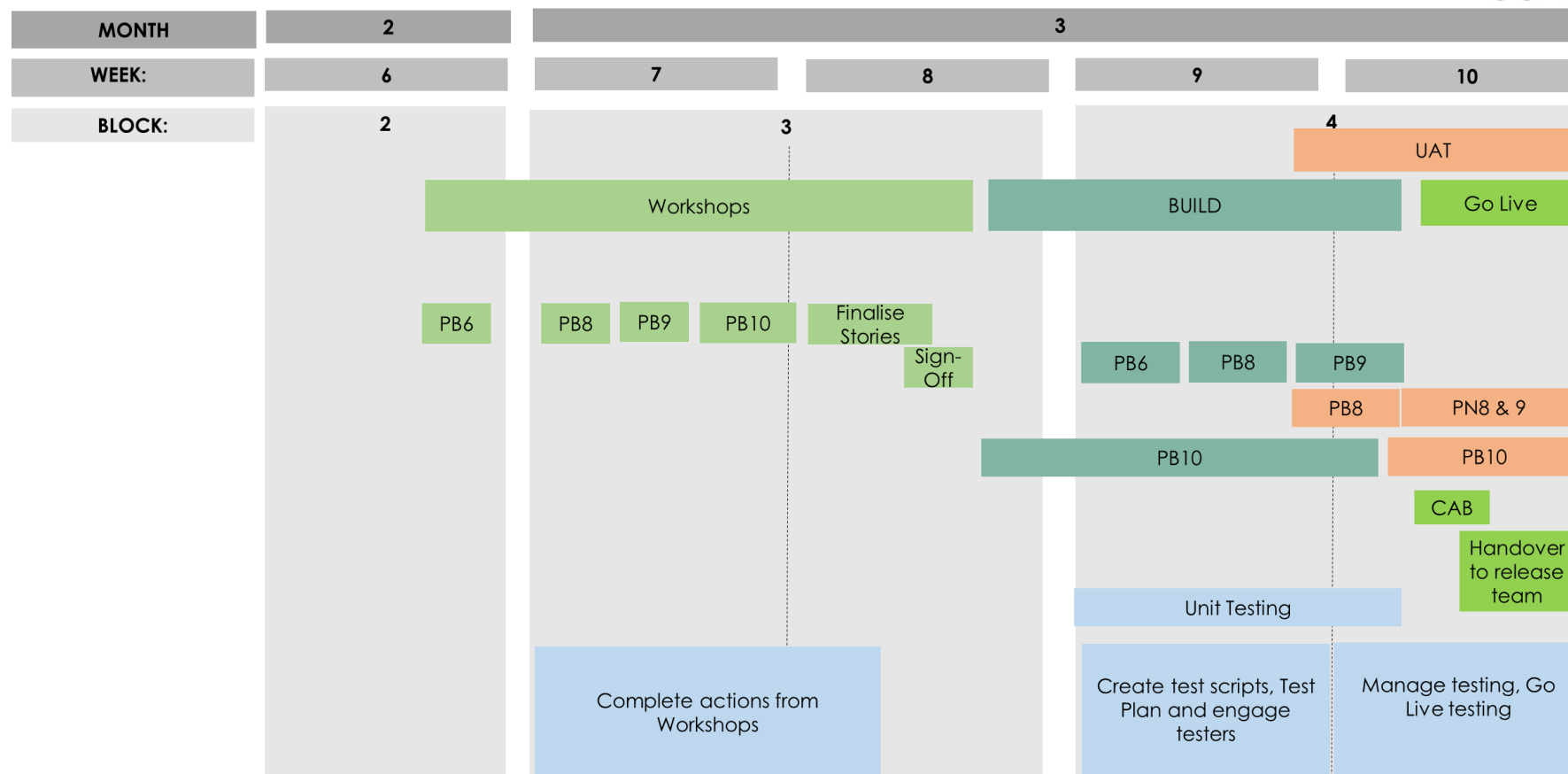


Diagram Work stream





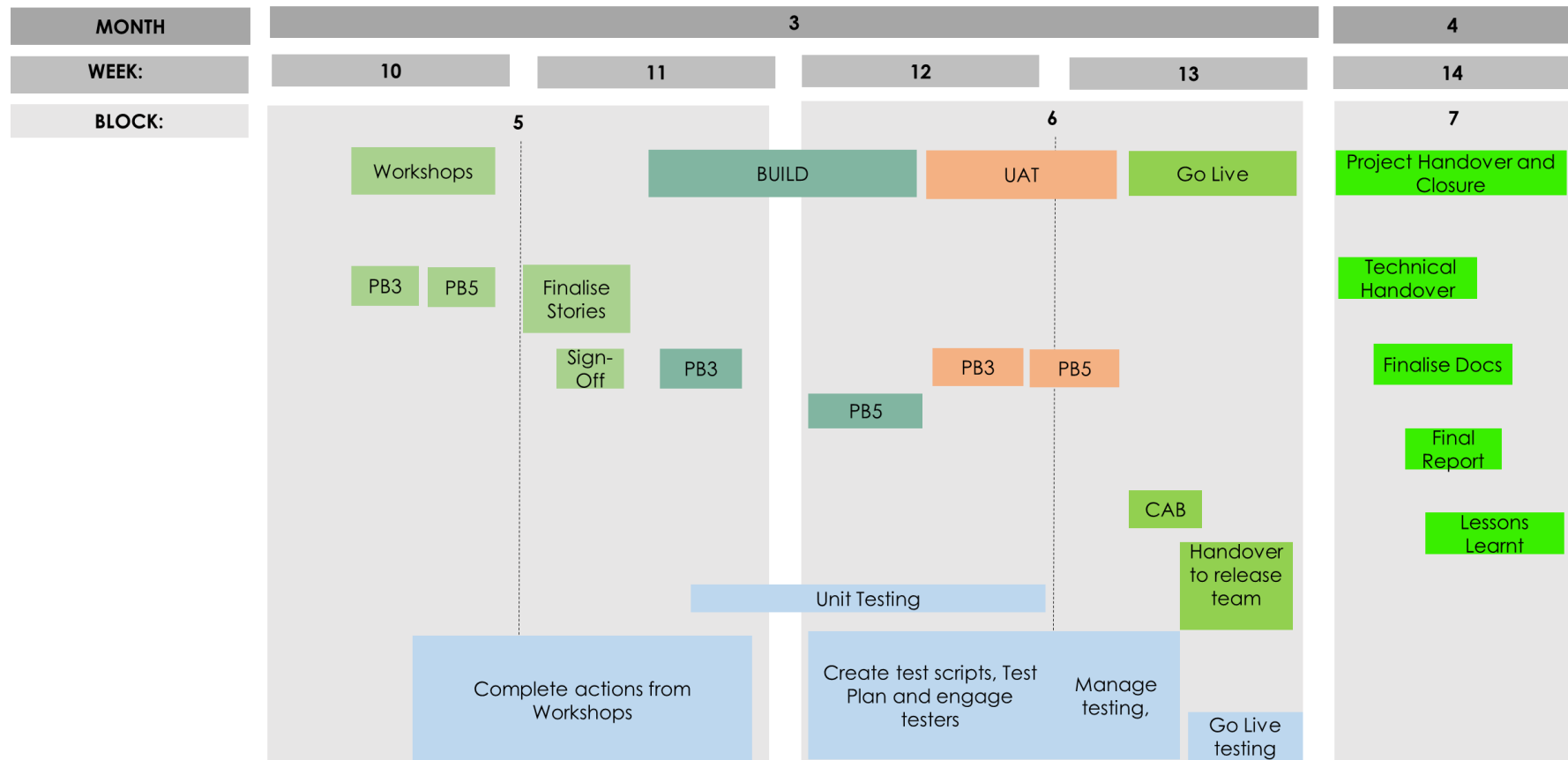


Diagram: Work stream





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ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
LI4	Plan	Discovery	Execute Design Workshops for Base line Foundational data	Process/Play-book Owners Technical Resources	Workshop includes: a) Review and capture of high-level Foundation data requirements for Integrations and Playbooks Effort based on 2 resources	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high-level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via Service-Now.
LI5	Plan	Discovery	SecOps suite implementation review	N/A	This activity it is for Engage ESM resources that are assigned to the project to review and understand the current SecOps Sir implementation. Effort based on 2 resources	Assumption: The effort does not produce any output at all, this is for Engage ESM to understand the customer current implementation.



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
LI6	Plan	Discovery	Execute Design Workshops for Playbook - 1. Identify Internal Machine	Product Owner Process/Playbook Owners Technical Resources 3rd Party SMEs Testing Manager UAT Testers	Workshop includes: 1. Discuss Foundation data needs 2. Discuss Security Incident table and record C.R.U.D operations 3. In collaboration with customer and Playbook stakeholders, work out the fulfilment path for in-scope Playbooks. Define Task assignment, Approvals, Notifications, surveys and survey reminders 4. Discuss Trigger points for actioning via up-/down-stream integrations 5. Includes effort to create a Word document with additional diagrams as a High-level Design document of this specific Playbook	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high-level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via Service-Now. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						SecOps SiR record is raised from and integration services, or manually by an Analyst/Agent creating the SiR Record directly in the SiR application table using Forms & Views already in place.
L17	Plan	Discovery	Execute Design Workshops for Playbook - 2. Check host for activity	Product Owner Process/Playbook Owners Technical Resources 3rd Party SMEs Testing Manager UAT Testers	Workshop includes: 1. Discuss Foundation data needs 2. Discuss Security Incident table and record C.R.U.D operations 3. In collaboration with customer and Playbook stakeholders, work out the fulfilment path for in-scope Playbooks. Define Task assignment, Approvals, Notifications, surveys and survey reminders 4. Discuss Trigger points for actioning via up-/down-stream integrations 5. Includes effort to create a Word document with additional diagrams as a High-level Design document of this specific Playbook	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high-level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the func-



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						tionality and outcome of the playbooks via ServiceNow. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						status of play- book's high level design document Assumption: Dis- cussion of creating a distinct or gen- eral Intake form in the shape of a Cat- alog item or Rec- ord producer for this Playbook is not in-scope. It is as- sumed that any SecOps SiR record is raised from and integration ser- vices, or manually by an Ana- lyst/Agent creating the SiR Record di- rectly in the SiR application table using Forms & Views already in place.



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
LI8	Plan	Discovery	Execute Design Workshops for Playbook - 3. Investigate the domain	Product Owner Process/Playbook Owners Technical Resources 3rd Party SMEs Testing Manager UAT Testers	Workshop includes: 1. Discuss Foundation data needs 2. Discuss Security Incident table and record C.R.U.D operations 3. In collaboration with customer and Playbook stakeholders, work out the fulfilment path for in-scope Playbooks. Define Task assignment, Approvals, Notifications, surveys and survey reminders 4. Discuss Trigger points for actioning via up-/down-stream integrations 5. Includes effort to create a Word document with additional diagrams as a High-level Design document of this specific Playbook	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high-level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via Service-Now. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						SecOps SIR record is raised from and integration services, or manually by an Analyst/Agent creating the SIR Record directly in the SIR application table using Forms & Views already in place.
LI9	Plan	Discovery	Execute Design Workshops for Playbook - 4. Investigate the file	Product Owner Process/Playbook Owners Technical Resources 3rd Party SMEs Testing Manager UAT Testers	Workshop includes: 1. Discuss Foundation data needs 2. Discuss Security Incident table and record C.R.U.D operations 3. In collaboration with customer and Playbook stakeholders, work out the fulfilment path for in-scope Playbooks. Define Task assignment, Approvals, Notifications, surveys and survey reminders 4. Discuss Trigger points for actioning via up-/down-stream integrations 5. Includes effort to create a Word document with additional diagrams as a High-level Design document of this specific Playbook	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. (These high-level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the func-



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						tionality and out- come of the play- books via Service- Now.) Dependency: Cus- tomer to review the HLD playbooks document after creation.) Assumption: En- gage ESM will draft playbook's tech- nical high level de- sign document in agreed customer's template. Effort in- cludes single ses- sion to review, up- date if applicable, and hand over to customer's Project Manager. Engage ESM will start play- book build activity based on the con- firmed require- ments regardless of the completion



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						status of play- book's high level design document Assumption: Dis- cussion of creating a distinct or gen- eral Intake form in the shape of a Cat- alog item or Rec- ord producer for this Playbook is not in-scope. It is as- sumed that any SecOps SiR record is raised from and integration ser- vices, or manually by an Ana- lyst/Agent creating the SiR Record di- rectly in the SiR application table using Forms & Views already in place.



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
U110	Plan	Discovery	Execute Design Workshops for Playbook - 5. Create MTP ticket	Product Owner Process/Playbook Owners Technical Resources 3rd Party SMEs Testing Manager UAT Testers	Workshop includes: 1. Discuss Foundation data needs 2. Discuss Security Incident table and record C.R.U.D operations 3. In collaboration with customer and Playbook stakeholders, work out the fulfilment path for in-scope Playbooks. Define Task assignment, Approvals, Notifications, surveys and survey reminders 4. Discuss Trigger points for actioning via up-/down-stream integrations 5. Includes effort to create a Word document with additional diagrams as a High-level Design document of this specific Playbook	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high-level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document. Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog Item or Record producer for this Playbook is not in-scope. It is assumed that any



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						SecOps SIR record is raised from and integration services, or manually by an Analyst/Agent creating the SIR Record directly in the SIR application table using Forms & Views already in place.
LI11	Plan	Discovery	Execute Design Workshops for Playbook - 6. Confirm password activity	Product Owner Process/Playbook Owners Technical Resources 3rd Party SMEs Testing Manager UAT Testers	Workshop includes: 1. Discuss Foundation data needs 2. Discuss Security Incident table and record C.R.U.D operations 3. In collaboration with customer and Playbook stakeholders, work out the fulfilment path for in-scope Playbooks. Define Task assignment, Approvals, Notifications, surveys and survey reminders 4. Discuss Trigger points for actioning via up-/down-stream integrations 5. Includes effort to create a Word document with additional diagrams as a High-level Design document of this specific Playbook	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. (These high-level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the func-



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						tionality and out- come of the play- books via Service- Now.) Dependency: Cus- tomer to review the HLD playbooks document after creation.) Assumption: En- gage ESM will draft playbook's tech- nical high level de- sign document in agreed customer's template. Effort in- cludes single ses- sion to review, up- date if applicable, and hand over to customer's Project Manager. Engage ESM will start play- book build activity based on the con- firmed require- ments regardless of the completion



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						status of play- book's high level design document Assumption: Dis- cussion of creating a distinct or gen- eral Intake form in the shape of a Cat- alog item or Rec- ord producer for this Playbook is not in-scope. It is as- sumed that any SecOps SiR record is raised from and integration ser- vices, or manually by an Ana- lyst/Agent creating the SiR Record di- rectly in the SiR application table using Forms & Views already in place.



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
U12	Plan	Discovery	Execute Design Workshops for Playbook - 7. Desktop Antivirus	Product Owner Process/Playbook Owners Technical Resources 3rd Party SMEs Testing Manager UAT Testers	Workshop includes: 1. Discuss Foundation data needs 2. Discuss Security Incident table and record C.R.U.D operations 3. In collaboration with customer and Playbook stakeholders, work out the fulfilment path for in-scope Playbooks. Define Task assignment, Approvals, Notifications, surveys and survey reminders 4. Discuss Trigger points for actioning via up-/down-stream integrations 5. Includes effort to create a Word document with additional diagrams as a High-level Design document of this specific Playbook	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high-level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document. Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog Item or Record producer for this Playbook is not in-scope. It is assumed that any



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						SecOps SIR record is raised from and integration services, or manually by an Analyst/Agent creating the SIR Record directly in the SIR application table using Forms & Views already in place.
LI13	Plan	Discovery	Execute Design Workshops for Playbook - 8. User Suspension	Product Owner Process/Playbook Owners Technical Resources 3rd Party SMEs Testing Manager UAT Testers	Workshop includes: 1. Discuss Foundation data needs 2. Discuss Security Incident table and record C.R.U.D operations 3. In collaboration with customer and Playbook stakeholders, work out the fulfilment path for in-scope Playbooks. Define Task assignment, Approvals, Notifications, surveys and survey reminders 4. Discuss Trigger points for actioning via up-/down-stream integrations 5. Includes effort to create a Word document with additional diagrams as a High-level Design document of this specific Playbook	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high-level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the func-



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						status of play-book's high level design document Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any SecOps SiR record is raised from and integration services, or manually by an Analyst/Agent creating the SiR Record directly in the SiR application table using Forms & Views already in place.



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
U14	Plan	Discovery	Execute Design Workshops for Playbook - 9. Machine Suspension	Product Owner Process/Playbook Owners Technical Resources 3rd Party SMEs Testing Manager UAT Testers	Workshop includes: 1. Discuss Foundation data needs 2. Discuss Security Incident table and record C.R.U.D operations 3. In collaboration with customer and Playbook stakeholders, work out the fulfilment path for in-scope Playbooks. Define Task assignment, Approvals, Notifications, surveys and survey reminders 4. Discuss Trigger points for actioning via up-/down-stream integrations 5. Includes effort to create a Word document with additional diagrams as a High-level Design document of this specific Playbook	Assumption: High level design documents of In-scope playbooks have been received and used as a baseline to estimate associated build effort. These high-level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						SecOps SIR record is raised from and integration services, or manually by an Analyst/Agent creating the SIR Record directly in the SIR application table using Forms & Views already in place.
LI15	Plan	Discovery	Execute Design Workshops for Playbook - 10. Suspicious Devices	Product Owner Process/Playbook Owners Technical Resources 3rd Party SMEs Testing Manager UAT Testers	Workshop includes: 1. Discuss Foundation data needs 2. Discuss Security Incident table and record C.R.U.D operations 3. In collaboration with customer and Playbook stakeholders, work out the fulfilment path for in-scope Playbooks. Define Task assignment, Approvals, Notifications, surveys and survey reminders. Playbook workflow will cover the following stages: workflow trigger via Splunk alert, SIR ticket creation, internal machine identification (playbook workflow triggered), host activity check (playbook workflow triggered), SIR ticket update, decision point including approval, orchestration of remedial actions (play-	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high-level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the func-



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
					book workflow triggered for playbooks user suspension, machine suspension) 4. Discuss Trigger points for actioning via up-/down-stream integrations 5. Includes effort to create a Word document with additional diagrams as a High-level Design document of this specific Playbook	tionality and outcome of the playbooks via ServiceNow. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						status of play- book's high level design document Assumption: Dis- cussion of creating a distinct or gen- eral Intake form in the shape of a Cat- alog item or Rec- ord producer for this Playbook is not in-scope. It is as- sumed that any SecOps SiR record is raised from and integration ser- vices, or manually by an Ana- lyst/Agent creating the SiR Record di- rectly in the SiR application table using Forms & Views already in place.
1116	Plan	Discovery	Story Refinement and Estimation	Product Owner Project Man- ager	Effort required for supporting activi- ties to the actual workshops for Story Collation, Story Analysis, Sprint Plan- ning and assisting the customer with writing acceptance criteria.)	



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
				Architects / Business Analysts		
LI17	Execute	Iterative Build	Functional build based on Design workshops for Base line Foundational setup	Technical Resources - Part time for Email and questions System Administrators - Part time for Email and questions	Based on the information received, the indicative scope includes: 1. Configure Data imports sources 2. If applicable; configure Job import schedules 3. Create Transform Maps and Field mapping 4. Run import jobs in up to three (3) iterations - 2 hours each 5. Enable SiR Ticket separation using the Security Tag functionality	Assumption: Effort does not include data normalisation or cleansing. Dependency: Customer to ensure that data is in a format that can be easily consumed by ServiceNow without any manual intervention by Engage ESM. The customer is also responsible for Data cleansing and normalisation of source data.



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
U118	Build	Iterative Build	Functional build based on Design workshops for Playbook - 1. Identify Internal Machine	Product Owner Process/Playbook Owners Technical Resources System Administrators	Based on the information received, indicative scope includes: 1. Configure Foundation data needs 2. Configure ACL's to enable and limit C.R.U.D Operations on Lists, Tables, Records and fields. 3. Configure Playbook fulfilment flow using FlowDesigner flows 4. if in-scope for this Playbook; configure surveys and survey reminders Effort includes unit testing.	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog item or Record producer to raise a SIR incident relating to this Playbook. And Analyst/Agent will be able to raise SIR records manually directly into the SIR table without using any additional Intake forms Assumption: Play-



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						book will be implemented as a single self-contained FlowDesigner flow that will be available for reuse in the fulfilment of other playbooks. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Frame (ATF) product: - Configure and define any test that include ATF lead testing - Configure and define the ATF test



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engage-ment or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. Splunk 2. Manual Fulfilment: 1. Confluence



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						2. Macvendors 3. Splunk (Search- ing) 4. Internal NOW C.R.U.D operation: a. Update SIR Rec- ord a. Read CMDB - Case resolved in NOW: nil



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
119	Now Create Phase	Iterative Build	Functional build based on Design workshops for Playbook - 2. Check host for activity	Product Owner Process/Playbook Owners Technical Resources System Administrators	Based on the information received, indicative scope includes: 1. Configure Foundation data needs 2. Configure ACL's to enable and limit C.R.U.D Operations on Lists, Tables, Records and fields. 3. Configure Playbook fulfilment flow using FlowDesigner flows 4. If in-scope for this Playbook; configure surveys and survey reminders Effort includes Unit testing.	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog item or Record producer to raise a SIR incident relating to this Playbook. And Analyst/Agent will be able to raise SIR records manually directly into the SIR table without using any additional Intake forms Assumption: Effort includes 8 hours of



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Frame (ATF) product) - Configure and define any test that include ATF lead testing - Configure and define the ATF test scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engage-ment or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. Splunk 2. Manual Fulfilment: 1. MTP 2. Splunk (Search-ing) 3. Internal NOW c.r.u.d operation: a. Update SiR Rec-ord b. Read, Update ITSM Ticket Case resolved in



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						NOW: <i>nil</i>



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
LI20	Execute	Iterative Build	Functional build based on Design workshops for Playbook - 3. Investigate the domain	Product Owner Process/Playbook Owners Technical Resources System Administrators	Based on the information received, indicative scope includes: 1. Configure Foundation data needs 2. Configure ACL's to enable and limit C.R.U.D Operations on Lists, Tables, Records and fields. 3. Configure Playbook fulfilment flow using FlowDesigner flows 4. if in-scope for this Playbook; configure surveys and survey reminders Effort includes Unit testing.	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog item or Record producer to raise a SiR incident relating to this Playbook. And Analyst/Agent will be able to raise SiR records manually directly into the SiR table without using any additional Intake forms Assumption: Effort includes 8 hours of



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Frame (ATF) product: - Configure and define any test that include ATF lead testing - Configure and define the ATF test scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engage-ment or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. Splunk 2. Manual Fulfilment: 1. Hexillion Who Is 2. Virus Total 3. Fire Eye 4. Splunk (Search-ing) 5. Force point 6. Internal NOW c.r.u.d operation: a. Update SIR Rec-ord Case resolved in



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						NOW: <i>nil</i>



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
LI21	Execute	Iterative Build	Functional build based on Design workshops for Playbook - 4. Investigate the file	Product Owner Process/Playbook Owners Technical Resources System Administrators	Based on the information received, indicative scope includes: 1. Configure Foundation data needs 2. Configure ACL's to enable and limit C.R.U.D Operations on Lists, Tables, Records and fields. 3. Configure Playbook fulfilment flow using FlowDesigner flows 4. if in-scope for this Playbook; configure surveys and survey reminders Effort includes Unit testing.	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog item or Record producer to raise a SiR incident relating to this Playbook. And Analyst/Agent will be able to raise SiR records manually directly into the SiR table without using any additional Intake forms Assumption: Effort that the Playbook



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						is manifested as one distinct FlowDesigner flow that is used to enforce the fulfilment as outlined by the agreed-on Playbook. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Framework (ATF) product. - Configure and define any test that include ATF lead testing - Configure and define the ATF test



[Redacted]	[Redacted]	[Redacted]	[Redacted]	Customer Resources	[Redacted]	[Redacted]
						[Redacted]



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						1. MTP (File collection) 2. MTP (File search) 3. Fire Eye 4. Virus Total 5. Forcepoint 6. Splunk (Searching) 7. Internal NOW c.r.u.d operation: a. Update SiR Record Case resolved in NOW: <i>nil</i>



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
122		Iterative Build	Functional build based on Design workshops for Playbook - 5. Create MIP ticket	Product Owner Process/Playbook Owners Technical Resources System Administrators	Based on the information received, indicative scope includes: 1. Configure Foundation data needs 2. Configure ACL's to enable and limit C.R.U.D Operations on Lists, Tables, Records and fields. 3. Configure Playbook fulfilment flow using FlowDesigner flows 4. If in-scope for this Playbook, configure surveys and survey reminders Effort includes Unit testing	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow Assumption: Effort does not include the creation of a catalog item or record producer to raise a SIR incident relating to this Playbook. And Analyst/Agent will be able to raise SIR records manually directly into the SIR table without using any additional Intake forms Assumption: Effort that the Playbook



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						is manifested as one distinct FlowDesigner flow that is used to enforce the fulfilment as outlined by the agreed-on Playbook. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Frame (ATF) product: - Configure and define any test that include ATF lead testing - Configure and define the ATF test



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engage-ment or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. MTP 2. Manual Fulfilment: 1. Internal NOW



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						c.r.u.d operation: a. Update SiR Record Case resolved in NOW: 1. MTP



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
1123	Execute	Iterative Build	Functional build based on Design workshops for Playbook - 6. Confirm password activity	Product Owner Process/Playbook Owners Technical Resources System Administrators	Based on the information received, indicative scope includes: 1. Configure Foundation data needs 2. Configure ACL's to enable and limit C.R.U.D Operations on Lists, Tables, Records and fields. 3. Configure Playbook fulfilment flow using FlowDesigner flows 4. if in-scope for this Playbook; configure surveys and survey reminders Effort includes Unit testing.	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog item or Record producer to raise a SiR incident relating to this Playbook. And Analyst/Agent will be able to raise SiR records manually directly into the SiR table without using any additional Intake forms Assumption: Effort that the Playbook



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						is manifested as one distinct FlowDesigner flow that is used to enforce the fulfilment as outlined by the agreed-on Playbook. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Frame (ATF) product; - Configure and define any test that include ATF lead testing - Configure and define the ATF test



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engage-ment or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. Splunk 2. Manual Fulfilment: 1. Internal NOW



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						c.r.u.d operation: a. Update SiR Record b. Create, Update Survey and Survey response Case resolved in NOW: 1. Splunk



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
1124	Build	Iterative Build	Functional build based on Design workshops for Playbook - 7. Desktop Antivirus	Product Owner Process/Playbook Owners Technical Resources System Administrators	Based on the information received, indicative scope includes: 1. Configure Foundation data needs 2. Configure ACL's to enable and limit C.R.U.D Operations on Lists, Tables, Records and fields. 3. Configure Playbook fulfilment flow using FlowDesigner flows 4. if in-scope for this Playbook; configure surveys and survey reminders Effort includes Unit testing.	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog item or Record producer to raise a SIR incident relating to this Playbook. And Analyst/Agent will be able to raise SIR records manually directly into the SIR table without using any additional Intake forms Assumption: Effort that the Playbook



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						[Redacted]



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engage-ment or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. Splunk 2. Manual Fulfilment:



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						1. Windows Defender (MTP API) 2. Fireeye 3. ForcePoint 4. Internal NOW c.r.u.d operation: a. Update SiR Record b. Create, Update Survey and Survey response Case resolved in NOW: <i>nil</i>



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
LI25	Execute	Iterative Build	Functional build based on Design workshops for Playbook - 8. User Suspension	Product Owner Process/Playbook Owners Technical Resources System Administrators	Based on the information received, indicative scope includes: 1. Configure Foundation data needs 2. Configure ACL's to enable and limit C.R.U.D Operations on Lists, Tables, Records and fields. 3. Configure Playbook fulfilment flow using FlowDesigner flows 4. if in-scope for this Playbook; configure surveys and survey reminders Effort includes Unit testing.	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog item or Record producer to raise a SiR incident relating to this Playbook. And Analyst/Agent will be able to raise SiR records manually directly into the SiR table without using any additional Intake forms Assumption: Effort that the Playbook



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						is manifested as one distinct FlowDesigner flow that is used to enforce the fulfilment as outlined by the agreed-on Playbook. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Frame (ATF) product: - Configure and define any test that include ATF lead testing - Configure and define the ATF test



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engage-ment or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. As subflow 2. Manual Fulfilment: 1. Security Graph



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						API - MCAS 2. Internal NOW c.r.u.d operation: a. Update SiR Record Case resolved in NOW: <i>nil</i>



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
LI26	Execute	Iterative Build	Functional build based on Design workshops for Playbook - 9. Machine Suspension	Product Owner Process/Playbook Owners Technical Resources System Administrators	Based on the information received, indicative scope includes: 1. Configure Foundation data needs 2. Configure ACL's to enable and limit C.R.U.D Operations on Lists, Tables, Records and fields. 3. Configure Playbook fulfilment flow using FlowDesigner flows 4. if in-scope for this Playbook; configure surveys and survey reminders Effort includes Unit testing.	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog item or Record producer to raise a SiR incident relating to this Playbook. And Analyst/Agent will be able to raise SiR records manually directly into the SiR table without using any additional Intake forms Assumption: Effort that the Playbook



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						is manifested as one distinct FlowDesigner flow that is used to enforce the fulfillment as outlined by the agreed-on Playbook. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Frame (ATF) product. - Configure and define any test that include ATF lead testing - Configure and define the ATF test



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engage-ment or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. As subflow 2. Manual Fulfilment: 1. Security Graph



ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
						API - MDE 2. Internal NOW C.R.U.D operation: a. Update SIR Rec- ord Case resolved in NOW. nil



LI27	Execution	Iterative Build	Functional build based on Design workshops for Playbook - 10. Suspicious Devices	Product Owner Process/Playbook Owners Technical Resources System Administrators	Based on the information received, indicative scope includes: 1. Configure Foundation data needs 2. Configure ACL's to enable and limit C.R.U.D Operations on Lists, Tables, Records and fields. 3. Configure Playbook fulfilment flow using FlowDesigner flows 4. if in-scope for this Playbook; configure surveys and survey reminders Effort includes Unit testing.	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog item or Record producer to raise a SiR incident relating to this Playbook. And Analyst/Agent will be able to raise SiR records manually directly into the SiR table without using any additional Intake forms Assumption: Effort that the Playbook is manifested as one distinct FlowDesigner flow
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						fields in a table that needs to be created before they can be referenced in an ATF script - Lead, Initiate, run, and monitor outcomes form ATF test scripts - Raise Engage ment or Defects as an outcome to a completed testing Assumption: In scope integration and points for this playbook are Case creation 1. Splunk 2. Manual Fulfillment 1. Confluence 2. Macvendors 3. Splunk (Search- ing) 4. MIT 5. Splunk (Search- ing) 6. Security Graph API - MCAS - Security Graph API - MDR - Internal NOV
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ID	Now Create Phase	Work Packet	Activity	Customer Resources	Description & Comments	Assumptions & Dependencies
				System Administrators	- Compile Update- and Data sets - Create checklists - Update- and Data-set handover to the customer's Release team - Provide System Go-Live day support: - Go-Live checklist will have been reviewed in preparation - Go-Live date agreed - Provide go-live support to the customer on the Go-Live day remotely. On-site if required by the customer, travel costs will be separately charged.	tionality into production. Engage ESM will only create Sequencing instructions and checklists, Update- and Data-sets shared with the customer.
LI35	Deliver	Deployment	Handover to customer Go-live/Release team - Medium priority stream	Technical Resources Release team System Administrators	System Go-Live support and Update & Data-set creation and handover to customers release team that will be responsible for promoting into production. Pre go-live: - Compile Update- and Data sets - Create checklists - Update- and Data-set handover to the customer's Release team - Provide System Go-Live day support: - Go-Live checklist will have been reviewed in preparation - Go-Live date agreed - Provide go-live support to the customer on the Go-Live day remotely. On-site if required by the customer,	Assumption: Customer's own release team will be responsible for promoting new functionality into production. Engage ESM will only create Sequencing instructions and checklists, Update- and Data-sets shared with the customer.



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Exclusions (Out of Scope)

The table below details the exclusions (out of scope) as deliverables for the supplier as part of this document.

Phase	Area	Description
All	Technology	Build of non-ServiceNow platform including infra-structure which needs to be supplied and managed by the customer. (i.e., MID Servers), operating systems, database, networks, storage, failover/DR, and any other interfaces not stated as in scope (the supplier will setup the customer's Users in ServiceNow via the LDAP Integration). Enablement & configuration of any other ServiceNow application not indicated in scope. Any other technical activities not indicated in scope.
All	Organisational, Requirements and Processes	Definition and documentation of the "To Be" processes or policies. Management of any internal Change Management or Security Operations activities. Document creation in Microsoft Word format. Offline access to ServiceNow. Any other requirements that are not part of the "in scope" statements.
Execute	Data Loads	The supplier has included in scope, any reference data that is required to meet the requirements of the project. The following are deemed as out of scope: - Historical "ticketing" data loads e.g., legacy closed records. - Data cleansing. - Major modifications to ServiceNow data model. - Any other data loads not stated as in scope.
All	Non-Functional and business change	Any other non-functional or business change activities not stated as in scope. Any Communications and Adoption activity not stated as in scope.
Deliver	Testing	Performance testing, security testing and operational acceptance testing. Any other testing activities not stated as in scope. Creation of Automatic Testing Framework Scripts or Test suites.



Phase	Area	Description
Deliver	Operational Support	Go-Live support beyond the support handover to the customer's Support team ; Any other Support activities not stated as in scope; Early life support or Hypercare period;
Execute	External Systems Integration	Integration with any other process not previously defined. Integration with planning tools other than those defined. The supplier will work with the customer's Project Manager to ensure all assumptions and information required from the customer's third parties are available and communicated throughout the project. Configuration of any customer systems or applications. Any other external systems integration activities not stated as in scope. Bi-directional integration into Active Directory.
Deliver	Training	General or Targeted End user training, or Train-the-Trainer training.



Deliverables

The table below details the standard deliverables that the supplier produces as part of a ServiceNow implementation. These will all be made available to the client.

ID	Phase	Deliverable	Description	Medium
D01	Initiate	Project Schedule	Plan for Engage ESM controlled activities with use of customer's ServiceNow (IBM application)	ServiceNow
D02	All Phases	RAID Log	Risks, Assumptions, Issues and Dependencies for Engage ESM controlled activities	ServiceNow
D03	All Phases	Project status reporting	Weekly / Monthly reports	ServiceNow / Document
			Progress Reports	
			Burn-down Reports	
D04	Plan	Stories Created	Based on customer requirements (initially from known), created in preparation for Analysis and Prioritisation	ServiceNow
D05	Plan	Stories Analysed and Prioritised	Stories updated based on Analysis, Solution Design, Acceptance Criteria, Point Allocation	ServiceNow
D06	Discovery	HLD documentation	Using customer provided template, one document for each playbook describing the Fulfilment design in NOW for each Playbook These HLD documents and Update sets will be stores in the customers associated IBM project	Word document
D07	Execute	Stories Unit Tested	Stories updated based on Unit Testing	ServiceNow
D08	Execute	Developed ServiceNow Code Update Sets	Build and configure of ServiceNow from Sprint Cycles	ServiceNow update set
D09	Execute	Show and tell	Every other week performed in remote Teams meeting	Remote session with supporting PowerPoint collateral
D10	Deliver - Go Live	Stories UAT'd	Stories updated based on User Acceptance Testing	ServiceNow
D11	Deliver - Go Live	UAT'd ServiceNow Code Update Sets	Enhancement and Defect fixes for issues occurring during testing	Updated ServiceNow Instance





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ID	Type	Description
DA1	Dependency	The customer will provide Engage ESM with access to their ServiceNow instances prior to project commencement.
DA2	Dependency	The customer will make available appropriate technologies for remote work ahead of project commencement to allow connectivity to be tested during mobilisation.
DA3	Dependency	The customer must have the appropriate licensing model for the applications to be configured.
DA4	Dependency	The Engage ESM project team will have full access to all relevant programme and project documentation, relevance will be discussed and agreed between HMRC and Engage ESM. The customer will be responsible for creating relevant network and application accounts and setting up access as needed. This will be done "as soon as" available, maximum of 3 days of the supplier notifying the customer of a new account requirement, or the customer will provide supplier an alternative way to access required information.
DA5	Assumption	Assumes primary engagement will be remote and no on site visits will be requested.
DA6	Dependency	The customer will be accountable for the overall management of 3rd Party resources as part of the overall governance of the Project. Engage ESM will work directly with 3rd Parties where appropriate and will work collaboratively with the customer and 3rd Party Project Managers to ensure that from a technical delivery perspective the customer's activity are completed as per the agreed Project plan. Engage ESM will work with the customer's Project Manager to ensure all assumptions, data and information required from 3rd Parties are available and communicated throughout the project. If down time is caused by a 3rd Party, Engage ESM will make reasonable endeavours to reprioritise, but reserves the right to put in a Project Change for idle time.
DA7	Assumption	Clearly defined and documented functional requirements (as User Stories) are completed by supplier and confirmed by the customer during the Discovery phase and documented in ServiceNow (DEV environment). Engage ESM will use the stories that are captured through the workshops to form the basis of requirements and acceptance criteria of the deliverables.



ID	Type	Description
		Engage ESM will work collaboratively with the customer to provide input to the customer's Design Documents that may be required as part of the customer's Governance process. It should be noted that there is not a dependency on the creation and sign-off of any Functional Design Documents prior to Engage ESM's build activities commencing.
DA8	Dependency	Once a user story has completed validation testing, a review period of 1-3 working days will be allowed. Sign off is required within this period or the customer to give clear direction on what amendments are needed to enable to sign off. A single review cycle is also assumed at this stage.
DA9	Dependency	The customer will provide the necessary resources and make them available throughout the duration of the project to ensure its success and completion to project timelines.
DA10	Dependency	To minimize project delays, the customer has a rapid escalation process that will empower Stakeholders/business representatives to make actions and decisions.
DA11	Dependency	The customer's future operating model and vision is known and understood by the key stakeholders to ensure that business requirements are aligned to this.
DA12	Dependency	The customer is responsible for the creation of Test plans, Script creation, Test run, and Test outcome management relating to; - Automatic Testing Framework (ATF) - End to end connectivity testing between service end-point(s) during User Acceptance Testing (UAT) Validation of acceptance criteria, the completion of testing prior to production deployment, deployment to production. Engage ESM will work collaboratively with the customer's Project Team to demonstrate how Test Scripts can be created from the documented Acceptance Criteria of the Stories captured in the workshops
DA13	Dependency	The customer's Project Management team are responsible for ensuring the implementation of the solution complies with the customer's internal Change Management process and that Change Requests are completed within the required timescales of the project. Those timescales are to be agreed within 10 working days of project commencement.
DA14	Dependency	The customer will ensure that all data received from external systems will be analysed, cleansed and available in an acceptable format, complying with the ServiceNow data model.
DA15	Dependency	For Email integrations, any activities required on the customer's Mail Exchange server like re-directions should be performed by the customer's IT team.





ID	Type	Description
		number of ad hoc meetings requested to ensure HMRC can provide a specific role holder, or suitably empowered deputy where necessary



Assumptions & Dependencies: Scope Specific

This section lists the assumptions and dependencies made for the in-scope activities detailed in section 3.5 of this document, based on the information received. If any assumptions have been made erroneously or are different from the expectations of the customer, then the customer will inform Engage ESM to address and correct ahead of project commencement resulting in a revised document being issued.

ID	Activity	Assumptions & Dependencies
L14	Execute Design Workshops for Base line Foundational data	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow.
L15	SecOps suite implementation review	Assumption: The effort does not produce any output at all, this is for Engage ESM to understand the customer current implementation.
L16	Execute Design Workshops for Playbook - 1, Identify Internal Machine	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document. Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any SecOps SIR record is raised from and integration services, or manually by an Analyst/Agent creating the SIR Record directly in the SIR application table using Forms & Views already in place.
L17	Execute Design Workshops for Playbook - 2, Check host for activity	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow.



		Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document. Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any SecOps SiR record is raised from and integration services, or manually by an Analyst/Agent creating the SiR Record directly in the SiR application table using Forms & Views already in place.
L18	Execute Design Workshops for Playbook - 3. Investigate the domain	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document. Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any SecOps SiR record is raised from and integration services, or manually by an Analyst/Agent creating the SiR Record directly in the SiR application table using Forms & Views already in place.
L19	Execute Design Workshops for Playbook - 4. Investigate the file	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow. Dependency: Customer to review the HLD playbooks document after creation.



		Assumption: Engage ESM will draft playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any SecOps SiR record is raised from and integration services, or manually by an Analyst/Agent creating the SiR Record directly in the SiR application table using Forms & Views already in place.
LI10	Execute Design Workshops for Playbook - 5. Create MTP ticket	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any SecOps SiR record is raised from and integration services, or manually by an Analyst/Agent creating the SiR Record directly in the SiR application table using Forms & Views already in place.
LI11	Execute Design Workshops for Playbook - 6. Confirm password activity	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start



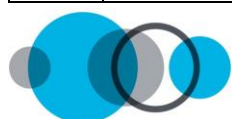
		playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document) Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any SecOps SiR record is raised from and integration services, or manually by an Analyst/Agent creating the SiR Record directly in the SiR application table using Forms & Views already in place.
LI12	Execute Design Workshops for Playbook - 7. Desktop Antivirus	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow. . Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document) Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any SecOps SiR record is raised from and integration services, or manually by an Analyst/Agent creating the SiR Record directly in the SiR application table using Forms & Views already in place.
LI13	Execute Design Workshops for Playbook - 8. User Suspension	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow. . Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document)



		Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any SecOps SIR record is raised from and integration services, or manually by an Analyst/Agent creating the SIR Record directly in the SIR application table using Forms & Views already in place.
U114	Execute Design Workshops for Playbook - 9. Machine Suspension	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document. Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any SecOps SIR record is raised from and integration services, or manually by an Analyst/Agent creating the SIR Record directly in the SIR application table using Forms & Views already in place.
U115	Execute Design Workshops for Playbook - 10. Suspicious Devices	Assumption: High level design documents of in-scope playbooks have been received and used as a baseline to estimate associated build effort. These high level design documents will be referenced during the design workshops in order to validate and understand further level of granularity required to fully deliver the functionality and outcome of the playbooks via ServiceNow. Dependency: Customer to review the HLD playbooks document after creation. Assumption: Engage ESM will draft playbook's technical high level design document in agreed customer's template. Effort includes single session to review, update if applicable, and hand over to customer's Project Manager. Engage ESM will start playbook build activity based on the confirmed requirements regardless of the completion status of playbook's high level design document. Assumption: Discussion of creating a distinct or general Intake form in the shape of a Catalog item or Record producer for this Playbook is not in-scope. It is assumed that any SecOps SIR record is raised from and integration services, or manually by



		an Analyst/Agent creating the SiR Record directly in the SiR application table using Forms & Views already in place.)
LI17	Functional build based on Design workshops for Base line Foundational setup	Assumption: Effort does not include data normalisation or cleansing.) Dependency: Customer to ensure that data is in a format that can be easily consumed by ServiceNow without any manual intervention by Engage ESM. The customer is also responsible for Data cleansing and normalisation of source data.)
LI18	Functional build based on Design workshops for Playbook - 1. Identify Internal Machine	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow.) Assumption: Effort does not include the creation of a Catalog Item or Record producer to raise a SiR incident relating to this Playbook. And Analyst/Agent will be able to raise SiR records manually directly into the SiR table without using any additional Intake forms) Assumption: Playbook will be implemented as a single self-contained FlowDesigner flow that will be available for reuse in the fulfilment of other playbooks.) Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer.) Dependency: Customer to in the Automatic Testing Framework (ATF) product.) - Configure and define any test that include ATF lead testing - Configure and define the ATF test scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script.) - Lead, Initiate, run , and monitor outcomes form ATF test scripts.) - Raise Engagement or Defects as an outcome to a completed testing) Assumption: In-scope Integration end points for this playbook are.) Case creation: 1. Splunk 2. Manual) Fulfilment: 1. Confluence 2. Macvendors 3. Splunk (Searching) 4. Internal NOW c.r.u.d operation.)



		a. Update SiR Record a. Read CMDB Case resolved in NOW: nil
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LI19	Functional build based on Design workshops for Playbook - 2. Check host for activity	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog Item or Record producer to raise a SIR incident relating to this Playbook. And Analyst/Agent will be able to raise SIR records manually directly into the SIR table without using any additional Intake forms Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Framework (ATF) product - Configure and define any test that include ATF lead testing - Configure and define the ATF test scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engagement or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. Splunk 2. Manual Fulfilment: 1. MTP 2. Splunk (Searching) 3. Internal NOW c.r.u.d operation: a. Update SIR Record b. Read, Update ITSM Ticket Case resolved in NOW: (nil)
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L120	Functional build based on Design workshops for Playbook - 3. Investigate the domain	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service endpoint for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog Item or Record producer to raise a SIR incident relating to this Playbook. And Analyst/Agent will be able to raise SIR records manually directly into the SIR table without using any additional Intake forms Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Framework (ATF) product. - Configure and define any test that include ATF lead testing - Configure and define the ATF test scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engagement or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. Splunk 2. Manual Fulfilment: 1. Hexillion Who Is 2. Virus Total 3. Fire Eye 4. Splunk (Searching) 5. Force point 6. Internal NOW c.r.u.d operation: a. Update SIR Record Case resolved in NOW: (nil)
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LI21	Functional build based on Design workshops for Playbook - 4. Investigate the file	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service end-point for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog Item or Record producer to raise a SIR incident relating to this Playbook. And Analyst/Agent will be able to raise SIR records manually directly into the SIR table without using any additional Intake forms Assumption: Effort that the Playbook is manifested as one distinct FlowDesigner flow that is used to enforce the fulfilment as outlined by the agreed on Playbook. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Framework (ATF) product. - Configure and define any test that include ATF lead testing - Configure and define the ATF test scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engagement or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. Splunk 2. Manual Fulfilment: 1. MTP (File collection) 2. MTP (File search) 3. Fire Eye 4. Virus Total 5. Forcepoint 6. Splunk (Searching) 7. Internal NOW c.r.u.d operation: a. Update SIR Record Case resolved in NOW: (nil)
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LI22	Functional build based on Design workshops for Playbook - 5. Create MTP ticket	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service end-point for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog item or Record producer to raise a SiR incident relating to this Playbook. And Analyst/Agent will be able to raise SiR records manually directly into the SiR table without using any additional Intake forms Assumption: Effort that the Playbook is manifested as one distinct FlowDesigner flow that is used to enforce the fulfilment as outlined by the agreed on Playbook. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Framework (ATF) product. - Configure and define any test that include ATF lead testing - Configure and define the ATF test scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engagement or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. MTP 2. Manual Fulfilment: 1. Internal NOW c.r.u.d operation: a. Update SiR Record Case resolved in NOW: 1. MTP
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LI23	Functional build based on Design workshops for Playbook - 6. Confirm password activity	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service end-point for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog Item or Record producer to raise a SIR incident relating to this Playbook. And Analyst/Agent will be able to raise SIR records manually directly into the SIR table without using any additional Intake forms Assumption: Effort that the Playbook is manifested as one distinct FlowDesigner flow that is used to enforce the fulfilment as outlined by the agreed on Playbook. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Framework (ATF) product - Configure and define any test that include ATF lead testing - Configure and define the ATF test scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engagement or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. Splunk 2. Manual Fulfilment: 1. Internal NOW c.r.u.d operation: a. Update SIR Record b. Create, Update Survey and Survey response Case resolved in NOW: 1. Splunk
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LI24	Functional build based on Design workshops for Playbook - 7. Desktop Antivirus	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service end-point for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog item or Record producer to raise a SiR incident relating to this Playbook. And Analyst/Agent will be able to raise SiR records manually directly into the SiR table without using any additional Intake forms Assumption: Effort that the Playbook is manifested as one distinct FlowDesigner flow that is used to enforce the fulfilment as outlined by the agreed on Playbook. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Frame (ATF) product: - Configure and define any test that include ATF lead testing - Configure and define the ATF test scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engagement or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. Splunk 2. Manual Fulfilment: 1. Windows Defender (MTP API) 2. Fireeye 3. ForcePoint 4. Internal NOW c.r.u.d operation: a. Update SiR Record b. Create, Update Survey and Survey response Case resolved in NOW: (nil)
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		Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service end point for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog Item or Record producer to raise a SIR incident relating to this playbook. And Analyst/Agent will be able to raise SIR records manually directly into the SIR table without using any additional Intake forms. Assumption: Effort that the Playbook is manifested as one distinct FlowDesigner flow that is used to enforce the fulfilment as outlined by the agreed on Playbook. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Functional build based on Design workshops for Playbook - 8. User Suspension Dependency: Customer to in the Automatic Testing Framework (ATF) product - Configure and define any test that include ATF lead testing - Configure and define the ATF test scripts. N.b. these scripts can only be created after the first configuration has been done as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engagement or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation 1. As subflow 2. Manual Fulfilment: 1. Security Graph API - MCAS 2. Internal NOW c.r.u.d operation a. Update SIR Record Case resolved in NOW 000
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LI26	Functional build based on Design workshops for Playbook - 9. Machine Suspension	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service end-point for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog Item or Record producer to raise a SIR incident relating to this Playbook. And Analyst/Agent will be able to raise SIR records manually directly into the SIR table without using any additional Intake forms Assumption: Effort that the Playbook is manifested as one distinct FlowDesigner flow that is used to enforce the fulfilment as outlined by the agreed on Playbook. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Framework (ATF) product. - Configure and define any test that include ATF lead testing - Configure and define the ATF test scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engagement or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. As subflow 2. Manual Fulfilment: 1. Security Graph API - MDE 2. Internal NOW c.r.u.d operation: a. Update SIR Record Case resolved in NOW: (nil)
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LI27	Functional build based on Design workshops for Playbook - 10. Suspicious Devices	Assumption: Effort assumes that playbooks in ServiceNow are configured to interact with only one production service end-point for each of the in-scope integration points that are downstream of ServiceNow. Assumption: Effort does not include the creation of a Catalog item or Record producer to raise a SiR incident relating to this Playbook. And Analyst/Agent will be able to raise SiR records manually directly into the SiR table without using any additional Intake forms Assumption: Effort that the Playbook is manifested as one distinct FlowDesigner flow that is used to enforce the fulfilment as outlined by the agreed on Playbook. Assumption: Effort includes 8 hours of Engage ESM to support in the Automatic testing Framework (ATF) lead testing phase. This testing is owned by the customer. Dependency: Customer to in the Automatic Testing Framework (ATF) product. - Configure and define any test that include ATF lead testing - Configure and define the ATF test scripts. N.b. these scripts can only be created after the first configuration has been done, as ATF references NOW Objects (e.g. Fields in a table) that needs to be created before they can be referenced in an ATF script. - Lead, Initiate, run , and monitor outcomes form ATF test scripts. - Raise Engagement or Defects as an outcome to a completed testing Assumption: In-scope Integration end points for this playbook are: Case creation: 1. Splunk 2. Manual Fulfilment: 1. Confluence 2. Macvendors 3. Splunk (Searching) 4. MTP 5. Splunk (Searching) 6. Security Graph API - MCAS 7. Security Graph API - MDE 8. Internal NOW c.r.u.d operation: a. Update SiR Record b. Read CMDB c. Read, Update ITSM Ticket Case resolved in NOW: (nil)
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LI30	(High Level) Design document creation	Dependency: Customer to supply the team with a document template.
LI34	Handover to customer Go-live/Release team - High priority stream	Assumption: Customers own release team will be responsible for promoting new functionality into production. Engage ESM will only create Sequencing instructions and checklists, Update- and Data-sets shared with the customer.
LI35	Handover to customer Go-live/Release team - Medium priority stream	Assumption: Customers own release team will be responsible for promoting new functionality into production. Engage ESM will only create Sequencing instructions and checklists, Update- and Data-sets shared with the customer.



L136	Handover to customer Go-live/Re-lease team - Low priority stream	Assumption: Customers own release team will be responsible for promoting new functionality into production. Engage ESM will only create Sequencing Instructions and checklists, Update- and Data-sets shared with the customer.
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Project Management

Supplier Personnel

The supplier will provide the following resources for the project:

Supplier Project Roles	Responsibilities
Project Manager	- Single point of contact for the supplier project planning and delivery. - Provides implementation expertise and follows the deployment project plan. - Will work directly with the 3rd parties where appropriate and will collaboratively with the customer's and 3rd Party Project Managers to ensure the from a technical delivery perspective, the supplier's activities are completed as per the agreed Project Plan. - Will work with the customer's Project Manager to ensure all assumptions and information required from third parties are available and communicated throughout the project. - Facilitate weekly status call to track the target project progress.
Solution Architect	- Thought leadership during the workshops. - Responsible for creating the integration design documents. - Solution ownership of the overall technical delivery.
Technical Consultant(s)	- Prepares stories based on known requirements. - Undertakes the application configuration and assist with knowledge transfer to the customer. - Provides support during UAT. - Provides Go-Live day support.



RACI Model**Definitions:**

(R)esponsible – Responsible to work on and complete a task. Also responsible for delegating work when and if needed.

(A)ccountable – Responsible for the correctness of the task or deliverable, Also signs off on the work the Responsible completes. n.b Due care has been taken to avoid multiple Accountable parties which may become an issue during a conflict resolution stage.

(C)onsulted – People and resources who contribute with opinions or strategy, often a subject matter expert (SME)

(I)nformed – People and resources who needs to be kept up to date with project progression or upcoming events

(S)upport – People and resource(s) having a supporting role. Only called upon when needed, if at all.

Below is a RACI model around the project delivery.

Now Create Stage	Stream	Tasks/Roles	Engage ESM Project Team	Customer Project Team	Customer ServiceNow Technical Team	Customer Stakeholders	Customer Technical Teams	3 rd Party Team(s)	Customer End Users
ALL	ALL	Project Management	A, R	R	I	C, I	I	S	I
		Comms	C	A, R	I	C, I	I	S	I
ALL	ALL	Raising issues with the NOW platform to SN's HI support	C, I	A, R	I	I	I	S	I
Initiate	Project Mobilization	Kick-off	R, C	A, R	I	I	I	S	I
Plan	Functional Design	Workshops	A, R	C (Reqs)	R, C	C (Reqs)	I	S	I
		Stories Prep	A, R (Stories)	R, C (Reqs)	R, C	C (Reqs)	I	S	I
	Foundation Data	Workshops	A, R	C (Reqs)	R (where possible), C	C (Reqs)	I	S	I
		Stories Prep	A, R (Stories)	R, C (Reqs)	R (where possible), C	C (Reqs)	I	S	I
	Integrations	Workshops	A, R, C	R (Reqs)	R, C	C (Reqs)	I	S	I
		Stories Prep	A, R (Stories)	R, C (Reqs)	R, C	C (Reqs)	I	S	I



Now Create Stage	Stream	Tasks/Roles	Engage ESM Project Team	Customer Project Team	Customer ServiceNow Technical Team	Customer Stakeholders	Customer Technical Teams	3 rd Party Team(s)	Customer End Users
Plan	Playbooks	HLD Documentation	A, R	C, I	C, I	I	I	S	I
		HLD Documentation review	C, I	A, R	I	I	I	S	I
Plan	ALL	Sprint Planning	A, R	C (Approver)	C, I	I	I	S	I
Execute	ALL	Sprint Execution	A, R	C	R, C	I	I	S	I
		Sprint Demo/ Feed-back Analysis	A, R	C	R, C	C (Iterative)	I	S	I
	ALL	Configure tooling and services outside of the NOW Platform	C, I	A, R	I	I	I	S	I
Deliver ALL		Test Script creation	A, R, C, I	C, R	I	I	I	S	I
		Approval of ESM Acceptance criteria	C	A, R	I	I	I	I	I
		ATF Test script Creation and Run	C, I	A, R	I	I	I	S	I
		User Acceptance Testing	R (Defect Fix), C	A, R	C	R, C	C	S	I
		Knowledge transfer	A, I, C	C, I	C, I	C, I	I	S	I
		Deploy	R (Supporting), C	C	A, R	C	R	S	I
		Handover support	A, R	C, I	I	I	I	S	I
		Defect support during project duration	A, R	C, I	I	I	I	S	I
		Defects resolution in warranty period	A, R	C, I	I	I	I	S	I
Close	ALL	Closure Meeting	R	A, R	C	C, I	I	S	I



Required Customer Resources and Activities

Role definitions

ID	Role	Definition
RO01	Customer's Project manager	Customer's resource accountable for customer's project management and customer's project coordination with Engage ESM project.
RO02	Engage ESM Project Manager	Engage ESM resource who will fulfil roles of Project Manager across Engage ESM project, team and deliverables, as well as Scrum Master role during iterative build.
RO03	Product Owner	Customer's resource accountable for the Product to be delivered by the project. The resource has authority to confirm requirements, act as Scrum Product Owner for Scrum activities and events, act as single point of contact for
RO04	Engage ESM Solution Architect	Engage ESM resource (part-time) that will ensure technical governance over the solution in project scope for ServiceNow and its interfaces with external tools.
RO05	Platform Owner	Customer's resource accountable for customer's ServiceNow platform and decisions related to platform extension roadmap, governance over operational activities and releases.
RO06	Process Owner	Customer's resource accountable for any IT process that relates to / interfaces with the project scope.
RO07	Playbook Owner	Customer's resource (or contracted customer's supplier's resource) that is accountable for SecOps playbook (including business demand, business value, design and implementation, ongoing maintenance, alignment with interfacing processes and tools used to automate playbook activities and orchestrate playbook fulfilment. An individual responsible for Approving and prioritising defects on behalf of all RM stakeholders acting as the Supplier's single point of contact for defect management.
RO08	System Administrator	Customer's resource (or contracted customer's supplier's resource) that is accountable for daily operation of customer's ServiceNow instances
RO09	SME	Customer's resource (or contracted customer's supplier's resource) that has process /technology /tool/domain expertise and can act as Subject Matter Expert for that process /technology /tool/domain. Participation may be needed by customers SME's to assist in specific areas during various testing phases, e.g. ensuring connectivity and communication between service end-points.

RO10	Testing Manager	Customer's resource (or contracted customer's supplier's resource) holding expertise and experience with testing of software, ideally expertise with testing of enhancements to ServiceNow platform.
RO11	UAT Tester	Customer's resource (or contracted customer's supplier's resource) assigned by the customer's Test Manager/Test SME to participate in UAT testing as per agreed schedule, impersonate defined Personas, follow test scripts and provide requested test completion evidence in agreed format and within agreed timeline.
RO12	Architect	Customer's resource (or contracted customer's supplier's resource) accountable for the overall architecture and governance over architecture changes and business demand for a given domain, in line with customer's organizational structure and roles.
RO13	Business analyst	Customer's resource (or contracted customer's supplier's resource) with customer-specific knowledge, knowledge of business analysis methodology and techniques, and practical experience. Note: During project delivery Engage ESM Solution Architect and Senior Technical Consultants fulfil business analyst role with respect to capturing and analysis of customer's requirements during solution design workshops.
RO14	Release team	Customer's resources (or contracted customer's supplier's resources) accountable for release of changes across customer's ServiceNow environment in line with customer's Release Management process in place.
RO15	Coms and Adoption Lead	Customer's resource (or contracted customer's supplier's resource) accountable for activities related to Organizational Change Management.

The customer will provide the necessary resources and make them available throughout the duration of the project to ensure its success and completion to project timelines. Below are multiple customer roles that can be potentially assigned to customer personnel during any of our ServiceNow implementations with indicative effort:

Customer Project Roles	Responsibilities	Activities	Indicative Effort
Project Manager	Responsible for the project and meet regularly with the Engage ESM project manager to review progress and resolve issues.	Pre-workshop activities	2 days
		Attend relevant workshops	Full time during workshops
		Daily stand-up	15 mins
		Sprint planning sessions	30 mins per sprint
		Management of customer team	Full time during project
Platform Owner	Responsible for the prioritisation of the stories as part of the sprint planning sessions.	Attend relevant workshops	Full time during workshops
		Daily stand-up	15 mins
		Design authority	30 mins

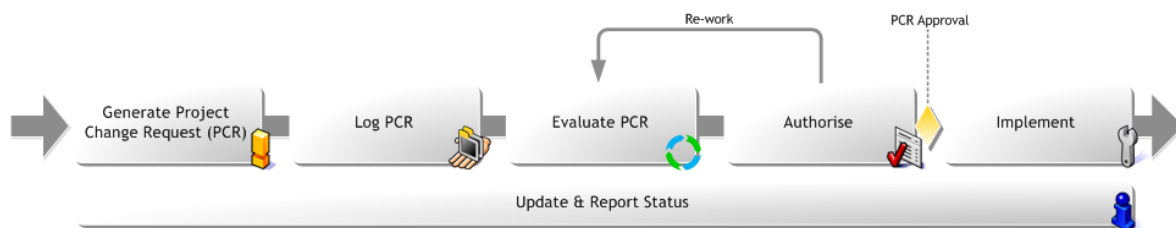
Customer Project Roles	Responsibilities	Activities	Indicative Effort
	Final decision maker on ServiceNow configuration to be enabled and configured. Approver of any project changes.	User acceptance testing	1-2 weeks
		Champions call	1-hour weekly
Product Owner	Responsible for defining Stories and prioritizing the Team Backlog to streamline the execution of program priorities	Attend relevant workshops	Full time during workshops
Process Owners	Subject matter expert(s) responsible for the correct and complete definition of the process implemented within the purchased ServiceNow application.	Attend relevant workshops	Full time during workshops
		Daily stand-up	15 mins
		Solution validation sessions	Twice a week 30 mins per session
		In-sprint testing	1-2 days per sprint
		Champions call	1-hour weekly
		User acceptance testing	1-2 weeks
		Data gathering	1-3 days
Architects / Business Analysts	Ensure that the configured system is aligned to business and technology roadmap and that processes support the Target Operating Model. Solution design authority for overall technical vision of the solution in line with enterprise architecture map.	Data analysis	1-3 days
		Solution validation sessions	Twice a week 30 mins per session
		User acceptance testing	1-2 weeks
		Attend relevant workshops	Full time during workshop
Technical Resources	Supporting agreed integrations. Provide technical support for the following where applicable: - Network connectivity - LDAP - Email - Any other integrations - Ensuring connectivity between integration endpoints - Supporting with technical issues during testing	Daily stand-up	15 mins per day
		System configuration on customer side	As required to support planned sprints to project timeline
		Solution validation sessions	Twice a week 30 mins per session
		In-sprint testing	1-2 days per sprint
		Writing stories	1 day per workshop
		Supporting role during System integration testing	1-2 weeks
		User acceptance testing	1-2 weeks
		Handover sessions	1 day per process
		Attend relevant workshops	Full time during workshops
System Administrators	If supporting the existing implementation, we recommend having the System	Daily stand-up	15 mins
		Solution validation sessions	Twice a week 30 mins per session

Customer Project Roles	Responsibilities	Activities	Indicative Effort
	Administrators available throughout the project to ensure collaboration where possible. If there are not currently any System Administrators Engage ESM would recommend training be acquired prior to project commencement.	In-sprint testing	1-2 days per sprint
		Supporting role during System integration testing	1-2 weeks
		User acceptance testing	1-2 weeks
		Handover sessions	1-2 days
		Attend relevant workshops	Full time during workshops
3rd Party SMEs	• Provide technical support for third-party applications in scope, including configuration and testing, excluding publicly available APIs • Liaise with customer's 3rd party for any issues with public APIs	System configuration for 3rd Party supported applications	As required to support planned sprints to project timeline
		In-sprint testing	1-2 days per sprint
		Supporting role during System integration testing	1-2 weeks
		User acceptance testing	1-2 weeks
		User acceptance testing	1 - 2 weeks
UAT Testers	• Appropriate cross-section representation to provide input during UAT.	Attend relevant workshops	Full time during workshops
Comms and Adoption Lead	• Responsible for the training and communication plan and for co-ordinating end-user training.	Comms & Adoption Strategy and Activities	As required to ensure organisational enablement and readiness throughout the project
		Go live	1-2 days
		Champions call	1-hour weekly
		Solution validation sessions	Twice a week 30 mins per session
Testing Manager	• Responsible for the test plan and oversight of testing.	Test planning and scripts	As required throughout the project to ensure test plans and scripts are in place.
		User acceptance testing	1-2 weeks
		Supporting role during System integration testing	1-2 weeks

Project Change Management

The supplier's Project Change Management process documents and tracks the necessary information required to effectively management project change from project inception to delivery. This process is only intended to capture Project Change Requests that directly impacts the supplier's scope, deliverables and timelines which is stated within this Statement of Work. Any other Project Change Requests will be handled as part of the customer's project management processes.

The Project Change Process establishes an effective procedure for tracking the submission, coordination, review, evaluation, and approval for all changes to the project's scope, deliverables, and timelines. The below diagram shows the suppliers Change Process.



The table below outlines the key steps within the suppliers Project Change Process.

Step	Description	Responsible
Generate PCR	The customer's Project Manager completes a PCR form and send the completed form to the supplier's Project Manager (or customers).	Sponsor/Stakeholder (via the customer's Project Manager)
Log PCR	The supplier's Project Manager (or the customer's) will enter the PCR into the PCR Log.	The supplier's Project Manager (or the customers)
Evaluate PCR	The supplier's project personnel will review the PCR and analyse the impact to scope, deliverables, and timelines. We will also provide an estimated level of effort including a proposed solution (or options of solutions where applies). The supplier's Project Manager will be responsible for any internal or 3 rd party project personnel input into any PCR evaluation.	The supplier
Authorise	The supplier's Project Manager will provide the approval (via project sponsor/stakeholder approval) to the supplier's Project Manager (or the client's). If approval is received, the PCR will be incorporated to the supplier's scope, deliverables, and timelines.	The supplier's Project Manager

Step	Description	Responsible
Implement	The supplier's project personnel will make the necessary adjustments to carry out the requested PCR.	The supplier's Project Personnel
Update Status	The supplier's Project Manager (or the customer's) will update the PCR's status throughout the PCR process as needed.	The supplier's Project Manager (or the customer's)
Report Status	The supplier's Project Manager (or the customer's) will include a status report of the PCRs as per agreed project reporting governance (if any).	The supplier's Project Manager (or the customer's)

Please refer to the Appendix for the Engage ESM Project Change Request form.

-
- | Category | Value (approximate) |
|----------|---------------------|
| 1 | 65 |
| 2 | 85 |
| 3 | 75 |
| 4 | 100 |
| 5 | 100 |
| 6 | 100 |
| 7 | 100 |
| 8 | 80 |
| 9 | 100 |
| 10 | 100 |

Cost Summary

The cost for this Statement of Work is on a Fixed Price Basis to deliver the outcomes highlighted, based on the following Engage ESM roles:

Engage ESM Project Manager

- Engage ESM Solution Architect
- Engage ESM Senior Technical Consultant
- Engage ESM Technical Consultant

Project will be delivered remotely within UK core business hours (as defined in Terms and conditions). The price does not include work outside of the UK core business hours and it is assumed that work outside of business hours is not required.

A detailed version of the scope can be seen in section 3.5

Millstone	Millstone Title	Completion Criteria	Estimated Invoice Timeline	Cost
1	Mobilisation	Upon contract signature and receipt of purchase order	Upon completion of contracts	£34,627
2	Stream 1	Includes the Design, Build, Test, High Level Documentation and handover to the Customers Release team of the following playbooks in stream 1: 1. PB1 – Identify Internal Machine 2. PB2 – Check host for activity 3. PB4 – Investigate the file 4. PB7 – Desktop Antivirus Detailed scope of activities in section 3.5 “In-scope activities” and deliverables in section 3.7 “Deliverables” In this milestone all P1 & P2 defects reported against approved Stories will be fixed. P3 & P4 defects will be added to the backlog	Week 6	£77,244.40

3	Stream 2	(Includes the Design, Build, Test, High Level Documentation and handover to the Customers Release team of the following playbooks stream 2: 1. PB6 – Confirm password activity 2. PB8 – User Suspension 3. PB9 – Machine Suspension 4. PB10 – Suspicious Devices Detailed scope of activities in section 3.5 "In-scope activities" and deliverables in section 3.7 "Deliverables" (In this milestone all P1 & P2 defects reported against approved Stories will be fixed. P3 & P4 will be added to the backlog)	Week 10	£77,244.40
4	Stream 3	(Includes the Design, Build, Test, High Level Documentation and handover to the Customers Release team of the following playbooks stream 3: 1. PB3 – Investigate the domain 2. PB5 – Create MTP ticket Detailed scope of activities in section 3.5 "In-scope activities" and deliverables in section 3.7 "Deliverables"	Week 14	£77,244.40
Total				£266,360.00

Defect fix

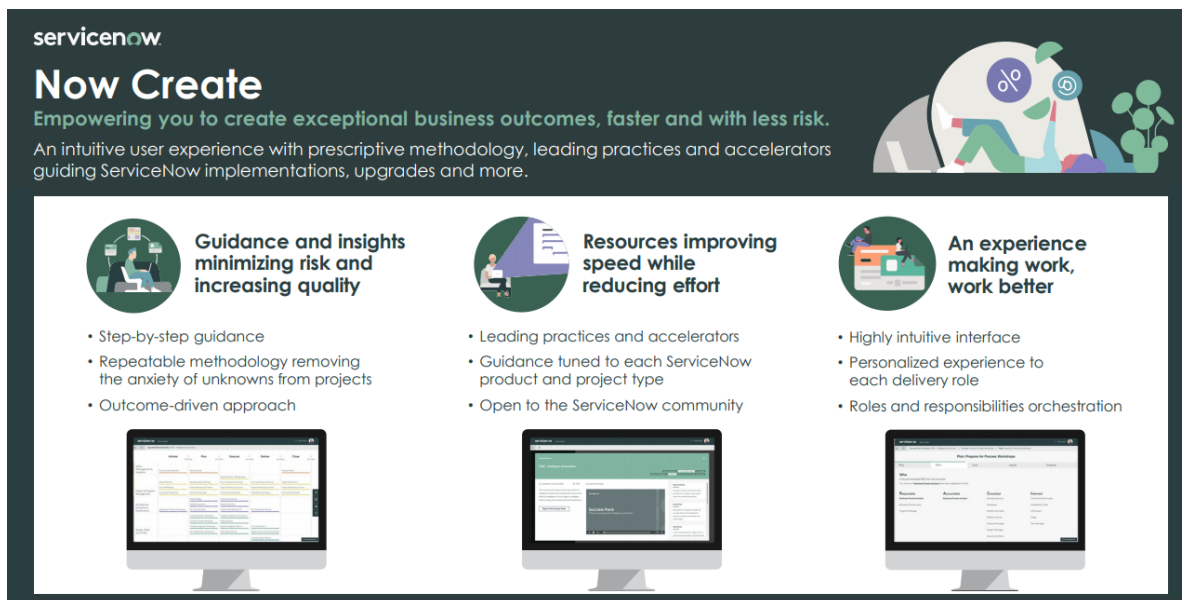
Defect resolution is only in the context of the in-scope playbooks and the agreed behaviour of those playbooks as per the acceptance criteria of approved stories.

Priority	Category	Description/example	Maximum acceptable defects total across all playbooks to agree entry into Warranty period	Expected resolution in Warranty period, whether defects are found before or reported during the Warranty period.
P4	Cosmetic	A defect which does not affect functionality but may affect usability in a way which is not detrimental to the operation of the playbook, and / or is cosmetic or a documentation-only fault.	10 (no more than 2 in a single playbook)	75%
P3	Minor	Defects causing minimal to no impact to the operation of the playbook. This can include a manual work around which is deemed by HMRC to not be detrimental to the playbook operation	4 (no more than 1 in a single playbook)	75%
P2	Moderate	Defects causing an impact to the operation of the playbook but which do not prevent use of a playbook in a Live environment or where the available workaround is not acceptable to HMRC on an on-going basis.	1	100%
P1	Critical	Defects causing an impact to the operation of a playbook for which no acceptable workaround is available thus making use of a playbook in a Live environment impractical. A defect with an otherwise lesser classification may be categorised at this level if, in conjunction with other resolved defects it meets this definition.	0	100%

Appendix

Delivery Methodology

Engage ESM's delivery methodology is aligned to ServiceNow's Now Create Methodology to emphasise business principles and goals along with the implementation of a process framework that is practical and makes the best use of the technology at hand.



servicenow

Now Create

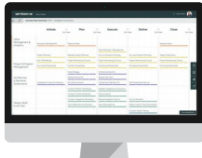
Empowering you to create exceptional business outcomes, faster and with less risk.

An intuitive user experience with prescriptive methodology, leading practices and accelerators guiding ServiceNow implementations, upgrades and more.



Guidance and insights minimizing risk and increasing quality

- Step-by-step guidance
- Repeatable methodology removing the anxiety of unknowns from projects
- Outcome-driven approach





Resources improving speed while reducing effort

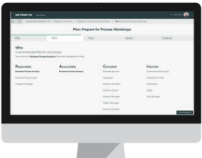
- Leading practices and accelerators
- Guidance tuned to each ServiceNow product and project type
- Open to the ServiceNow community





An experience making work, work better

- Highly intuitive interface
- Personalized experience to each delivery role
- Roles and responsibilities orchestration

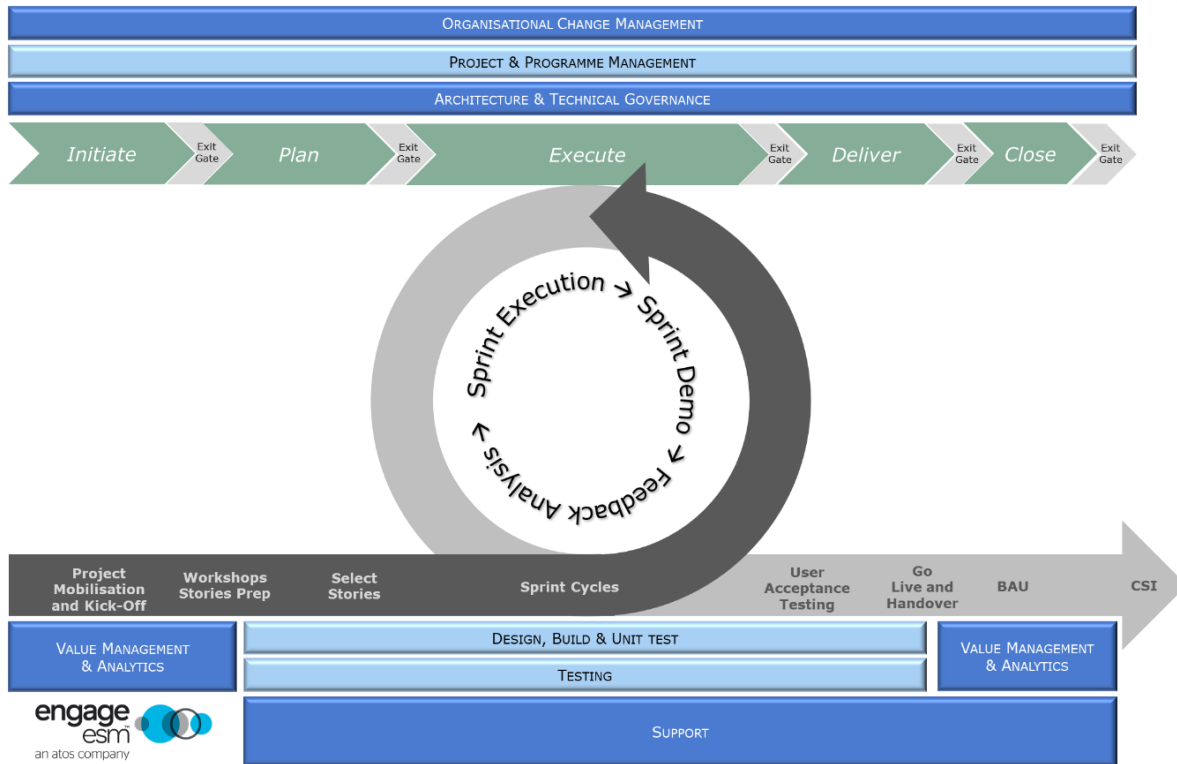


A successful approach to any project requires an understanding of the customer's business objectives and the impact that this needs to have on the requirements for updated processes and associated detailed requirements for the tool. This ensures that the in-scope solution areas are implemented in the right order to meet the needs of the business, especially for any initial migration from incumbent processes and toolsets.

This transformation approach ensures that there is a focus on best practice improvements, rather than simply providing a tool swap. Engage ESM believes that such a transformation approach should deliver much more value than just a tool installation/replacement and it is essential that our experts provide the right level of tool implementation and thought leadership to support, enforce and automate the processes.

This approach is at the heart of Engage ESM's methodology for all projects, regardless of the physical locations of the Customer or Engage ESM project team members.

The delivery methodology spans 7 workstreams, comprised of activities for each phase of the delivery, that are scaled to suit the size and complexity of the engagement.



A high-level summary of the activities that can be included in any of our engagements is outlined in the table below:

Phase	Activities
Initiate	- Business Case Alignment - Ensure business outcomes are clear and used to align decisions made throughout the project - Kick-Off Meetings - Kick-Off sessions are key to engage stakeholders, build trust and set expectations with the team - Project Planning - Gives the project a clear definition of scope, schedule, resource, and budget to execute against - Change Enablement Strategy - Define approach to training, communication, and organisational change to maximise adoption - Customer and Engage ESM Project Team Product Training - Ensures the Customers and Engage ESM project team is aware of key features and functionality ahead of the workshops - Understand Existing Architecture - Understand Existing IT architecture to design how the ServiceNow solution will fit within it - Exit Initiate Phase Gate - Confirm required activities/deliverables were successfully executed (e.g. Definition of done)

Phase	Activities
Plan	▪ Strategy ▪ Define data migration requirements, document a strategy and agree on policies for data migration ▪ Architecture ▪ Document overall solution design and decisions and update the enterprise architecture ▪ Setup environment ▪ Initial set up and configuration of the environment setting the stage for Sprint development ▪ Conduct Workshops ▪ Identify and capture requirements to build 3rd party interfaces, enable data flow, optimise implementation and operation of core data ▪ Demonstrate how processes are supported by the platform whilst identifying gaps and requirements ▪ Story Refinement and Estimation ▪ Refinement of draft requirements captured in stories, adding detail for approval and estimation ▪ Change Enablement Assessment ▪ Define plan for stakeholder communications, training, and operational change ▪ Go-Live Transition Planning ▪ Provide a clear set of instructions and checklists for the team to execute during Go-Live ▪ Project Monitoring & Controlling ▪ Tracking and communicating status regarding schedule, budget, risk, issues and scope ▪ Release & Sprint Planning ▪ Organise and prioritise Stories, development and Releases whilst considering team capacity/timeline ▪ Operations Planning ▪ Create a consistent, repeatable process for deploying functionality & enhancements into production ▪ Test strategy ▪ Define testing approach throughout the phases of the project ▪ Create a Metrics Measurement Plan ▪ Define how the core business outcomes will be measured throughout ▪ Implement a Feedback Loop ▪ Communicated activities/deliverables from successful execution

Phase	Activities
Execute	▪ Architecture Security ▪ Recommended for high security instances to determine hardening and penetration test requirement ▪ Create Data Migration ETL ▪ Create the extract transform map and load needed to move data from a legacy system to a new system ▪ Prepare Test Data ▪ Create test data according to the system and user acceptance test criteria ▪ Execute Sprints ▪ Scrum Teams collaborate making everyone aware of what they are working on and any challenges ▪ Change Enablement – Communicate ▪ Project awareness communications, surveys and conducting roadshows ▪ Change Enablement - Enable Users ▪ Enable execution of communication plan by conducting pre-implementation benchmark survey ▪ Go-Live Transition Planning ▪ Provide a clear set of instructions and checklists for the team to execute during Go-Live. ▪ Project Monitoring & Controlling ▪ Tracking and communicating status regarding schedule, budget, risk, issues, and scope ▪ Sprint Planning/Retrospective ▪ Meeting held at the end of a Sprint to review the previous Sprint and identify areas of improvement ▪ Design Support Model ▪ Document and gain consensus on support processes, resources, and training for production support ▪ Plan System Testing ▪ Plan for how the system will be tested against the end-to-end system design ▪ Plan User Acceptance Testing ▪ Plan outlining how the system will be tested against user requirements and acceptance criteria ▪ Exit Execute Phase Gate ▪ Confirm required activities/deliverables were successfully executed

Phase	Activities
Deliver	- Test Phases Data Set Up - Ensure all data is loaded and validated in the test instance to prepare for system and user testing - Deploy Code to Test Environment - Code migration from the Development instance into the test instance using update sets - Change Enablement - Enable Users - End user set-up, training, and communication in preparation for system Go-Live - Go-Live Transition Planning - Provide a clear set of instructions and checklists for the team to execute during Go-Live - Go-Live Transition - Execution of migration plans, checklists, and deliverables to support the Go-Live transition - Project Monitoring & Controlling - Tracking and communicating status regarding schedule, budget, risk, issues, and scope - Confirm Operational Readiness - Confirm the technical environment, support processes and people are ready for Go-Live - Conduct System Testing - Confirm System Testing - Conduct User Acceptance Testing - Confirm system functionality and requirements against user defined acceptance criteria - Execute Load Testing - Test the system against maximum expected user and transaction volumes - Exit Deliver Phase Gate - Confirm required activities/deliverables were successfully executed
Close	- Confirm Operational Support - Leverage operational stabilisation indicators to confirm the system is operating as expected - Transition to Support Organisation - Knowledge transfer and handover of support documentation required for daily operation of the system - Measure Value - Measure operational performance against the stated plan and targeted business outcomes - Change Enablement Measurement - Survey measurements used to determine user perceptions of applications and processes after changes - Project Closedown - Finalise all activities completed across all phases of the project to formally close the project - Exit Close Phase Gate - Confirm required activities/deliverables were successfully executed

Project Change Request Form

Below is an Engage ESM Project Change Request form.

Project Change Request				
PCR Title: Insert Title				
PCR Status: Insert Status			PCR No: Insert No	
Project Name: (Company) G-Cloud 12 Call-off Contract			Priority: L	
Description of Proposed Changes and Business Reason: Insert reason (add attachments if necessary)				
Submitted by: Insert Date			Date: Insert Date	
Evaluation				
Description of Proposed Solution(s): Insert text (add attachments if necessary)				
Impact on Solution/Deliverables: Insert text (add attachments if necessary)				
Impact on Schedule/Timeline: Insert text (add attachments if necessary)				
Impact on Cost: Insert text (add attachments if necessary)				
Project Impact: M		Total Effort: 0 Days		Total Cost: £0
Authorisation				
Decision:	☐ Approved	☐ Approved with Conditions	☐ Rejected	☐ More Info
Decision Comments: Insert Comments				
Approved by: Insert Name		Rejected by: Insert Name		

Deliverables Acceptance Form

Below is an Engage ESM Deliverables Acceptance form.

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