



Hosting

Schedule 11: Referenced Documents

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1. INTRODUCTION

- 1.1 This schedule 11 (Referenced Documents) identifies the documents referenced elsewhere in this Agreement.
- 1.2 A Referenced Document is a type of document that outlines policies, processes, procedures, actions or strategies as they relate to a particular activity. Schedule 11 (Referenced Documents) does not contain references to documents that outline Standards.
- 1.3 The Hosting Supplier shall adhere to the provisions of the Referenced Documents to the extent specified in this Agreement.
- 1.4 This schedule 11 (Referenced Documents) contains references to some documents which do not appear in the Agreement but do appear in the Tower Service Agreements of Other FITS Suppliers. These have been retained to assist the Hosting Supplier to understand the documents that might be referred to by the Authority or Other FITS Suppliers from time to time. Where a document is included in this schedule but not used in the Agreement it shall have no legal effect for the Hosting Supplier.
- 1.5 Subject to paragraph 1.6, if the Hosting Supplier believes that the introduction of and compliance with a new Referenced Document will have a material and unavoidable effect on Costs, the Milestones, the Transition Plan or schedule 2.1 (Service Requirements) it may submit a Change Request Part A: Initial Request. In doing so, the Hosting Supplier must support its request by providing evidence of the cause of any increased Costs or changes to the Milestones, the Transition Plan or schedule 2.1 (Service Requirements) and the steps that it has taken to mitigate those Costs or changes. Any change to the Charges, the Milestones, the Transition Plan or schedule 2.1 (Service Requirements) shall then be agreed in accordance with the Change Control Procedure, but for the avoidance of doubt the Hosting Supplier shall not be entitled to increase its Charges to the extent that the change in question would also be required under any other provision of this Agreement and any increase in Charges shall also take account of any savings or non-incurrence of Costs as a result of the change.

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- 1.6 If the introduction of a new Referenced Document results from a Change in Law any effect on Costs arising out of the compliance with the new Referenced Document shall be borne by the parties in accordance with the provisions of clause 49 (Change in Law).

2. AUTHORITY REFERENCED DOCUMENTS

2.1 Table 1 sets out the Referenced Documents including Authority defined materials, HMG Policy and Guidance and wider industry:

Document Name	Version Number	Schedule Reference	Schedule Name
Authority's Accreditation Framework, comprising of the following documents: <i>03/03/118/04/01/17 FITS Accreditation Framework.doc</i>		2.1	Service Requirements
Authority's Accreditation obligation / IA accreditation, comprising of the following documents: <i>03/03/118/04/01/08 FITS Accreditation Strategy</i>		2.1	Service Requirements
Authority's Accreditation Strategy, comprising of the following documents: <i>03/03/118/04/01/08 FITS Accreditation Strategy</i>		2.1	Service Requirements
Authority's Architecture Governance Policy, Processes and Procedures, comprising of the following documents: <i>03/03/117/03 - Enterprise Architecture Rules & Principles</i> <i>03/03/117/04 - Enterprise Architecture Standards Information Base</i> <i>03/03/118/03/01/01 Enterprise Architecture Roadmap.VSD</i> <i>03/03/118/03/03/01 ATIA - Enterprise Architecture - Rules and Principles.doc</i> <i>03/03/118/03/03/02 What is Enterprise Architecture v1.0.doc</i>		2.1	Service Requirements
Authority's Asset Disposal Policy, comprising of the following documents: <i>03/04/02/03/18 - IT Security - ICT Asset Disposal Guide</i>		2.1	Service Requirements
Authority's Business Continuity Strategy, comprising of the following documents: <i>03/03/47/09/10 IT Services Continuity Management Strategy</i>	1.0	2.2	Service Performance Management
Authority's business objectives, comprising of the following documents: <i>01/01/11/01 - FITS Core Scope document</i>		2.1	Service Requirements
Authority's Business Plan, comprising of the following documents: <i>03/03/01/01 MoJ 2012 Business Plan</i> <i>03/03/01/01 MoJ 2012 Business Plan Annexes</i>		2.4	Transformation
Authority's business vision and strategies, comprising of the following documents: <i>03/03/109/03 TJ Our Vision our Strategy.pdf</i> <i>03/03/118/03/02/06 NO 10 Business Strategy Ministry of Justice 1 of 6.doc (and the other 5)</i>		2.1	Service Requirements
Authority's CHECK Testing Roadmap [DN: This deliverable will be produced by the Authority]		2.1	Service Requirements
Authority's CHECK Testing Strategy [DN: This deliverable will be produced by the Authority]		2.1	Service Requirements

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Authority's data sharing and data access policies, comprising of the following documents: <i>03/04/02/03/26 - IT Security - Data Handling and Information Sharing Guide</i> <i>03/04/02/03/24 - IT Security - Access Control Standard</i>	2.5	Security Management Plan
Authority's Enterprise Architecture, comprising of the following documents: <i>03/03/117/03 - Enterprise Architecture Rules & Principles</i> <i>03/03/117/04 - Enterprise Architecture Standards Information Base</i> <i>03/03/118/03/01/01 Enterprise Architecture Roadmap.VSD</i> <i>03/03/118/03/03/01 ATIA - Enterprise Architecture - Rules and Principles.doc</i> <i>03/03/118/03/03/02 What is Enterprise Architecture v1.0.doc</i>	2.1	Service Requirements
Authority's Financial Management Policies, Processes and Procedures, comprising of the following documents: <i>03/03/26/04 Financial management - Quick Guide to Finance.doc</i>	2.1	Service Requirements
Authority's FITS Programme objectives, comprising of the following documents: <i>01/01/11/01- FITS Core Scope document</i>	6.1	Transition Requirements
Authority's Forensic Readiness Policy, comprising of the following documents: <i>03/04/02/03/14 - Forensic Readiness Policy</i>	2.1	Service Requirements
Authority's ICT Information Assurance (IA) Policies, Processes and Procedures, comprising of the following documents: <i>03/04/02/03/09 - Information Assurance Strategy Statement</i> <i>03/02/02/14/01 HMG Security Policy Framework</i> http://ncsc.gov.uk .	2.1	Service Requirements
Authority's ICT Strategy, comprising of the following documents: <i>03/04/02/01/03 - MoJ ICT Strategy - presentation</i>	2.1	Service Requirements
<i>03/04/02/01/02 - ICT Strategy</i>	MSA	Master Services Agreement
<i>03/04/02/01/01 - Govt ICT Strategy</i>	TSA	Terms and Conditions
Authority's Information Lifecycle Management Policy [DN: This deliverable will be produced by the Authority]	2.1	Service Requirements
Authority's Information Risk Policy Guidance, comprising of the following documents: <i>03/03/67/01 MoJ Information Risk Policy</i>	2.1	Service Requirements
Authority's Information Security Audit policies, processes, procedures and compliance criteria. [DN: This deliverable will be produced by the Authority]	2.1	Service Requirements
Authority's Innovation Management Policy, Processes and Procedures. [DN: This deliverable will be produced by the Authority]	2.1	Service Requirements

Authority's Integrated ICT lifecycle, comprising of the following documents: <i>03/03/47/12/03 MoJ ICT Integrated Lifecycle Leaflet Feb11-SRA3</i>	draft-v3	2.1	Service Requirements
Authority's IP addressing Policy. [DN: This deliverable will be produced by the Authority]		2.1	Service Requirements
Authority's operating models, comprising of the following documents: <i>01/02/01 Future Operating Model.xls</i> <i>03/02/01/02/02 Operating Model Blueprint</i> <i>03/03/105/02/01 Operating Model Blueprint</i> <i>03/03/118/02/04/10 psn-operating-model-v2_0.pdf</i> <i>03/03/118/03/04/04 HMCTS Integrated Target Operating Model.vsd</i> <i>03/03/119/03 Operating Model Blueprint</i>		2.1	Service Requirements
Authority's policies on handling protectively marked material, comprising of the following documents: <i>03/04/02/03/25 - IT Security - Protective Marking Guide</i>		2.5	Security Management Plan
Authority's Security Patch Management Policies, Processes and Procedures, comprising of the following documents: <i>03/04/02/03/17 - IT Security - Patch Management Standard</i>		2.1	Service Requirements
Authority's Security Policy, comprising of the following documents: <i>03/04/02/03/09 ICT Security Policy - Information Assurance Strategy Statement</i>		2.1	Service Requirements
<i>03/04/02/03/10 IT Security Policy</i> <i>03/04/02/03/11 ICT Security Policy - Technical Controls Policy</i> <i>03/04/02/03/12 ICT Security Policy - IT Incident Management Policy</i> <i>03/04/02/03/13 ICT Security Policy - Forensics Readiness Policy</i> <i>03/04/02/03/14 ICT Security Policy - IT Disaster Recovery Policy</i> <i>03/04/02/03/15 ICT Security Policy - IT Acceptable Use Policy</i> <i>03/04/02/03/16 ICT Security Policy - Information Classification and Handling Policy</i>		2.5	Security Management Plan
Authority's security training requirements, comprising of the following documents: <i>03/04/02/03/54 IT Security Awareness SyOPs Deck</i> <i>03/04/02/03/55 IT Security SyOPs - Blackberry users</i> <i>03/04/02/03/56 IT Security SyOPs - Remote Working</i> <i>03/04/02/03/57 IT Security SyOPs - System Administrators</i> <i>03/04/02/03/58 IT Security SyOPs - Users & Application Administrators</i>		2.5	Security Management Plan
Authority's Service Strategy, comprising of the following documents: <i>03/03/118/02/01/02 Government ICT Strategy.pdf</i> <i>03/03/118/02/01/04 Cross Government Service Management Strategy 2011.doc</i>		2.1	Service Requirements
Authority's Software Licensing Policy, comprising of the following documents: <i>TMO Software Licensing Policy</i> [DN: This deliverable will be produced by the Authority]		2.1	Service Requirements

Authority's Solution Architecture Policy, Processes and Procedures. [DN: This deliverable will be produced by the Authority]	2.1	Service Requirements
Authority's standard Project Management Processes, comprising of the following documents: <i>03/03/87/01 Programme & Project Management (PPM).doc</i>	2.1	Service Requirements
Authority's Standards Information Base (SIB), comprising of the following documents: <i>03/03/117/04 - Enterprise Architecture Standards Information Base</i> <i>03/04/02/03/41 - Standards Information Base</i>	2.3	Standards
Authority's strategic risk management approach, comprising of the following documents: <i>03/03/86/59 Risk Management Strategy Policy Framework.pdf</i> <i>03/04/03/01/01 Risk management strategy policy</i>	2.1	Service Requirements
Authority's Target Operating Model <i>03/03/118/03/04 HMCTS Integrated Target Operating Model.VSD</i> <i>03/03/118/04/01 Architecture Management in the Target Operating Model.doc</i>	6.1	Transition Requirements
Business lifecycle and variations in business unit volumes, comprising of the following documents: <i>03/03/120/07/28 Lifecycle Plan</i>	6.1	Transition Requirements
Candidate ICT Capabilities to Support Business Transformation Initiatives, comprising of the following documents: <i>01/01/10/02 Candidate ICT Capabilities to Support Business Transformation Initiatives v0-5.doc</i>	2.4	Transformation
Change Management process , comprising of the following documents: <i>03/03/07/01 Change Management Process.doc</i>	6.1	Transition Requirements
EU Code of Conduct on Data Centres Energy Efficiency, comprising of the following documents: <i>03/03/106/05 EU Code of Conduct - Data Centre Energy Efficiency</i>	2.1	Service Requirements
Government ICT Strategy, comprising of the following documents: https://www.gov.uk/government/publications/uk-government-ict-strategy-resources	2.1	Service Requirements
Greening Government: ICT Strategy issue (March 2011)". https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/155098/greening-government-ict-strategy.pdf	2.4	Transformation
HMG IAS1&2 Supplement Risk Assessments and Organisational Risk Assessment https://cesgiap.gsi.gov.uk	2.1	Service Requirements
Cabinet Office Security Policy Framework and associated information assurance standards, comprising of the following documents: <i>03/02/02/14/01 HMG Security Policy Framework</i>	MSA	Master Services Agreement
	2.1	Service Requirements

https://cesgiap.gsi.gov.uk	2.5	Security Management Plan
HMG Information Security Assurance Standards https://cesgiap.gsi.gov.uk	2.5	Security Management Plan
HR Policies	TSA	Terms & Conditions
03/01/01/01 MoJ HR Data Library		
Information Security Management process, comprising of the following documents: 03/04/02/03/10 - <i>ICT Security Policy</i> 03/04/02/03/09 - <i>ICT Security Policy - Information Assurance Strategy Statement</i>	2.1	Service Requirements
Master Application List v20.0	2.2	Service Performance Management
Master Site List v5.0	2.1	Service Requirements
Patching policy, comprising of the following documents: 03/04/02/03/17 - <i>IT Security - Patch Management Standard</i>	2.1	Service Requirements
Security Aspects Letter. 03/03/118/04/01 MoJ Security Aspects (SAL) for FITS.doc	2.5	Security Management Plan
Security Controls (Objectives) Matrix, comprising of the following documents: 03/03/118/04/01/19 FITS Security Controls Objectives Matrix Part 1 .doc 03/04/03/03/06 - <i>FITS Security Controls Matrix</i>	2.1	Service Requirements
Security incident management policy and procedures, comprising of the following documents: 03/04/02/03/12 - <i>ICT Security Policy - IT Incident Management Policy</i> 03/04/02/03/23 - <i>IT Security - IT Incident Management Plan and Process Guide</i>	2.1	Service Requirements
Service Register, comprising of the following documents: 03/03/118/04/02/(Latest version)	2.2	Service Performance Management
SPF Mandatory Requirement 13 - Authority security requirements as derived from Security Policy Framework Mandatory Requirements Nos. 16-18, comprising of the following documents: 03/02/02/14/01 HMG Security Policy Framework 03/04/02/03/10 - <i>IT Security Policy</i>	2.5	Security Management Plan
Staff Vetting Procedures 03/01/01/25 Contractor personnel security requirements	TSA	Terms & Conditions
03/03/130/13 National Security Vetting	2.1	Service Requirements
Standard security requirements, comprising of the following documents: 03/02/02/14/01 HMG Security Policy Framework 03/04/02/03/09 <i>ICT Security Policy - Information Assurance Strategy Statement</i> 03/04/02/03/10 <i>IT Security Policy</i> 03/04/02/03/11 <i>ICT Security Policy - Technical Controls Policy</i>	2.1	Service Requirements

03/04/02/03/12 *ICT Security Policy - IT Incident Management Policy*

03/04/02/03/13 *ICT Security Policy - Forensics Readiness Policy*

03/04/02/03/14 *ICT Security Policy - IT Disaster Recovery Policy*

03/04/02/03/15 *ICT Security Policy - IT Acceptable Use Policy*

03/04/02/03/16 *ICT Security Policy - Information Classification and Handling Policy*

Systems of Measurement reference document.

2.2

Service Performance
Management

[DN: This deliverable will be produced by the Authority]

CTS Project Delivery Process Governance (PDPG)

Systems Measurement Reference Document (SMRD)

Security Management Plan

2.5

Security Management
Plan

[DN : this is to be reviewed and updated by the Hosting Supplier in accordance with
schedule 2.5]

ATO process

4.1

Supplier Solution

F.7b HMCTS Authority to Operate (AtO) Process

HMCTS – AtO – Process v2.1 30032022

HMCTS – AtO Process Instructions 30032022

3. **HOSTING SUPPLIER’S REFERENCED DOCUMENTS**

3.1 Table 2 sets out the Hosting Supplier’s Referenced Documents

Document Name	Version Number	Schedule Reference	Schedule Name	Paragraph reference
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End of schedule