SCANNING, VALIDATION AND STORAGE SERVICES

SCHEDULE 6.1

IMPLEMENTATION PLAN

Version: Final 120520

Implementation Plan

1 INTRODUCTION

1.1 This Schedule:

(a) defines the process for the preparation and implementation of the Outline Implementation Plan and Detailed Implementation Plan; and

(b) identifies the Milestones (and associated Deliverables) including the Milestones which trigger payment to the Supplier of the applicable Milestone Payments following the issue of the applicable Milestone Achievement Certificate.

2 OUTLINE IMPLEMENTATION PLAN

2.1 The Outline Implementation Plan is set out in Annex 1.

2.2 All changes to the Outline Implementation Plan shall be subject to the Change Control Procedure provided that the Supplier shall not attempt to postpone any of the Milestones using the Change Control Procedure or otherwise (except in accordance with Clause 31 (*Authority Cause*)).

3 APPROVAL OF THE DETAILED IMPLEMENTATION PLAN

3.1 The Supplier shall submit a draft of the Detailed Implementation Plan to the Authority for approval within 20 Working Days of the Effective Date.

3.2 The Supplier shall ensure that the draft Detailed Implementation Plan:

(a) incorporates all of the Milestones and Milestone Dates set out in the Outline Implementation Plan;

(b) includes (as a minimum) the Supplier's proposed timescales in respect of the following for each of the Milestones:

(i) the completion of each design document;

(ii) the completion of the build phase;

(iii) the completion of any Testing to be undertaken in accordance with Schedule 6.2 (*Testing Procedures*); and

(iv) training and roll-out activities;

(c) clearly outlines all the steps required to implement the Milestones in conformity with the Authority Requirements;

(d) clearly outlines the required roles and responsibilities of both Parties, including staffing requirements;

(e) is produced using a software tool as specified, or agreed by the Authority;

(f) includes the "Transition Plan" agreed by the Authority, that sets out all the activities the Supplier intends to conduct in order to achieve an effective transition from any previous existing service to the Supplier's Services.

(g) includes detailed governance arrangements in addition to those described in Schedule 8.1 (*Governance*) covering the following points:

(i) details of status reporting to the Authority on a weekly basis, or any other period as required by the Authority to include progress against Implementation Plan and associated resolution and/or mitigation actions.

(ii) a schedule of regular meetings and reporting requirements required by the Authority during the provision of the Implementation Services, which as a minimum shall include fortnightly meetings, proposed attendees and up to date progress reports. A standard agenda for the meetings shall be agreed between the parties; and

(iii) the Scanning Validation Storage Delivery Steering Group (SG) will oversee the commercial implementation, operational delivery and deployment of the Service. Authority and Supplier Project Managers will oversee planning and report on progress against project Key Milestones to the SG. The SG is the point of escalation for issues and key decisions for the Implementation Services. The establishment and structure of the SG shall be as set out in Annex 2 of this Schedule, and

if required, and with the joint agreement of both Parties, within 15 Working Days after the Effective Date, the 20 Working Days limit for the Supplier to submit the Detailed Implementation Plan to the Authority for approval, as described in Paragraph 3.1 of this Schedule, can be extended by an agreed number of days. This change shall be subject to the Change Control Procedure.

3.3 Prior to the submission of the draft Detailed Implementation Plan to the Authority in accordance with Paragraph 3.1, the Authority shall have the right:

(a) to review any documentation produced by the Supplier in relation to the development of the Detailed Implementation Plan, including:

(i) details of the Supplier's intended approach to the Detailed Implementation Plan and its development;

(i) copies of any drafts of the Detailed Implementation Plan produced by the Supplier; and

(ii) any other work in progress in relation to the Detailed Implementation Plan; and

(b) to require the Supplier to include any reasonable changes or provisions in the Detailed Implementation Plan.

3.4 Following receipt of the draft Detailed Implementation Plan from the Supplier, the Authority shall:

(a) review and comment on the draft Detailed Implementation Plan as soon as reasonably practicable; and

(b) notify the Supplier in writing that it approves or rejects the draft Detailed Implementation Plan no later than 20 Working Days after the date on which the draft Detailed Implementation Plan is first delivered to the Authority.

3.5 If the Authority rejects the draft Detailed Implementation Plan:

(a) the Authority shall inform the Supplier in writing of its reasons for its rejection; and

(b) the Supplier shall then revise the draft Detailed Implementation Plan (taking reasonable account of the Authority's comments) and shall re-submit a revised draft Detailed Implementation Plan to the Authority for the Authority's approval within 20 Working Days of the date of the Authority's notice of rejection. The provisions of Paragraph 3.4 and this Paragraph 3.5 shall apply again to any resubmitted draft Detailed Implementation Plan, provided that either Party may refer any disputed matters for resolution by the Dispute Resolution Procedure at any time.

3.6 If the Authority approves the draft Detailed Implementation Plan, it shall replace the Outline Implementation Plan from the date of the Authority’s notice of approval.

4 UPDATES TO AND MAINTAINANCE OF THE DETAILED IMPLEMENTATION PLAN

4.1 Following the approval of the Detailed Implementation Plan by the Authority:

(a) the Supplier shall submit a revised Detailed Implementation Plan to the Authority every 3 months starting 3 months from the Effective Date;

(b) without prejudice to Paragraph 4.1(a), the Authority shall be entitled to request a revised Detailed Implementation Plan at any time by giving written notice to the Supplier and the Supplier shall submit a draft revised Detailed Implementation Plan to the Authority within 20 Working Days of receiving such a request from the Authority (or such longer period as the Parties may agree provided that any failure to agree such longer period shall be referred to the Dispute Resolution Procedure);

(c) any revised Detailed Implementation Plan shall (subject to Paragraph 4.2) be submitted by the Supplier for approval in accordance with the procedure set out in Paragraph 3; and

(d) the Supplier's performance against the Implementation Plan shall be monitored at meetings of the Service Management Board (as defined in Schedule 8.1 (*Governance*). In preparation for such meetings, the current Detailed Implementation Plan shall be provided by the Supplier to the Authority not less than 5 Working Days in advance of each meeting of the Service Management Board.

4.2 Save for any amendments which are of a type identified and notified by the Authority (at the Authority's discretion) to the Supplier in writing as not requiring approval, any material amendments to the Detailed Implementation Plan shall be subject to the Change Control Procedure provided that:

(a) any amendments to elements of the Detailed Implementation Plan which are based on the contents of the Outline Implementation Plan shall be deemed to be material amendments; and

(b) in no circumstances shall the Supplier be entitled to alter or request an alteration to any Milestone Date except in accordance with Clause 31 (*Authority Cause*).

4.3 Any proposed amendments to the Detailed Implementation Plan shall not come into force until they have been approved in writing by the Authority.

5 GOVERNMENT REVIEWS

The Supplier acknowledges that the Services may be subject to Government review at key stages of the project. The Supplier shall cooperate with any bodies undertaking such review and shall allow for such reasonable assistance as may be required for this purpose within the Charges.

ANNEX 1

PART A: INDICATIVE OUTLINE IMPLEMENTATION PLAN

Below is an Indicative Outline Implementation Plan set out in SVS ITT Appendix 4 Implementation and Transition Plan, showing the suggested overall timeframe and the key deliverables. .

Milestone	Deliverables required for each Milestone	Assumed Duration (Working Days)	Proposed Duration	Proposed Milestone Dates	Dependencies; Authority Responsibilities; Assumptions	Link to Authority to Proceed / Milestone Payment
Definition	• Project Initiation Document • Risks, Assumptions, Issues & Dependencies (RAID) Management Plan & Initial RAID Register • Draft Detailed Implementation Plan • Draft Test Strategy / Quality / Rectification plans • Draft Transition Plan • Associated CASE documentation including Security Architecture, draft Information Risk and Assurance report (IRAR) and DPIA.	20 from Effective Date				

Design	• Draft BCDR Plan • Detailed design including: - System/Application Specifications - Interface Specifications - Business Intelligence • Baselined Architectural Design • Baselined Detailed Implementation Plan • Baselined Transition Plan • Baselined Test Strategy / Quality / Rectification plans • Updated RAID Register • Updated CASE documentation	20 from Effective Date				
Set-up	• Baselined BCDR Plan • Final detailed design documents • Service Management Plan	40 from Design				

	• SLA compliance matrix • Configuration Management report • Change Management Plan • Completed set of Test plans and scenarios • Updated RAID Register • Training Plan and Documentation • Updated CASE documentation					
Acceptance and Assurance	• Test Reports - System tests - Business process - End to End • Defect Resolution plan • Defect resolution plan • Site audit report • Updated RAID Register • Project Schedule • Service Management Plan	40 from Set-Up				

	• Defects Log • BCDR Test Report • Remedial Action Plan					
Readiness for Service	• All training complete • Updated RAID register • Transition Plan • Operations Plan • Early Life Support plan • End to End Test Report • Configuration & Assets Report • Cyber Assurance issued • Civil Service teams fully embedded at DHUs • Test Completion Report • Updated BCDR plan • Updated Cyber Assurance plans •	10 from Acceptance & Assurance				
Service Commencement	• Live service commencement	01/11/2020				

Project Closure / In Service Support	• Post Implementation Report • Handover to operational support report • Service Delivery Reports • Risk and Issues Log • Service Management Plan • Defects Log	20 from Readiness for Service				

PART B: OUTLINE IMPLEMENTATION PLAN

The Outline Implementation Plan was originally submitted by the Supplier in response to the SVS ITT Appendix 4 Implementation and Transition Plan showing the overall timeframe and the key deliverables. The version of the Outline Implementation Plan included below has since been updated and will be current at the Effective Date.

Milestone	Deliverables required for each Milestone	Assumed Duration (Working Days)	Proposed Duration	Proposed Milestone Dates	Dependencies; Authority Responsibilities; Assumptions	Link to Authority to Proceed / Milestone Payment
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Further details are available from the Supplier's response to the ITT as set out in Schedule 4.1 (*Supplier Solution*) of this Agreement.

ANNEX 2 SCANNING VALIDATION STORAGE DELIVERY STEERING GROUP TERMS OF REFERENCE AND MEMBERSHIP

1 Purpose and Ways of Working

1.1 The purpose of the Scanning Validation Storage Delivery Steering Group (SG) is to oversee the commercial implementation and operational delivery and deployment of the Service verifying that it meets Authority requirements and aligns to key Authority transformation delivery milestones.

1.2 Recognising the commercial requirements of the process and the need to maximise benefits and minimise costs, attendees will be asked to provide timely advice, support and escalation routes for issues that might delay the Service.

1.3 The SG Chair will be Head of Passport Operations, Dominque Hardy or, when unable to do so, by a nominated deputy.

1.4 The SG has delegated authority from, and reports into the Modern Digital Business Mission Board (MDB), notifying the MDB of decisions. The MDB provides the escalation route when agreement cannot be obtained at the SG for decisions. Formal updates to the MDB will continue to be provided via standard Authority reporting mechanisms and, as required, adhoc papers and personal briefings. In addition:

(a) major changes in design will be referred to the Design Authority, Technical Design Authority (TDA) and Digital Security Checkpoint (DSC) as appropriate;

(b) major changes in scope will be referred to the Transformation Priority Group (TPG).

1.5 The SG will be underpinned by work being undertaken at working group level. Examples of working groups are:

(a) Security Assurance Checkpoints;
(b) Technical Working Group;
(c) Commercial Working Group.

Working groups will be agreed, including any additional groups, as part of governance discussions during project definition phase.

1.6 SG members will be responsible for providing effective escalation routes for issues that might otherwise delay or block the delivery of the Service and operational implementation. SG members will ensure that commercial, project

delivery and business change teams benefit from the SG's timely advice. The SG will support interventions, seek to maximise benefits for the business and minimise delivery costs. SG members are also responsible for ensuring allocation of subject matter experts from their area as required.

1.7 SG members will be proactive in their approach by looking to identify issues in advance that will need resolution, provide timely updates in advance of the meetings wherever possible and working collaboratively to resolve issues that might become blockers to delivery. The Authority will be looking to this group for strategic risk management / risk ownership etc.

1.8 Every month, the Authority and Supplier Project Managers and Commercial Transition Manager will provide a clear, concise and transparent reports to the SG, which will cover:

(a) performance – using the Implementation Plan against Key Milestones;

(b) risks, issues and blockers – providing background details and on-going activity to resolve;

(c) changes in scope – helping project team with requests for changes to the agreed solution/process and monitoring the impact of such changes on the delivery timetable;

(d) dependencies - updates on major issues and potential blockers. Teams responsible for the delivery of key components will be invited to update the SG directly;

(e) key achievements – highlighting the successful delivery of key phases of the project;

(f) team health – other 'hygiene' factors hindering the delivery or deployment, escalating to the SG for support and possible resolution;

(g) finance and benefits realisation.

1.9 Representatives shall come suitably equipped with enough detail to support informed discussion on each agenda item and, where appropriate, enable the

decisions to be taken. Deputies should have the delegated authority to make and agree decisions.

2 Scope

2.1 The following will be in scope for the SG:

(a) commercial transition to the Supplier and the Service;
(b) project implementation and delivery into operations;
(c) transition to supplier management.

2.2 The following will be out of scope for the SG:

(a) commercial changes
(b) technical assurance (HMPO Change Assurance Board)
(c) design decisions

3 Membership

3.1 Membership of the SG will be subject to change reflecting the stage of the implementation and may include representatives for :

(a) Senior Operational Sponsors;
(b) Operational Service Managers;
(c) Senior Civil Servants;
(d) Portfolio Director;
(e) Senior Project Manager for the Authority;
(f) Senior Project Managers for the Supplier and Key Subcontractors;
(g) Commercial Transition Manager;
(h) Digital Application Processing System Delivery Manager;
(i) Strategic Business Intelligence Project Manager;
(j) Business Change Management;
(k) Business Design Authority (BDA);
(l) Technical Design Authority (TDA);
(m) Policy;
(n) Public Protection and Standards (PPS);
(o) Customer Services;
(p) Commercial Management;
(q) Security (Cyber and Physical);

(r) Finance and Estates;
(s) Workforce Resource and Planning;
(t) Transformation Integration;
(u) Human Resources and TUPE experts.

4 Method of Operation

4.1 Meetings will be held monthly, in advance of the meeting for the MDB, according to an agreed schedule. If required extraordinary meetings can be scheduled to align with project Key Milestone dates.

4.2 Setting and extending meeting invitations, booking and arranging the meeting room (including IT requirements), providing conference call facilities, as well as administrating papers, agendas and minutes, will be the responsibility of the SG Secretary, supported by the Sapphire Portfolio SVS Project Support Office. A minimum of 5 working days prior to an SG meeting, the SG Secretary shall be responsible for collating and publishing the monthly reports for the SG to members alongside any supporting papers.

4.3 Unless otherwise requested by the SG, meetings will be held in London, with attendance in person encouraged wherever possible to facilitate the fullest participation, understanding and collaboration within the SG.

4.4 The SG Chair will be responsible for chairing the meetings and in conjunction with SG members, setting the agenda and reviewing the SG actions and records. The SG Secretary will be responsible for providing support to the SG Chair throughout the meeting and will take notes of key discussions, decisions, actions and owners. The SG Secretary will then be responsible for publishing those notes in a timely fashion, having confirmed with the SG Chair that they constitute an accurate record of the meeting. Following each meeting, the SG Secretary will monitor and track actions with the assigned ‘owners’, providing an up-to-date summary for the SG Chair to review at the following meeting.

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